

## Annex 6: Light case study reports

<b>1</b>	<b>Ethiopia.....</b>	<b>2</b>
1.1	Integrated Rural Development Programme, Messanu Areas, Ethiopia .....	2
1.2	Ethio-Norwegian UNCCD Program (ETH-06/039).....	24
<b>2</b>	<b>Nicaragua .....</b>	<b>42</b>
2.1	Lake Managua Sub-Basin III - Environmental Management, (NIC-08/001) .....	42
2.2	PRORURAL (NIC 05/028).....	61
<b>3</b>	<b>Regional Interventions .....</b>	<b>85</b>
3.1	Agri-Vie (NFF1003 – 393) .....	85
3.2	Mesoamerican Agro-environmental Program (MAP) – CATIE (CAM 07/012).....	110
3.3	International Centre for Integrated Mountain Development (ICIMOD) 2008-2012 (RAS-07/010) .....	128
<b>4</b>	<b>Global interventions .....</b>	<b>151</b>
4.1	Adapting Agriculture to Climate Change: Collecting, Protecting and Preparing Crop Wild Relatives - QZA-11/0204.....	151
4.2	Trust Fund for Environmentally and Socially Sustainable Development (TFESSD), 05-4040017/06-4040017 .....	169
4.3	Fredskorpset case study .....	188

# 1 Ethiopia

## 1.1 Integrated Rural Development Programme, Messanu Areas, Ethiopia

### General Data

Intervention title	Integrated Rural Development Programme, Messanu Areas
Agreement partner (name)	Kirkens Nødhjelp (Norwegian Church Aid)
Type of agreement partner	NGO Norwegian
Agreement nr.(s)	GLO-04/268-10 (2005-2010) QZA-10/0953-7 (in year 2011)
Country / region	Ethiopia, eastern part of Tigray National Regional State, in Wikro Woreda. The Project area consists of five of the 15 tabias (villages) of Wikro Woreda. (source: project plan 2005)
Implementing partner	Relief Society of Tigray (REST)
Extending agency	NORAD
DAC Sector	Main sector: Sub sector: 10 - Environmental policy and administrative management
Intervention start & end dates	1998-2011 Divided in 4 phases of 3-year periods: 1998-2000; 2001-2003; 2004-2007; and 2008-2010. There seem to be a continuity between 2004 and 2008, but also further development of activities (e.g. development from bee keeping to queen rearing and bee colony raising; check dam building). No information on the period 1998-2004 available.
Budget <ul style="list-style-type: none"> <li>• Approved amount</li> <li>• Agreed amount</li> <li>• Disbursed amount</li> </ul>	NOK 850,000 (2004-2006) NOK 2.100.000 (700.000 NOK per year) 5.508.000 NOK from 2005-2011 (source: inventory data base)
Main stakeholders	Target group: Main right holders: poor, marginalized and female-headed households, The project will operate fully in <b>5 target tabias</b> (villages), which are populated with people of the same language (tigrigna) and ethnicity. The total targeted beneficiary population will include <b>30,700 people. Female-headed household and landless</b> are particularly vulnerable and are among targeted groups. (2004-2006)
Number of beneficiaries targeted	The total targeted beneficiary population will include <b>30,700 people in 5 villages.</b>
Intervention description	The project support of NCA to the area was commenced in <b>1998/99 aiming at improving the livelihood security among the disadvantaged people in the project area.</b> Later the <b>watershed approach</b> was introduced as a new initiative for effective utilization of resources. The watersheds represent both geographical areas (the physical water catchment) and the social unit within which development initiatives are targeted. The program focuses mainly on community empowerment through training, enhancement of agricultural production and productivity, natural resource management, income diversification, women's empowerment, family health, HIV/AIDS and water resource development.
Programme background & history	Productivity of the land in the MIADP area has declined due to loss of soil fertility and frequent drought. The target population lives in a structurally moisture deficit and fragile environment and is currently unable to produce sufficient food for survival.

## Project objectives and activities &amp; expected results

Overall objectives	<p>2004-2006:          “To achieve progressive reduction in the number of targeted, food insecure households within five tabias of Messanu and surrounding areas of Wukro Wereda, Eastern zone of Tigray Region”          (source: pro doc 2004-2006)</p> <p>2008-2010          “To progressively reduce the number of food insecure households in the programme area.”          (source: pro doc 2008-2010)</p> <p>It should be noted that further to the 3-year proposal a yearly operational plan is formulated. The formulation of the objectives varies slightly from year to year. (see discussion EQ4)</p>
Specific objectives	<p>2004-2006</p> <ul style="list-style-type: none"> <li>• Increase and improve <b>access and utilization to clean, potable,</b> and adequate water supply in the rural communities, family health and <b>nutritional status</b> of the rural communities by implementing <b>HIV/AIDS prevention</b>, infection treatment, MCH, nutrition, and sanitation activities. Improve the <b>natural resource base and management</b> of the degraded land and sustainable usage of the natural resources, Water harvesting schemes etc.</li> <li>• Increase and <b>diversify rural household income</b> through crop and livestock production and productivity as well as promotion of non-farm on a sustainable target household managed basis</li> <li>• Improve and build the <b>technical capacity, skill and knowledge</b>, of the rural communities and development actors to ensure self-management and programme sustainability</li> </ul> <p>(source: pro doc 2004-2006)</p> <p>2008-2010</p> <ul style="list-style-type: none"> <li>• Improve the <b>natural resource base and management</b> of the degraded land for sustainable utilization of the natural resource</li> <li>• Increased and <b>diversified sustainable agricultural production</b> and productivity of poor households in targeted watersheds</li> <li>• To provide a community based sustainable solution to the <b>water supply problems</b> of rural communities in the programme area through provision of clean, safe water for people</li> <li>• Strengthen <b>Community Based Health Care</b> and gender by filling identified gaps in the capacity of the community and health staff through training</li> <li>• (source: pro doc 2008-2010)</li> </ul> <p><i>Also the specific goals are changed slightly from year to year.</i></p>
Expected results/ outputs	<p>2004-2006</p> <ul style="list-style-type: none"> <li>• New agricultural technologies to 50 households introduced</li> <li>• 2 hand-dug wells constructed.</li> <li>• 6 underground water tankers, 2 roof rain harvesting reservoir constructed.</li> <li>• 378 farmers trained on agricultural practice</li> <li>• 90 women trained on income diversification, business skills and awareness creation and sensitization.</li> <li>• 275 beneficiaries trained on different health activities.</li> </ul> <p>(source: logframe of the pro doc 2004-2006)</p> <p>2008-2010</p> <ul style="list-style-type: none"> <li>• <b>Environmental degradation is checked</b> in the project area through construction of check dams, reclamation of big gully and planting tree seedlings in common property resources.</li> <li>• <b>Income of poor households increased</b> through improving agricultural production both in crop and livestock production using market-oriented approaches.</li> <li>• The availability of <b>water supply</b> for irrigation and household use improved.</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>Community awareness in harmful traditional practices,</b> HIV/AIDS, nutrition and mainstreaming of gender into the development activity improved.</li> </ul> <p>(source: pro doc 2008-2010)</p>
Main activities specify agri. Activities for envir. Interventions)	<p>2004-2006</p> <ul style="list-style-type: none"> <li>• Introduction of water lifting technologies.</li> <li>• Introduction of fruits production and management.</li> <li>• Demonstration &amp; Promotion of high value crops.</li> <li>• Purchase &amp; provision of nursery inputs.</li> <li>• Construction of underground water tankers.</li> <li>• Construction of hand-dug wells.</li> <li>• Construction of reservoirs.</li> <li>• Big gully reclamation.</li> <li>• Soil &amp; Water conservation on hillsides.</li> <li>• Soil &amp; Water conservation on farm moisture harvesting.</li> <li>• Plantation of seedlings.</li> <li>• Forage development.</li> <li>• Livestock watering development.</li> <li>• Beekeeping and rural dairy development.</li> <li>• Poultry, small ruminant and fishery production.</li> <li>• Capacity building on Gender development.</li> <li>• Training on nutrition and MCH/FP promotion.</li> <li>• HIV/AIDS prevention training and material provision.</li> </ul> <p>(source: logframe of the pro doc 2004-2006)</p> <p>2008-2010</p> <ul style="list-style-type: none"> <li>• Construction of Check dam ponds and Big gully treatment</li> <li>• Reforestation</li> <li>• Dairy Development and Market Linkage Creation</li> <li>• Establishment of Molasses and other Feed Stuffs Distributor Cooperative</li> <li>• Establishment of Queen Rearing and Propagation Systems</li> <li>• Awareness Creation Workshop on Honey Quality and Adulteration</li> <li>• Small Ruminant Operation</li> <li>• Forage Multiplication Centre Management:</li> <li>• Groundnut Producer and Marketing Cooperatives:</li> <li>• Improved Fruit Development Enhancement</li> <li>• Enhancement of Bio-fertilizer Utilization for Horticultural Development</li> <li>• Electrified Water Lifting Technologies</li> <li>• Underground water tank for irrigation</li> <li>• Borehole and Hand-dug Well</li> <li>• (source: pro doc 2008-2010)</li> </ul>
List of available documentation for the intervention	See bibliography

## Cluster 1: Contribution to Food Security

### 1.1.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 1.1.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The project is aligned to the country's food security programme (FSP 2005-2010) as the project's main objective is to target all three dimension of food security while also integrating the environmental aspects of the area (the water catchment) as well as a gender dimension. Furthermore, the project is referring to local food security data (source unknown).

#### Evidence on indicator level

Indicator	Evidence Security
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	<ul style="list-style-type: none"> <li>Both phases of the project (2004-2006) and 2008-2010) are aligned with the National Food Security Strategy (FSS) and 2005 Food Security Programme (part of the 'Plan for Accelerated and Sustained Development to End Poverty' (PASDEP) covering 2006-2010.</li> <li>Main points of alignment to the programme are: Environmental rehabilitation, water projects, Enhancing agricultural productivity, Prevention and control of HIV/AIDS, gender.</li> <li>(Area not targeted by the project: Resettlement)</li> </ul>
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	<ul style="list-style-type: none"> <li>Further to the national policy, the 2008-2010 proposal quotes data on the regional food security situation of the targeted area.  <i>"Rain-fed, agriculture is the core economy of the region, making the region one of the most food insecure and drought prone area in Ethiopia. Farming practices that exist today are similar to those millennia of years ago. As a result natural resources have been exploited, in some cases beyond repair. The unprecedented geometric population growth to-date has even worsened conditions in the region, where land productivity has become increasingly diminished. Under normal conditions, the current estimate is 5-6 quintals per hectare paralleling shrinkage in landholding of households. This was estimated not to exceed an average size of 0.5-0.8 hectare at present from 3.8 hectares 30 years ago. This occurred through time due to steady fragmentation in successive generations.</i>  <i>The project Woreda, where in which Messanu and the surrounding project is found, is called Kilde-awlalo (formerly known as Wukro Woreda). The project Woreda, with a current population of 124,743, is located in the eastern zone of the region. It is one of the most food insecure areas in Tigray caused by high levels of vulnerability due to repeated shocks (drought and conflict) resulted by collective impacts from lack of arable land, low natural resource availability and limited access to infrastructure (water and health services)."</i> </li> </ul>

#### 1.1.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The project is coherent with national food security programmes. Complementarity can be seen especially with the national and multi-donor funded Productive Safety Net Programme. It seems that no other development agencies are present in the targeted villages, but the implementing partner REST is aware of and in contact

with other donors/NGO working in other villages in the area. Norwegian Church Aid is furthermore member in several coordination fora, e.g. the Dry land coordination Group (DCG). This forum conducts research on Food Security and Climate Change and NCA has been an active member. No joint action between donors could be found. No evidence of a risk assessment at programming stage could be found. This might have been the case at the very beginning of the project in 1999. However the 3-year proposal documents and the annual planning documents did not include a risk analysis section.

#### Evidence on indicator level

Indicator	Evidence
<p>I-121</p> <p>Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)</p>	<ul style="list-style-type: none"> <li>The proposal document 2004 lists similar projects implemented by other donors in the area, but in other villages. The annual reports do not mention any collaboration/information sharing with other programmes in the regions, with one exception 2009: <i>“An integrated approach to programme implementation is practiced. Integration has been followed at three levels and includes (...): Integration of government policy and programmes and those of other stakeholders in the region for achievement of programme synergy and cost effectiveness.”</i> (progress report 2009)</li> <li>However, it must be assumed that the implementing partner REST exchange experience with relevant stakeholders in the region: <i>“This emphasis on building and working with local capacity extends to programs of exchange and experience sharing visits with a wide range of NGOs, and particularly in the capacity building of other indigenous NGOs throughout Ethiopia, including technical and organizational development aspects, providing training courses and seminars.”</i> (Source: proposal doc, 2008-2010).</li> <li>The impact assessment of 2010 (covering the period 2000-2010) assesses the coordination with other programme as good. E.g. the Ethiopian Orthodox Church Development and Interchurch Aid Commission (EOC-DICAC) and Catholic Church have been active in the project area, but not targeting the same villages.</li> <li>Furthermore: <i>“NCA/REST project has been well-integrated with the safety net program in accomplishing environmental rehabilitation works and other construction activities. Given the fact that environmental rehabilitation works such as construction of hillside terraces, deep trenches, micro-basins, check-dams, etc., needs high energy, and 69.9% of the people in the target woreda are chronically food insecure which needs incentives in the form of food or cash; integrating the donor resources with safety net resources has created synergy and laid down good foundation for natural resources development. Hence the impacts observed related to natural resources development are the synergetic effects of NCA/REST and safety net resources, whereby both actors have attributions.”</i> (source: impact assessment, Mesanu area)</li> <li>Concerning <b>Norwegian Church Aid (NCA)</b>, NCA is a member of Dry land coordination Group (DCG). The forum members conducted research on Food Security and Climate Change and the outcomes of the studies are shared with members, so that the members reconsider and integrate them in their on-going programs. NCA conducted a study through the funding of DCG on Climate Change perception of farmers in project areas. As a result of the study it has developed a guideline to mainstream climate change adaptation in the program areas and conducted training to its partners on how to mainstream CC adaptation in their programmes. (source: annual NCA Ethiopia country report)</li> </ul>
<p>I-122</p> <p>Planning documents of Norwegian supported agricultural</p>	<ul style="list-style-type: none"> <li>Not really discussed. Project proposal documents include a chapter on the relevance and background information on each objective, but no real risk assessment.</li> </ul>

projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	<ul style="list-style-type: none"> <li>No evidence found.</li> </ul>

### 1.1.1.3 JC 13: Relevance of project intervention according to final beneficiaries

From the final evaluation 2007 it appears that the selection of beneficiaries does not follow the objectives of the project, namely to target the most vulnerable and poor member of communities.

#### Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	<ul style="list-style-type: none"> <li>No interview with beneficiaries was done (Light Analysis).</li> </ul> <p>According to the evaluation 2007, the selection of the beneficiaries might not be adequate to reach the most vulnerable, as the choice of beneficiaries is done by the local administration which selects first of all according to criteria such as land availability, knowledge and experience of techniques: <i>“The selection of beneficiaries and site for project implementation is done by the local administration with little or no involvement of the project staff. While poverty and being women-headed are considered as the most important criteria for selecting beneficiaries, priority is usually given on the basis of other criteria. For instance, beneficiaries in modern beehives are selected on the basis of their prior experience in traditional beehive management. Likewise, beneficiaries of exotic breeds have to prepare cattle shed besides having experience in cattle management (preferably in Begait cows). Beneficiaries of water pumps have to have first land. While these approaches could be important in ensuring better and timely impact, the review team fears that it may exclude the most vulnerable sections of the society, which the project aims to target. Beneficiary farmers are selected by the Office of ARD, together with the administration. During the assessment it was found out that the community at large does not get involved in the selection of beneficiaries. (..) . During the group discussions, the participants were complaining of the project targeting the same people in its different components. (..) the issues at hand indicate that the project should have developed its own beneficiary selection mechanism, in collaboration with the community and local administration.</i></p> <p>(Source 2007 Evaluation).</p>

## 1.1.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

### 1.1.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The project is very likely to increase food availability for the targeted households, as 2 out of 4 project activities directly target better agricultural production (e.g. introduction of high-value crop and fruit seeds, better irrigation, use of fertiliser, trainings on the use of new irrigation and agricultural techniques etc. It is not clear whether a baseline has been established at the beginning of the project nor whether an assessment of the situation is done for every 3-year planning, but basic data on soil production are quoted in the proposal document.

#### Evidence on indicator level

Indicator	Evidence
<p>I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)</p>	<ul style="list-style-type: none"> <li>The 2008-2010 proposal document gives in its background section some information on food production in the targeted area. Whether this has been collected by the implementing partner or which other sources it comes from is not clear. Also the reference year cannot be seen.</li> <li>“Rain-fed, agriculture is the core economy of the region, making the region one of the most food insecure and drought prone area in Ethiopia. Farming practices that exist today are similar to those millennia of years ago. As a result natural resources have been exploited, in some cases beyond repair. The unprecedented geometric population growth to-date has even worsened conditions in the region, where land productivity has become increasingly diminished. Under normal conditions, the current estimate is 5-6 quintals per hectare paralleling shrinkage in landholding of households. This was estimated not to exceed an average size of 0.5-0.8 hectare at present from 3.8 hectares 30 years ago. This occurred through time due to steady fragmentation in successive generations. (..)</li> <li>As the population to land ratio rises, steep slopes have been used for cultivation and many areas have lost their vegetation cover through deforestation for expanding agricultural areas, firewood, and construction materials. Up to 90% of the land is used for continuous cultivation and fallowing is no longer practiced, creating a fragile ecosystem that significantly contributing to climate change. Sever erosion is therefore the common feature of the region as a consequence of the mal-farming practice that induced heavy soil erosion by run-off from the slopes. Soil loses of the region, as a result, is estimated to approach as high as 40 tons/hectare/annum according to recent studies.”</li> <li>(source: Project proposal 2008-2010)</li> </ul>
<p>I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)</p>	<ul style="list-style-type: none"> <li>The project is very likely to increase food production in the targeted households. Food production is a primary goal and addressed in 2 of the 4 activities. The goals are:</li> <li>Objective 1.1.: Construction of Check dam ponds and Big gully</li> <li>treatment: this should facilitate irrigation practices and increase their agricultural production. The project proposes to construct two water harvesting check dam ponds and one big gully treatment in Kilde Awlaelo Wereda, around Mesanu</li> <li>Objective 2: Income of poor households increased through improving agricultural production both in crop and livestock production using market oriented approaches. Especially the crop production activities are likely to increase food production:</li> <li>Ground-nut producers and Marketing cooperative established</li> </ul>



	<ul style="list-style-type: none"> <li>• Improved Fruit Development Enhancement (especially buying in of tissue culture laboratory certified fruit seedlings)</li> <li>• Enhancement of Bio-fertilizer Utilization for Horticultural Development: utilization of solid bio-fertilizer for pulses; liquid bio-fertilizer for horticulture crops such as vegetable and fruit; integration of Family Drip System</li> <li>• Electric water pumps installed and irrigated household farmlands (run with hydropower)</li> <li>• Various trainings provided to the right holders in relation to each activity</li> <li>• Livestock production:</li> <li>• Introduction of small ruminant production esp. for women</li> <li>• Forage Multiplication Centre Management: establishment of a nursery site to grow different forage seedlings such as forage grasses, herbs and splitting plant</li> </ul> <p>It can be noted that one of the outcome indicator of the logframe (specific objective level) is “Increased overall production of crops and livestock”. No target given in the logframe 2008-2010.</p> <p>In the proposal document 2004-2006 the target is quantified, namely:</p> <ul style="list-style-type: none"> <li>• Increased annual crop yields per hectare by 50%.</li> <li>• Increased irrigable land by 0.32 hectares.</li> <li>• Promotion of post-harvest technologies among 60 households.</li> </ul>
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#### 1.1.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The project is highly likely to lead to increased food accessibility of the households targeted by the project intervention. Food will be more accessible through increased food production (see JC21) and especially through increased income. The project is promoting different high value crop production and its processing (here: groundnut and peanut butter and honey bees queen rearing and bee colony raising for sale), better link to markets for dairy products, income diversification activities for poor women, such as poultry production and weaving and linkage of small scale business women to credit institutions. No baseline seems to exist and while one of the logframe outcome indicators is “increased income”, no target is indicated.

#### Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No proper analysis available to the evaluation team, but in the proposal document one can read: <i>“The project Woreda, where in which Messanu and the surrounding project is found, is called Kilde-awlalo (formerly known as Wukro Woreda). The project Woreda, with a current population of 124,743, is located in the eastern zone of the region. It is one of the most food insecure areas in Tigray caused by high levels of vulnerability due to repeated shocks (drought and conflict) resulted by collective impacts from lack of arable land, low natural resource availability and limited access to infrastructure (water and health services). The fragility of household economies has increased in the face of eroded coping strategies and limited opportunities for income and employment. Malnutrition, ill health and asset depletion has followed pushing households further down the poverty ladder and placing them at risk of famine.”</i> (source: proposal document 2008-2010)
I-222 Norwegian funded agricultural projects are likely to contribute	The project is likely to contribute to an increased level of food accessibility through increased food production (see I-212) and increased income (see I-223). The increase in number of meals is not an indicator used in the project logframe.

<p>to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas</p>	
<p>I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)</p>	<p>Several project activities are targeting better income generation, especially for poor women headed households.</p> <p>Objective 2 seeks income generation through improved livestock production using market oriented approaches. Activities carried out are:</p> <ul style="list-style-type: none"> <li>• Bee keeping, especially the queen rearing and propagation of bee colony for sale (the past has shown a shortage of bee colonies, as government and NGOs have aggressively promoted modern bee keeping operations). In order to fight against adulteration of Tigray's honey with different materials such as sugar or banana ad thus harm the reputation of the honey production, awareness raising workshop on honey quality and effects of adulteration are also included in the project's activities.</li> <li>• Livestock development: <ul style="list-style-type: none"> <li>○ Establishment of a molasses and other feedstuff distributor cooperative with market linkage</li> <li>○ Forage development activities (establishment of a seed nursery);</li> <li>○ Small ruminant production (for women)</li> </ul> </li> <li>• High value crop development and integrated processing: <ul style="list-style-type: none"> <li>○ Organisation of groundnut producer into producers and marketing cooperatives and processing to peanut butter. Activities will be training on cooperative principle and business marketing, a peanut butter making machine will be acquired by the project.</li> <li>○ Furthermore product from the processing of groundnut during peanut butter making such as groundnut cake will be used as feed for livestock.</li> </ul> </li> </ul> <p>Within the objective 4: "Strengthen Community Based Health Care and gender by filling identified gaps in the capacity of the community and health staff through training" it is foreseen to train 90 women in different income diversification activities and small-scale business management. Activities are:</p> <ul style="list-style-type: none"> <li>○ Modern waving</li> <li>○ Poultry</li> <li>○ Seed selling business</li> </ul> <p>It can be noted that one of the outcome indicator of the logframe (specific objective level) is "increased household income". No target given in the logframe 2008-2010.</p> <p>In the proposal document 2004-2006 the target is quantified, namely:</p> <ul style="list-style-type: none"> <li>• Increased livestock production (milk yields from current 1.5l/day to 5l/day; honey from 5kg to 8kg for local hives and 25kg for improved hives).</li> </ul>

**1.1.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time**

It is likely that the project contributes to increased food stability in the target areas as a result of increased food production and increased income.

**Evidence on indicator level**

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	No initial analysis is available to the evaluation team.  The project progress report states that still in 2010, 97 % of the population of the Wareda has been supported through the Productive Safety Net Programme and/or emergency assistance to fill the food gap (food assistance has already been given in the years before).  One of the 2 impact indicators of the projects is: "Number of months households have their own food". No target is given, no information available to the evaluation team on the initial situation.
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	As consequence of increased production and income of the benefitting households, it is likely that the periods of food shortage in the target areas will be reduced.  It can be noted that one of the outcome indicator of the logframe (specific objective level) is "increased household income". No target given in the logframe 2008-2010.  In the proposal 2004-2006 document the target is quantified, namely: <ul style="list-style-type: none"> <li>• Increased livestock production (milk yields from current 1.5l/day to 5l/day; honey from 5kg to 8kg for local hives and 25kg for improved hives)</li> </ul>

**1.1.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status**

Addressing nutrition promotion is an explicit goal of the project. One project activity is designed to raise awareness on nutrition practices by training local health community members, traditional practitioners etc. Together with an increased availability of food, the project is well designed to improve the nutritional status. Although "Nutritional status of children (stunting)" is one of the 2 impact indicators of the log frame, baseline data or target value did not seem to be available.

**Evidence on indicator level**

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food	<ul style="list-style-type: none"> <li>• No proper analysis available to the evaluation team, but in the proposal document one can read: "Malnutrition followed by deficiency diseases is among the extreme indication of severe poverty. Health indicators in Tigray are among the lowest in the country and are caused by the combined effects of inadequate access to food, inequitable intra-household</li> </ul>

utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	<p>food distribution, poor nutritional practices; inadequate water supplies, poor sanitation; and inadequate health services.” (source: project document 2008-2010)</p> <ul style="list-style-type: none"> <li>• The project foresees to conduct a ‘Nutrition and Household Food Economy Survey’ on a bi-annual basis before and after harvest. This will be done by REST Research and Policy Unit on a bi-annual basis. The proposal document highlights: <i>“The main focus is to measure stunting, wasting and underweight conditions in children. In addition, every year an assessment of household food economy will be carried out. The assessments will mostly focus on changes in household coping strategies, household food sources, food stocks, income and calorie intake among targeted households.”</i> (source: project document 2008-2010)</li> <li>• No baseline or results of those HH surveys are available to the evaluation team.</li> </ul>
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	<ul style="list-style-type: none"> <li>• Activities under objective 4 “Strengthen Community Based Health Care and gender by filling identified gaps in the capacity of the community and health staff through training” are likely to contribute to the awareness raising on the importance of good nutrition, especially of small children.</li> <li>• Training activities include nutrition promotion, especially regarding optimal feeding practices of young children. Together with a better access to food, the project is well designed to improve the nutritional status.</li> <li>• It can be noted that one of the outcome indicator of the logframe (specific objective level) is “Nutritional status of children (stunting)”. No target was indicated in the log frame 2008-2010.</li> <li>• In the proposal 2004-2006 document the target is quantified, namely:</li> <li>• Increased number of months from 4 to 6 that households within the target area have enough food</li> <li>• “Nutritional status of children (stunting)”</li> </ul>

### 1.1.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

#### 1.1.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

It is difficult to quantify the achievements as no reliable data are available to the evaluation team on food production. Progress reports only provide information on the inputs (number of seeds, etc.) provided by the project. Furthermore, there does not seem to be a baseline (see impact assessment remark below.). The impact assessment speaks about an increase in food production, it is however unclear which project period and activities it refers to. The 2007 final evaluation states that some of the activities within the component “agricultural extension” have underperformed notably provision with cattle or water pump provision. Even though the project in general is seen as a great success (evaluation report 2007), its activities are reaching a very small part of the village population. Outcomes are therefore on a very small scale level.

#### Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in	It is difficult to qualify the achievements as no reliable data seem to be available on food production. Progress reports only provide information on the inputs (number of seeds, etc.) provided by the project. Furthermore, there does not seem to be a baseline (see impact assessment remark below.). The impact assessment speaks about an increase in food production, it is however unclear which project period and activities it refers to.

targeted areas	<p>Achievements of the project are on a small scale (as reported by the progress report 2010)</p> <ul style="list-style-type: none"> <li>• The project purchased vegetable seeds and high value crops and fruit root stocks and distributed it to 227 rights holders (of which 46 are women) in 2010. Furthermore fruit seedlings and root stocks have been distributed to 370 rights holders (of which 113 are women) It must be assumed that the production raised, but the progress report does not provide data. The distribution of groundnut was below the initial target due to the price raise.</li> <li>• The purchase of an electric pump and creation of 10 family drips (FDK), incl. training benefited to 37 and 10 farmers and give access to more irrigable land. The progress report does not give any information on the increase in food production due to the new irrigation methods.</li> <li>• Bio and solid fertiliser have been distributed to 144 households (27 female-headed). No information on the increase in food production is given in the project reports.</li> <li>• Several trainings were conducted each with 20 farmers on machine manipulation and agronomic practice application of bio-fertilizer.</li> </ul> <p>According to the 2010 impact assessment, covering the 12 years of the project, better irrigation has contributed to increased cropping intensity and productivity improvement. <i>“For those farmers who are producing twice a year the intensity has increased, thereby increasing crop production per year. Increase in productivity was observed associated to <b>utilization of improved seed and fertilizer, including supplementary irrigation</b>. Before practicing irrigation, rainfall variability was highly affecting crop productivity. But after practicing irrigation, farmers able to mitigate the effects of moisture stress on crop yields through applying supplementary irrigation Moreover, moisture regulation through irrigation practice has enabled farmers to grow more productive and high value crop types such as fruits and vegetables.”</i></p> <p>This has resulted in an increase of production of 50% increment in productivity of crops using supplementary irrigation and more than 100% increment in production of crops through full irrigation: <i>“Collaborative efforts of the project and government staffs in (i) introducing improved varieties of crops, fertilizer, compost and pesticides; and (ii) close extension supports in building knowledge and skill of farmers on maximizing benefits through proper combination of inputs have resulted in more than 50% increment in productivity of crops using supplementary irrigation and more than 100% increment in production of crops through full irrigation.”</i></p> <p>The same impact assessment study quotes the results of the 2010 HH survey which shows an increase also in the productivity of rain fed crops. (see survey below). The study also noted that farmers compared productivity of each crop from a given land before the project intervention and after the project intervention and that the change seems to be a bit exaggerated.</p>
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Crop type	After	Before	Difference
Teff	6	2	4
Sorghum	8	3	5
Maize	20	5	15
Wheat	7	3	4
Barely	7	2	5
Average	9.6	3	6.6
Sample size (n) = 50 households (33 male + 17 female)			
Source: Household survey, October 2010			

- Limitations to the productivity are the water shortage during dry season and flooding during rainy season.

### 1.1.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

No figures are available to the evaluation team. It can be assumed that increased food production has increased numbers of meals, especially as some income generating activities such as dairy or poultry production seem to have been very successful. Also the production of vegetable and fruit might contribute to improved dietary. The evaluation report 2007 has done a qualitative welfare ranking in the communities, including as one of the major welfare factor food security, which shows an increase of welfare. However, the report notes also: “*While this is the picture we get from the community level survey, the overall poverty (more than 50 percent) and, hence, food insecurity remains very high as the number of beneficiaries in each project component are significantly low (..) The implications of this ranking are two: either the beneficiaries of the project have witnessed significant improvement or the beneficiaries of the project are selected from the relatively better off section of the society (p. 48).*”

#### Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No figures are available to the evaluation team. It can be assumed that increased food production has increased numbers of meals. The impact assessment reports that fruits and vegetable feeding have improved dietary habits of the targeted households. It further highlights the <b>success of the dairy activity</b> and the dairy development cooperatives. In Agula kebele the 15 member of the cooperative started milk production with 18 cows. The project supported the cooperative with improved breed cows and training on dairy cow development and business development. According to the impact assessment, the milk productivity per cow per day in the target area has increased, on average, from 1.5 liters to 5 liters. Currently the members of the cooperative grow to 27 households (15 male & 12 female), and each member of the cooperative has 1-4 improved cows and has its own milk shop by 2010 and created 6 jobs in the cooperative. As a result of improved management practice, even milk productivity of indigenous breeds increased from 1.5 liter to 2.5 liter per day per cow and lactating period increased from 5-6 months to 8 months. According to the impact assessment all the members of the cooperative have ensured their food security and improve their nutrition through milk feeding. No information on the numbers of meals, but on the size of the house in which each member lives (at least 3 room house) and each member has an individual bank account with savings.

	Also other project activities such as <b>poultry production groups</b> (10 groups à 10 women) were successful and are making money and can save in bank account. One could conclude that household diet has improved consequently. The 2007 final evaluation notes a “ <i>significant impact on household wellbeing both in terms of increased consumption of vegetable and fruit products and income from sale. Principal</i> ” (source, End of project eval 2007)
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### 1.1.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

Although figures are not available, it is highly probable that the project has increased food stability, especially through its income generating activities and diversification of income activities. According to the impact assessment, the coping strategy “job migration” is not used any longer in the targeted areas. It must be kept in mind that the project operates on a small scale level (5 villages).

#### Evidence on indicator level

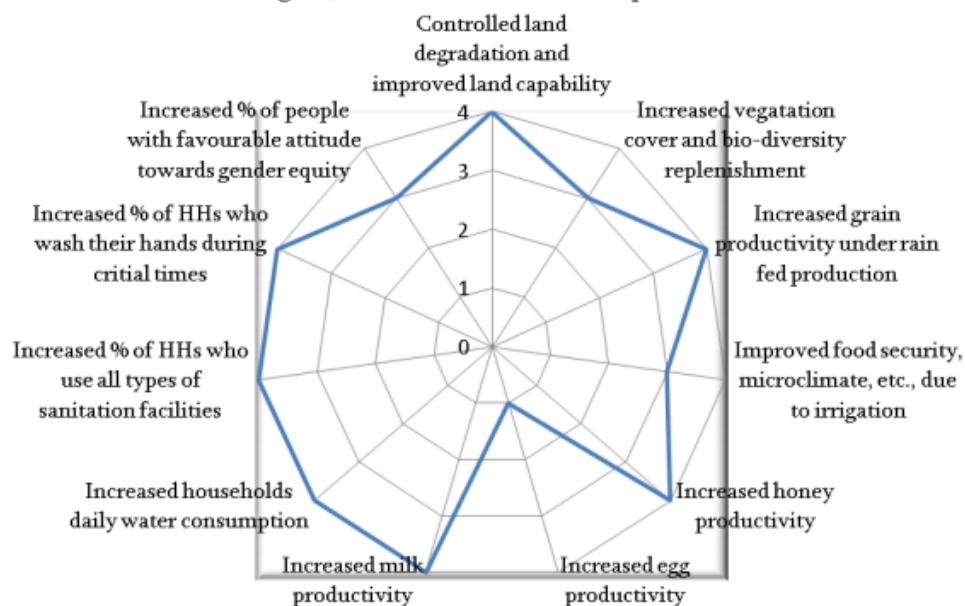
Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No information available, although the length of food insecure periods is one of 2 impact indicators of the project.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	The impact assessment speaks of a decrease / total reduction of coping strategies, such as seasonal job migration: “Increase in production and productivity of crops has increased availability and access to food for the target households. Associated to feeding fruits and vegetables, dietary habits (nutrition) of the target households improved. These households totally avoid seasonal migration in search of jobs opportunities, which they were practicing it whenever crops failed to give adequate yields.” (source: impact assessment)
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Also here information on an improve of the livelihood within the targeted area is anecdotal, but shows a positive trend, especially due to the income generation activities (esp. livestock production) of the project. First, community members in the watershed treatment have participated in <b>cash-for-work programme</b> rehabilitating infrastructure or natural resources (e.g. oil and water conservation structures like hillside terraces, trenches and micro-basins and or rehabilitation of gullies. According to the impact assessment “ <i>Participation in cash-for-work activities has especially increased women’s own income, and it has to some extent increased their financial independence.</i> ” Also <b>beekeeping</b> has been a successful and sustainable income activity (e.g. Aynalem kebele beekeeping cooperative established in 2007 started with 16 modern beehives and has increased its stock to 56 modern beehives in 2010). The promising queen rearing and bee colony propagation activity, announced in the 2008-2010 programme started with a training of 70 stakeholders (68male and 2 female) (planned were 80 with a higher percentage of women participating). No figures on the success of this activity. Furthermore, REST has developed the operation and management of modern bee keeping in the region which has been adopted by the regional government and other NGOs. High <b>value crop production</b> such as garlic and groundnut has been used as income generating activity. No <i>information</i>



available yet (too early) on the production rate or selling price achieved. Further activities are : forage multiplication centres or the promotion of alternative improved feed source through a molasses cooperative formation, or small ruminant production for ultra-poor women headed households.

The chart below visualises the findings of the impact assessment.

Contribution of the project visualized in terms of ecological, economical and social impact indicators



**1.1.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being**

The project is expected to improve food utilisation through its awareness raising component on nutrition. E.g. in 2010 model mothers have been trained on the promotion of nutrition especially pregnant and lactating mothers.

**Evidence on indicator level**

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted	<ul style="list-style-type: none"> <li>No data available, although 'Nutritional status of children (stunting)' has been defined as an impact indicator in the log frame. It is likely that the project has contributed to decreasing malnutrition due to the fact that the project has, beside the activities targeting food production and income, also a nutrition component, aiming at training and awareness raising. E.g. in 2010, 69 model mothers were trained on the nutrition promotion. The training focuses on pregnant and lactating mothers. Thus, the thematic areas covered include:</li> </ul>



children; and/or increased adult Body Mass Index in the targeted areas,	Breast feeding; Supplementary feeding, and Maternal nutrition.
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## Cluster 2: M&E and Documentation

### 1.1.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

#### 1.1.4.1 Appropriateness of programme M&E design

The log frame, as available to the evaluation team, seems to change from year to year with the annual planning of activities (see objectives listed in the project fiche above). The indicators included in the proposal documents were missing targets, especially at specific objective and goal level. A monitoring strategy has been elaborated from the beginning and a small budget is allocated to M&E. However, the data on which it is planned to report according to proposal docs and annual plans, cannot be found in the annual reporting (e.g. baseline study and regular monitoring of impact indicators do not figure in annual reports).

#### Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	<p>The log frame prepared for the project 2004-2006 and the project 2008-2010 differ slightly (e.g. "Increase women's access to decision-making and resources" is quoted as a specific objective in 2007 plan, but is somehow included in the "health" objectives of the year 2006 and 2008) of and to some extent different activities), which is explained by the implementing partner by the fact that animal health has been included on the demand of the communities. Furthermore, the project runs with annually formulated plans, which depicts slightly different formulated goals and objectives. This is also highlighted by the 2007 evaluation: <i>"The team has noted there are differences between operation plan and contract agreement, which was explained partly by the requirement on the ground that called for modification of some project activities"</i> (source: final evaluation 2007)</p> <p>It is therefore not clear whether an overall logframe exists, which would then be used as basis for establishing targets and reporting.</p> <p>For 2008-2010 a logframe matrix exists as a separate document to the proposal and including indicators at each level. However the indicators have no targets. From the reading of documents it is assumed that adjustments to the objectives are made yearly, depending on the needs and the resources available. The overall framework seems not to be used, especially not for the monitoring.</p> <p>According to the implementing partner performance and impact indicators <i>"have been developed based on the specific activities that have been planned to be implemented, hence depend on the specific proposal. The specific proposals have also their own specific logframe depending on the specific activities planned."</i></p> <p><i>The indicators included in the proposal documents and the annual plans do not include SMART indicators or any targets to the indicators.</i> " (source interview)</p> <p>From the reporting it seems that gender aggregated data are being collected.</p>

<p>I-412</p> <p>Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.</p>	<p>The monitoring and evaluation is explained in the proposal document. The planning and coordination division of REST together with its Research and Policy division is responsible for the monitoring. Monitoring and data collection is done in a participatory manner with the Woreda and Tabia Development Committees.</p> <p>Monitoring is foreseen through 4 modalities:</p> <ul style="list-style-type: none"> <li>• Monitoring through progress reports</li> <li>• Monitoring through field visits</li> <li>• Monitoring through surveys:</li> <li>• Performance monitoring by project participants</li> </ul> <p>A small budget of 0,04% of total budget is foreseen for M&amp;E for 2008-2010. No information how this is used.</p> <p>The annual plans include a paragraph stating “<i>General baseline information on the claim holders groups and the program area, such as socio-economic, food security and livelihood profiles, will be conducted pending the approval of the proposal. This baseline data will be used to monitor and measure annual progress and long-term impact of the interventions and overall programming.</i>” (source: annual planning 2008, 2009, 2010)</p> <p>Those data have been not made available to the team and do not figure in the annual reporting. The quality can hence not be evaluated.</p>
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#### 1.1.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The implementing partner REST seems to have a well-designed M&E strategy (on the paper). The monitoring strategy relies on community monitoring for the individual project impacts. However, this participatory monitoring seems not to work very well (at least until 2007) due to missing capacities of the communities. Due to missing data after 2007, it could not be assessed, whether the monitoring system has improved. The annual reports as well as the impact assessment however do not present outcomes or impact data on project level (only anecdotal stories of individual persons' wellbeing). The impact on the communities is monitored by the (governmental) sector offices. This seems to be a problem as implementing partner has no direct control on the monitoring and data seem not to be available.

##### Evidence on indicator level

Indicator	Evidence
<p>I-421</p> <p>Evidence of required resources made available for M&amp;E (human and financial)</p>	<p>No information on human or financial resources available and used.</p> <p>It seems that the monitoring procedure designed on the paper is not working too well. The evaluation of 2007 notes: “<i>During the discussion with project staff it was indicated that the project couldn't monitor the impact of the project interventions on individual users (that is left to the local DA to do), and the status of already handed over project activities (e.g. water points) are not supervised. Furthermore, there are activities which are left to the local administration to do (e.g. beneficiary and site selection, management of revolving fund, etc.) with limited project staff involvement.</i>”</p>
<p>I-422</p> <p>Relevance, frequency and</p>	<p>According to the proposal documents different data are collected through different modalities.</p> <ul style="list-style-type: none"> <li>• Progress reports</li> </ul> <p>Project Coordinator generates monthly progress reports on the execution process of project programs against set targets and</p>

<p>timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)</p>	<p>according NCA standards. This report is checked by the REST Planning and Coordination Department. Weekly progress reports will additionally be produced by Extension Agents and will be forwarded to the Tabia Development Committee Chair for review and action.</p> <ul style="list-style-type: none"> <li>• Field mission</li> </ul> <p>REST project Coordinator is doing quarterly field visits. Together with Woreda technical staff regular field visits are conducted.</p> <ul style="list-style-type: none"> <li>○ Monitoring surveys <ul style="list-style-type: none"> <li>○ Nutrition and Household Food Economy Survey: on nutrition: bi-annually, on food economies: annually by the REST Research and Policy Unit</li> <li>○ Market Assessment : Monthly market assessments by REST Woreda coordination staff</li> <li>○ Early Warning Data Collection: REST Research and Policy Unit carries out early warning data collection on a quarterly basis</li> </ul> </li> </ul> <p>No data on outcome or impact were available to the evaluation team. No information whether the data have been collected; the annual report do not report systematically on them.</p> <p>Also the Evaluation report 2007 highlights some problem with the monitoring system, namely missing capacities of the local communities to monitor the project progress, as foreseen by the project: <i>“ In some PAs (Peasant Association) there is a regular M&amp;E schedule. However, during the group discussions, participants also raised the issue of lack of regular M&amp;E and that the project management by design allowed limited community involvement in the various cycles of the project. Designing projects as primarily bottom up is also challenging unless the necessary preconditions are created for it to work. This, among others, requires creation of grass root development committee (call it or watershed committee) with the required capacity in problem identification, participatory planning, participatory project implementation and participatory project M&amp;E.” (source: eval 2007)</i></p> <p>There is no information whether more technical capacity building or fund for monitoring by the communities has been done in the 2008-2010 project cycle.</p>
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#### 1.1.4.3 JC 43 Adjustment of programme design and/or implementation modality

As a result of the final project evaluation in 2007, a 4th project phase (2008-2010) was included, following the recommendation of the evaluation.

##### Evidence on indicator level

Indicator	Evidence
<p>I-431 Evidence and quality of adjustments of plans as a consequence of M&amp;E results</p>	<p>As a result of the final project evaluation in 2007, a 4th phase (2008-2010) was included, following the recommendation of the evaluation.</p>

### 1.1.5 EQ5: To what extent have programme results been documented?

#### 1.1.5.1 JC 51 Availability of documentation of results

Reporting on results is a weak point of the project. Progress reports are not well structured and report in a narrative way on outputs only. No information is given on the achievements of the specific objectives or the project goals. The link between the initial situation and the target are not made evident. The impact assessment, assessing the project in its last 10 years, is not well written and does not comply with rigorous evaluation standards. Hence, it is not possible to assess the project achievements other than on an individual and anecdotal way.

##### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Annual reports to NCA are done and available. The reports are mostly narrative. Tables presenting targeted objectives and achieved output are missing, but would help to give a better overview on the achievements. Such tables exist in the yearly planning, but it is not clear to which objective the activities are related (especially as no unique objective structure exists). Progress reports only report on output data. An overview on budget or work plan is missing.
I-512 Existence and quality of evaluation reports	According to programming document, a final evaluation should be done as well as on-going evaluation. There was no evidence that this evaluation was carried out to date (Dec 2012). An impact evaluation has been done in 2010. Although the methodology presented seems sound, the results are not well presented. The report does not quote any figures (which should be available according to the data collection system of the project, e.g. bi-annual household survey) and presents impact as anecdotal stories about the success of selected beneficiaries. Furthermore, as the project is a 11-year project, with different project phases, it would be helpful to see the improvements and changes of the project and its activities over time. However, it is not clear to which activity or period the quoted "impacts" could be attributed to. A final evaluation has been done in 2007 and is of good quality, but reports mainly on output level (but this in a well-documented way providing figures). As a result of the evaluation a 4th project phase (2008-2010) was included (initially the project should have ended in 2007)..
I-513 Existence and quality of other types of documentation of results	No information about other documentation.

#### 1.1.5.2 JC 52: Extent to which intervention results have been disseminated

No information available in the documents provided.

##### Evidence on indicator level

Indicator	Evidence
I-521	No information available in the documents provided.

Evidence and quality of dissemination strategies	
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	No information available in the documents provided.
I-523 Evidence of articles published, presentations in workshops, conferences	The budget 2008-2010 foresees a budget for publication 0,7% of total budget. No information how this is used.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	No information available in the documents provided.

### Cluster 3: Sustainability and Scaling up

#### 1.1.6 EQ6 To what extent have programmes been sustainable?

##### 1.1.6.1 JC 61 Financial sustainability/economic sustainability

The project aims at providing the beneficiaries with supplementary financial resources and new skills for developing economic activities. The final evaluation 2007 raised the issue of maintenance of new technologies and problems resulting from them (e.g. former unknown crop and livestock diseases) which is not finally solved. Furthermore, traditional livestock husbandry practices (esp. free grazing hamper the efficient agricultural land use).

##### Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	The project phased out in 2011 and the project has moved to neighbouring villages. Project activities were designed to be self-sustained by the beneficiaries.  From among the technical challenges, the management challenges that farmers face with the introduction of new technologies, such as livestock and crop diseases and pests, and operational and maintenance problems are worth mentioning ( <i>source: eval 2007</i> )

	<p>According to the implementing partners all community based projects like WATSAN and different cooperatives established like milk and honey producers and marketing, etc. have been institutionalised.: <i>“The committees administer projects by soliciting money from the user communities for example maintenance and spare part provisions, etc. The cooperatives also support farmers by creating markets for their members like that of milk processing and marketing cooperatives which are live examples.”</i> (source: interview)</p>
<p>I-612 Services/results are affordable for the intended beneficiaries succeeding phase out</p>	<p>Beneficiaries are likely to have acquired needed skills as well as a first money reserve to continue the activities of the project. The question of maintenance of big investments as e.g. for irrigation system could not be investigated. The extent to which the beneficiaries are able to maintain the irrigation systems will be decisive for the sustainable use of those infrastructures.</p>
<p>I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)</p>	<p>Difficult to say as depending on the commodities and their price inflation (e.g. groundnuts or honey, dairy). Furthermore, income generating activities are not based on food crop production and are on a very small scale, meaning that resilience to external shocks is limited.</p>
<p>I-614 Beneficiaries/authorities are capable of affording replacement and maintenance</p>	<p>Project activities were designed to provide beneficiaries with necessary skills to maintain activities. The impact assessment highlights: <i>“As a result of the trainings given to them and practical exercises, farmers have developed good knowledge and skill on irrigation water application, irrigation scheduling, pump operation and application of manure or compost to increase fertility and reduce salinity Limitations in this regard are lack of skill on pump maintenance and poor quality motor pumps, including lack of skill on bed preparation for tomato crops. Training few capable people among the beneficiaries of motor pumps and provision of quality motor pump (Robin) would have addressed the problem. Similarly, practical demonstration on how to support tomato crops using beds (be it from wood or rope) would have helped farmers avoid losses associated to ruin of tomatoes before harvest.”</i> (source: impact assessment)</p>

<p>I-615</p> <p>Policy changes are not likely to affect programme activities</p>	<p>Current legislation is hampering the project implementation and might hamper sustainability: <i>“This includes traditional livestock husbandry practice and creating mechanisms for efficient agricultural land utilization. While there are attempts at the regional level to restrict free grazing, there is no any serious effort made in the woreda towards this end. Furthermore, the existing weak coordination of efforts between the various actors could be limiting and, hence, needs immediate attention.”</i> (Source: evaluation 2007)</p>
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#### 1.1.6.2 JC 62 Institutional and technical sustainability

It is likely that beneficiaries have the technical capacities to maintain the activities after the phasing out, as capacity building (individually and at community level) has been one of the main components of the project. However, different factors like problems in the community mobilisation or limited involvement of the line officers or delays in the project implementation might have negative effects on the community sense of ownership of the project, according the 2007 evaluation. The involvement of the local administration seems weak which raises problems of coordination but also of ownership and the will to sustain the project results. No information is available whether this problem has been tackled during the implementation period 2008-2010.

#### Evidence on indicator level

Indicator	Evidence
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<p>I-621</p> <p>Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out</p>	<p>The involvement of the local administration in the project seems weak which creates some problems of missing coordination and responsibility for the project which hampers the implementation. The evaluation 2007 notes: <i>“One of the problems raised during the woreda consultation and discussion with project staffs, which affected implementation, is the weak involvement of the woreda, allegedly because of high staff turnover, and problems in community mobilization. We have the feeling that the <b>limited involvement of the line offices, problems in community mobilization</b>, besides delaying implementation might have negative effect on community sense of ownership of the project”.</i></p>
<p>I-622</p> <p>Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out</p>	<p>The proposal document includes a chapter on technical and social sustainability and highlights the capacity building objective of the project. Capacity building is done at the same time at individual and community level in order to promote ownership. Furthermore, It is important to keep in mind that the implementing partner will be working in neighbouring villages and therefore still will be able to support activities.</p> <p><i>“Community based projects are sustainable if and only if they are designed with appropriate technology to be maintained in the future by owners themselves. Hence <b>building the capacities</b> of the community is very imperative as a tool to plan, implement and ensure sustainability. The communities must surely be ready to take over the activities, technically. Then, it is possible to hand over to them. Therefore <b>training is taken as an integral part of the activity aimed at promoting individual as well as community skill</b> and know how in the management, implementation and operation of activities.”</i> (..) <i>“The commitment and participation of the communities in identification, preparation, appraisal/approval, implementation and evaluation of the whole project has been so significant. Participation at all levels that has led sense of ownership to develop reflection in the high involvement as actors and right holders and management of completed activities.”</i> (source: proposal doc 2008-2010).</p>

### 1.1.6.3 JC 63 Environmental sustainability

The project is not likely to generate damage on the environment as the project uses an integrated approach, looking at the overall water catchment area and its aim is to fight natural resource degradation.

#### Evidence on indicator level

Indicator	Evidence
<p>I-631</p> <p>The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources</p>	<p>Not likely, as the project uses an integrated approach, looking at the overall water catchment area and its aim is to fight natural resource degradation. One of its objectives is to improve the natural resource base and management of the degraded land for sustainable utilization of the natural resource.</p> <p>Furthermore, the proposal document states: <i>“There will not be any negative environmental impact as it will be integrated with health activities.”</i></p>



<p>I-632</p> <p>Good environmental practices are followed in project implementation (use of land, water, energy, etc.)</p>	<p>Management of degraded land, e.g. through tree plantation can be seen as a good environmental practice. Not investigated in details.</p>
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### 1.1.7 JC 64 Quality of exit strategy

At the time of the 2007 Evaluation, an exit strategy was not in place; for 2011 this seem to have changes according to the interview. Besides capacity building of beneficiaries, the implementing partner works in collaboration with the local administration, so that the local administration can monitor the project.

#### Evidence on indicator level

Indicator	Evidence
<p>I-641</p> <p>An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities</p>	<p>No exit strategy seems to exist. According to the evaluation of 2007 (which was planned as a final evaluation, as no extension was planned then) no exit strategy existed in 2007: <i>“the most important task that also needs immediate attention of the project, together with the woreda administration and the community, is to define a workable phase out strategy.”</i> (source: evaluation 2007)</p> <p>For the exit in 2011, the proposal document however includes a paragraph on the exit strategy and states that the duty-bearers (e.g. community/local council) will be in the condition to take over the responsibility: <i>“The above mentioned technical and social viability factors to ensure sustainability are mainly served as pre-conditions to the phase out/hand over mechanisms of the project. On top of this, after the project is approved and given go ahead by the donor, an agreement will be made among REST, the community-local council, and other duty bearers. This clearly indicates the role and responsibility, and the responsibility of the duty bearers in all technical, financial, and material aspects. With this notion, handing over of the project to the communities at the end of the project period would be possible.”</i> (proposal doc 2008-2010)</p> <p>The response to this question by the interviewed person: <i>“The project will shift to other villages in the area, meaning that the implementing partner will still be around”</i> And: <i>“Before phase out, REST develops the capacity of the local people through trainings and institutionalize each and every WATSAN projects (..) Management committees have been established and will have no problem in administering the projects. During the implementation period REST works in close collaboration with respective sector offices and the project are already linked with the sector offices and when phasing out, the respective sectors will monitor the project for their sustainability.”</i></p>

### 1.1.8 EQ7 To what extent have programmes lent themselves to scaling-up?

#### 1.1.8.1 JC 71 Appropriateness of programme design for scaling up

The project has a high potential for scaling up due to the nature of its activities which are the promotion of new agricultural practices and income generating activities to a selected number of beneficiaries and training and awareness raising events to the community. However, no information on e.g. which activities will be transferred to the new project areas.

##### Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The project provides training and starter kits (e.g. seeds.) or costly infrastructure which should enable the beneficiaries to start a business activity which can be sustainable after a while. Furthermore, only a small number of pilot beneficiaries are chosen (e.g. women poultry activity or of Family Drip System). The project has therefore a high potential to be scaled up within the non-beneficiaries in the target area.

#### 1.1.8.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Innovative techniques such as honey production on rehabilitated closure areas, milk processing or marketing cooperation have been scaled-out to the neighbouring villages (which are now benefitting from the project). All rights holder have adopted the new activities, but no data are available on adoption of techniques by other members of the village. According to the implementing partner there is a consensus of all stakeholders (incl. institutional stakeholders) in the project area to reduce poverty and to each play their role.

##### Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	According to interviews, there are innovative approaches that have been scaled up within and the neighbouring villages like that of <b>honey producer cooperatives on rehabilitated closure areas, milk processing and marketing cooperatives.</b>
I-722 Evidence of an effective learning process with a high adoption rate	Interviews revealed that <i>“all right holders have adopted the activities, but figures on the adoption rate by other farmers in the village or neighbouring’s (knowledge transfer), not available as the project has already been phased out and it is <b>the responsibility of the sector offices</b> to monitor the change.”</i>
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government,	According to the implementing partner: <i>“The main objective of the national and local government is fast economic development and to eradicate poverty. Similarly, village based institutions have significant role in eradicating poverty through community mobilization and creating favourable environment for community participation in overall rural development program. Private sectors have also a role to contribute their best level in the process to eradicate poverty through input supply (in quality and</i>

donor, private sector) to scale up activities/results of intervention	<i>quantity and fair price). Donors have also a role to play based on the national and local government policies and strategies to eradicate poverty. Hence, as the local government main objective is to eradicate poverty, the political will is also strong towards that."</i>
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## 1.2 Ethio-Norwegian UNCCD Program (ETH-06/039)

Project title	Ethio-Norwegian UNCCD Program (2007-2011)
Agreement partner (name)	Utviklingsfondet
Type of agreement partner	NGO Norwegian
Agreement nr.(s)	ETH-06/039
Country / region	Ethiopia
Implementing partner	Utviklingsfondet and 14 partners Contact person & contact detail: Country Representative, Mr. Jon Erik Nygaard tel. +251 911 51 66 19 e-mail <a href="mailto:JonErik@utviklingsfondet.no">JonErik@utviklingsfondet.no</a>
Programme officer:	Nune Hailemariam, Sisay
Extending agency	The Royal Norwegian Embassy in Addis Ababa Contact person & detail: Johan Helland <a href="mailto:Johan.Helland@mfa.no">Johan.Helland@mfa.no</a>
DAC Sector	Main sector: 410 - General environmental protection Sub sector: 10 - Environmental policy and administrative management
Intervention start & end dates	2007-2011
Budget	
Approved amount	59.516.640 NOK
Agreed amount	59.516.640 NOK
Disbursed amount	59.423.102 NOK (source: inventory data base, until end 2011)
Main stakeholders	14 partner organizations Woreda and kebele authorities in the Afar and Somali regional states
Number of beneficiaries targeted	From the implemented projects <b>47.000</b> people have benefitted from improved water supply, <b>100.000</b> people have benefitted from improved animal health services, <b>48</b> traditional birth attendants trained, <b>1.000</b> people received training on HTP and/or HIV/AIDS, <b>5.000</b> people have benefitted from irrigation schemes to narrow down food gaps.
Intervention description	Five characteristics of UNCCD have guided the chef de file role as well as the design of the Ethio-Norwegian Programme: (I) Integration of strategies for poverty eradication and food security, including the establishment of alternative livelihood projects and the development of markets for farm and livestock product (ii) Inclusion of water resources and hydrological processes in the definition of the land system (iii) Active participation of populations and local communities with the support of NGOs (iv) decentralisation, devolving responsibility for management and decision-making to local authorities (v) focus on capacity-building, education and public awareness, including strengthening of national institutions and legal frameworks, and development of appropriate educational programs (school curricula, literacy programs, non-formal, adult, distance and practical educational programs).
Programme background & history	In parallel to the growth of the DF portfolio in Ethiopia, the Government of Norway agreed to act as chef de file for the implementation of the United Nations Convention to Combat Desertification (UNCCD) in Ethiopia. The role as chef de file primarily involved policy lobbying of the UNCCD agenda, but the Royal Norwegian Embassy (RNE) was also committed to provide direct financial support to NGOs and other partners such as the Environmental Protection Authority (EPA) which constitutes the UNCCD focal point in Ethiopia. Against this background, RNE entered an agreement with DF on November 22, 2007 for support to the Ethio-Norwegian UNCCD programme with an envisaged duration 2007–2011. Despite earlier plans to incorporate a bilateral component including support to EPA and extensive cooperation with UNDP, the Ethio-Norwegian UNCCD programme emerged as a stand-alone civil society programme following the termination of the Chef de file assignment in October 2009.

**Project objectives and activities & expected results**

Overall objectives	To promote sustainable land management and improve pastoral livelihoods in Afar and Somali Regions (final log frame, Feb. 2010) .
Specific objectives	<ol style="list-style-type: none"> <li>1. Strengthen and diversify pastoral livelihoods in the target woredas</li> <li>2. Improve natural resource management in the target woredas</li> <li>3. Enhance the competence and capacity of civil society and community based organisations</li> <li>4. Enhance the capacity of Regional, Woreda and Kebele level government structures (final log frame, Feb. 2010)</li> </ol>
Expected results	<ol style="list-style-type: none"> <li>1.1. Access to clean water</li> <li>1.2. Animal health services are improved</li> <li>1.3. Improved human health services for pastoralist and agro-pastoralist mainly on reducing risk from birth related death, HIV/AIDS and HTP</li> <li>1.4. The livelihood of program beneficiaries diversified through establishment of small-scale irrigation and income-general schemes</li> <li>2.1. Area enclosed for proper utilization of grazing land</li> <li>2.2. Improved availability of information and narrowing knowledge gap on pastoral land tenure and use issues among development actors (policy makers, development practitioners and pastoral communities)</li> <li>2.3. Access and management of natural resources is improved by Integrated Watershed Approach</li> <li>2.4. Strategies and techniques for prosopis control are in place and adopted in other affected woredas of Afar region</li> <li>2.5. Prosopis invasion is reduced and invaded areas are cleared and/or utilized through community management</li> <li>3.1. New cooperatives and associations are established and their management capacity is strengthened</li> <li>3.2. Community based pastoral development institutions are strengthened and functional</li> <li>3.3. Operational CDF is established at woreda level to finance community based and community supported projects</li> <li>3.4. The capacity of NGOs/CSOs is enhanced to promote climate change adaptability among pastoralist community</li> <li>3.5. Knowledge and understanding of targeted members of the local community specially women and marginalized groups in productive decision making is increased and women's asset holding capacity increased</li> <li>4.1. Capacity of Woreda government offices and kebeles strengthened</li> <li>Improved understanding and demonstrated support to participatory and inclusive development planning process (Document, disseminate and influence policy and practice)</li> <li>4.2. Improved understanding and demonstrated support to participatory and inclusive development planning process (Document, disseminate and influence policy and practice)</li> <li>4.3. Mechanism for joint planning, management and review of woreda development plans developed and implemented</li> <li>4.4. The stakeholders capacity is enhanced through various interventions</li> <li>4.5. Awareness created on the hazardous pesticides and toxic wastes use and pesticide management system and Regional regulations and guidelines on pests and pesticide management developed (final log frame Feb. 2010)</li> </ol>
Main activities specify agri. Activities for envir. Interventions)	<p>Under objective 1 (activities focus on the following thematic areas):</p> <ul style="list-style-type: none"> <li>• Drinking water supply</li> <li>• Animal health services</li> <li>• Human health services</li> <li>• Irrigation-based development</li> </ul> <p>Under objective 2:</p> <ul style="list-style-type: none"> <li>• Grazing land rehabilitation</li> <li>• Pastoral land tenure</li> <li>• Natural resources management/soil and water conservation</li> <li>• Strategies and techniques of prosopis control are in place and adopted</li> <li>• Prosopis invasion reduced and invaded areas cleared or utilized</li> </ul> <p>Under objective 3:</p> <ul style="list-style-type: none"> <li>• Support to cooperatives and associations</li> <li>• Support to pastoralists' CBOs</li> <li>• Operational Community Development Fund established at woreda level</li> </ul>

	<ul style="list-style-type: none"> <li>• Support to NGOs/CSOs</li> <li>• Knowledge and understanding of women and marginalised groups in productive decisionmaking increased and women's asset holding capacity increased</li> </ul> <p>Under Objective 4:</p> <ul style="list-style-type: none"> <li>• Capacity building of local Government institutions</li> <li>• Participatory and inclusive development planning processes</li> <li>• Mechanism for joint planning, management and review of woreda development plans</li> <li>• Education/Increased stakeholder capacity</li> <li>• Awareness/regulation development on hazardous pesticides and toxic waste</li> </ul>
<p>Process on track? Main difficulties/challenges</p>	<p>Main findings from the Final Evaluation:</p> <ul style="list-style-type: none"> <li>• Impressive volume of activity</li> <li>• Staff staying in the remotest areas is considered as an added value</li> <li>• Institutional strengthening of partner organisations should be an added core objective in a continued programme.</li> <li>• There is need for quality improvements in implementation. Important areas to be strengthened include gender analysis, economic analysis, follow up of engineering works, soil and water management in irrigation infrastructure, support to community organisations, agronomy including pest and disease management and EIA.</li> <li>• There is also a certain mismatch between the LFA on the one hand and the Annual Reports 2009 and 2010 on the other.</li> </ul> <p><u>Activities that may be phased out/not embarked upon</u></p> <ul style="list-style-type: none"> <li>• Integrated rural development implemented by small organisations</li> <li>• General education</li> <li>• Massive attempts to clear Prosopis</li> <li>• General work on physical structures for soil and water conservation</li> </ul> <p><u>Activities that may be scaled up</u></p> <ul style="list-style-type: none"> <li>• Water supply</li> <li>• Animal health</li> <li>• Environmental education in a broad meaning</li> <li>• Marketing</li> <li>• The Community Development Fund (CDF) approach</li> <li>• Method development on Prosopis</li> <li>• HTPs in relation to HIV/AIDS Pastoral land administration, land use and tenure systems</li> </ul> <p>(source: UNCCD Final Report)</p>
<p>List of available documentation for the intervention</p>	<ul style="list-style-type: none"> <li>• See bibliography</li> </ul>

## Cluster 1: Contribution to Food Security

### 1.2.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 1.2.2 JC 11 Alignment with partner country food security policies/strategies if available

The UNCCD programme was aligned with the Millennium Development Goals (MDGs), as expressed in the new Poverty Reduction Strategy Paper (PRSP), entitled “Plan for Accelerated and Sustained Development to End Poverty” (PASDEP) covering 2006-2010. The PASDEP brings new directions, including a major focus on commercialisation of agriculture and the private sector, and linkages between them. The overall goal of reducing poverty can only be achieved through sustainable land management, including improved agricultural practices, rehabilitation of natural resources (including reforestation), and destocking of livestock by linking pastoralists to agricultural markets.

#### Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	The UNCCD programme was aligned with the Millennium Development Goals (MDGs), as expressed in the new Poverty Reduction Strategy Paper (PRSP), entitled “Plan for Accelerated and Sustained Development to End Poverty” (PASDEP) covering 2006-2010. The PASDEP carries forward important strategic directions from the first generation PRSP, the SDPRP (“Sustainable Development and Poverty Reduction Program”) related to human development, rural development, food security, and capacity building. The PASDEP also brings new directions, including a major focus on commercialisation of agriculture and the private sector, and linkages between them. The overall goal of reducing poverty can only be achieved through sustainable land management, including improved agricultural practices, rehabilitation of natural resources (including reforestation), and destocking of livestock by linking pastoralists to agricultural markets (source: project proposal).
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Not relevant.

#### 1.2.3 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The designation of the RNE as *chef de file* was intended to mobilise the donor community to support the implementation of the National Action Program (NAP) in Ethiopia. The role of the UNCCD was also to provide direct financial support to NGOs and other agencies promoting sustainable land management in Ethiopia. According to the Final Evaluation, there is room for further development of collaboration (synergy) between partners.

**Evidence on indicator level**

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	The designation of the RNE as <i>chef de file</i> was intended to mobilise the donor community to support the implementation of the National Action Program (NAP) in Ethiopia. The purpose of the UNCCD was thus also to coordinate in terms of political lobbying in favour of the UNCCD agenda, and mobilize technical and financial support to the implementation of the NAP. In addition, the role of the UNCCD was to provide direct financial support to NGOs and other agencies promoting sustainable land management in Ethiopia (source: programme proposal).
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The Programme Proposal provides an analysis of the problem of desertification in Ethiopia, and the financial losses due to a combination of soil and nutrient losses. Following its ratification of UNCCD in 1997, the Government of Ethiopia appointed EPA as the institutional focal point for UNCCD in Ethiopia. In 2000, EPA prepared and submitted a National Action Program (NAP) to Combat Desertification. NAP reviews the state of natural resources (volume I), evaluates the measures taken to combat desertification (volume II), and presents a gap analysis with proposed approaches and programs (volume III). Due to limited attention and funding from donors, NAP remains in a premature stage of implementation. As mentioned in I-121 the role of the RNE was to mobilize donor support to the implementation of NAP (source: programme proposal).
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	Projects of 14 projects are financed under UNCCD. The Annual Reports do not provide much information on coordination of the partners and synergy developed. Partners are engaging in similar activities, but in different areas. According to the Final Evaluation, there is room for further development of collaboration (synergy) between partners (source; Final Evaluation). The partners meet twice annually; in between this, DF follows up on implementation, etc. (interview with Country Representative).

**1.2.4 JC 13: Relevance of project intervention according to final beneficiaries**

No interviews with beneficiaries were conducted. However, overall the programme is regarded highly relevant as the problem of land degradation is seriously affecting the livelihoods of both farmers and pastoralists in Ethiopia.

**Evidence on indicator level**

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	No interviews with beneficiaries were conducted (Light Analysis). The Final Evaluation assessed the programme to be highly relevant; however, there was no reference to interviews with beneficiaries (source: Final Evaluation). Overall, the programme is regarded highly relevant as the problem of land degradation is seriously affecting the livelihoods of both farmers and pastoralists in Ethiopia.



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**1.3 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?**

**1.3.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)**

The Programme Proposal includes an analysis of desertification and land degradation in Ethiopia, and the activities to combat desertification and mitigate the effects of drought. Ethiopia is regarded as one of the worst affected countries in terms of land degradation and this seriously affect the productivity of the land, affecting both farmers and pastoralists. The first element of the UNCCD approach addresses this problem: “Integration of strategies for poverty eradication and food security, including the establishment of alternative livelihood projects and the development of markets for farm and livestock product”. Some of the outputs related to the first specific objective of the programme log frame (Objective 1; strengthen and diversity pastoral livelihoods in the target woredas) by design had the potential to lead to increased production

**Evidence on indicator level**

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	The Programme Proposal includes an analysis of desertification and land degradation in Ethiopia, and the activities to combat desertification and mitigate the effects of drought: 1) prevention and/or reduction of land degradation; 2) rehabilitation of partly degraded land; 3) reclamation of desertified land. Ethiopia is regarded as one of the worst affected countries in terms of land degradation and this seriously affect the productivity of the land, affecting both farmers and pastoralists. The first element of the UNCCD approach addresses this problem: “Integration of strategies for poverty eradication and food security, including the establishment of alternative livelihood projects and the development of markets for farm and livestock product”.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	Some of the outputs related to the first specific objective of the programme log frame (final version Feb. 2010) by design had the potential to lead to increased production (Objective 1; strengthen and diversity pastoral livelihoods in the target woredas). In particular the activities under the output: “The livelihoods of program beneficiaries diversified through establishment of small-scale scale irrigation and income-generation schemes” could contribute to increased production.

**1.3.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility**

The Programme Proposal does not include an analysis of food accessibility. The UNCCD, in particular the activities under the output: “The livelihoods of program beneficiaries diversified through establishment of small-scale irrigation and income-generation schemes” could potentially contribute to increased food accessibility.

**Evidence on indicator level**

Indicator	Evidence
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<p>I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)</p>	<p>The Programme Proposal does not include a reference to or analysis of food accessibility.</p>
<p>I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas</p>	<p>The UNCCD, in particular the activities under the output: “The livelihoods of program beneficiaries diversified through establishment of small-scale irrigation and income-generation schemes” could potentially contribute to increased food accessibility.</p>
<p>I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)</p>	<p>The UNCCD, in particular the activities under the output: “The livelihoods of program beneficiaries diversified through establishment of small-scale irrigation and income-generation schemes” could potentially contribute to increased purchasing power (irrigation schemes through production of high value crops for sale).</p>

### 1.3.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

The Programme Proposal includes a reference to land degradation in Ethiopia; and mitigation of drought. The objective of UNCCD is to combat desertification and mitigate the effects of drought; it is thus likely that the programme might lead to increased food stability.

#### Evidence on indicator level

Indicator	Evidence
<p>I-231 Existence of and reference to adequate analysis of food</p>	<p>The Programme Proposal includes a reference to land degradation in Ethiopia; and mitigation of drought.</p>

shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	The objective of UNCCD is to combat desertification and mitigate the effects of drought; the activities are thus related to the prediction of drought intended to reduce the vulnerability of the society and the natural systems to drought. It is thus likely that the programme might lead to increased food stability.

#### 1.3.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

The Programme Proposal does not include any analysis or reference to food utilization. The Programme does not include any activities directly related to utilization of food; however, the irrigation schemes might contribute to improved nutritional status through production of vegetables

##### Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	The Programme Proposal does not include any analysis or reference to food utilization.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	The Programme does not include any activities directly related to utilization of food; however, the irrigation schemes might contribute to improved nutritional status through production of vegetables.

#### 1.4 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

##### 1.4.1.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

No baseline and end of programme surveys were conducted. According to the annual reports (2010 and 2011) and the final report there has been a production increase from the irrigation production of three projects (SRCDP, SSD and AIPDP); details are provided for each of the three schemes. No aggregated production figures exist. According to the Final Evaluation Report approximately 5000 persons will benefit or have benefitted from irrigation; however, there is no verification of

###### Evidence on indicator level

Indicator	Evidence
<p>I-311 Increased (achieved or expected) food production in targeted areas</p>	<p>No baseline and end of programme surveys were conducted. According to the annual reports (2010 and 2011) and the final report there has been a production increase from the irrigation production of three projects (SRCDP, SSD and AIPDP); details are provided for each of the three schemes. No aggregated production figures exist and the data are not presented in a reader-friendly way (difficult to get an overview). According to the Final Evaluation Report approximately 5000 persons will benefit or have benefitted from irrigation; however, there is no verification of this figure.</p>

##### 1.4.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

One of the partners, AIDPAC, reported that the food consumption increased and that “most” group members are able to have three meals per day. However, no quantitative data are available; neither is baseline data available.

###### Evidence on indicator level

Indicator	Evidence
<p>I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas</p>	<p>One of the partners, AIDPAC, reported that food consumption increased and that “most” group members are able to have three meals per day. However, no quantitative data are available; neither is baseline data available (Final report).</p>

### 1.4.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

The livelihood systems are likely to have become more resilient and diversified through irrigation and income-generating activities, for instance through cooperatives focusing on animal marketing. Specific details at partner level (approximately 20 partners) are available, but aggregated programme data are not available. Generally, it is very difficult to get an overview of the programme achievements; there is no uniform reporting style for the different partners and comparison and aggregation is thus difficult. Data are not available for use of coping strategies.

#### Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	According to the Final Evaluation the irrigation schemes have contributed to narrowing food gaps, however, no quantitative data are available.
I-332 Evidence of decreasing use --of coping strategies in targeted areas (no asset deterioration, etc.)	No data are available.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	The livelihood systems are likely to have become more resilient and diversified through irrigation and income-generating activities, for instance through cooperatives focusing on animal marketing. Specific details at partner level (for approximately 10 partners) are available, but aggregated programme data are not available. Generally, it is very difficult to get an overview of the achievements; there is no uniform reporting style for the different partners and comparison and aggregation is thus difficult.

### 1.4.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No data are available.

#### Evidence on indicator level

Indicator	Evidence
I-341	No data are available.

Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	
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## Cluster 2: M&E and Documentation

### 1.5 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

#### 1.5.1 JC 41 Appropriateness of programme M&E design

No log frame was in place for the UNCDD programme at its start in 2007. In 2008/2009, DF implemented a new results-based system for project management. The final version of the log frame (Feb. 2010) suffer from a number of weaknesses: the overall objective is not well-defined and there are no impact indicators; in total four sub-objectives exist, which are far too many; the outcome have no targets and are not always well-defined. The outputs (results) are well-defined, but too numerous (19 results). The output indicators are measurable, but have no targets; number of indicators is not manageable, exceeding in total 100. Some of the output indicators are gender-disaggregated, for instance with regard to income-generation. There was no M&E strategy and M&E officer; the programme made use of external consultants when needed.

#### Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	No log frame was in place for the UNCDD programme at its start in 2007. In 2008/2009, DF implemented a new results-based system for project management. Norad accepted to change the M&E system although this was in the middle of a project period. The final version of the log frame (Feb. 2010) suffer from a number of weaknesses: the overall objective is not well-defined and there are no impact indicators; in total four sub-objectives exist, which are far too many; the outcome indicators have no targets and are not always specific defined. The outputs (results) are well-defined, but again too numerous (in total 19 results). The output indicators are measurable, but have no targets. Moreover, the number of indicators is overwhelming and not manageable: in total number of indicators at outcome and output level exceeds 100. Some of the output indicators are gender-disaggregated, for instance with regard to income-generation. The final report available in the beginning of 2013 will be reporting on aggregated outcome level (interview with Country Representative).
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback	There was no M&E strategy and M&E officer; the programme made use of consultants when needed.

mechanisms foreseen, etc.	
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### 1.5.2 JC 42 Appropriateness of internal M&E strategy and implementation

Annual reports were prepared. They were however not directly comparable with the annual plans. The Annual Reports provided data on some outcome indicators, the information was however not aggregated at programme level and thus it is difficult to get an overview of the programme outcome. No M&E officer was employed; external consultants were used when needed. An M&E budget was in place.

#### Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	No M&E officer was employed; external consultants were used when needed. An M&E budget was in place.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	Annual reports were prepared. They were however not directly comparable with the annual plans. The Annual Reports provided large amounts of numeric details on activities, outputs and were reporting on some outcome indicators, but not all. For the outcome indicators, the information was however not aggregated at programme level (for the different partners) and thus it is difficult to get an overview of the programme outcome.

### 1.5.3 JC 43 Adjustment of programme design and/or implementation modality

The Project Appraisal Document and the log frame were revised after the Mid-term Evaluation. The response to the recommendations of the Mid-Term Evaluation generally was too limited.

#### Evidence on indicator level

Indicator	Evide
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	As result of the Mid-Term Evaluation conducted in September-October 2009, DF revised the Project Appraisal Document and also produced a revised log frame. One of the findings of the Final Evaluation was that the response to the recommendations of the Mid-Term Evaluation generally was too limited (source: Final Evaluation).

## 1.6 EQ5: To what extent have programme results been documented?

### 1.6.1 JC 51 Availability of documentation of results

Comprehensive annual reports and a final report were prepared. The reports reported on activities planned and implemented for each of the partners according to some of the outputs of the log frame; the log frame did not include any overall targets and thus it is not possible to compare planned with achieved outputs. The same problem prevails at outcome level. There was also a mismatch between the work plans and the annual report; the annual reports are not directly referring to the work plans. Achievements are presented for each partner and there is not uniform reporting style and no aggregated data which makes it almost impossible to get an overview. A Mid-term Review and a Final Evaluation were conducted. There was no evidence of other types of documentation of results.

#### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Comprehensive annual reports were prepared. The reports reported on activities planned and implemented for each of the partners according to some of the outputs of the log frame (the partners each related to different outputs as also indicated in the log frame). Achievements are presented for each partner and there is not uniform reporting style and no aggregated data which makes it almost impossible to get an overview. As mentioned earlier the log frame did not include any targets and thus it is not possible to compare planned with achieved outputs. At outcome level, reporting is in place for some indicators, but again the problem is that there are no targets and thus it is not possible to compare planned and actual achievements. Moreover, the reports are not systematically reporting on the outcome indicators (some indicators are included; others are not, while new indicators are also added). There was also (as also noted in the Mid-Term Review) a mismatch between the work plans and the annual report, the annual reports not directly referring to the work plans. As mentioned earlier the log frame includes more than 100 indicators; reporting is only done for some of the indicators.
I-512 Existence and quality of evaluation reports	A Mid-term Review of the UNCCD was conducted in 2009 by a Norad representative and a national consultant. A Final Evaluation of the UNCCD was conducted in 2011 (final report dated 17 <sup>th</sup> October 2011) by a Swedish consultancy firm; the team consisted of a Swedish consultant and two national consultants. The evaluation reports generally provided limited analysis of the DAC evaluation criteria, this is in particular the case for the final report.
I-513 Existence and quality of other types of documentation of results	There was no evidence of other types of documentation of results.

### 1.6.2 JC 52: Extent to which intervention results have been disseminated

There was no dissemination strategy. One of the partners (PFE) published a book, which was distributed to more than 90 individual and institutions users of pastoralism and land use. Moreover, PFE made use of radio broadcast (twice) and briefing sessions; there was no evidence of dissemination by the other partners.

#### Evidence on indicator level



Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	There was no dissemination strategy.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	As mentioned in I-523, there is only evidence of one partner (PFE) disseminating results; in this case the dissemination tools and channels are appropriate. The outputs were however not available (Light Analysis) and could thus not be assessed.
I-523 Evidence of articles published, presentations in workshops, conferences	One of the partners (PFE) published a book, which was distributed to more than 90 individual and institutions users of pastoralism and land use. Moreover, PFE made use of radio broadcast (twice) and briefing sessions; there was no evidence of dissemination by the other partners (Appendix, Final Evaluation).
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	No data available (Light Analysis).

### Cluster 3: Sustainability and Scaling up

#### 1.7 EQ6 To what extent have programmes been sustainable?

##### 1.7.1 JC 61 Financial sustainability/economic sustainability

The Mid-term and Final evaluation provide very limited analysis regarding the financial/economic sustainability. Due to weak capacity, it is not likely that the governmental structures will be able to support the results, in particular the infrastructure projects (irrigation and water structures), and effective community engagement is thus needed. Increasing fuel prices might affect the pump irrigation. According to the Mid-term report, the field visit revealed some challenges with regard to the appropriateness of applied technologies, for instance some water harvesting installations are likely to cause serious maintenance problems. Policy changes are likely to influence the programmes, for instance if the activities of NGOs are further restricted (cf. 621).

##### Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/	Due to the huge amount of activities (14 partners in total) and the fact that there was no field visits (Light Analysis), it is not possible to assess this question in detail. The Final Evaluation report does not provide detailed information, but notes that it is not likely that the governmental structures will have sufficient capacity to support the results, in particular the infrastructure

institutions are available for supporting the programme activities after phase out	projects (irrigation and water structures), and effective community engagement is thus needed (Final Evaluation report).
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Due to the huge amount of activities (14 partners in total) and the fact that there was no field visits (Light Analysis), it was not possible to assess this question. No information is available in the Mid-term and Final Evaluation reports.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Mid-term and Final evaluation did not provide any information on this issue. Increasing fuel prices might affect the pump irrigation.
pel-614 Beneficiaries/authorities are capable of affording replacement and maintenance	According to the Mid-term report, the field visit revealed some challenges with regard to the appropriateness of applied technologies, for instance some water harvesting installations are likely to cause serious maintenance problems due to the chosen design. Moreover, pumps for irrigation need constant maintenance (Mid-term Review). The Final Evaluation did not address the issue of affordability.
I-615 Policy changes are not likely to affect programme activities	Policy changes are likely to influence the programmes, for instance if the activities of NGOs are further restricted (cf. 621).

### 1.7.2 JC 62 Institutional and technical sustainability

The programme is implemented in very remote and challenging areas with low levels of development, including infrastructure and very weak governmental structures. Finding capable partners also constituted a major challenge. It is therefore expected that further support is needed after the phase out; some follow-up will take place through the new programme (2012-2016) implemented in the neighbouring woredas/kebeles. According to the Charities and Societies Proclamation Law" (CSO Law) maximum 30% of the budget can be used for administration (including also human resources); this is constraining institutional capacity development. Some capacity has been developed, for instance with regard to management of irrigation projects through the establishment of water committees; follow up is however pivotal.

#### Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required	The programme is implemented in remote and challenging areas (the Somali and Afar regions) with very low levels of development, including infrastructure and very weak governmental structures. Finding capable partners also constituted a major challenge. It is therefore expected that further support is needed after the phase out. As mentioned in I-641 a new programme

capacity (managerial and technical) to continue activities succeeding phase out	(2012-2016) is implemented in the neighbouring woredas/kebeles and thus it will be possible to follow up on the UNCCD programme.  In 2009, the Ethiopian Government endorsed “The Charities and Societies Proclamation Law” (CSO Law) which restricts considerably the activities of NGOs; the main restriction is that NGOs are now allowed to work with human rights. Moreover, according to the law, minimum 70% of the budget should be earmarked for operational purposes; maximum 30% can be used for administration. Since administration is interpreted broadly (also including human resources); this is constraining capacity development of at institutional level, requiring training, etc. (Interview with Country Representative).
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Some capacity has been developed, for instance with regard to management of irrigation projects through the establishment of water committees (interview with Country Representative). However, since the programme is introducing new activities, for instance the irrigation schemes (for agro-pastoralists), it is not likely that sufficient capacity has been developed – follow up is therefore pivotal.

### 1.7.3 JC 63 Environmental sustainability

The purpose of the UNCCD is to combat the desertification of land and thus the programme activities are likely to have a positive impact on the environment. The programme focuses on introducing good environmental practices for management of natural resources such as area enclosure for pastoral land, soil and water conservation.

#### Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	The purpose of the UNCCD is to combat the desertification of land and thus the programme activities are likely to have a positive impact on the environment.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	The programme focuses on introducing good environmental practices for management of natural resources such as area enclosure for pastoral land, soil and water conservation (stone bunds, terraces, check dams and cut-off drains).

#### 1.7.4 JC 64 Quality of exit strategy

No exit strategy was in place for the UNCCD Programme. The UNCCD programme is followed by a new programme implemented in 2012-2016 with a reduced number of partners (7). The programme is implemented in neighbouring areas and is following up on the activities of the UNCCD activities.

##### Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	The Mid-Term Evaluation recommended the preparation of an out-phasing (exit) strategy. There was no evidence that this strategy had been developed. However, it should be mentioned that the UNCCD programme is followed by a new programme implemented in 2012-2016 with a reduced number of partners (7). The programme is implemented in neighbouring areas, either the same woredas (but in different kebeles), or in different woredas. The new programme is following up on the activities of the UNCCD activities (interview with Country Representative).

#### 1.8 EQ7 To what extent have programmes lent themselves to scaling-up?

##### 1.8.1 JC 71 Appropriateness of programme design for scaling up

No detailed data and information are available as no field visits were conducted; no information is available in the project documentation.

##### Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	No detailed data and information are available as no field visits were conducted (Light Analysis) and no information is available in the project documentation.

##### 1.8.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

The current DF programme (2012-2016) is building on the lessons learnt of the UNCCD programme. A considerable number of people have been trained by the 14 partners, for instance in natural resource management. No aggregated figure for the number of persons trained is available. Ethiopia requested the government of Norway to act as chef de file of the implementation of the UNCCD in Ethiopia; the UNCCD is currently being scaled out in neighbouring areas. Thus, there is evidence of an overall political agreement among stakeholders.

##### Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	No detailed data available; however, the current DF programme implemented 2012-2016 is building on the lessons learnt of the UNCCD programme.
I-722 Evidence of an effective learning process with a high adoption rate	No data is available on the learning process. However, a considerable number of people have been trained by the 14 partners, for instance in natural resource management. No aggregated figure for the number of persons trained is available.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	Ethiopia requested the government of Norway to act as chef de file of the implementation of the UNCCD in Ethiopia and thus there is national political support to the programme. Currently (2012-2016), the UNCCD is being scaled out in neighbouring areas. Thus, there is evidence of an overall political agreement among stakeholders.

## 2 Nicaragua

### 2.1 Lake Managua Sub-Basin III - Environmental Management, (NIC-08/001)

#### General Data

Intervention title	Lake Managua Sub-Basin III - Environmental Management
Agreement partner (name)	ALMA - Alcaldía de Managua - Borgermesterkontoret i Managua
Type of agreement partner	Public sector in developing countries
Agreement nr.(s)	<b>NIC-08/001</b> (the inventory data base also indicates the Agreement No. NIC-05/033 for 2008 regarding the above mentioned title. The agreement period was 2007-2010, the approved amount 1.100.000 NOK. Due to the explanations under programme history, it can be assumed, that this amount was spent for the inception phase of the later project, to be checked via document analysis)
Country / region	Nicaragua, in particular five municipalities : Managua, Nindiri, La Concepcion, El Crucero y Ticuantepe. (source: appropriation document)
Implementing Institution:	ALMA - Alcaldía de Managua - Borgermesterkontoret i Managua (source: agreement summary) <b>Contact person &amp; contact detail:</b> Ricardo Trejos Ubau Coordinador Unidad Ejecutora de Programas Tel: (505) 22650738 Cell: (505) 87399262 Centro Civico Zumen. Modulo H Puerta 608. E-mail: dp_rtrejos@managua.gob.ni 505 88614307 or skype ricardotrejos (this phone no was indicated by himself in his email)
Programme officer:	Chex, Carlos
Extending agency	The Norwegian Embassy in Managua/ Nicaragua (now Guatemala) Carlos Chex (programme officer) <a href="mailto:carlos.chex@gmail.com">carlos.chex@gmail.com</a> contacted for documents
DAC Sector	Main sector: 410 - General environmental protection Sub sector: 50 - Flood prevention/control
Intervention start & end dates	2008-2012 (source: agreement summary)
Budget	<ul style="list-style-type: none"> <li>• Approved amount 38.000.000 NOK (source: Agreement Summary)</li> <li>• Agreed amount 38.000.000 NOK (source: Agreement Summary)</li> <li>• Disbursed amount 22.564.702 NOK (source: inventory data base, including NIC 08/001 as well as NIC 05-05033)</li> </ul>
Main stakeholders	ALMA (Alcaldía de Managua) AMUSCLAM (Asociación de Municipios de la Sub cuenca III de la Cuenca Sur del Lago de Managua) UGAM (Unidad de Gestión Ambiental Municipal)
Number beneficiaries targeted	The number of beneficiaries targeted could not be identified from the project documentation. The only information relates to overall goal of the project mentioning "(...) strengthening the environmental local management and territorial planning capacities of the <b>5 municipalities</b> located in the Sub Basin III" (source: Contract)
Intervention description	The project consist of three components: <ol style="list-style-type: none"> <li>1. Building of local government capacity for environmental management,</li> <li>2. Reduction and control of soil erosion, and</li> <li>3. Environmental land planning and spatial planning.</li> </ol> <p><b>The first component</b>, capacity building, is focused on the development of local environmental management and land planning capacity of the UGAMs and to strengthen the role of AMUSCLAM and enhance a technical unit in charge of coordinating the project activities. This unit could also manage the other components of the wider-management Program. Water conservation could help avoid or lessen the impact of current and future</p>

	<p>conflicts over water supply due to low dry season stream flows, growth, competing demands, and potential climate change and variability. Best productive practices and reforestation will also reduce the levels of sediments resulted from landslides or floods and other forms of erosion.</p> <p>Therefore, <b>the second component</b>, will promote methodologies and best productive practices in the communities, in order to control and mitigate the erosion and to increase the quality of the aquifers in the Sub-basin III. The project counts on self- responsibility and motivation of the local farmers and residents, to be part of integrated management.</p> <p><b>The third component</b>, will contribute to incorporate the environmental sustainability in the land management, and to develop environmental policies for the territories. The engagement of the civil society, production and education sectors, local technical personnel and state institutions, will enable environmental friendly solutions to land management issues.</p> <p><i>(source: appropriation document)</i></p>
<b>Programme background &amp; history</b>	<p>As a result of comprehensive technical studies financed by Norway in 2000-2, a complete watershed planning and protection Program was designed. In 2006, this Program of USD 21.0 mio. was presented to various funders (IADB, Nordic countries, Spain, Italy and others). Norway indicated its interest to support the environmental component; Italy was interested in the waste disposal and IADB in the large rainwater drainage infrastructure. To ensure ownership and sustainability of the project, these local governments have legally formed the intermunicipal body AMUSCLAM.</p> <p>On July 2007, while applying for an IADB loan of USD 10 mio. to build the drainage component, ALMA presented to Norway a Project Proposal for a 4 year period to strengthen the local environmental management capacity, spatial planning and cadastre.</p> <p>In November 2007 ALMA, the leader municipality of AMUSCLAM, requested to Norway funds for an inception phase, in order to prepare the revised PD and to set up the operative structure and conditions for the project's implementation. In January 2008, Norway subscribed a contract to provide AMUSCLAM a total funding of USD198,000 (aprox. NOK 1,1 mio) for a 6 month period, and a letter of intent to finance the following phase.</p> <p><i>(source: appropriation document)</i></p>

### Project objectives and activities & expected results

<b>Overall objectives</b>	<p>"The overall Goal of the project is to contribute to the sustainable management of the Sub-Basin III of Lake Managua strengthening the environmental local management and territorial planning capacities of the 5 municipalities located in the Sub Basin III" (source: Contract)</p>
<b>Specific objectives/</b>	<ol style="list-style-type: none"> <li>1. Capacity building: To contribute to the AMUSCLAM's institutionalization and sensitization efforts to improve the environmental management and land management in the Sub-Basin III,</li> <li>2. Reduction and Control of soil erosion: To promote methodologies and best practices of integrated watershed management in order to reduce, control and mitigate the erosion of the Sub Basin III</li> <li>3. Environmental land planning and territorial planning: To contribute to the land management and environmental development of the Sub-Bassin III, assiting the municipal planning process and making reference to the Land Use Plan of Managua</li> </ol> <p><i>(source: Contract)</i></p>
<b>Expected results/</b>	<ol style="list-style-type: none"> <li>1. Capacity building: <ul style="list-style-type: none"> <li>• AMUSCLAM, strengthened and recognized by the local, national and international community as an efficient and active organization;</li> <li>• the project technical unit strengthened and equipped, to assist and supervise the project's implementation; and</li> <li>• the UGAMS of the five Municipalities, with the necessary knowledge, managerial tools and equipment, achieving a more active and effective participation on the sustainable development of the region.</li> </ul> </li> <li>2. Reduction and control of soil erosion: <ul style="list-style-type: none"> <li>• Soil and Water conservation techniques, implemented, maintained and replicated by the producers and residents of the Sub-Bassin III</li> <li>• Alternative productive and agro-forestry practices, efficiently accepted and implemented by local producers</li> <li>• All actors in the Sub-Bassin III area are informed, sensitized, instructed and engaged in the rescue conservation and sustainable development, to be part of</li> </ul> </li> </ol>

	<p>the integrated watershed management</p> <p>3. Environmental land planning and territorial planning</p> <ul style="list-style-type: none"> <li>• Five environmental municipal plans prepared and implemented</li> <li>• Five land use plans and five municipal development plans prepared and implemented</li> <li>• (source: contract)</li> </ul>
<b>Main activities specify agri. Activities for envir. Interventions)</b>	<p>This environmental intervention also includes <b>activities related to agricultural aspects</b>, in particular under Component 2 Reduction and Control of Erosion. Under this component some activities are carried out which directly relate to agricultural production systems:</p> <ul style="list-style-type: none"> <li>• Installation of infiltration basins, living barriers etc.;</li> <li>• Facilitation of Eco-Forestry;</li> <li>• Establishment of Energy Plantations.</li> </ul>
<b>Process on track? Main difficulties/ challenges</b>	<p>The project is on track and the planned activities are being implemented according to the planned schedule and extent, some of them to an even bigger extent than planned and at a lower price than initially calculated. However, project documentation showed an overall low level of disbursed funds compared to the timeline of the project, raising the concern that the expected implementation levels might not be achievable in the designated time period. This concern was already on the agenda of the annual reunion in September 2011.</p> <p>A challenge to be mentioned is the cultural settings in which the project operates. This led e.g. to the <b>situation that an initially programmed activity was rejected by the population</b> and had to be adjusted according to the demand of the population.</p> <p>Another challenge is the different levels of implementation of activities in the different municipalities, mainly due to delays in acquisition of items and weather/seasonal conditions.</p>
<b>List of available documentation for the intervention</b>	See bibliography



## Cluster 1: Contribution to Food Security

### 2.1.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 2.1.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The project is in line with national sectoral policies and strategies; there is a weak relationship between the food security policy and the project activities; the projects builds on previous Norwegian supported interventions in the project's area.

#### Evidence on indicator level

Indicator	Evidence
<p>I-111</p> <p>Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies</p>	<p>Project documentation indicates that the project is aligned with national priorities and is consistent with relevant policies and programmes. This is e.g. indicated in the Mid-Term Review: <i>“El Proyecto está concatenado con las prioridades nacionales y es consistente con las políticas y programas para enfrentar los temas de prevención y mitigación de los desastres naturales, la disminución de la degradación de los recursos naturales y la conservación de suelos y agua. El Proyecto es pertinente no sólo cuando se compara con las estrategias existentes, en el momento del diseño, sino también en su intervención, cuando se compara con las políticas y estrategias actuales.”</i> (Mid-Term Review, p. 5)</p> <p>Such documents include e.g.:</p> <ul style="list-style-type: none"> <li>• Plan Nacional de Desarrollo Humano Sostenible;</li> <li>• Política Nacional Ambiental;</li> <li>• Política General de Ordenamiento Territorial;</li> <li>• Política Nacional de los Recursos Hídricos;</li> <li>• Estrategia Nacional de Educación Ambiental;</li> <li>• Estrategia para el Desarrollo Agropecuario y Forestal.</li> </ul> <p>The latter relates to the reconversion of traditional production systems to production systems that are compatible with the sustainability of natural resources and environmental improvements. <i>“El Proyecto diseño e implementa las obras de conservación de suelos y aguas, así como también de los sistemas productivos sobre la base de esta estrategia...”</i> (Mid-Term Review, p. 6).</p> <p>The Nicaragua 2009 nutrition food security &amp; sovereignty policy recognises the link between environmental degradation and food security although it does not make the link with environmental management of basins (<i>“la vulnerabilidad en la oferta del sector agropecuario frente a eventos de variabilidad climática también están teniendo incidencia directa sobre las condiciones de seguridad alimentaria. Los procesos de degradación ambiental, la expansión incontrolada de la frontera agrícola, las técnicas de cultivo están incrementado más la posibilidad de ocurrencia de desastres y poniendo en peligro la oferta alimentaria para la población, así como su capacidad de recuperación económica y social “</i>)</p>
<p>I-112</p> <p>In the absence of</p>	<p>The project builds on eleven comprehensive technical studies financed through the Norwegian Cooperation with the Managua Municipality (ALMA) during 2000-2002. These studies revealed the risky environmental situation of the area and pointed out the</p>

relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	urgent need to improve its ecological conditions, building the basis for a Concept Paper on Environmental Management Program for the Sub-Basin III. (Appropriation Document, p. 1)
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### 2.1.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

There has been cooperation at design level between ALMA and the Norwegian Cooperation (Norad) which resulted in capturing funds from the Danish Cooperation Agency (DANIDA) and IAB.

#### Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	No information available to the Evaluation Team.
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	No information available to the Evaluation Team.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	Project documentation shows evidence of joint efforts in relation to shared analytical work in the preparation process of the project. The technical studies which were carried out between 2000 and 2002, financed through the Norwegian cooperation with ALMA, were in need of updating in view of changing social-economic and environmental conditions. Subsequently, ALMA negotiated funds from IADB and from the Danish Fiduciary Fund to make the updating. (Appropriation Document, p. 2).

### 2.1.1.3 JC 13: Relevance of project intervention according to final beneficiaries

The project idea results from recurrent local / municipal issues re. environmental degradation, accelerated erosion that negatively affect local producers and residents.

#### Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The project idea results from recurrent local / municipal issues re. environmental degradation, accelerated erosion that negatively affect local producers and residents.

### 2.1.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

#### 2.1.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The project will contribute indirectly to food security through erosion control measures and the establishment of agroforestry systems that will raise productivity and conserve the environment.

#### Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	No information available to the Evaluation Team.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	<p>Under component 2 (Reducción y Control de la Erosión) of the project, several activities were carried out that are likely to contribute to increased food production at local level in the targeted areas.</p> <ul style="list-style-type: none"> <li>Until August 2011, over 8000 <b>infiltration basins</b> were installed in the targeted area. These were perceived as very good measures by the producers, since they are regarded as highly functional, easy to install with low costs and have demonstrable impact in relation to the retention and infiltration of water in the micro basin. Additional positive impressions from the producers relate to the fact of having water even during the summer periods and to the impact of not having their fields affected by the erosion caused by the water. (Mid-term Review, p. 11)</li> </ul> <p>Based on studies carried out in the framework of the POSAF II project, the Ministry for Environment and Natural Resources (MARENA) provide estimations in relation to the retention and infiltration of water through the installed</p>

	<p>basins: “Es importante destacar que las 8,585 cubas de infiltración establecidas tienen un impacto preponderante en cuanto a la retención e infiltración de agua en la micro cuenca. Se estima que en este año retuvieron e infiltraron aproximadamente 1, 678,367.50 metros cúbicos de agua. Esta estimación se basa en los estudios del proyecto POSAF II, ejecutado por el Ministerio del Ambiente y los Recursos Naturales (MARENA), quienes validaron que la cubas con dimensiones de 1.75 m x 1.75 m x 1.75 m, retienen un promedio individual de 195.50 metros cúbicos en la época lluviosa, en las condiciones de la Cuenca Sur del Lago de Managua. De igual forma, si cada cuba de infiltración retiene un promedio de 10.13 metros cúbicos de sedimento, las 8,585 cubas de infiltración establecidas han permitido retener un total de 86,966 metros cúbicos de sedimentos.” (Mid-term Review, p. 11)</p> <ul style="list-style-type: none"> <li>• Other measures that were installed, for positive effects on retaining erosion include: barreras vivas; cortinas rompe vientos; diques prendedizos and estructuras de cabecera. (Mid-term Review, p. 12 f)</li> </ul> <p>The retaining of erosion through these measures is likely to also contribute to increased food production in the targeted areas in the long-term. The Mid-term Review reaffirms this: “Con la instauración de los sistemas productivos se está aumentando la productividad, la eficiencia, la calidad y la diversificación productiva, lo que favorece el alcance, en un futuro cercano, de mayores ingresos debido a la comercialización de los productos generados en sus parcelas con un enfoque más amigable con el medio ambiente. Esto asegura la sostenibilidad ambiental del Proyecto.” (Mid-term Review, p. 27)</p> <p>Under sub-component 2.2, the project proposal highlights that the programmed introduction of agroforestry systems has the capacity of optimizing the production of the farms through diversification: “La instauración de módulos de Sistemas Agroforestales es determinante para la reconversión productiva, dado que estos sistemas persiguen objetivos tanto ecológicos como económicos y sociales. <b>La característica principal de los Sistemas Agroforestales es su capacidad de optimizar la producción de la finca (unidad predial) a través de una producción diversificada, en la que los árboles cumplen un rol fundamental.</b>” (Documento de Proyecto, p. 45)</p>
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### 2.1.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

While there was no prior analysis, it is likely that the project will improve on a ST basis food accessibility through increased income with the establishment of sustainable productive systems.

Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No information available to the Evaluation Team.

<p>I-222</p> <p>Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas</p>	<p>No information available to the Evaluation Team.</p>
<p>I-223</p> <p>Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)</p>	<p>The project is likely to contribute to enhanced income of producers in the targeted area in the short-term (around 5 years), as estimated in the Mid-term Review of the project: <i>“Aunque es prematuro para valorar su incidencia, se espera que en el corto plazo –alrededor de unos 5 años- el Proyecto provoque impactos relevantes en la <b>mejora de la calidad de vida de los pobladores por la vía de la mejora de sus ingresos</b>, así como por el incremento de la calidad ambiental de las comunidades provocada por el establecimiento de los sistemas productivos. El Proyecto ha incidido para que los procesos productivos sean más competitivos, <b>mejorando los ingresos de los productores</b>, y que a la vez, converjan los intereses de producción con los principios de sostenibilidad ambiental en el contexto de la Sub-cuenca III.”</i> (Mid-term Review, p. 25)</p>

### 2.1.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

There is no information on food stability.

#### Evidence on indicator level

Indicator	Evidence
<p>I-231</p> <p>Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)</p>	<p>No information available to the Evaluation Team.</p>
<p>I-232</p> <p>Norwegian funded agricultural</p>	<p>No information available to the Evaluation Team.</p>

projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	
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#### 2.1.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

No information; not relevant for the project.

##### Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No information available to the Evaluation Team.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	No information available to the Evaluation Team.

#### 2.1.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

##### 2.1.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

The project is likely to increase indirectly food security through erosion control resulting in stabilisation and increase of agricultural productivity.

##### Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected)	The project is expected to have positive effects on food production in the targeted areas. The activities carried out, in particular the ones under component 2 of the programme, are likely to contribute to increased food production in the short-term (see also evidence collected for Indicator 212 above). In addition, increased productivity is an expected result/outcome formulated in the

food production in targeted areas	Appropriation Document: <i>“The producers will satisfy their firewood needs, will improve productivity, reduce the erosion and favour the water infiltration while reducing the pressure on the forest.”</i> (Appropriation Document, p. 3)
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### 2.1.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

Not measured.

#### Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No information available to the Evaluation Team.

### 2.1.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

The project should increase food stability through the erosion control measures that would enable alcaldias to become less prone to disasters (less floods, more available firewood) and the provision of environmental services to the residents (and producers). Capacity building activities should enable as well producers to improve their productive systems (generating less costs and more income).

#### Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No information available to the Evaluation Team.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	No information available to the Evaluation Team.
I-333 Livelihood systems in the	Component 2.2 of the programme envisaged the construction of 50 ramps in the target area. (Documento de Proyecto, p. 42) The Mid-Term Review confirms that 33 such ramps have been built until August 2011, indicating that they have positive effects

<p>targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)</p>	<p>on facilitating the movement of goods: <i>“Es importante señalar que las rampas se construyeron en sitios donde, por causa de las escorrentías y la sedimentación, se presentaban problemas de interrupción del paso del tránsito vehicular hacia comunidades rurales de la Sub-cuenca III, habiéndose solucionado de esta forma un problema comunitario de comunicación facilitando, además, el comercio de mercancías.”</i> (Mid-term Review, p. 13)</p> <p>The Mid-Term review highlights positive effects of the energy plantations realised under component 2.2. of the programme in relation to asset creation: <i>“El objetivo fundamental de estas plantaciones es contribuir a la conservación de los remanentes de bosques de la Sub-cuenca III, amenazados por la incesante extracción de recursos, fundamentalmente por la obtención de leña con fines de consumo doméstico. En ese sentido, los productores expresaron que con las plantaciones energéticas <b>obtienen beneficios ambientales, producción de leña para el autoconsumo y una mejora de sus condiciones socioeconómicas dado que son una alternativa para la obtención de ingresos.</b>”</i> (Mid-Term Review, p. 16)</p> <p>Overall, the Mid-term Review affirms that the project has a positive impact in the target area, also in relation to sustainability of production: <i>“La implementación del <b>Proyecto ha causado un impacto positivo</b> sobre el área de la Subcuenca III de la Cuenca Sur del Lago de Managua y sus habitantes <b>ante los problemas de erosión, calidad del agua, protección de cuencas, sustentabilidad en la producción de bienes maderables, no maderables y de servicios ambientales generando una mejora en la calidad de vida de las comunidades (generación de nuevos trabajos, mejora del medioambiente, disminución del riesgo de catástrofes de origen natural asociadas a la deforestación, etc.), beneficiando a los más de 524,656 pobladores asentados en la Sub-cuenca III.</b>”</i> (Mid-term Review, p. 24)</p> <p>The Mid-term Review further states that the economic situation at household level has improved through the project: <i>“Los productores son conscientes de la importancia de producir de manera eficiente haciendo un máximo aprovechamiento de los recursos de la finca con técnicas de producción accesibles y amigables con el ambiente. Ellos aducen que <b>con el Proyecto han mejorado sus sistemas productivos y que la ejecución de actividades les ha fortalecido directamente y mejorado la microeconomía familiar al diversificar sus cultivos e incurrir en menores costos de producción.</b>”</i> (Mid-term Review, p. 26)</p>
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#### 2.1.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

Not relevant.

##### Evidence on indicator level

Indicator	Evidence
<p>I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,</p>	<p>No information available to the Evaluation Team.</p>



## Cluster 2: M&E and Documentation

### 2.1.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

#### 2.1.4.1 Appropriateness of programme M&E design

The M&E system is weak because there was no clear baseline study; hence the inability to measure additional benefits of the project. The M&E system is based on the delivery of activities and results; there is no information at all on outcomes or impact.

#### Evidence on indicator level

Indicator	Evidence
<p>I-411</p> <p>Quality of objectives and indicators at all levels to allow for M&amp;E (including availability of gender disaggregated indicators)</p>	<p>A monitoring and evaluation system is in place, however, it has several major weaknesses:</p> <ul style="list-style-type: none"> <li>• The baseline is not defined clearly, making it very difficult to compare and measure the changes initiated through the project. This is affirmed by the Mid-term Review, which states: <i>“Una debilidad del Proyecto, y que incide negativamente en el sistema de monitoreo y evaluación, es que no se cuenta con una clara línea de base que permita establecer comparaciones y medir los cambios sustanciales ocurridos conforme el Proyecto se va implementando. No existe evidencia de la realización de auditorías ambientales ni tampoco un análisis de los efectos de las actividades ejecutadas a nivel de finca, territorio, municipio y Sub cuenca.”</i> (Mid-term Review, p. 29)</li> <li>• The M&amp;E system features no defined objectives and indicators in relation to gender and equality. Although it is mentioned to measure the percentage of participation of men and women, and although the amplification of the project proposal document includes a short chapter on the gender focus of the project (Ampliación al Documento de Proyecto, p. 7), no methodology is determined which would actually allow measuring the project’s gender dimension. (Mid-term review, p. 30)</li> </ul> <p>Examples of indicators:</p> <ol style="list-style-type: none"> <li>a. 7,850 cubas de infiltración construidas en las áreas de cultivo de café.</li> <li>b. 1,308 hectáreas cultivadas con café participando en el Proyecto.</li> <li>c. 412,500 metros lineales de barreras vivas construidas en las áreas donde se siembra piña y pitahaya.</li> <li>d. 101,000 metros lineales de cortinas rompevientos construidas en las áreas donde se siembra piña y pitahaya.</li> </ol> <p>Overall, the Mid-term Review concludes: <i>“Si bien es cierto el sistema de monitoreo y seguimiento del Proyecto no satisface todas las necesidades para la oportuna toma de decisiones en cada uno de los Componentes, se considera que este es suficiente para cumplir de la mejor manera con el registro, control y seguimiento de las acciones del Proyecto. Sin embargo es necesaria la finalización de esta herramienta para ser utilizada en otras iniciativas que se desarrollen con la misma modalidad de AMUSCLAM.”</i> (Mid-term Review, p. 35)</p> <p>The M&amp;E system is ‘puntual’ ! (source: interview)</p>
<p>I-412</p> <p>Evidence in planning, of a</p>	<p>No information</p>

monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	
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#### 2.1.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

HR resources seem adequate with periodic reports.

##### Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	Overall, 15 staff are allocated in the project.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	Related to the monitoring system, personnel of the different departments from the Project Implementation Units conduct continuous field visits, hold meetings with personnel from the different Municipal Environmental Management Units to collect data for elaborating a monthly progress report, as well as trimestral and annual reports. (Mid-term Review, p. 28) Progress reports or annual reports are so far not available (impl. Partner were asked to provide them).

#### 2.1.4.3 JC 43 Adjustment of programme design and/or implementation modality

No project adjustments were made.

##### Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	There has been only minor changes of LOGFRAME indicators

## 2.1.5 EQ5: To what extent have programme results been documented?

### 2.1.5.1 JC 51 Availability of documentation of results

Monthly reports are being produced (not available to the evaluation team though).

#### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	A M&E system is in place and monitoring and progress reports are produced (monthly reports are being produced).
I-512 Existence and quality of evaluation reports	An M&E system is in place and a Mid-Term Evaluation was conducted with according publication of a Mid-Term Evaluation Report.
I-513 Existence and quality of other types of documentation of results	No such documents available to the Evaluation Team.

### 2.1.5.2 JC 52: Extent to which intervention results have been disseminated

The projects results are not being disseminated to the exterior stakeholders nor the final beneficiaries. Media tools are being used but there is no information on their impact.

#### Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	From the project documentation it appears that at least until one year before project end, no clear dissemination strategy is in place: <i>“Es importante destacar que el Proyecto, a la fecha, no cuenta con una estrategia de divulgación clara (...).”</i> (Mid-term Review, p. 18) There has been no overall dissemination strategy of project results to the final beneficiaries.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	At local level, there are neighbourhoods' committees which participate in the project and are aware of the results TV and radio spots were produced resulting in some discussion on the project at local level ('barrios') although this has never been investigated.

I-523 Evidence of articles published, presentations in workshops, conferences	Project documentation indicates that press conferences were held, reports and notes were released, informing about the achievements and advances of the project: <i>“La consolidación de AMUSCLAM iniciada por el Proyecto ha estimulado la comunicación y divulgación de las acciones del mismo promoviendo la realización de conferencias de prensa, boletines anuales e informes divulgativos sobre la gestión de AMUSCLAM y sobre los logros y alcances del Proyecto.”</i> (Mid-term Review, p. 8)
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	No information available to the Evaluation Team.

### Cluster 3: Sustainability and Scaling up

#### 2.1.6 EQ6 To what extent have programmes been sustainable?

##### 2.1.6.1 JC 61 Financial sustainability/economic sustainability

Environmental management units are in place with relevant capacitated HR. The alcaldias signed agreements with local producers on environmental management. Political changes at municipal level have occurred recently with project staff explaining to newcomers the concept of integrated environmental management.

##### Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/institutions are available for supporting the programme activities after phase out	There are now 6 (working) environmental management units in the 6 alcaldias (in other alcaldias, there are non-funcional): the alcaldia has a better understanding on their territories and the relationships between alcaldias resulting in common project formulation and better management of hydrology
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	The environmental thematic is now integrated in the alcaldia’s plans at territory level (cuenca); capacity building of authorities has enabled them to manage residual rain flow in an integrated manner (to avoid flash floods). Each alcaldia has allocated at least 1 technician dedicated to environmental management (through the environmental management unit): he has been capacitated and uses several tools (e.g. territory environmental plan, tools to control productive development)
I-613 Likelihood that results can be maintained if economic factors change (commodity prices,	No information available to the Evaluation Team.

exchange rates, etc.)	
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	The alcaldías and final beneficiaries (producers) have signed agreements (convênios de compromisso) re. environmental managements
I-615 Policy changes are not likely to affect programme activities	<p>Project documentation highlights administrative and political changes during the implementation period of the project: <i>“En términos generales el Proyecto ha estado inserto en cambios administrativos y políticos; a nivel nacional por un cambio de Gobierno, a nivel municipal por un cambio de alcalde (en cada una de las alcaldías) y a nivel de la UEP por un cambio de coordinador y, prácticamente todo el equipo técnico del mismo.”</i> (Mid-term Review, p. 8)</p> <p>The environmental management units are operational in each alcaldía; policy changes might affect the way the unit operates (e.g. the alcalde in 1 alcaldía out of 6 was changed and it remains to be seen how its environmental management unit will operate [+/- funds / HR]; there were extensive discussions between the project staff and the new alcalde to explain the project's concept) but is highly unlikely to threaten its existence: the unit is a legal requirement.</p>

### 2.1.6.2 JC 62 Institutional and technical sustainability

The project initiated the founding of a municipal association that was strengthened with capacity building activities in technical issues, planning, M&E and follow-up of infrastructures works.

#### Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	<p>One of the core objectives of the project is to strengthen the institutions involved in implementing the project. To ensure ownership and sustainability of the project the intermunicipal body AMUSCLAM (Asociación de Municipios de la Sub Cuenca III de la Cuenca Sur del Lago de Managua) was legally formed by the local governments of Managua, Nindirí, La Concepción, El Crucero and Ticuantepe. And in fact, number one of the three project components is “Institutional strengthening” and is divided in three subcomponents: 1.1) Strengthening of AMUSCLAM; 1.2) Strengthening of the Project Implementation Unit; 1.3) Strengthening of the Municipal environmental management units. (Documento de Proyecto, p. 1 f.)</p> <p>In particular the Subcomponents 1 and 3 include major capacity building activities on subjects such as:</p> <ul style="list-style-type: none"> <li>• Gerencia municipal y gerencia de asociaciones;</li> <li>• Conciliación de agendas y optimización del tiempo;</li> <li>• Técnicas de negociación y resolución alterna de conflictos;</li> <li>• Asistencia técnica para la sostenibilidad institucional y sistema de monitoreo para la gestión de AMUSCLAM.</li> </ul> <p>Also, the Mid-Term Review emphasises that the project has generated a positive change in relation to the managerial capacity of the different municipalities involved: <i>“Es oportuno hacer ver que el Proyecto ha generado un cambio positivo en las capacidades humanas locales en todos los niveles de las diferentes Alcaldías Municipales; a nivel de UGAM esto se manifiesta en la mejora</i></p>

	<p><i>de los niveles de planificación, tanto en los procedimientos internos (sistematización de informes, Planes Operativos, etc.), como en la gestión ambiental local (seguimiento a obras, interacción con beneficiarios, etc.).” (Mid-term Review, p. 10)</i></p> <p>It seems very likely that these efforts help the institutional structures involved in implementing the project to have the required managerial capacity to continue activities succeeding phase out. This is also affirmed by the Mid-term Review, which states that <i>“El Proyecto implementa una estrategia de sostenibilidad institucional (indicador de desempeño) sobre la base del aumento de las capacidades y fortalezas que alcancen las diferentes Alcaldías y que permitan articular el desarrollo organizacional con la gestión de los recursos necesarios para el fomento efectivo de los programas y proyectos municipales enfatizando en todo lo relacionado con el medio ambiente y el ordenamiento territorial.” (Mid-term Review, p. 26)</i></p> <p>The alcaldia association has become a platform for cuencas environmental management; in particular for harmonising working methods and environmental management between alcaldias.</p>
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	No information available to the Evaluation Team.

### 2.1.6.3 JC 63 Environmental sustainability

The project is focussing on integrated environmental management to mitigate soil erosion, restore municipal forests, implement environmental friendly plans (land use, environmental municipal plans, etc.) and support local producers in using environmental friendly practices.

#### Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	The project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources. Even more, the objective and expected results of the project includes the implementation of environmental municipal plans, restoration of deforested lands and soil conservation, preparation of land use plans, reduce erosion and the pressure on the forest. The achievement of the project hence is likely to be beneficial to environment and natural resources.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	Core objective of the project is to introduce environmental practices to the producers and beneficiaries in the targeted areas.

**2.1.6.4 JC 64 Quality of exit strategy**

There is no formal exit strategy mentioned in the documents although project staff is reinforcing the environmental management units at institutional level (make them sustainable and operational) and promoting agreements with producers to use more environmentally friendly practices.

**Evidence on indicator level**

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	Although the documents do not mention any exit strategy, the interviews showed that it is implicitly based on strengthening the environmental management units so that these can effectively operate by project's end and committing producers to environmental friendly practices through the establishment of agreements between the municipality and producers.

**2.1.7 EQ7 To what extent have programmes lent themselves to scaling-up?****2.1.7.1 JC 71 Appropriateness of programme design for scaling up**

There was no scaling-up considered.

**Evidence on indicator level**

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	There is no evidence of scaling up the intervention to other municipalities or at national level.

**2.1.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)**

2 municipalities have shown interest in the initiative. At local level, there seems to be a multiplication effect by producers that copy environmental friendly practices.

**Evidence on indicator level**

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	At local level, several alcaldias are interested in the initiative (e.g. El Crucero and La Concepción) So far, this has not resulted in any new/additional activities (funded or not through the project). This lack of interest might be an evidence for a poor communication strategy.
I-722 Evidence of an effective learning process with a high adoption rate	The Mid-term Review highlights the fact that farmers, who were not beneficiary of the programme, have adopted some practices of the ones introduced by the programme: <i>“Algo altamente positivo es que, según beneficiarios del Proyectos mencionaron que algunos productores que no son beneficiados han asumido algunas prácticas conservacionistas impulsadas por el Proyecto, indicando esto que existe una irradiación de conocimientos más allá de los límites de la Subcuenca III.”</i> (Mid-term Review, p. 25) Overall the Mid-term Review also emphasises that the governmental structures in charge have made use of their knowledge acquired through the project to implement activities with their own funds outside the target area of the project: <i>“Con base en lo anterior podemos afirmar que el impacto generado no ha recaído sólo en los productores y las instituciones de la Sub-cuenca III sino que ha tenido un alcance más allá de los límites fijados para las acciones del Proyecto. Existe evidencia de que los Alcaldes han hecho uso del conocimiento adquirido con el Proyecto para ejecutar obras –con fondos propios o de otros proyectos- fuera de la Sub-cuenca III.”</i> (Mid-term Review, p. 26)
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	At national level (through ministries), there is no evidence of scaling up although the concept is being discussed between national institutions and donor-funded programmes.



## 2.2 PRORURAL (NIC 05/028)

### General Data

Intervention title	PRORURAL
Agreement partner (name)	Nicaragua's Ministry of External Relations
Type of agreement partner	<b>Governments/Ministries in developing countries</b>
Agreement nr.(s)	<b>NIC 05/028</b>
Country / region	<b>Nicaragua</b>
Implementing institution	<b>Nicaragua Ministry of Finance</b>
Implementing partner	The Ministry of Agriculture, the Rural Development Institute (IDR), the Nicaraguan Institute for Agricultural Technologies (INTA), the National Institute of Forestry, and the Directorate for Agricultural and Animal Health. (source: appropriation document 2006) Contac person&contact detail: <i>See list of interviewees</i> Contact person for PRORUAL within the leading donor organisation CIDA: Isabelle Touchette: phone: (505) 2255-0092 - cell.: (505) 8883-1912 Tel. mitnet / Mitnet phone: 362-3100 email: isabelle.touchette@acdi-cida.gc.ca
Programme officer:	Chex, Carlos
Extending agency	The Norwegian Embassy in Managua/ Nicaragua (now Guatemala) Carlos Chex (programme officer) <a href="mailto:carlos.chex@gmail.com">carlos.chex@gmail.com</a> contacted for documents
Donor Cooperation	with Finland, Sweden and Switzerland
DAC Sector	Main sector: 311 Agriculture Sub sector: 20 Agricultural development
Intervention start & end dates	2006-2009
Budget	Approved amount 30.000.000 NOK (orig. agreement) + 10.030.778 by two additional grants Agreed amount 30.000.000 NOK (orig. agreement) + 10.030.778 by two additional grants Disbursed amount 40.030.778 NOK (source: inventory data base)
Main stakeholders	Ministerio Agropecuario y Forestal (coordinator) Institutos de Tecnología Agrícola Instituto de Desarrollo Rural Instituto Nacional Forestal
Number of beneficiaries targeted	Over <b>75.000 poor families</b> would benefit from means and agricultural services so that they increase food production, improve food nutrition and increase their agricultural capital basis. In 2007 <b>over 13,000 women</b> were beneficiaries.
Intervention description	PRORURAL is at present a dual program in the sense that it includes on-going projects financed by earmarked funds, and the so-called Common Fund, which is a non-earmarked basket fund to be fed by Finland, Sweden, Switzerland and Norway. The financial goal in the mid-term is to place all the financial resources into a common fund. So far, Finland, Sweden and Switzerland have committed US\$31.7 million for period 2006-2009. Norway will contribute with up to NOK 30.0 million and has chosen the same period for the purpose of harmonizing with the other donors. <b>(source: appropriation document)</b> There has been an additional funding of up to 11.000.000 NOK to PRORURAL under the agreement number NIC 08.013 in 2008 regarding food security. This is reason of the difference between the budget and disbursed amount (cf. above). (source: appropriation document food security)
Programme background & history	The Government of Nicaragua, through the Ministry of Agriculture and Forestry has produced a rural development plan known as PRORURAL, based in the policies and strategies incorporated in the PRSP II. The PRORURAL Plan was accompanied by an Action Plan for the international cooperation alignment and

	<p>harmonization agreed with donors.</p> <p>Several donors, including Norway, were already engaged in providing general budget support to Nicaragua and were convinced that sector support should be provided in order to focus on some strategic and specific areas and to avoid further overlapping and duplicating.</p> <p>Two of the institutions participating in PRORURAL have received support in the past from Norway: INTA (1996-2004) and IDR (1988-1996). (source: appropriation document)</p>
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### Project objectives and activities & expected results

<b>Overall objectives</b>	<p>Development Goal:</p> <p>Contribute to economic growth and poverty reduction by supporting the production of goods and services in the rural sector within a framework of increased productivity, competitiveness and environmental sustainability.</p> <p>(source: appropriation document)</p>
<b>Specific objectives</b>	<ol style="list-style-type: none"> <li>4. Sustainable development of the forestry sector through an adequate management of natural forests, plantations and agri-forestry systems.</li> <li>5. To increase the capitalization of the physical and financial assets of rural business and families by promoting clean and environmentally sustainable technologies.</li> <li>6. To accelerate the technological innovation processes (research, technical assistance, education) in support of the agricultural clusters and chains prioritized for the rural territories in the National Development Plan.</li> <li>7. To comply with the international safety standards related to exportable agricultural products.</li> <li>8. Expansion and rehabilitation of the basic infrastructure in response to demands of the territories with major development potential.</li> <li>9. Institutional modernization and strengthening of the public organizations related to the agriculture and forestry sector and its relations to the private sector.</li> <li>10. Coordination of the implementation of the strategic and operational plans of the public institutions participating in PRORURAL.</li> </ol> <p>Cross-cutting goals:</p> <ol style="list-style-type: none"> <li>11. Promotion of horizontal and vertical linking of the agricultural activities in the territories in terms of industrialization and clustering.</li> <li>12. Reduction of environmental vulnerability generated by the abuse of natural resources.</li> <li>13. Better access of vulnerable groups (women and indigenous population) to agricultural resources and services.</li> <li>14. Diversification of external markets to sell the rural production.</li> <li>15. Promotion of the producers associations and the active participation of its members.</li> <li>16. Contribute to increase <b>food security</b>, with emphasis on <b>vulnerable groups</b>.</li> <li>17. Promote development of rural financial services</li> </ol> <p>(source: appropriation document)</p>
<b>Expected results</b>	<ul style="list-style-type: none"> <li>• Reduction of rural poverty</li> <li>• An average annual growth of The Gross Production Value of 6.24Vo in the period 2006-2009</li> <li>• An increase of 20% of the annual value of agricultural and forestry exports during the program period.</li> </ul> <p>(source: appropriation document)</p>
<b>Main activities specify agri. Activities for envir. Interventions)</b>	<ul style="list-style-type: none"> <li>• <b>Capacity development</b></li> <li>• <b>Economic/financial support</b></li> <li>• <b>Provision of producer goods</b></li> </ul>
<b>Process on track? Main difficulties/challenges</b>	<p>Overall, the programme appears to be on track, although facing difficulties and challenges. E.g. in relation to PPA and the "Bono Productivo", the acquisition of the producer goods constituted a major challenge. Large quantities of goods had to be bought and stored before distribution to beneficiaries. In this phase, losses of animals, robbery of materials etc. were reported.</p>
<b>List of available documentation for the intervention</b>	<p>See Bibliography</p>

## Cluster 1: Contribution to Food Security

### 2.2.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 2.2.1.1 JC 11 Alignment with partner country food security policies/strategies if available

The programme reflects GOV strategies and policies, and is aligned with food security priorities e.g. support through the bono productivo; still, there was no specific food security component in ProRural until 2008 (new GOV policy).

#### Evidence on indicator level

Indicator	Evidence
<p>I-111</p> <p>Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies</p>	<p>In the beginning of the new century, national efforts in relation to food security experienced an increased prioritisation. In June 2007 the Asamblea Nacional approved the “Ley de Soberania y Seguridad Alimentaria y Nutricional” (SYSAN), in April 2008 the “Politica de Soberania y Seguridad Alimentaria y Nutricional” (PSSAN) was formulated and in August 2008, the “Propuesta para un Plan Nacional para la Produccion de Alimentos” was presented. This Plan included 11 different programmes, one of which is the “Programa Productivo Alimentario” (PPA) “Hambre Cero”, which is implemented in the framework of ProRural. The programme, being initiated by the government, is hence aligned with the national food security policies and ProRural, through funding this initiative aligns to the national objectives and activities. (PPA Evaluation Report 2007-2008, p. 9 f.)</p> <p>The ProRural is in line with the “Estrategia de Crecimiento Productivo y Comercial” and “Política de Bienestar y Equidad Social”</p> <p>Before 2008, PRORURAL included Food Security as a transversal thematic, without specific actions; after 2008, the Government of Reconciliation &amp; National Unity requested food security to become a component of ProRural (component 6).</p>
<p>I-112</p> <p>In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation</p>	<p>The Mid-term Review states that from 2007, food security and sovereignty became critical priorities for the new government. This was operationalised into the Food Production Programme (PPA) and the Bono Productivo Alimentario (BPA) through which within 5 years, over 75.000 poor families would benefit from means and agricultural services so that they increase food production, improve food nutrition and increase their agricultural capital basis. In 2007 over 13,000 women were beneficiaries (Mid-term Review, p. 53)</p>

#### 2.2.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

ProRural is a basket fund in wich 12 donors provided support under different modalities ; it evolved from a purely Agricultural intervention into a multi-sectoral approach encompassing Ministry of Agriculture and also Ministry of Education and Ministry of Health.

#### Evidence on indicator level

Indicator	Evidence
<p>I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)</p>	<p>ProRural constitutes a Common Fund of 12 development cooperation agencies (bilateral and multilateral) which support ProRural under different modalities and which is coordinated in order to define common support and positions within the Rural and Agricultural Public Sector in Nicaragua. (SDC, ProRural Project Fiche, ProRural Apoyo al sector rural productivo, p. 2) Also PPA “Hambre Cero” is implemented in this framework and in addition receives funds from other donors’ programmes, e.g. DECOSUR (European Union). Overall, coordination with national and other donor funded programmes benefits through the specific characteristics of a Common Fund. (PPA Evaluation Report 2007-2008, p. 12).</p>
<p>I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps</p>	<p>The Programme Document identifies the situation in the rural sector in Nicaragua, analysing policy and strategy developments.</p>
<p>I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work</p>	<p>The established Common Fund through ProRural constitutes a mechanism for joint and harmonised approaches to food security in Nicaragua. ProRural started as budget support but was swapped to basket funding later on. ProRural evolved from sectorial agriculture support to multi-sectorial support involving Rural Dev. (food security), Health (children nutrition), and Education Ministries.</p>

### 2.2.1.3 JC 13: Relevance of project intervention according to final beneficiaries

2.2.1.4 ProRural focussed on the “Bono Productivo Alimentario” which provides capital to small scale farmers (e.g. 1 cow, 1 pig, several chicken, orchard seed, etc.); it supports part of the population unable to get access to micro-credit.

#### Evidence on indicator level

Indicator	Evidence
<p>I-131 Project intervention reflect priorities and needs of final beneficiaries</p>	<p>ProRural focussed on the “Bono Productivo Alimentario” which provides capital to small scale farmers (e.g. 1 cow, 1 pig, several chicken, orchard seed, etc.); it supports part of the population unable to get access to micro-credit.</p>

## 2.2.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

### 2.2.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

Food security was not envisioned originally in ProRural; with the new GOV in place in 2007, ProRural included a full component on food security in 2008 with the bono productivo and technological package that included livestock, seeds, trainings, fertilisers, support to small rural infrastructures, etc. Capacity building of technicians and producers was also provided.

#### Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	No evidence available to the Evaluation Team.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	<p>The Mid-term Review emphasises that food security was incorporated in ProRural as cross-cutting issue but in the first years of implementation was not approached with the necessary priority, no specific activities were implemented and it was not subject of analysis in the annual reports of ProRural in 2006 and 2007. (Mid-term Review, p. 54 f)</p> <p>However, this changed in 2007:</p> <ul style="list-style-type: none"> <li>• <i>“Se formuló el PPA (Programa Productivo Alimentario), cuyo objetivo es el incremento de la producción agroalimentaria para garantizar la soberanía y seguridad alimentaria con énfasis en las mujeres campesinas, comunidades étnicas y pueblos indígenas. El PPA comprende dos componentes esenciales: el bono productivo y el paquete tecnológico mediante el cual se proporcionó semillas para la siembra de granos básicos. Su implementación fue asignada al MAGFOR y a las instituciones del SPAR.”</i> (Mid-term Review, p. 55)</li> <li>• <i>“A través de ENABAS se facilitó el acopio de granos básicos de los pequeños y medianos productores pagándoles precios competitivos y a la vez, se distribuyó alimentos a precios más bajos que los del mercado.”</i> (Mid-term Review, p. 55)</li> </ul> <p>In order to facilitate productivity in particular for families, medium and small scale producers, financial support and loans were granted. The MTR states e.g. that:</p> <ul style="list-style-type: none"> <li>• <i>“Unas 4900 familias rurales fueron beneficiadas con financiamiento para planes de negocios (25% campesinos de subsistencia, 50% de pequeños productores para mercados, 25 % microempresarios); 1500 personas (hombres y mujeres) de las zonas de intervención de PRODESEC fueron atendidos con créditos; 40,000 pequeños y medianos productores beneficiados con insumos en Ocotil, León, Jinotega, Matagalpa, Muy Muy, Chontales, Zelaya y</i></li> </ul>

	<p><i>Nandaime.</i>” (Mid-term Review, p. 45)</p> <ul style="list-style-type: none"> <li>• “Se inicio la ejecución de 116 proyectos de apoyo a la competitividad ejecutados por PMPR para 19,135 familias; se financiaron 60 propuestas de proyectos a los 520 familias productoras para su incorporación en las cadenas productivas; se ejecutaron planes de formación para el empleo en León, Managua, Carazo y Estelí; 41 planes de negocio y 9 de empleo con actividades ambientales.” (Mid-term Review, p. 46)</li> <li>• “Se fortaleció el sistema de crédito no formal en el departamento de Rivas, mediante el fortalecimiento de Cinco IFI’s.” (Mid-term Review, p. 46)</li> </ul> <p>This financial support granted through ProRural is likely to contribute to increased food production in the targeted areas. Also, under component 4 of the programme (Services to support the production), several activities were carried out in order to contribute to increased food production in the future: <i>“Para aumentar la capacidad productiva pecuaria de los pequeños y medianos productores se financió la elaboración de 15 documentos de proyectos, 5 proyectos presentados al comité con posibilidad de financiamiento con fondos de contravalor, 5 proyectos en ejecución bajo control sistemático y técnico; 13 mil toneladas métricas de fertilizantes fueron entregados a los POLDES, para su distribución en 9 ADTs. Se financió la adquisición de semovientes con alto grado de encastamiento, beneficiando a 28 productores ganaderos; la construcción de salas de ordeño, fomentando el ordeño limpio, beneficiando a 61 productores; la compra de terneros de desarrollo y engorde beneficiado a 36 productores; la construcción y mejoramiento de cercas, galeras, corrales, comedores, bebederos, abrevaderos, sistemas de riego, silos, cosechas de agua, entre otros. 47 productores fueron beneficiados con la adquisición de maquinaria y equipos compuestos por picadoras de pastos, bombas de riego, equipo de ordeño, silos, cosechadoras, entre otros. Se otorgaron 91 créditos para la compra de 61 unidades de sementales equinos. 61 productores beneficiados con recursos financieros. Financiamiento de negocios rurales, para beneficiar 1,600 familias (26 IFI’s).”</i> (Mid-term Review, p. 46 f.)</p> <p>In addition under the component “Sanidad agropecuaria e inocuidad agropecuaria”, ProRural included activities that are likely to contribute to increased food production in the future, e. g. fighting against plagues, diseases and supporting improved quality of seeds.</p> <ul style="list-style-type: none"> <li>• <i>“Para lograr que la producción agrícola nacional este protegida de plagas y enfermedades: se implementaron los subsistemas de vigilancia de plagas y enfermedades de origen vegetal; el de vigilancia epidemiológica y control de enfermedades y se dispone de un registro genealógico y de un programa de inseminación artificial en ganadería bovina y suministro de reproductores porcinos.”</i> (Mid-term Review, p. 48 f.)</li> <li>• <i>“Unos 3,297 técnicos y productores fueron capacitados en la vigilancia de plagas, se estableció el sistema de vigilancia y campañas fitosanitarias en 2,434,714 hectáreas a nivel nacional; unas 48,000 hectáreas fueron declaradas libres mosca de la fruta ante OIE y OMC; y se emitieron 19,918 permisos fitosanitarios de importación. Además se realizaron unas 151,348 inspecciones fitosanitarias a importaciones agropecuarias y no agropecuarias en los puestos de Cuarentena.”</i> (Mid-term Review, p. 49)</li> <li>• <i>“Para garantizar semilla de buena calidad se estableció el Sistema de Registro y Certificación de semillas, se avaló la exportación e importación de 1,839,325 millones de kilogramos de semillas (12,254 TM de Semilla Certificada), y 11,150 TM en granos básicos, maní, yuca, hortalizas, pastos y papa. Se inscribieron 2,759 productores de semillas.”</i> (Mid-term Review, p. 49)</li> </ul>
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### 2.2.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The bono productivo is the main tool for increasing (animal & vegetal origin) food access among the population and in particular for women: it was based on a beneficiary capacity and needs assessment, and commitment to follow capacity trainings, not to sell capital and return 20% of hand-out's value to a Caja Rural to support community initiatives.

#### Evidence on Indicator Level

Indicator	Evidence
<p>I-221</p> <p>Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)</p>	<p>No evidence available to the Evaluation Team.</p>
<p>I-222</p> <p>Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas</p>	<p>The support through the PPA “Hambre Cero” is likely to contribute to increased level of food accessibility at households levels in target areas, given the programme’s objective: <i>“Erradicar el hambre, la desnutrición crónica, la pobreza extrema y el desempleo en 75,000 familias rurales pobres, mediante el incremento cuantitativo y cualitativo de la producción y el consumo de alimentos proteicos, favoreciendo a la vez la sustitución del consumo de leña por el biogas.”</i> (PPA Evaluation Report 2007-2008, p. 11)</p> <p>In particular the specific objective of transferring producer goods to 75.000 beneficiary families is likely to contribute to increased food accessible at household levels in the targeted areas: <i>“Capitalizar a 75.000 familias campesinas empobrecidas cuya tenencia o acceso de latierra es de una a tres manzanas, mediante la transferencia de bienes de producción proteicos y un biodigestor integrado con cocina y unidad sanitaria.”</i> (PPA Evaluation Report 2007-2008, p. 11)</p> <p>This is also affirmed by the ProRural Mid-term Review, highlighting that ProRural started to support food security of the poorest families:</p> <ul style="list-style-type: none"> <li>• <i>“13,000 familias con el Bono Productivo que les permitieron alimentos de origen animal (huevos, leche, carne de aves) y vegetal (hortalizas, granos básicos).”</i> (Mid-term Review, p. 55)</li> <li>• <i>“Alimentos básicos a precios favorables distribuidos por ENABAS a través pulperías y otros canales de distribución alternativos en todos el país.”</i> (Mid-term Review, p. 55)</li> </ul> <p>The “Bono Productivo” were in principal granted to women, which had to fulfil the following criteria:</p> <p>“1) <b>Necesidad:</b> la familia debe estar en estado de extrema pobreza con por lo menos dos de las cinco necesidades básicas no satisfechas;</p> <p>2) <b>Capacidad:</b> disponer de un patio o una parcela de 1 a 3 mnz para manejar los bienes (animales, plantas, etc.) que se conseguían mediante el Bono Productivo Alimentario;</p> <p>3) <b>Compromiso:</b> se compromete a recibir talleres de capacitación, a no vender los animales que se le entregan, a organizarse</p>

	<p>y a devolver a plazo el 20 por ciento del valor recibido para conformar una caja rural para el desarrollo general de su comunidad.” (PPA Evaluation Report 2007-2008, p. 15)</p> <p>The items which the “Bono Productivo” includes varies and is determined following site visits: “Basado en la información de la ficha y de una visita en situ se define el contenido del Bono, que tiene un valor nominal total de US\$ 2,000. Dependiendo de las circunstancias en que vive la familia se le asigna una vaca y/o una cerda, algunas gallinas y un gallo, semillas, herramientas, materiales de construcción, etc.” (PPA Evaluation Report 2007-2008, p. 17)</p>
<p>I-223</p> <p>Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)</p>	<p>No evidence available to the Evaluation Team.</p>

### 2.2.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

Not analysed in ProRural; the upgraded ProRural in 2007/8, a priori, should increase food stability with the bono productivo.

#### Evidence on indicator level

Indicator	Evidence
<p>I-231</p> <p>Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)</p>	<p>No evidence available to the Evaluation Team ProRural Incluyendo (2010-14) takes into account the effects of climate change (in particular in relation to disasters).</p>
<p>I-232</p> <p>Norwegian funded agricultural projects are likely to contribute to</p>	<p>By supporting the Bono Productivo Alimentar, the programme targets directly food insecurity.</p>



reduced periods of food shortages at household/individual level in targeted areas	
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#### 2.2.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

No analysis – never mentioned (the new ProRural Includendo takes into account nutritional issues).

##### Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No evidence available to the Evaluation Team.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	No evidence available to the Evaluation Team.

#### 2.2.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

##### 2.2.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

According to WB, there has been an overall substantial decrease in food insecurity in Nicaragua, but it is not possible to link it directly to the ProRural bono productivo as there was no impact assessment of the programme or even the bono productivo.

##### Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or	Statistics indicate an increased food production in the targeted area (see tables below). Although the increased food production is not explained solely by activities carried out through ProRural, the programme is certainly not isolated from these developments. There are qualitative indications that food production has indeed increased; however, there was no impact

expected) food production in targeted areas

assessment of the bono productivo.

**Agricultura: Valor Bruto de Producción (millones de córdobas de 1994)** (p/: Preliminar; e/: Estimado; Fuente: BCN)

World Bank analysis from 2002-2011 indicated that there has been an overall reduction of food insecurity by 65% (source: World Bank FS Public Expenditure Analysis at national level).

Conceptos	2001	2002	2003	2004	2005	2006 p/	2007 e/	Variación %		
								05/04	06/05	07/06
<b>Actividades Agrícolas</b>	<b>4,169.60</b>	<b>4,033.90</b>	<b>4,169.60</b>	<b>4,393.00</b>	<b>4,590.20</b>	<b>4,785.80</b>	<b>4,670.20</b>	<b>4.50</b>	<b>4.30</b>	<b>(2.40)</b>
<b>Exportación</b>	<b>1,843.3</b>	<b>1,499.4</b>	<b>1,531.7</b>	<b>1,987.7</b>	<b>1,899.8</b>	<b>2,056.0</b>	<b>1,917.0</b>	<b>(4.4)</b>	<b>8.2</b>	<b>(6.8)</b>
Café oro	1059.6	793.2	761	999.1	807.5	1,043.0	808.5	(19.2)	29.2	(22.5)
Caña de azúcar	419.3	378.6	386.7	492.0	481.5	467.0	546.2	(2.1)	(3.0)	17.0
Banano	51	46.4	48.5	43.0	41.1	35.1	38.7	(4.5)	(14.6)	10.4
Maní	238.6	208.4	234.9	308.2	358.7	301.1	327.4	16.4	(16.4)	8.7
Soya	6.9	7.5	13.6	15.7	11.1	4.5	4.5	(29.3)	(59.5)	0.3
Ajonjolí	28.6	28.5	25.5	43.0	105.0	117.4	101.8	144.4	11.8	(13.3)
Tabaco habano	39.2	36.8	61.5	86.7	94.9	87.9	89.9	9.4	(7.4)	2.3
<b>Consumo interno</b>	<b>2326.4</b>	<b>2534.5</b>	<b>2638</b>	<b>2405.3</b>	<b>2690.4</b>	<b>2729.8</b>	<b>2753.2</b>	<b>11.9</b>	<b>1.5</b>	<b>0.9</b>
Arroz oro	394.6	437.4	485.9	407.6	560	642.2	562	37.4	14.7	(12.5)
Frijoles	486.9	588.7	490.0	500.2	552.1	614.8	619	10.4	11.4	0.7
Maíz	387.6	382.1	476.2	361.4	507.3	398.3	429.7	40.4	(21.5)	7.9
Sorgo	49.8	44.4	47.9	44.7	34	23.7	32.6	(23.9)	(30.3)	37.7
Otros	1,007.4	1,081.9	1,138.0	1,091.4	1,037.1	1,050.8	1,110.0	(5.0)	1.3	5.6

**Crecimiento Anual Bruto de la Producción Agrícola** (en Córdobas) (Fuente: Gerencia de Estudios Económicos –BCN; /p: preliminar; /e: estimado; Productos de Exportación: café oro, caña de azúcar, banano, maní, soya)

	2004/	2005	2006 p/	2007 e/	Variación %		
					05/04	06/05	07/06
<b>Total Agropecuario</b>	<b>7465.16</b>	<b>7800.98</b>	<b>8081.34</b>	<b>8229.55</b>	<b>4.5</b>	<b>3.6</b>	<b>1.8</b>
<b>Actividades Agrícolas</b>	<b>4393.0</b>	<b>4590.2</b>	<b>4785.8</b>	<b>4670.2</b>	<b>4.5</b>	<b>4.3</b>	<b>-2.4</b>
De exportación	1987.7	1899.8	2056.0	1917.0	-4.4	8.2	-6.8
De consumo interno	2405.3	2690.	4 2729.8	2753.2	11.9	1.5	0.9
<b>Actividades Pecuarias</b>	<b>3072.2</b>	<b>3210.7</b>	<b>3295.5</b>	<b>3559.3</b>	<b>4.5</b>	<b>2.6</b>	<b>8.0</b>
Vacuno	2047.4	2150.3	2209.5	2376.2	5.0	2.8	7.5
Porcino	99.8	101.7	104.6	105.1	1.9	2.9	0.4
Avicultura	924.9	958.8	981.4	1078.1	3.7	2.4	9.8

**El empleo en el sector agropecuario** (Fuente: INSS, tomado de la Memoria Anual 2007 publicada por el BCN)

Sector	2005	2006	2007	Variación % 2006	Variación % 2007
Agropecuario	20,000	23,469	30,669	17.3	30.7

**Productividad de los principales productos de exportación y consumo interno** (Fuente: Estadísticas MAGFOR; Producción: Miles de Quintales/caña de azúcar toneladas cortas. \*= Estimaciones Nota: -Los datos de oleaginosas 2006-07 son preliminares. \*\*=Proyecciones al 30/05/2008

Rubro	2004-05	2005-06	2006-07*	V% 2005-06 / 2004/05	V% 2006-07 / 2005/06
<b>Exportación:</b>					
Café (oro)	7.66	11.54	9.46	50.7	-18.0
Ajonjolí (natural)	8.52	7.84	10.98	-8.0	40.1
Caña de Azúcar (T.C)	1.11	0.68	1.16	-38.7	70.6
Banano (cajas)	2048.36	1676.03	1998.19	-18.2	19.2
Tabaco Habano (Rama)	22.40	24.79	23.77	10.7	-4.1
Maní (natural)	59.83	60.63	60.08	1.3	-0.9
<b>Consumo Interno</b>					
Arroz Oro	31.5	33.0	36.3	4.8	10.0
Arroz Secano	19.7	24.6	27.8	24.9	13.0
Arroz de Riego	48.2	45.5	47.6	-5.6	4.6
Frijol	11.5	12.0	12.1	4.3	0.8
Maíz	21.1	21.5	22.4	1.9	4.2
Sorgo	31.2	28.1	28.5	-9.9	1.4
Soya	32.6	32.6	31.4	0.0	-3.7

### 2.2.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

No analysis was made.

#### Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in	No evidence available to the Evaluation Team.

targeted areas	
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### 2.2.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

The Mid-term Review notes positive changes/achievements in relation to asset creation of producers in the targeted area.

#### Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No evidence available to the Evaluation Team.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	No evidence available to the Evaluation Team.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	<p>The Mid-term Review notes positive changes/achievements in relation to asset creation of producers in the targeted area. <i>“Los cambios en los activos físicos de carácter social y productivo se expresan por las obras de infraestructura social y productiva implementados a través del componente inversiones en infraestructura las cuales están facilitando el acceso de los pequeños y medianos productores a los mercados y centros poblacionales; el acceso al agua, la conservación de productos y mejoramiento de sus viviendas”</i> (Mid-term Review, p. 54)</p> <p>In addition, some effects are highlighted:</p> <ul style="list-style-type: none"> <li>• <i>“El 10 % de los pequeños y medianos productores atendidos a través del componente servicios financieros por el IDR logró aumentar sus ingresos familiares y el 60 % de las personas atendidas son mujeres ”</i> (Mid-term Review, p. 54)</li> <li>• <i>“Los cambios en los activos financieros, aún con sus limitaciones en montos globales, se reflejan en la ampliación y profundización del alcance de los servicios financieros. Se ha facilitado el acceso a pequeños productores con potencial, así como de productores/as empobrecidos (as), a líneas de financiamiento con intereses adecuados a sus condiciones y a las características de sus actividades.”</i> (Mid-term Review, p. 54)</li> </ul>

### 2.2.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No information available.

#### Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No evidence available to the Evaluation Team.

## Cluster 2: M&E and Documentation

### 2.2.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

#### 2.2.4.1 JC 41 Appropriateness of programme M&E design

There was a comprehensive LOGFRAME and set of indicators in ProRural; however, many indicators were not related to impact and measurements varied from 1 report to another; in addition, there was no baseline study for a vast majority of indicators, hence the impossibility to measure any impact.

#### Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	The ProRural Programme document describes a M&E system to be adopted, comprising 23 indicators, 9 general and 14 specific indicators:

**Indicadores Generales**

1. Entre 2005 y 2009, el Valor Bruto de la Producción del sector crece en promedio al menos del 6.24% anuales, en términos reales.
2. Entre 2005 a 2009, el empleo en el sector agroproductivo crece por lo menos tasas iguales al de los demás sectores.
3. Entre 2005 y 2009, la productividad de los principales rubros agropecuarios ha crecido en al menos 1%.
4. Entre 2005 y 2009, la tasa de crecimiento promedio anual de ingresos reales agroproductivos es de al menos 3%, por ambos sexos.
5. Entre 2005 y 2009, la tasa de crecimiento de exportaciones agroproductivas es del 100%.
6. Entre 2005 y 2009 la relación entre la venta y la producción de maíz y frijol, ha crecido en 5 puntos porcentuales.
7. Entre 2005 y 2009 los saldos de la balanza comercial de hortalizas y frijol se han mejorado en un 50%
8. Se cumplen en 80% los indicadores ambientales de los componentes de PRORURAL.
9. La frecuencia de quemas agrícolas e incendios forestales por ecosistemas (agrícolas y forestales) se ha reducido en un 20% en el 2007, 30% en el 2008 y 50% en el 2009

Indicadores Específicos:	
<b>Innovación Tecnológica</b>	
1. Al menos el 80% de actores relevantes al 2009 (productores-as, ONG's, proveedores de servicios y negocios relacionados al sector) expresan satisfacción con los servicios recibidos. 2. A finales de 2009, el 80% de los productores(as) atendidos por INTA y FAT adoptan al menos 2 nuevas técnicas.	
<b>Sanidad Agropecuaria e Inocuidad Agroalimentaria</b>	
3. Hasta el 2009, 98% de embarques de productos agroproductivos exportados no han sido rechazados 4. 100% de empresas exportadoras tienen sus plantas certificadas por lo menos con el sistema HACCP	
<b>Desarrollo Forestal Sostenible</b>	
5. Incremento de la cobertura forestal (Manejo de bosques secundarios, plantaciones forestales y sistemas agroforestales) en 60 mil Ha, en relación a la cobertura forestal 2005 (Cifra de Referencia Matriz Conglomerado Forestal, PND-O). 6. Al final del 2009 se habrá revertido la tendencia en la deforestación anual de 70 mil a 40 mil ha/ año (Año de referencia 2005). 7. Incremento en el valor de las exportaciones de productos forestales en al menos 100% al 2009 en referencia a los US\$ 6.7 millones del 2004.	
<b>Servicios de apoyo a la producción</b>	
8. Entre 2005 y 2009, el valor del patrimonio de productores pobres con potencial se ha incrementado en 20% 9. Entre 2005 y 2009, el valor del patrimonio de productores de mediana escala se ha incrementado en 15%	
<b>Inversiones en Infraestructura</b>	
10. A finales de 2009, el 80% de los pobladores beneficiados por las inversiones expresan satisfacción con los servicios recibidos.	
<b>Modernización y Fortalecimiento Institucional</b>	
11. Al final del 2009, las instituciones del SPAR que implementan PRORURAL han concluido sus planes de modernización institucional (desconcentración, descentralización, marco legal, y adecuación de recursos humanos y financieros).	
<b>Política y Estrategias</b>	
12. Más del 60% de los miembros del Consejo de la Producción han expresado satisfacción sobre su participación en la formulación e implementación de la política y estrategia sectorial en el ámbito rural. 13. Al menos el 90% de los representantes de la cooperación internacional en la Submesa de DRP han alineado sus estrategias de cooperación a la política sectorial. 14. 100% del gasto de las instituciones que implementan PRORURAL corresponden al PMGP.	

According to the Mid-term Review, the Logical Framework features weaknesses which limit the possibilities of measuring the

achievements, results and impact of the programme: “... las debilidades del Marco Logico, limitan las posibilidades de medir, en este momento, el nivel de cumplimiento de los resultados del ProRural y sus impactos.” (Mid-term Review, p. 32)

- One of the analysed weaknesses relates to the fact that not all the results mentioned in the Logical Framework coincide with the results analysed in the Sectorial Report 2007: “No coinciden todos los resultados señalados en el Marco Lógico, con los analizados en el Informe Sectorial de 2007. Hay cambios en el Informe Sectorial que no están en ML.” (Mid-term Review, p. 32)

Objetivos específicos de los componentes	Número de resultados del objetivo específico		Número de indicadores de resultados	
	En el ML original	En el IS 2007	En el ML original	En el IS 2007
1. Desarrollo sostenible del sector forestal propiciando el manejo adecuado de bosques naturales, plantaciones y sistemas agroforestales	3	3	11	10
2. Incremento de la capitalización de los activos físicos y financieros de las familias y agronegocios rurales, promoviendo el uso de tecnologías limpias y ambientalmente sostenibles	7	7	19	15
3. Acelerar los procesos de innovación tecnológica amigable con el ambiente (investigación, asistencia técnica, educación) a lo largo de las cadenas y aglomerados agroproductivos priorizados por el PND-O en los territorios rurales	5	5	20	15
4. Cumplimiento de estándares internacionales relacionados a la inocuidad y sanidad de los alimentos	8	8	22	18
5. Ampliación y rehabilitación de la infraestructura básica para la producción de bienes y servicios del sector rural, en función de la demanda expresada por los pobladores de los territorios	2	1	4	5
6. Modernización y fortalecimiento institucional del sector público agropecuario y forestal y de su interrelación con el sector privado	5	4	40	23
7. Formulación e implementación de los planes estratégicos y operativos de las instituciones del SPAR en el marco de la política y estrategia de desarrollo rural productivo sostenible	3	4	15	12

The major weakness however is that no baseline exists for the majority of indicators, making it difficult to assess the achievements of the programme. The Mid-term evaluators state: “... para la mayoría de los indicadores propuestos, no existe una línea de base, que nos permita tener un punto de referencia sobre lo que se pretendía hacer en ProRural.” (Mid-term Review, p. 33)

Overall, the Mid-term Review highlights the considerable limitations for measuring the achievements of ProRural due to the weaknesses of the Logical Framework: “La Misión quiere destacar que el cambio de indicadores, la manera de formulación de algunos indicadores y las modificaciones del Marco Lógico, dificultan considerablemente la medición de los avances.” (Mid-term Review, p. 35)

Gender aspects appear to be included in the M&E system of ProRural: “En el SISEVA se elaboraron indicadores a nivel de productos y efectos para la medición/valoración de la participación de la mujer y su empoderamiento.” (Mid-term Review, p. 56)



	<p>As regards the PPA “Hambre Cero”, the evaluation report highlights that after two years of the programme a baseline and indicator based monitoring is not existent, making it very difficult to assess achievements of the programme. <i>“A pesar de haber existido una Política de Seguridad Alimentario y Nutricional (SAN) desde el año 2001, hasta la fecha no se ha logrado montar un sistema de información con indicadores sobre los efectos de esta política, llamada ahora: Política de Soberanía y Seguridad Alimentaria y Nutricional (PSSAN). Tampoco al momento del arranque del PPA se pudo definir la situación inicial de los primeros grupos de familias beneficiadas, lo que dificulta la posibilidad de medir el impacto verdadero de las inversiones realizadas en 2007 y 2008. Los técnicos de campo del PPA llenan una ficha por beneficiada cada vez que hagan una visita, en la que aparecen los avances y los problemas que se hayan presentado. Estos datos son enviados a la sede central de MAGFOR para su procesamiento y presentación en los informes agregados y en las páginas web de la Institución.”</i> (PPA Evaluation Report, 2007-2008, p. 25)</p> <p>However, this situation was supposed to change for the following years, through the elaboration of a baseline, allowing to monitor the developments of the programme: <i>“Actualmente, con apoyo del BID se esta elaborando un nuevo sistema (línea de base), que permita seguir el desarrollo social y económica de las familias beneficiadas a partir del año 2009, así como medir el impacto del Programa al momento de su terminación en 2011. A pesar de varios intentos no se logró comunicarse con el consultor contratado para tal fin, razón por la cual se desconoce la estructura y los procedimientos para la implementación del sistema.”</i> (PPA Evaluation Report, 2007-2008, p. 25)</p> <p>In any case, this envisaged baseline is planned to be used by the technical experts of the project, providing them with baseline data to assess the achievements when doing their site visits. While this seems certainly helpful, it cannot replace an independent monitoring system. However, for the establishment of an independent system there are no funds available and it is not planned. <i>“Es primordial disponer de un sistema independiente de monitoreo para analizar los avances de las familias en su desarrollo agropecuario que permitan ajustes adecuados a las actividades relacionadas a la selección de beneficiadas y a los procedimientos de entrega de bienes y a las capacitaciones. Los actuales informes de los técnicos del PPA brindan un panorama interesante sobre los resultados técnicos-financieros inmediatos, pero no son aptos para una sistematización verdadera del Programa. Por su participación directa en el desarrollo de las capacidades de las beneficiadas los y las técnicos se convierten de hecho en “juez-y-parte”, restando objetividad a los datos recopilados y presentados. Sin embargo para montar un sistema independiente ‘...no hay fondos y no está previsto su establecimiento’ (Citado de Gustavo Moreno, director PPA)”</i> (PPA, Evaluation Report, 2007-2008, p. 26)</p>
<p>I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.</p>	<p>The Programme Document details the context for the design of an impact monitoring and evaluation system for ProRural, referring to 23 indicators (general and specific indicators). (See Indicator 411 above).</p>

#### 2.2.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

There was no baseline study and it was therefore not possible to measure the impact of the bono productive although there seems to be a positive correlation with productivity, income and women empowerment.

##### Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	No information.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	M&E resulted in annual and bi-annual revisions of the ProRural Major weakness of ProRural was the M&E system concentrating on activities, results, outputs; the M&E system was unable to measure any change in outcome and impact; this was reviewed for the new ProRural Incluyente (2010-2014). There was no impact study on the effects of the bono productive; however, there seems to be positive (qualitative) effects on income, women empowerment and productivity.

#### 2.2.4.3 JC 43 Adjustment of programme design and/or implementation modality

Indicators were adjusted by donors after the programme formulation stage and in 2008 food security was included in ProRural as a major component.

##### Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	Originally, the indicators were not SMART; these were redefined / amended by the donors. Food security was included in 2008 in ProRural (component 6) to reflect new GOV priorities.

### 2.3 EQ5: To what extent have programme results been documented?

#### 2.3.1.1 JC 51 Availability of documentation of results

Reports including a mid-term review are available online; the lack of baseline study and SMART indicators limits the usefulness of these reports.

##### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Annual Sectorial Reports are produced related to ProRural. The reports are available on the website of the Ministry of Agriculture and Forestry and provide a brief overview of the sector in relation to ProRural.
I-512 Existence and quality of evaluation reports	A comprehensive Mid-term Review of ProRural was produced and is available to the Evaluation Team. The report comprises 80 pages and provides a review of ProRural structured according to the DAC Criteria for evaluating development assistance, namely relevance, effectiveness, efficiency, impact and sustainability. Also the PPA “Hambre Cero” is documented with an evaluation report. However, given that a baseline and measurable indicators are not existent, making an impact assessment is rather difficult.
I-513 Existence and quality of other types of documentation of results	No evidence available to the Evaluation Team.

### 2.3.1.2 JC 52: Extent to which intervention results have been disseminated

Communication has enabled a wide divulgation of ProRural’s main result through all public media means (e.g. TV, radio): the bono productivo alimentario; ProRural as a Gov programme is not known by the population but is regularly highlighted on GOV websites; communication strategy is managed at the highest level.

#### Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	No evidence available to the Evaluation Team. Nowadays, the population knows the ‘bono productivo’ but nobody has heard about ProRural. Communication is managed by the 1 <sup>st</sup> lady at presidential level.
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	Programme documentation of ProRural is available on the website of the Ministry of Agriculture and Forestry. Also the implementation results of PPA “Hambre Cero” are documented on the website of the Ministry.
I-523 Evidence of articles published, presentations in workshops, conferences	Bulletins are regularly published. There is a good divulgation of ProRural results through radio & TV spots (mainly focussing on bono productivo).

I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	No evidence available to the Evaluation Team.
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### Cluster 3: Sustainability and Scaling up

#### 2.3.2 EQ6 To what extent have programmes been sustainable?

##### 2.3.2.1 JC 61 Financial sustainability/economic sustainability

The bono productivo is enabling small scale producers excluded from microcredit institutions access to increase agricultural productive capital through hand-outs and technical trainings (provided by a more capacitated Ministry of Agriculture). ProRural suffered a loss of many contributors (donors) by 2009/10 but is still relying on donors in its improved version (ProRural Incluyente) and reflects new political orientations (e.g; additional focus on peri-urban communities, climate change).

##### Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/institutions are available for supporting the programme activities after phase out	No evidence available to the Evaluation Team.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Activities in the framework of ProRural, such as the provision of producer goods (Bono Productivo), together with capacity building measures are likely to contribute to the situation that programme results will be affordable for the beneficiaries succeeding phase out. In addition, the modernisation and institutional strengthening component of ProRural is likely to contribute to this end. Still, the new ProRural Incluyente relies heavily on donors' funds (10% of ProRural Incluyente budget shared between +/-15 donors).
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	No evidence available to the Evaluation Team.
I-614	No evidence available to the Evaluation Team.

Beneficiaries/authorities are capable of affording replacement and maintenance	
I-615 Policy changes are not likely to affect programme activities	<p>The Mid-term Review highlights that a change of government has led to a change of priorities, affecting the implementation of the programme: <i>“Por lógica el cambio de Gobierno ha conllevado cambios de prioridades, algo legítimo a opinión de la Misión, y las inseguridades y atrasos del primer año son lamentables desde el punto de vista de ProRural, pero difíciles de evitar.”</i> (Mid-term Review, p. 67)</p> <p>In any case, the Mid-term Review emphasises: <i>“Al lado positivo se debe destacar que en un principio habían acciones del Gobierno en el sector rural, poco incorporadas en ProRural. Con la integración del programa Hambre Cero dentro de ProRural mejoró esta situación. Las políticas formuladas por el actual Gobierno tienen nuevas prioridades pero comparte buena parte del análisis de la problemática rural ya hechas en anteriores planes nacionales de desarrollo. El cambio resultó en el reacomodo de los componentes del programa, pero en opinión de la Misión no representa una amenaza para ProRural, aunque ha producido atrasos en el proceso de consolidación de ProRural.”</i> (Mid-term Review, p. 67)</p> <p>The new ProRural (2010-2014) reflects the changes of priorities of GOV: e.g. more focus on periurban communities, more focus on climate change and agricultural productivity.</p>

### 2.3.2.2 JC 62 Institutional and technical sustainability

The ministry has substantially increased its capability with the trainings of several tens of technicians, operationalizing the environmental management unit, including in designing, evaluating and implementing strategies and policies. At beneficiary level, the bono productive included trainings of small scale farmers in land husbandry, cattle care, environmentally friendly techniques, saving & credit schemes. There was no assessment of training results according to gender.

#### Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	<p>ProRural includes a component for institutional modernisation and strengthening for institutions in the Rural and Agricultural Public Sector (SPAR). Under this component, several results were achieved:</p> <ul style="list-style-type: none"> <li>• The Ministry of Agriculture and Forestry strengthened its capacities for leadership of elaboration, evaluation and implementation of policies and strategies in the rural productive sector: <i>“Revisó y ajustó la Política de Recursos Humanos y ejecutó un Plan de Capacitación integral; se implementó el manual de compra por cotización, manual de organización y funciones, y se implementó el sistema de programación y seguimiento de compras; se mejoró el sistema de informática; 10 delegaciones accedieron a Internet (informática); se integró el sistema administrativo financiero, adquisiciones y SISAF. Se diseñó e implementó el SISEVA (UPEDR); se diseñaron y validaron metodologías para formular y dar seguimiento y evaluar políticas y estrategias, se constituyó y está operando la División de Planificación Sectorial (UPEDR).”</i> (Mid-term Review, p. 49 f.)</li> <li>• <i>“Se constituyó y está operando la Unidad de Gestión Ambiental (UGA).”</i> (Mid-term Review, p. 50)</li> <li>• <i>“En el 2007 se capacitó a 85 técnicos de las delegaciones departamentales en temas de apoyo para la realización de</i></li> </ul>

	<p><i>las actividades del sector público agropecuario.</i>” (Mid-term Review, p. 50)</p> <ul style="list-style-type: none"> <li>• Also the Institute for Rural Development, implementing partner for component 3 of ProRural, was institutionally strengthened: <i>“El IDR se ha fortalecido institucionalmente para ejecutar con efectividad los programas y proyectos, mediante los siguientes productos alcanzados: la organización Institucional, la elaboración del plan estratégico institucional, y la instalación de 9 Delegaciones de atención a nivel territorial.”</i> (Mid-term Review, p. 52)</li> </ul> <p>Such measures are likely to contribute to the institutional structures having the required capacity to continue activities succeeding phase out.. In any case, the Mid-term Review affirms that ProRural has already led to institutional changes that might also favour future sector engagements: <i>“La implementación del ProRural ha generado cambios en las instituciones que integran el SPAR, entre los cuales se destacan: una mayor coordinación interinstitucional, el uso de instrumentos comunes para la planificación, el monitoreo y la evaluación, la disminución de la duplicación de actividades en el terreno, la reubicación de recursos y actividades entre las instituciones, en función de mejorar el desempeño de los componentes, y la complementariedad de acciones a nivel territorial.”</i> (Mid-term Review, p. 56)</p>
<p>I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out</p>	<p>The PPA “Hambre Cero” included capacity building activities for the beneficiaries on social, administrative and technical subjects. Courses were conducted e.g. on animal alimentation and <i>“ciertos valores para poder generar entre las beneficiadas la aceptación de métodos agro-ecológicos para el cuidado de los animales y el cultivo de alimentos. Otros temas de capacitación son 1) el fomento de la asociatividad y los beneficios y las obligaciones relacionadas a ella, y 2) los procesos organizados de ahorro y crédito.”</i> (PPA Evaluation Report, 2007-2008, p. 19)</p> <p>Such capacity building measures are likely to contribute to beneficiaries having the technical capacity to be able to continue activities succeeding phase out. However, the Evaluation Report acknowledges that the impact of these activities is limited. <i>“El impacto de las capacitaciones es limitado hasta la fecha. La presión sobre los técnicos PPA, sobre todo en las zonas rurales remotas, es tal que su atención por cada beneficiada es limitada. La tarea más importante parece ser llenar la ficha del estado de los bienes (animales, plantas, etc.) y sus problemas presentados. Durante el trabajo de campo las mujeres indicaron haber recibido capacitación en el cuidado alimenticio y médico de los animales entre otros. Las mujeres aprovechan también las reuniones de núcleo para recibir charlas sobre temas sociales, financieros y técnicos. Las capacitaciones son obligatorias, siendo éstas parte del ‘compromiso’ con el PPA. No se conoce datos estadísticos sobre la participación de las mujeres beneficiadas en las capacitaciones y las reuniones del núcleo.”</i> (PPA Evaluation Report, 2007-2008, p. 28)</p>

### 2.3.2.3 JC 63 Environmental sustainability

Initially, ProRural was focussing on productivity and economic development; some environmental issues were taken into account; environment became a major concern with the new version of ProRural (ProRural Incluyente 2010-2014).

#### Evidence on indicator level

Indicator	Evidence
<p>I-631 The achievement of project</p>	<p>ProRural included environmental aspects in the implemented initiatives:</p> <ul style="list-style-type: none"> <li>• <i>“201 Iniciativas económicas promovidas por el IDR que incluyen aspectos de manejo ambiental, y se ha llegado a</i></li> </ul>

results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	<p>23,089 personas que participan en las iniciativas económicas del IDR con aspectos de manejo ambiental.” (Mid-term Review, p. 46)</p> <ul style="list-style-type: none"> <li>• “Se implemento 1 Programa de Educación Ambiental en el sector formal, e informal en Rivas. Se integraron 20 centros educativos, se ejecutaron 138 Planes de Negocios/Empleo con actividades ambientales incorporadas y en ejecución, y se elaboraron 807 diagnósticos sobre la situación ambiental a fincas de 840 familias beneficiadas por el programa.” (Mid-term Review, p. 46)</li> </ul>
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	<i>The bono productivo package in ProRural focussed mostly on hand-out ; the bono productive under ProRural Incluyente is a ‘package’ with an emphasis on climate change adaptation providing hand-outs (extensive instead of intensive cattle), training, environmental friendly land husbandry practices, disaster risks mitigation, little use of pesticides.</i>

#### 2.3.2.4 JC 64 Quality of exit strategy

No exit strategy has been in place; GOV replaced donors and looked for alternatives through grants for the new ProRural Incluyendo starting in 2010.

##### Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	Since 2009, many donors are no longer involved in ProRural ; therefore, the new ProRural Incluyente is partly funded by grants and basket funds; this has resulted in GOV lobbying more.

#### 2.3.3 EQ7 To what extent have programmes lent themselves to scaling-up?

##### 2.3.3.1 JC 71 Appropriateness of programme design for scaling up

No information.

##### Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up	No evidence available to the Evaluation Team.

programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	
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### 2.3.3.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Gender specific activities through the bono productivo and support to associations were the most successful activities; over 1 out of 2 beneficiaries took advantage of the support by increasing its agricultural capital basis. The new ProRural Incluyendo was scaled up by including peri-urban communities.

#### Evidence on indicator level

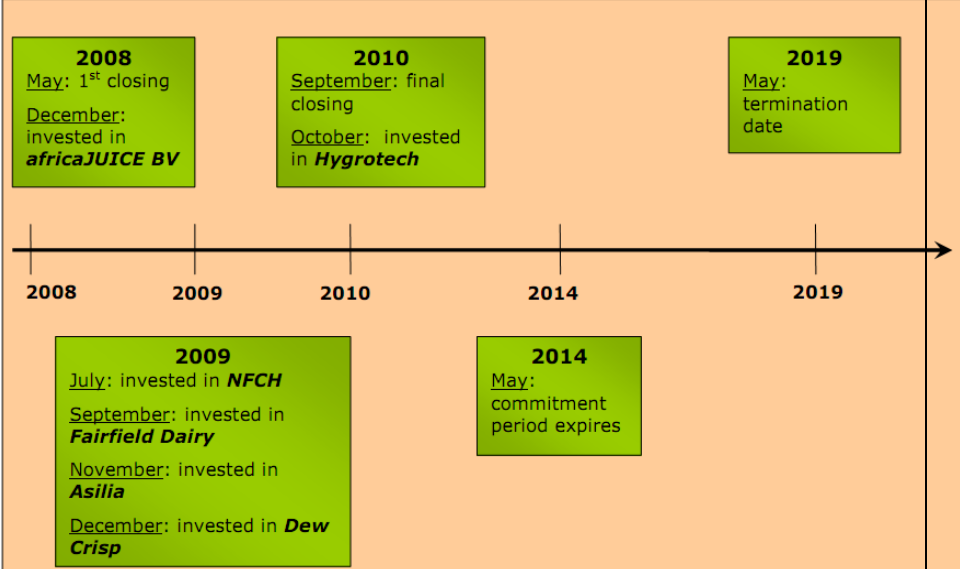
Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	A major success story is the way women organised themselves after receiving support & trainings, in particular the evolution from cells ('nucleos') to associations & cooperatives and understanding their rights.
I-722 Evidence of an effective learning process with a high adoption rate	Over 50% of beneficiaries reach a development level when they start accumulating capital (productive accumulation dynamics)
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	ProRural was transformed into ProRural Incluyente by 2010 (expanded version that included also peri-urban communities).



### 3 Regional Interventions

#### 3.1 Agri-Vie (NFF1003 – 393)

Intervention title	Agri-Vie
Agreement partner (name)	Agri-Vie: Africa Agrobusiness Investment Fund
Type of agreement partner	Other countries private sector
Agreement nr.(s)	NFF1003 – 393
Country / region	Sub Saharan Africa
Implementing partner	Agri-Vie http://www.agrivie.com Managing Director: Herman Marais hermanm@agrivie.com +27 21 913 5662 (t) +27 (0)83 377 6234 (m) Shares in Agri-Vie Investment Services are held by Sanlam Private Equity (24.9%), SP-aktif (50%) and a broad based black business consortium (25.1%).
Programme officer:	
Extending agency	Norfund Vegard Benterud (project manager for Agri-Vie) Vegard.Benterud@norfund.no Tim Lund (responsible for social, environment and government issues) <a href="mailto:Tim.Lund@norfund.no">Tim.Lund@norfund.no</a>
DAC Sector	Main sector: 311 – Agriculture Sub sector: 93 - Agricultural financial services
Intervention start & end dates	30/5/2010-30/5/2014 (drawdown cut-off date for investing new money); Investments will be followed up until 2020. The first “closing date” (collecting of funds) was 2008, inviting additional investors to join until 2010. That was the year when Norfund agreed to invest the approved amount. However, not the whole amount was disbursed immediately, but will be so latest in 2014, when the investment period of the fund will be terminated.
Budget Approved amount Agreed amount Disbursed amount	The investment agreement was made in South African Rand, wherefore the sum of approved NOK is changing every year. R 75.000.000 = 58.475,000 NOK (source: Annual Report 2011) = 64.9 Mio NOK (source: Annual report 2010) The total fund will be limited to 700 million ZAR/ (equiv. 90 million USD). The level of 75 million ZAR had to be reached to be allocated a seat on the advisory board (condition for Norfund, no information on other investors).
Main stakeholders	<u>Partners</u> Sanlam Private Equity (“SPE”), SP-aktif Investments (Pty) Ltd (“SP-aktif”), Makotulo BEE Consortium <u>Investors:</u> Not to be disclosed
Number of beneficiaries targeted	Available information on number of beneficiaries targeted is relatively scarce. The only information related to AgriVie states that “ <i>AgriVie will contribute to employment in the agricultural sector which comprises an estimated 25% of rural household incomes in Sub Saharan Africa. The fund’s investment in five transactions has supported approximately 2300 jobs.</i> ” (source IC approval, Norfund)  For AfriJuice it is mentioned that due to collaboration with an outgrower incubator project “ <i>income and food security of around 1000 households</i> ” will be increased. Source: Annual development impact report, May 2011)
Intervention description	The Agri-Vie Fund (AVF) is a specialized private equity fund with a target

	<p>size of ZAR 700 million (USD 90 million). The fund was initiated by SP-aktiv and Sanlam Private Equity with the cooperation of South Africa and international investors as well as the Makotulo Consortium.</p> <p>Promoters are Sanlam Private Equity and SP-aktiv Investments (Pty) Ltd, constituted through a <b>South African En Commandite Partnership</b>.</p> <p>The Fund will exclusively focus on investing in the agricultural sector in Sub Saharan Africa..</p> <p>While the Fund will have some exposure to early stage businesses, its <b>predominant investment focus will be on later stage investments where capital is allocated to the development and expansion of existing ventures.</b></p> <p>The Fund's main investment focus will be on the <b>value added components of the agricultural value chain</b> involving processing, distribution, marketing and branding as well as services. This Fund will aim to be developmental in its application of capital in the agricultural sector. (source: <i>In principle 2010, approval document</i>)</p> <p>The Fund comprises two independent and autonomous legal structures ("vehicle") that co-invest on a pro-rata basis into the investment territory. One Mauritian Protected Cell Company (PCC) and one South African LP.</p> <p>Norfund invests in the South African legal entity.</p> <p>Mauritian Protected Cell Company = offshore vehicle of the fund.</p> <p><i>Figure 1: Timeline for the AgriVie Africa Investment Fund</i></p> 
Investment strategy	<p><i>"Agri-Vie states its mission to be "to generate an above average investment return, as well as demonstrable socioeconomic development impacts through its equity investments",(..) Agri-Vie's investment model, investing in vertically integrated food and agribusinesses that offers off-take opportunities to contract farmers and outgrowers goes hand in hand with technical assistance that empowers emerging farmers with know-how on good agronomic and business practices," (H Marais, manager of AgriVie, in article of business day, 22/11/2012,</i></p> <p>The following sub-sectors relate to the <b>investment focus</b>:</p> <ul style="list-style-type: none"> <li>• Food and beverage FMCG</li> <li>• Convenience foods, including fresh packed and prepared foods</li> <li>• Protein products including from poultry, aquaculture and beef</li> <li>• Value added dairy products, including yoghurts, desserts, cultured milk</li> <li>• Health &amp; wellness products/ nutraceuticals</li> <li>• Forestry and timber products</li> <li>• Agricultural inputs including seeds, bio-friendly fertilizers and crop-protection</li> </ul>

	<ul style="list-style-type: none"> <li>• Food logistics – cold chain, warehousing, distribution</li> <li>• Renewable energy</li> <li>• Eco-tourism (following the Integrated rural development concept) (<i>agreement document</i>)</li> </ul> <p>The <b>development related investment criteria</b> include:</p> <ul style="list-style-type: none"> <li>• A demonstrably positive impact in general on rural socio-economic development: wealth creation, rural employment, entrepreneurship, diversification of the economic base;</li> <li>• Participation by local entrepreneurs and shareholders in ownership &amp; management;</li> <li>• Utilisation of local resources;</li> <li>• Socially and environmentally sustainable;</li> <li>• Sound corporate governance</li> <li>• The prevailing codes on black economic empowerment (BEE) apply to each transaction (=involvement of local entrepreneurs and shareholders in the ownership and management of its investee companies; esp. participation by previously disadvantaged individuals; <b>Market access and other benefits to emerging farmers; improved participation opportunities for women in food and agribusiness</b>)</li> </ul> <p>(<i>source: website</i>)</p> <p>Exclusion are mentioned within the agreement document:</p> <ul style="list-style-type: none"> <li>• Not invest more than 20% of the total commitment in any one investment</li> <li>• Invest primarily in South Africa</li> <li>• Not invest in start-up projects</li> <li>• Not invest in any pooled funds</li> <li>• Not invest in countries outside of sub-Saharan Africa</li> <li>• Not make any investments relating to the cultivation or use of palm oil</li> <li>• Not invest in listed investments</li> </ul> <p>(<i>agreement document</i>)</p>
Programme background & history	<p>AgriVie Fund (“AVF” or “The Fund”) was approved in principle by the Norfund Investment Committee (IC) on 15 April 2010 after the assessment that the Fund has an overall risk rating of high (Norfund is supposed to only invest in high risk projects, as others will be covered by “commercial” investors).</p> <p>(<i>source: Final approval 2010</i>).</p>

### Project objectives and activities & expected results

Overall objectives/ development impact	<p>Of Agrivie: see above.</p> <p>Reformulation of the objectives by Norfund in its investors committee document:</p> <ul style="list-style-type: none"> <li>• Provides risk capital to SMEs (rather medium than small) in the agricultural sector where there is currently a significant need for financing which other private equity funds are not addressing</li> <li>• Contribute to <b>employment in the agricultural sector</b>.</li> <li>• Contribute to <b>efficiencies within agricultural sector</b>.</li> <li>• Contribute to <b>outgrower programs</b> where relevant.</li> <li>• Contribute to <b>knowledge transfer in the agricultural sector</b></li> </ul> <p>(<i>source: Norfund Investment committee approval document</i>)</p>
Specific objectives	Depending on the individual funding, see below
Expected results	Depending on the individual funding, see below
Main activities specify agri. Activities for enviro. Interventions) Investments	<p><b>Funds transactions :</b></p> <p>Until today (2012) the fund has invested in 7 companies:</p> <ul style="list-style-type: none"> <li>• AfricaJUICE (an Ethiopian producer of tropical fruit juice) (further</li> </ul>

	<p>description of activity, see below)</p> <ul style="list-style-type: none"> <li>○ Introducing new juice technologies</li> <li>○ Facilitating off-take opportunities for small holder outgrowers</li> <li>● New Forest Company (a pan east African forestry and timber company)</li> <li>● Asilia Lodges &amp; Camps (eco-tourism resort in Tanzania) <ul style="list-style-type: none"> <li>○ Expansion of ecotourism operation</li> </ul> </li> <li>● Fairfields Diaries (a dairy company in Kwa-Zulu/Natal South Africa) <ul style="list-style-type: none"> <li>○ Expansion of value added dairy operation</li> </ul> </li> <li>● Dew Crisp (provider of convenience foods)</li> <li>● Hygrotech (market leader in vegetable seed marketing and distribution), (further description of activity, see below)</li> <li>● HIK (abalone farm/ Aquaculture) <ul style="list-style-type: none"> <li>○ Expansion of existing business</li> </ul> </li> </ul> <p>(source: final approval 2010, SEMS Report 2012)</p> <p>Post investment, the investment team actively works with investees to optimise the business success of the company as well as its impact performance. Where relevant, technical assistance is provided by the investment team as well as through a <b>dedicated Technical Assistance Facility</b>.</p>
List of available documentation for the intervention	See bibliography

### Exemplary investments made by Agri-Vie

<p><b>Hygrotech</b>, description of activities</p>	<p>Hygrotech is the market leader in vegetable seed marketing and distribution, founded in 1984. It pioneered the development of F! hybrids in SA vegetable industry.</p> <p>Products:</p> <ul style="list-style-type: none"> <li>● Vegetable seeds, green manures, pasture and fodder crops</li> <li>● Softer agricultural chemicals, adjuvants and soluble nutrient mixtures</li> <li>● Biological insecticides, fungicides and fertilisers</li> <li>● Seedling production systems</li> <li>● Mechanical seeder and transplanters</li> </ul> <p>The aim is to reach commercial as well as emerging farmers.</p> <p>Defined impact initiatives:</p> <ul style="list-style-type: none"> <li>● Black Economic Empowerment (BEE)<sup>1</sup> contribution,</li> </ul>
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<sup>1</sup> Black Economic Empowerment (BEE) is a programme launched by the South African government to redress the inequalities of Apartheid by giving previously disadvantaged groups (black Africans, Coloureds, Indians and some Chinese) of South African citizenship economic privileges previously not available to them. It includes measures such as Employment Preference, skills development, ownership, management, socioeconomic development, and preferential procurement.

#### **BEE and AGriVie**

In the **broader Sub-Saharan** context, Agri-Vie supports BEE through its focus on the involvement of local entrepreneurs and shareholders in the ownership and management of its investee companies.

In the context of **South Africa**, Agri-Vie is committed to the BEE principles and practices as embodied in the prevailing Codes on Broad Based Black Economic Empowerment. Agri-Vie's own governance and management structures furthermore reflect active participation by previously disadvantaged individuals.

Against the above background, Agri-Vie's South African transactions reflect:

- Equity participation by historically disadvantaged persons;
- Participation by historically disadvantaged persons in the management and control of investee companies;
- Market access and other benefits to emerging farmers;
- A focus on improved participation opportunities for women in food and agribusiness;
- Work force skills development and training;
- Application of appropriate procurement practices;
- Participation in social corporate investment.

	<ul style="list-style-type: none"> <li>• ABET (adult learning centre)</li> <li>• emerging farmers programmes</li> </ul>
<p><b>Africa JUICE,</b> description of activities</p>	<p>AfricaJUICE Tibila Share Company (TSC), acquired 3 previously state-owned geographically separate, mainly vegetable farms in the Upper Awash area of Ethiopia on 9 April 2009. The combined estate of 1,334 hectares is referred to as Tibila. These were mainly vegetable farms with some existing fruit orchards, some of which are gradually being converted to drip irrigation tropical fruit plantations over a period of approximately five years. The farms will continue to produce short cycle vegetable crops as a source of cash flow during the transition phase. AfricaJUICE established a fruit juice processing plant on the property in 2010, which processes tropical fruit from its own farms, as well as fruit supplied by outgrowers. The initial focus of the business will be on the export market and the company plans to develop a national market strategy at a later stage.</p> <p>The <b>outgrower incubator project</b> is a key part of the sustainable development strategy, In total 1,1 million USD are planned for the initiative until 2014. Further to this amount, Rabobank Foundation have also committed USD 0.5 million to purchase the equity in aJ-TSC on behalf of the local community which was transacted in June 2009. The aim of the project is to have established 600 ha by 2014 and over 1,000 hectares by 2016</p> <p><b>Outgrower Incubator project</b> consists of the establishment of outgrower co-operatives that will be contracted to supply fruit to africaJUICE for processing. The key elements are</p> <ul style="list-style-type: none"> <li>• <b>Grant funding</b> from a partnership between aficaJuice and development organisations such as the GIZ, ICCO, Rabobank: establishment of demonstration plots, implementation of a technology transfer plan, capacity building support to outgrowers, etc.</li> <li>• <b>Community Trust Equity Share Scheme:</b> The Community Trust shareholding will see the direct flow of dividends to the participants in the Outgrower Incubator project and the shareholding itself provides an asset that can be used as collateral when applying for commercial finance. The Community Trust has been established in the second quarter of 2011. Rabobank Foundation funded the Community Trust's acquisition of a 5% shareholding in AfricaJuice.</li> <li>• <b>Fairtrade Value Chain:</b> Provides a transparent commercial structure, with minimum prices defined, plus a Fairtrade premium to be paid to the farmers' Joint Body, which can be used for social infrastructure development. .</li> </ul> <p>The company, which employs between 2000 and 2500 people depending on season, will apply for Fair Trade accreditation.</p> <p>Defined impact focus areas:</p> <ul style="list-style-type: none"> <li>• Forex earnings,</li> <li>• new industry establishment,</li> <li>• job creation, out growers,</li> </ul>

## Cluster 1: Contribution to Food Security

### 3.1.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 3.1.1.1 JC 11 Alignment with partner country food security policies/strategies if available

No explicit alignment to national food security policies or food security consideration is sought by AgriVie.

##### Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	No alignment of the AgriVie Investment Fund on a specific national food security policy. For the Hygrotech and AfricaJuice projects: no alignment sought to the national food security strategies ( <i>source: interviews</i> ). This is especially evident for AfricaJuice which primary objective is to target the export market.
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Food security objective are not explicitly included in the investment criteria, however, the preliminary assessment of social and environmental factors that all new investment requires, are likely to highlight risks to food security from the planned investment Especially development goals that should drive the investments are formulated (and which have an impact on food security situation) <ul style="list-style-type: none"> <li>• A demonstrably positive impact in in general <b>on rural socio-economic development</b>: wealth creation, rural employment, entrepreneurship, <b>diversification of the economic base</b>;</li> <li>• The prevailing codes on black economic empowerment (BEE) , meaning; <b>Market access and other benefits to emerging farmers; improved participation opportunities for women in food and agribusiness</b>)</li> </ul>

#### 3.1.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

On the AgriVie fund level no evidence of collaboration with e.g. other private equity funds could be found. On company level, the Africa Juice company has engaged in an interesting collaboration with development partners, such as the RaboBank foundation and GIZ to fund capacity building activities for out grower farmers in the “out grower incubator project”. For health projects within the company such as HIV/AIDS or Malaria awareness raising, AfricaJuice is working jointly with local NGOs. No gap analysis has been available to the evaluation team. The non-existence of this document might be the result of different documentary requirements for investment projects as for classical development programmes.

##### Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural	<b>On the AgriVie Investment Fund level:</b> The appraisal/approval documents include a mapping of other investments structures in this field (Competitive landscape). The

<p>projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)</p>	<p>Norad investment committee stated in this same document that there should be more co-operation between the different departments (Funds and Industrial Partnerships departments) on Agricultural investments / Funds. As outcome of the discussions, it was agreed that a representative of Industrial Partnerships will most likely also attend the Advisory meetings of the Fund. <i>(source: approval doc)</i></p> <p>However, the interviews with representatives from Agri-Vie do not provide evidence for a close cooperation with these stakeholders. <i>(source: approval document)</i></p> <p><b>AfricaJuice:</b></p> <p>The Africa Juice company is closely cooperating with the Ethiopian government by a Joint Venture with regard to the Upper Awash Project. The main objectives on governmental side were to extend the Ethiopian export and to introduce new technical capacities.</p> <p>An interesting feature of their business activity is the collaboration with development partners on an “outgrower incubator project”. Out grower are trained in passion fruit plantation. This should increase income and food security of around 1000 households.</p> <p>Furthermore, Africa has developed a health and safety policy. In the framework of this policy, works closely together with 2 NGOs offering in-house educational programmes on HIV/AIDS for staff and distributing flyers and condoms in the area. <i>(Source: Annual development impact report, May 2011)</i></p>
<p>I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps</p>	<p>The requirements for an investment fund are different compared to classic development programmes. The partnership agreement between AgriVie and their investors does not state explicitly a gap section.</p> <p>Even if no other documents have been available to the evaluation team, it can be assumed that the sector has been screened carefully before setting up the investment fund., as the Norfund approval document translates as following: <i>“there is currently a significant need for financing by SMEs in the agricultural sector. Moreover, very few private equity funds invest in the agricultural sector, and those funds have a different geographic and transaction type mandate.”</i> <i>(source: approval doc)</i></p>
<p>I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work</p>	<p>Not relevant.</p>

### 3.1.2 JC 13: Relevance of project intervention according to final beneficiaries

Not investigated (Light Case Study).

#### Evidence on indicator level

Indicator	Evidence
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I-131 Project intervention reflect priorities and needs of final beneficiaries	No interviews with beneficiaries were conducted as this is a Light Case Study.
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### 3.1.3 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

#### 3.1.3.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

Improving local and national food availability can be an impact of AgriVie investments, as the investments mostly focus on the agricultural production sectors. Furthermore, the companies benefitting from the investments have engaged in realising social-economic development outcomes. This translated in training how to use new technologies and agricultural practises or access to better agricultural inputs for emerging farmers or out growers (e.g. seeds). Those activities are assumed to have a positive impact on food production. Furthermore, an investment field of AgriVie is infrastructure for post-harvest loss reduction.

##### Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	No evidence, but not likely to exist as not relevant for the Investment fund.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	<p>The approval documents states the result of contributing to knowledge transfer of best practices within the agricultural sector (<i>source: approval doc</i>). The investments done by AgriVie are therefore likely to contribute to increased food production.</p> <p><b>Some examples :</b></p> <p>In its 16<sup>th</sup> quarterly report it is stretched that the Fund’s investment strategy is to invest in components of the food and agri-value chain and especially with capital allocation towards primary agricultural production (<i>source: 16<sup>th</sup> quarterly report</i>). This is e.g. the case of <b>Africa juice</b>, which has acquired land for fruit tree plantation. 600 ha of passion fruit, 300 ha of mango and 300 ha of papaya and avocado). However, the fruit juices are mainly for export.</p> <p>Furthermore, the 11th quarterly report highlights that 13 ha of passion fruit for the first out growers have been completed with intercropping of vegetables with the aim “<i>to ensure food security and provide cash income for the farmers while waiting for first passion fruit harvest</i>”.</p> <p><i>Source: Quarterly report 11th, Feb 2011</i></p> <p>AgriVie is also looking at the issue of post-harvest losses (PHL). The 12<sup>th</sup> quarterly report share reflections on PHL and the</p>



	<p>investment possibilities, especially engaging public and private stakeholders: “Several interventions have been introduced among the small holder farming communities of SSA over the years. These include <b>improved handling and storage technologies</b> (such as <b>metal silo’s</b>), <b>revolving funds</b> and <b>warehouse receipting systems</b>. However, the <b>market uptake of these interventions has been generally low</b>. While there are many reasons for this low uptake, two appear to be particularly important: the lack of an economic incentive for farmers to reduce PHL (traditionally low commodity prices) and cultural factors, e.g. the time it takes to adopt new practices and technologies. In addition, physical infrastructure such as silo’s established by government agencies in the past, has not been optimally managed in terms of systems and service orientation. More recently, the economic incentive landscape appears to be changing. Commodity prices appear to have entered a sustained higher pattern. (..) The Agri-Vie Fund has identified commodity storage and logistics as a sector of interest to its investment programme, especially in East Africa. The Fund’s investment team is actively engaging with role players in the private and public sectors in countries such as Kenya, Tanzania and Uganda with a view to partnering investment in improved infrastructure for commodity handling and storage.”</p> <p>In the case of <b>Hygrotech</b>, selling inputs such as seeds, fertilizer etc. and at the same time ensuring the transfer of skills and technology through trainings and capacity building of emerging farmers is likely to increase food production (emerging farmers programme). (source: 16<sup>th</sup> quarterly report).</p>
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### 3.1.3.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

AgriVie funded investments are likely to increase food accessibility, mainly through the increase of income. Job creation is one of the development objectives of AgriVie. . Most AgriVie partner companies have engaged in training and capacity building programmes for supplying farmers as well as outgrower programmes. All companies have signed a MoU between AgriVie and the investees committing the companies engaging into “maximise(ing) the participation of small and micro-enterprises in the supply chain and distribution models of the company”.

#### Evidence on indicator level

Indicator	Evidence
<p>I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)</p>	<p>The Outgrower incubator project (AfricaJuice) has established a baseline for future impact assessment. In the report 2012 one can read: “Food security is the main issue for these farmers – 54% of farmers are food insecure for more than three months per year. Other issues that these farming families have faced in the last five years: food shortage, drought, livestock disease, erosion and crop price failure.” (source: Outgrower Incubator Project overview, Nov 2012)</p>
<p>I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible</p>	<p>No data available.</p>

(e.g. increased number of meals per day) at households/individual levels in targeted areas	
<p>I-223</p> <p>Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)</p>	<p>Companies benefitting from the investments have engaged in realising social-economic development outcomes, notably contributing to employment in the agricultural sector; diversification of the economic basis, market access to emerging farmers and the inclusion of disadvantaged individuals.</p> <p>The Norfund approval document states: <i>“AgriVie will contribute to employment in the agricultural sector which comprises an estimated <b>25% of rural household incomes in Sub Saharan Africa. The fund’s investment in five transactions has supported approximately 2300 jobs.</b>”</i> Furthermore: <i>“Agribusiness activity has significant <b>multiplier effects</b> on employment patterns in rural areas with growth in commercial agribusinesses creating momentum for other, indirectly related services and goods. <b>Two of the fund’s current investments have led to the establishment of out grower programs.</b> The fund manager is committed to extending the number and reach of out grower programs.”</i></p> <p><i>(source IC approval, Norfund)</i></p> <p>This reads in the annual development outcome report as followed:</p> <p><i>“The main objective of any private equity fund would be to deliver an above average annual financial return to investors. The Agri-Vie Africa Investment Fund: Food &amp; Agribusiness (Agri-Vie) is no exception, but Agri-Vie has also committed to work with its portfolio companies to optimise their development impact. Specific areas of impact include:</i></p> <ul style="list-style-type: none"> <li>• <b>Stimulating employment growth</b> cost-effectively;</li> <li>• <i>Providing a fair, equitable and safe working environment for workers;</i></li> <li>• <i>Contributing to the capacity building and development in the industry;</i></li> <li>• <i>Ensuring that products and/or services are produced responsibly;</i></li> <li>• <b>Empowering individuals and surrounding communities;</b></li> <li>• <i>Embedding sound corporate governance and management practises;</i></li> <li>• <b>Building linkages between established and emerging agribusinesses;</b></li> <li>• <i>Ensuring environmentally responsible and sustainable business development; and</i></li> <li>• <i>Maximising economic contribution.</i></li> </ul> <p><i>(source: Development Impact Report, 2011, AgriVie)</i></p> <p>The Memorandum of Understanding related to environmental, social, governance and sustainability objectives, signed between AgriVie and the investees states the inclusion of external suppliers or distributors as one of its objectives : <i>“To maximize the participation of small and micro-enterprises in the supply chain and distribution models of the company”</i> (source MoU on ESG &amp; Sustainability)</p> <p>Several companies have therefore engaged in training activities of farmers or formulated out grower programmes.</p> <p><b>Hygrotech</b> e.g. has approved an employment Equity Programme and a Programme of ‘preferred supplier of inputs and skills and knowledge transfer to developing/emerging farmers in Northern Natal’ . In 2012 Hygrotec has done business with 29 emerging</p>

	<p>farmers/micro enterprises.</p> <p><b>Africa Juice</b> has also an out grower programme “Outgrower incubator project), which is financially supported by international development partners and foundations In 3 years this programme aims at:</p> <ul style="list-style-type: none"> <li>• support the creation of 700 hectares of outgrowers</li> <li>• significantly increase the income and food security of the communities local to the Tibila Farm</li> <li>• implement appropriate technology to minimise the pressure on critical resources such as water</li> <li>• create a smallholder organisation that is a reliable business partner to the africaJUICE Tibila Share Company</li> <li>• create a cooperative structure that is empowered through the Community Equity Share Scheme to access local loans</li> </ul> <p>The <b>GIIRS</b> rating for AfricaJuice rates the impact Areas “Workers (focus on how the company treats its workers through compensations, benefits, training, ownership and work environment) as very good (5 stars and 30,1 points out of 29+). The ranking it slightly less for the impact area “communities”, is ranked with 3 out of 5 possible stars. This includes the aspect “job creation, which is ranked quite high (between 80-100%). Slightly lower is ranked the sub-category “local involvement” (60-80%), the sub-category with the lowest score is “diversity” =0 points.</p>
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### 3.1.3.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

The AgriVie Investment Fund is likely to increase food stability through increased production and purchasing power of its outgrower / supplying farmers (see JC 21 and 22). No data available on changes in food stability..

#### Evidence on indicator level

Indicator	Evidence
<p>I-231</p> <p>Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)</p>	<p>Not relevant</p>
<p>I-232</p> <p>Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual</p>	<p>No data available on reduced periods of shortage, however increased production and purchasing power might reduce the length of food shortage periods. Not an objective of the Investment fund nor of the companies which get investments.</p>

level in targeted areas	
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### 3.1.3.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

The AgriVie Investment Fund is likely to enhance food utilization. Some side activities such as social responsibility projects of the companies touch upon nutrition (e.g. staff canteen in the AfricaJuice Company, or promotion activities in schools (Hydrotec) but on a very small scale.

#### Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	The Outgrower incubator project (AfricaJuice) baseline study highlights: "The annual total income for farmers the period between 2007 – 2010 ranged between approximately 1,000 ETB and 15,000 ETB (100 to 1,500 USD)."
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	No data available/ Not objective of the Investment fund nor the companies which get investments. Some side activities such as social responsibility projects of the companies might contribute to an enhanced nutritional status. E.g. Hydrotec has published a manual for vegetable cultivation at schools, called "Nutrikids". This manual has been received support from the <i>AgriVie Technical Facility</i> . AgriJuice provides all employees staying on the farms with housing, including free water and electricity, whilst employees not living on the farms receive a housing allowance and are transported to and from work. The company subsidises the staff canteen and there are also schools at the staff living premises. (source: annual development impact report 2011)

### 3.1.4 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

#### 3.1.4.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

This indicator cannot be answered in depth due to the non-existence/availability of data and/or the fact that the activities were started very recently (e.g. in the case of Africa Juice). In the case of AfricaJuice, trends show an increasing food production (vegetable and commercial passion fruits) resulting in an increased income of the farmers.

#### Evidence on indicator level

Indicator	Evidence
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<p>I-311 Increased (achieved or expected) food production in targeted areas</p>	<p>AgriVie is not reporting on this at the investment fund level. Data on company level are scarce (<i>Data might be available in the company's quarterly reports, e.g. Africa Juice, not available to the evaluation team</i>).</p> <p>According to the documentation, Africa Juice is underperforming and is behind the production target due to weather conditions (data 2011).</p> <p>On the other hand, Africa Juice has in its outgrower project 14 ha of passion fruit planted and 52ha will be planted for end of 2012;10 ha are under drip irrigation. Furthermore, 3 other trial plots have been planted, with local farmers intercropping with e.g. onions and beans. The report highlights that "<i>Current farming levels are relative low. Key focus is also on technology transfer, to give the local farmers access to drip irrigation for instance</i>". It further states: <i>The africaJUICE Outgrower Incubator Project has facilitated the delivery of year-round irrigation water to the farmer group part of the baseline (Tibila Irrigation project). It has also delivered year-round irrigation water to a large group of smallholder farmers &gt;6,000 hectares. Based on a rotational crop mix of onions, tomatoes, teff and maize, average income is estimated at USD 1,800 per hectare and the gross margin per hectare is estimated at USD 800 - 1,000 per hectare.</i>" During 2011 the farmers achieved an income on average of <b>USD 1,800 per hectare from intercrops</b> alone, mainly as a result of high onion prices.</p> <p><b>Yields from passion fruit plantation:</b> <i>The achieved yields per hectare were on average 20 tonne of passion fruit per hectare, with the best producing farmers (who cared well for their plot) nearing 40 tonne per hectare. During 2011 the international passion fruit market was at a low and only the minimum FT price of USD 165 per tonne could be paid to farmers. Average income levels nevertheless reached USD 3,300 per hectare from passion fruit. The best producing farmer achieved income of almost USD 6,600 per ha per annum at minimum price, which would have been ca. USD 8,000 had the expected average price of USD 195 per tonne been applicable. This farmer's gross margin for passion fruit alone would then have exceeded <b>USD 3,500 per annum per hectare.</b></i> (source: Outgrower Incubator Project overview, Nov 2012)</p> <p>In the long run, the project is likely to increase food production as it has introduced new technologies (fruit manufacturing) as well as new commercial crops (passion fruit) to Ethiopia. Although main production is for export, the fruits continued to be sold on local markets.</p>
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#### 3.1.4.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

This indicator cannot be answered due to the non-existence/availability of data

##### Evidence on indicator level

Indicator	Evidence
<p>I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas</p>	<p>AgriVie is not reporting on this at the investment fund level. No data available at company level.</p>

### 3.1.4.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

The companies in which AgriVie invested have contributed to enhance food stability mainly through the job creation, hence increasing the family income, especially in rural and semi-rural areas. Although the number of jobs created is today still small, it is likely that this changes positively in the coming years, according to the development impact report. Furthermore all companies pay a wage that is in line or higher than the local standards. Furthermore, the companies of the portfolio contribute to economic development e.g. through their commitment to realise local or at least in-country procurements or through the improvement of FOREX earnings. AfricaJuice in particular has a supplier policy in place requesting specific standards from their suppliers, such as e.g. sustainable managed land/forests for wood products.

#### Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No figures available to the evaluation team.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	No figures available to the evaluation team.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	<p>The Development Impact Report, May 2011, evaluating all investments of AgriVie (excluding Hydrotec) found that all 5 companies of the portfolio are creating employment opportunities in mainly rural or semi-rural areas. In the area of NFC the company was the first formal employer in the area. Both africaJUICE and NFC are currently creating mainly seasonal employment, but definite strategies are in place in both instances to ensure growth in permanent job creation going forward.</p> <p>All portfolio companies pay a standard entry level wage that is in line with or more than the local statutory minimum wage or a comparable minimum wage.</p> <p>All portfolio companies educate employees about communicable diseases, thereby contributing to reducing the prevalence of diseases such as AIDS and malaria and Dew Crisp and Fairfield Dairy have developed communicable disease policies.</p> <p>The impact development report gives also figures on the economic performance and concludes <i>"In the economic impact category, the Fund is also an excellent contributor with a score of 83.1%. All portfolio companies, despite recent poor financial performance in some instances, are well positioned going forward and have clear strategies for growth and facilitating market expansion. A clear commitment to in-country procurement and employment is evident."</i></p>

Figures on economic value and forex and their comparison between the different AgriVie investments, can be found in the annual development reports

#### **AfricaJuice:**

##### Job creation

On a purely exemplary basis (no longer timelines available): The company inherited of employees of the farm as part of the agreement with the government when taking over the farm in 2009. After one year of operation (Dec 2010), the number of salaried persons had been risen of 32,1%. This split into an increase of 8% of full time staff (14 employees in total) and an increase of 116% in part time employees (56 in total). In the future, It is expected that the demand for permanent employees will increase with the expansion of the passion fruit plantation. Furthermore, the labour intensive growing and processing of fruits is expect to create more seasonal employment in rural communities in the short terms, and in the long term create permanent jobs.

With respect to the employment conditions, the wages paid by Africa Juice are of a minimum of 482 birr per month, which is 1,5 times the minimum wage for a public sector employee. Full time employees benefit of a pension fund and a life insurance. Employees and their dependants have **free access to a clinic**, of which **one has been established on each farm**, and the community has access to medical services at cost. All employees staying on the farms are provided housing, including free water and electricity, whilst employees not living on the farms receive a housing allowance and are transported to and from work. The company subsidises the staff canteen and there are also schools at the staff living premises.

According to the development impact report, the aim of the Outgrower Incubator Project is to increase the income of participating farmers to more than USD2,500 per annum compared to a current average yearly household income of between USD550 and USD1,100, thereby making a significant contribution to alleviate poverty in the community: *“AfricaJUICE has just started to facilitate market expansion through the Outgrower Incubator Project, which will have a significant impact on subsistence farmers in the surrounding communities by increasing their earning potential. The transfer of technical and commercial knowledge and skills will enable farmers to achieve long-term sustainable growth. The equity stake in africaJUICE held through the Community Trust will also provide collateral for further growth and expansion. AfricaJUICE is committed to implement best-in-class agricultural practices and any knowledge gained will be transferred to the outgrowers. The established processing facilities guarantee a market for quality outgrower produce.”*

##### Supply chain management:

The company has had a supplier contracting policy in place since May 2009 and only contracts suppliers and contractors that subscribe to the business principles of africaJUICE. Suppliers that are non-compliant are rejected. One example of responsible purchasing practices is the wooden poles used for the passion fruit trellises that are purchased only from **sustainable and managed forest enterprises in Ethiopia**.

*(source: annual development impact report AfricaJuice, May 2011)*

**Hygrotech** e.g. has approved an employment Equity Programme and a Programme of ‘preferred supplier of inputs and skills and knowledge transfer to developing/emerging farmers in Northern Natal’. In 2012 Hydrotec has done business with 29 emerging farmers/micro enterprises. (Source : interview).

**3.1.4.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being**

No data available to the evaluation team.

**Evidence on indicator level**

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No figures available to the evaluation team.

**Cluster 2: M&E and Documentation****3.1.5 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?****3.1.5.1 Appropriateness of programme M&E design**

Reporting requirements exist at all levels of the investment chain (companies to investment fund; fund to investors). From the documents available it seems that “development outcomes” objectives have been determined for each company, but that no specific indicators nor quantified targets have been set (at least not in the document that were available to the evaluation team). Furthermore, the external annual development impact assessment reports predominantly on activity and output level. This could be explained by the fact that the projects have not yet run for a long time and are still in an early phase of development. n

**Evidence on indicator level**

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	<p>Norfund has a standard investment procedure for its investments, not following the standard procedures for development projects. It must be noted that Norfund does not have the possibility to interfere in the investment decision of AgriVie Fund. AgriVie defines a) the investment focus, b) financial investment criteria; c) development related investment criteria d) exclusions for investments.</p> <p>It is presumed that AgriVie specifies the objectives and indicators with each company in which it invests. According to the GIIRS rating: <i>“The investment team appraises and selects these opportunities on the basis of a combination of investment and impact criteria.”</i></p> <p>Outcome development categories are:</p> <ul style="list-style-type: none"> <li>• governance (board functioning, reporting, policies &amp; controls)</li> <li>• workers (employment, job quality, benefits),</li> <li>• training &amp; development)</li> </ul>



	<ul style="list-style-type: none"> <li>• community (host communities, suppliers)</li> <li>• environment (environmental management practices)</li> </ul> <p>With regards to the so-called “development outcomes”, referring to the non-financial outcomes of the companies’ activities, it is interesting to note that those impacts don’t seem to have been qualified (exception being the Outgrower Incubator Project, AfricaJuice, where a baseline has been established and a target of beneficiaries and hectares to be distributed have been set.) Gender segregated data are collected, especially in the field of employment.</p>
<p>I-412</p> <p>Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.</p>	<p>The Stakeholder Agreement between AgriVie and its investors lays down the reporting requirement and meeting schedules as well as the board composition and voting procedures of the board members and the utilisation of the capital injected by AgriVie. This agreement includes a chapter on black economic empowerment, development impacts and the management of environmental and social impact risks, and records the intention of the parties to ensure and comply to these codes of conducts and principles.</p> <p>Reporting requirements are: annual audit and annual social investment report. Furthermore quarterly unaudited reports are provided for the investment partners.</p> <p>The annual social investment report is particularly interesting and shall give information how the investments:</p> <ul style="list-style-type: none"> <li>• are consistent with the cultures and values of the communities in which the Investments are made;</li> <li>• are intended to advance the goals of the Partnership;</li> <li>• are intended to <b>encourage the growth of family and community enterprise</b>;</li> <li>• are intended to build on the <b>existing natural and human resources in rural areas</b>;</li> <li>• are intended to <b>enhance skills development</b>;</li> <li>• reflect the imperatives set out in the Investment Charter;</li> <li>• are intended to <b>create employment and profitable opportunities for vulnerable people living in rural areas</b>.</li> </ul> <p>The partnership agreement also determines the role and functions (as well as the responding times to reports) of the fund manager and the advisory board. It further states that a fee of 0,5% on the first 500 million ZAR of committed capital is used for additional reporting requirements (and developmental monitoring). Furthermore an annual meeting are planned with a) the investors, advisors and partners, b) the companies.</p> <p>The companies are bound to the same reporting requirements than AgriVie to its investors. Once an investment made a draw down note is written that defines how funds are used and what the expected returns are.</p>

### 3.1.5.2 JC 42 Appropriateness of internal M&E strategy and implementation

The reporting as outlined in the agreement documents seems to function very well and is very rigorous and factual, at least for the financial reporting and the direct environmental and social outputs. However, from the documents available, it seems that the “development outcomes” are reported on output level only (annual environmental reporting and annual development impact assessment).

#### Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	The AgriVie management team/director is compiling the quarterly reports for the investors and is also responsible for all communication/reporting issues to the investors. AgriVie is participating in the board of the company in which they invest. It must be assumed that this leads to regular monitoring of the activity.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	Companies as well as AgriVie are reporting quarterly on the financial activity, but this report includes also elements related to the “development outcomes”. Once a year a social and environmental report is compiled by the companies as well as a compiled version by AgriVie.

### 3.1.5.3 JC 43 Adjustment of programme design and/or implementation modality

Although no example of adjustment is known by the evaluation team, AgriVie include an interesting mean to react on performance problems: The technical assistance facility provides supplementary support if needed, especially to achieve development outcomes.

#### Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	No evidence found. According to the GIIRS rating: “Post investment, the investment team actively works with investees to optimise the business success of the company as well as its impact performance. Where relevant, technical assistance is provided by the investment team as well as through a dedicated Technical Assistance Facility. Portfolio reporting covers both financial and impact aspects.” No example of the use of the technical assistance facility is available to the evaluation team.

### 3.1.6 EQ5: To what extent have programme results been documented?

#### 3.1.6.1 JC 51 Availability of documentation of results

The reporting structure is quite clear and defined (how many reports and with which content); from the investees to the fund and from the fund to the investors.

A yearly external assessment is done of the development impacts. It is interesting to note that this assessment does not use project internal targets to measure the performance, but compare performance to international and national standards, legislations or norms, such as e.g. minimum wages. It is very clear and structured, but reports mainly on output (see discussion EQ4).

#### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Companies as well as AgriVie are reporting quarterly on the financial activity (financial performance, business environment, outlook, foreseen exit strategy, general extension plans) but this report includes also elements related to the “development outcomes” (social development aspects, black economic empowerment, environmental aspects) (For 3 of the 5 companies; AfricaJuice and Dew ristp are only reporting on financial and operational issues). Once a year a social and environmental report is compiled by the companies as well as a compiled version by AgriVie. No information on a database.
I-512 Existence and quality of evaluation reports	The annual development impact report is described as an” independent evaluation of the development impact of tits portfolio companies. It has been done in 2012 by Centre for Business in Society at USB Executive Development Ltd. It is interesting to note, that the performance of the companies are not measured according to predefined indicators but are compared to international standards and/or country norms such as e.g. minimum wages, employee turnover average. 7 categories have been evaluated: <ul style="list-style-type: none"> <li>• employment milieu,</li> <li>• responsible business climate,</li> <li>• product/service responsibility,</li> <li>• community engagement,</li> <li>• governance and business ethics,</li> <li>• environmental responsibility</li> <li>• economic impact</li> </ul>
I-513 Existence and quality of other types of documentation of results	No other types of documentation available

### 3.1.6.2 JC 52: Extent to which intervention results have been disseminated

By nature, information on investments and results are not made publically. But AgriVie communicates on the fund and the investments, e.g. through press releases, newspaper articles or its website. Each company has a website which provides e.g. fact sheets on social and environmental projects. To share knowledge between the investees, an annual get together is hold.

#### Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	No evidence of a formulated and explicit dissemination strategy. By nature of the investment fund, most information on results is kept confidential. However, the fund uses media releases to inform the public about successful investments, e.g. on their website. Several articles in business newspaper have been published. Beside this, the companies funded have websites with information on their activity and the possibility to download “factsheets” (in the case of Africa Juice). (source: interview with Rudi Van Niekerk, internet). Furthermore, a quarterly report introduced a formal media monitoring of the media profiles of all Agri-Vie investees
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	Given the nature of the fund, the dissemination tools esp. the press release in business newspaper or short television spots on partner companies. As example, Hydrotec has been invited to inform about compost making for vegetable production in a television production, broadcasted by AgriTV channel. . Press release, on agro-business and food business related topics (e.g. Sept 2012 “bio friendly crop productions as driver of African green revolution; sustainable solution for food security” are regularly published. Furthermore, once a year all companies get together to share knowledge and practices. (annual investee conference).
I-523 Evidence of articles published, presentations in workshops, conferences	No evidence
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	No evidence

**Cluster 3: Sustainability and Scaling up****3.1.7 EQ6 To what extent have programmes been sustainable?****3.1.7.1 JC 61 Financial sustainability/economic sustainability**

The investment fund aims first of all at financial and economic sustainability of the business in which it invests. It is too early for results now as investment period will end in 2020.

**Evidence on indicator level**

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	The performance assessment at the end of the investment period will lay the foundation for the decision on further investments.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	The results achieved by the investments are owned by the respective company and are therefore affordable for succeeding after the funding period.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Depending on the specific investment. However, the fund is characterised by a high rated risk, which refers to an uncertain environment. Therefore it has to be assumed that changes in economic factors are likely to influence the performance of the company in which the fund has invested.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Agri-Vie has committed itself not to invest in start-up projects or companies with no revenue history, in order to ensure a maximum return flow. (source: Partnership agreement) Paying such a high attention to the previous performance of the funded companies, it could therefore be assumed that the supported companies are capable to maintain the benefits from the investment.
I-615 Policy changes are not likely to affect programme activities	Please compare I-613. Policy changes are likely to affect the investments if related to economic/financial issues.

### 3.1.7.2 JC 62 Institutional and technical sustainability

Further to the financial viability it is assumed that the business has acquired the technical capacities through e.g. the Technical Assistance Facility which provides funds for training and capacity building.

#### Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	Likely to have required capacities to continue activities. Please compare I-614. Agri Vie investment team provides technical advice, where needed. Furthermore the fund has a Technical Assistance Facility, which provides funds for training and capacity building activities.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Likely to have required capacities to continue activities. Please compare I-614.

### 3.1.7.3 JC 63 Environmental sustainability

The investments done by AgriVie are increasing environmental sustainability. A good practice is the use of an environment, social governance and sustainability Memorandum of Understanding which is signed between AgriVie and the investees, which requires that the company develops an environmental management system and optimise the positive environmental impacts of its activity. Good environmental practices could be Hydrotec's effort to provide sustainable solutions for crop production, meaning the distribution of naturally bred hybrids seeds with better disease resistance coupled with the production of use of biological friendly organics and soft chemical production. Most other AgriVie financed companies have put in place environmental management systems to reduce their consumption of water and electricity. As an example AfricaJuice can be quoted which has introduced a drip-irrigation system to control and save water and optimise the use of fertilisers. They are also putting into place a system to recycle waste. Concerning the AgriVie Investment fund as such, it is rated by the Global Impact Investing Rating System (GIIRS), which includes also a rating on environmental aspects.

#### Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased	Among AgriVie's basic principles and the selection criteria for investments is their environmental sustainability. For this purpose, AgriVie has set up a social and environmental management system, as explained under I-412. Therefore it is not likely that the results of the project are will damage the environment.

pressure on scarce natural resources	<p>I-632</p> <p>Good environmental practices are followed in project implementation (use of land, water, energy, etc.)</p> <p>Between AgriVie and the investees an <b>ESG</b> (environmental, social and governance (environmental, social and governance objectives) &amp; <b>Sustainability MoU</b> is signed, including “Compliance with national and international ... environmental legislation, regulation and codes” AND “ optimising the positive developmental and environmental impacts”. This means that e.g. the company notify AgriVie within 3 days of any occurrence on social, labour, health and safety or environmental incidents...</p> <p>With regards to environmental impacts, the companies are requested “to develop and implement an <b>environmental management system</b> in terms of which environmental risks are identified and mitigated and the impact of the company is optimised with respect to:</p> <ul style="list-style-type: none"> <li>• Energy and water efficiency</li> <li>• Utilisation of renewable energy;</li> <li>• Waste reduction;</li> <li>• Reduction in the use of hazardous substances and pollution effects.”</li> </ul> <p>According to the AgriVie Development Impact Report, 2011, “all portfolio companies have an environmental management system in place except Fairfield Dairy. AfricaJUICE’s system forms part of the broader SHE management system. Dew Crisp’s environmental management system focuses on waste disposal and water management and the company plans to expand the system. Companies either conduct internal audits and/or external audits such as GLOBALG.A.P, IBL, STEP or FSC evaluate aspects of environmental management practices. AfricaJUICE conducts annual internal audits.”</p> <p>The fund is being rated by Global Impact Investing Rating System (GIIRS).</p> <p>“GIIRS provides an independent judgment of social and environmental impact for both companies and investment funds using a ratings scale of 1 to 5 stars. Through a broad spectrum of questions regarding impact models, practices, policies and achievements, the system is designed to be applicable to a wide range of industries and business models. Also, like impact investing, GIIRS sets itself apart from socially responsible investment ratings, which typically focus on negative screens, as GIIRS ratings recognize only positive impact generated by a Fund or fund.” (source: GIIRS own brochure)</p> <p>For the <b>category environmental impacts</b>, focusing on indirect and direct environmental impact of the Fund and its operations, the fund got 37 out of 63 possible points.</p> <p>Community aspect: Covers the Fund’s impact on external community stakeholders: 44,9 of 58.4 points.</p> <p>As example of a good practice the Hygrotech’s Hybrid Growing Technologies can be quoted, involving on the one hand a) sourcing and distribution of naturally bred hybrids with better inbred disease resistance and on the other b) the production and use of biological friendly organic and soft chemical products. According to Hydrotec, “this “ensures that farmers are able to produce crops with affordable input costs. (..) From an environmental perspective, the use and application of sustainable solutions and products is vital to ensuring that sustainability in agriculture and food security is effective.”</p> <p>(Source; press release AgriVie, sept 2012 on “biofriendly crop production”)</p> <p><b>Africa Juice: Reduce use of water through appropriate irrigation system</b></p>
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	<p>“AfricaJUICE utilises drip irrigation in some instances, which provides a reliable and controllable water supply, whilst saving water and fertiliser. It is estimated that approximately 70% less water is used per hectare compared to furrow irrigation. This method of irrigation allows water to drip slowly to the roots of plants and provides higher yields than open field horticulture. This system is also being recommended for participants on the Outgrower Incubator Project, thereby multiplying the savings effect.”          (..) “Initiatives to reduce waste and pollution include a water treatment system for the effluents from the processing plant. The water is re-used for cleaning and as irrigation water.”</p> <p><b>Recycling of waste</b></p> <p>Company initiatives to reduce the usage of materials include re-using the waste materials from maize as initial support for passion fruit plantings. All organic waste is composted and re-used. AfricaJUICE is currently investigating <b>composting techniques</b> that emit less greenhouse gases (GHG). The use of bio-fuel generated back-up power will also contribute to reducing GHG emissions. (...) Most of the plant and other organic solid waste on the farm is collected, composted and re-used as, for example, field preparation fertiliser. The company is currently evaluating possible higher value alternative uses for processing plant waste such as using it as animal feed or as a source of bio-fuel.</p> <p>Furthermore “The company is developing a biodiversity action plan for the plantations and plan to actively manage habitats and biotopes” on the farms.</p> <p><i>(source: annual development impact report 2011)</i></p>
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#### 3.1.7.4 JC 64 Quality of exit strategy

For each investment, an exit strategy is determined, the quarterly reports inform about deviations. The fund itself has no aim to be sustainable.

##### Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	The fund is expected to make investments over a period of 3 to 5 years with subsequent exit within 3 to 7 years from the date of the investment. The fund is set up with a limited life of 10+1+1+1 years, by the end of which the Manager is required to realise portfolio values for distribution to the shareholders in a conventional manner. (source: final approval) For each investment, an exit strategy is determined, the quarterly reports inform about deviations.

#### 3.1.8 EQ7 To what extent have programmes lent themselves to scaling-up?

##### 3.1.8.1 JC 71 Appropriateness of programme design for scaling up

Scaling up is not the aim of an investment fund. Concerning the companies in which the investments are made, it is not clear whether a “scaling-out” of business activities is foreseen/intended. However, side-activities such as introduction of environmental or social practices or introduction of new technologies for farmers have the potential to be scaled-up. No data available so far on scaling up.



**Evidence on indicator level**

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The investments as such aim at funding the expansion of an existing activity, e.g. in the case of Hydrotec, the investment should help to scale up the activity to other African countries, notably Namibia, Mozambique and Kenya and to strengthen their core strategy, which is environmentally friendly agricultural inputs (e.g. brown fertiliser). New processes and methods which had been made possible by the investment are likely to continue after the programme. Furthermore, several side-activities, such as the introduction of environmental practices or capacity building of farmers supplying passion fruits to the company, can be scaled up. No information about whether specific business activities are meant to be scaled out to other businesses.

**3.1.8.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)**

No data available.

**Evidence on indicator level**

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	No data available.
I-722 Evidence of an effective learning process with a high adoption rate	No data available.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	No data available.

### 3.2 Mesoamerican Agro-environmental Program (MAP) – CATIE (CAM 07/012)

Intervention title	Mesoamerican Agro-environmental Program (MAP) - CATIE
Agreement partner (name)	CATIE - The Tropical Agricultural Research and Higher Education Center
Type of agreement partner	NGO Local
Agreement nr.(s)	CAM 07/012
Country / region	Central America
Implementing partner	CATIE - The Tropical Agricultural Research and Higher Education Center Mesoamerican Agro environmental Program Leader- DID Isabel A. Gutiérrez M. PhD. Email: igutie@catie.ac.cr Tel: (506) 2558- 2639 Fax: (506) 2558- 2044
Programme officer:	Bocaletti Florian, Mara Lorena
Extending agency	Royal Norwegian Embassy in Guatemala Contact person: Mara Bocaletti (Asesora) Mara.Lorena.Bocaletti.Florian@mfa.no (already contacted for pro docs and further interviews)
Donor-Cooperation	Sweden entered the bilateral agreement with CATIE and it is hoped that Finland and other donors will enter in near future (source: Appropriation document)
DAC Sector	Main Sector: General environmental Protection Sub Sector: 10 Environmental Policy and Administrative Management.
Intervention start & end dates	2008-2012 (source: Agreement Summary Report)
Budget	
Approved amount	125.000.000 NOK (source: Agreement Summary Report)
Agreed amount	125.000.000 NOK (source: Agreement Summary Report)
Disbursed amount	108.891.705NOK (source: inventory data base, until end 2011)
Main stakeholders	Target groups: rural families, agricultural cooperatives etc.
Number of beneficiaries targeted	Through MAP Focuecnas, over <b>7.500 families</b> have resorted to alternative production modes and water conservation. Within MAP-Café, over <b>437 families directly</b> (2,400 families indirectly) received trainings to reinforce their agro-ecological capacity. With MAP Hortalizas, <b>475 families received trainings</b> to strengthen their 'innovation capacity'. With MAP-PCC, <b>2868 families</b> completed the programme in 2010, since August 2010 another 2780 families received training (total of <b>5,648 families</b> , approx. 12,304 people). MAP-Vegetables, in alliance with organizations of producers and service providers, strengthened capacities for agroecological production of vegetables of <b>375 families</b> (20% headed by women). With MAPMesoterra <b>1,694 families</b> counted FFS participants and 9642 families participating in other training. (source: Informe de avances, 2010).
Intervention description	The Mesoamerican Agro-environmental Programme is an inter-sectorial, multi-partner knowledge and innovation platform using a livelihoods approach that will multiply ecologically healthy, economically competitive and socially equitable use of natural resources to achieve sustainable land management (SLM). The MAP supports the development, testing and communication, in a diversity of rural landscapes, of methodologies and technologies designed to integrate production and conservation. It will focus on farm, territory, national and regional levels, promoting enhanced equity and good governance at the landscape scale (source: appropriation document) The main thematic areas of the MAP will be: adaptation to climate change;

	ecosystem services (including mitigation of climate change); and markets and value chains. These three areas will contribute to the overall objectives of achieving Sustainable Land Management (source: Final Proposal 2009)
Programme background & history	<p>The program development has gone through several phases, and several appraisals since early 2007. Written appraisal by Norad April 2008.</p> <p>Norway (Norad and the Embassy) has supported various projects and contributed to CATIE's core budget since 1989. Since late 2006, the Embassy has been dialoguing with CATIE regarding a shift in the type of cooperation they have with the institution – contribution to a more strategic long-term, multi-donor program rather than a number of pilot projects and separate institutional support. This is a dialogue which Sweden also joined actively early in 2007 due to similar type of support to CATIE and similar interest in reducing the administrative burdens for both parties, and wishing to have more impact in the region with the funds donated.</p> <p>Previous support by Norway focussed on pest management, mainly in the coffee sector (1989-2004) and institutional support (since 1989). In 2008 there were three long-term agreement: Program regarding Degraded Pasture Land, Program for Innovation under ecological and economic uncertainty, Cacao program (source: Appropriation Document).</p>

### Objectives, results and activities

Overall objectives	Mesoamerican societies use sustainable land management strategies (SLM) that provide goods and eco-systemic services that reduce rural poverty
Specific objectives	Local, regional, national organizations rely on the tools, knowledge and capacity to implement technological innovations, policies, and programs to develop, promote sustainable land used to improve livelihoods in rural areas
Expected results	<ul style="list-style-type: none"> <li>• Rural families and farmer organizations in priority areas of Mesoamerica adopt sustainable production practices and sustainable management of natural resources while integrating into the value chain</li> <li>• Local governments implement effective environmental mechanisms and good governance</li> <li>• National organizations and decision makers use the technological production and natural resource management MAP experiences</li> <li>• Mesoamerican organizations and decision makers use MAP knowledge, tools and recommendations</li> <li>• CATIE improves its capacity to collaborate and support local, national and regional partners in designing and implementing effective strategies and policies</li> </ul>
Main activities (specify agri. Activities for envir. Interventions)	<p>Rural families experiment and adapt production and natural resource management systems that balance conservation with higher productivity and product diversification.</p> <p>Farmer cooperatives and other organizations improve the level of benefit distribution among farmer families through increased management efficiency and commercial activities.</p> <p>Higher number of local governments implement mechanisms and models to adapt to climate change, conservation, payment for environmental service (PES) and other examples of environmental management at the landscape level (including local land use planning)</p> <p>Qualitative improvements (technological, conceptual and instrumental innovations) in national technical assistance programs</p> <p>National Policies: Inclusion of key aspects that favour sustainability of the MAP experience on the national policy agenda (vertical scaling) and replication (horizontal scaling)</p> <p>The agenda of regional organizations and decision makers includes key MAP subjects</p> <p>Key aspects that favour sustainability of MAP results and experiences (vertical scaling) and their replication (horizontal scaling) are included in the regional policies agenda.</p> <p>MAP's lessons learnt are systematized, disseminated and internalized in all of CATIE's daily work</p> <p>More and diversified opportunities for local, national and regional discussions focused on sustainable rural development in which CATIE participates as a key advisor (ERAs, etc.)</p> <p>Source: Mid-Term Review (2011)</p>
Process on track ?	Project underway
Main difficulties/challenges	M&E defective during implementation mainly due to the fact that MAP was initially a

	collection of separate projects with their own M&E systems
List of available documentation for the intervention	See Bibliography

## Cluster 1: Contribution to Food Security

### 3.2.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 3.2.1.1 JC 11 Alignment with partner country food security policies/strategies if available

MAP is not directly referring to food security as an objective. It focuses more on livelihoods and poverty reduction though MAP thematic is in line with food security strategies in Central America, but not explicitly referring to these.

##### Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	MAP is referring to food security together with climate change adaptation: "The presidents of the Central American countries, in their 22nd ordinary meeting in December 2002, adopted a strategic framework to counteract food and nutritional insecurity associated with droughts and climate change, including an agricultural action plan" (source: 2009 programme proposal).
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	The generic thematic of MAP is in line with national food security strategies in all Central America implementing countries ("sustainable land management leading to poverty reduction"). At design & agreement stage though, there was neither baseline study nor logical framework (!), hence the difficulty in appraising any relationship between the programme actions and food security.

#### 3.2.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

The MAP approach was to combine several existing projects into a single programme for more efficient and effective implementation (transaction costs reduction), and to be in accordance with key international agreements (e.g. Paris Declaration on alignment and harmonisation of development aid)

##### Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded	MAP design was aimed at integrating previously existing projects funded by Norway which included the 'degraded pastures' project, the 'innovations in value chains' project, the central American cocoa project and projects partially or totally funded by Sweden: the "focuecas II" project, the programme 'environment for the development of central America', and the Latin America and the Caribbean programme for training on environmental economy (source: MTR)

food security programmes/food security platforms (if available)	
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	The objective of MAP was for the donor to reduce transaction costs by combining several projects under way and possibly add new ones, into 1 large programme.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	By default, existing projects integrated under MAP did not result in harmonised strategies (e.g. M&E systems remained the same for each subproject). However, new projects & initiatives under MAP resulted in institutional strengthening of local processes and value chain approaches (Focuencias, 'café' and vegetable innovations). There has been also increasing cooperation, integration, exchange & feedback between MAP components and CATIE's units ('Oficinas Tecnicas Nacionales') & components (not funded under MAP): the MAP proposal reflects CATIE's interest in managing projects with greater integration of resources and to ensure more efficient and effective use of resources in accordance with international agreements to harmonise and align development aid (e.g. under the Paris Declaration) (source: programme proposal)

### 3.2.1.3 JC 13: Relevance of project intervention according to final beneficiaries

Under MAP, the primary beneficiary is implicitly CATIE through institutional strengthening of the organisation in order to integrate, systematise and use knowledge while the final beneficiaries are located under each MAP subproject.

#### Evidence on indicator level

Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	Under MAP, the primary beneficiary is implicitly CATIE through institutional strengthening of the organisation in order to integrate, systematise and use knowledge while the final beneficiaries are located under each MAP subproject.

### 3.2.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

#### 3.2.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

MAP does not make any reference to food production targets (nor food security) although the original programme document clearly states that one of the objectives of MAP is increased productivity through direct support (knowledge), improved natural resource management or indirectly by upgrading service providers' capability.

**Evidence on indicator level**

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	No information at all.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	Highly likely: Result N°1 & indicator 1.1 taken from the log frame (formulated during Year 1) refer to rural families and producers' organisations adopting sustainable production practices and natural resources leading to productivity increase and diversification; Result N°1 and indicator 1.3 refers to service (including financial and technical) providers' improvements. Several results and indicators are not directly related to food security, but will ultimately lead to improved food security (e.g. improved good governance at local level, improved capacity of CATIE in project /programme formulation).

**3.2.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility**

No information, but it is assumed that upgraded cooperatives and / or farmers' groups will result in increased income generation.

**Evidence on indicator level**

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No information.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals)	No information.

per day) at households/individual levels in targeted areas	
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	Highly likely: Result N°1 & indicator 1.2 taken from the log frame (formulated during Year 1) refer to the increase of the number of cooperatives improving their income and distributing profits through better integration into the value chains.

### 3.2.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

No analysis re. food stability, but MAP proposed to achieve sustainable land management by adopting different viewpoints of the same thematic including (among others) increasing beneficiary resilience to climate change.

#### Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	No information. Still, climate change and ecosystems services (including mitigation of climate change) are thematic areas of MAP mentioned in the programme proposal that will contribute to the overall objective of achieving sustainable land management; CATIE has expertise in climate change mitigation as it coordinated the technical preparation of the Regional Strategy for Climate Change (ERCC). National (e.g., the Government of Nicaragua) and regional (e.g., CCAD) organizations have identified adaptation to climate change as a top priority for Mesoamerica (source: 2009 programme proposal).
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	No information.



**3.2.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status**

Nutrition is not mentioned in MAP.

**Evidence on indicator level**

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No information.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	No information.

**3.2.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?****3.2.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support**

The reports show no quantitative information, but beneficiaries do increase their production basis (e.g. vegetable).

**Evidence on indicator level**

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	The annual reports only refer to families of producers benefitting from increased production of vegetable (result n°1). There is no quantitative or qualitative information / target of food production.

**3.2.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support**

No information.

**Evidence on indicator level**

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No information.

**3.2.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support**

MAP has achieved beneficiary livelihood diversification mainly through innovative methods of production; there is no report of asset deterioration. Overall, MAP is contributing indirectly to income generation and poverty reduction.

**Evidence on indicator level**

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No information.
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	There is no evidence of asset deterioration; annual reports show increase of assets (e.g. MAP-PCC ; no evidence from other MAP sub-components).
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-	Through MAP Focuecas, over 7.500 families have resorted to alternative production modes and water conservation. Within MAP-Café, over 437 families directly (282 families indirectly) received trainings to reinforce their agro-ecological capacity. With MAP Hortalizas, 475 families received trainings to strengthen their 'innovation capacity'. With MAP-PCC, 1300 families improved the shading system of their cocoa trees and over 5ha of cocoa clones resistant to moniliasis.

farm/off-farm income, asset creation, etc.)	Overall, MAP has had an indirect effect on income generation & poverty reduction because its action is macro-oriented. One strength of MAP is that it focuses on livelihoods to evidence its impact in different environments among populations in rural areas.
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### 3.2.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No information.

#### Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No information; not mentioned.

## Cluster 2: M&E and Documentation

### 3.2.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

#### 3.2.4.1 Appropriateness of programme M&E design

M&E has been ineffective right from the start of MAP: no log frame, performance indicators, baseline study was designed / carried out at the start of MAP; these came out very late during implementation (3<sup>rd</sup> year for a final version) resulting in difficulties in terms of monitoring results and impact.

#### Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	In the proposed MAP (2009), there were no specific objectives and indicators. MAP staff developed a performance matrix (with results, indicators, products) by the end of 2010; 2 broad objectives and 5 outcomes were formulated and details appear in the annual operating documents ; this matrix was substantially amended over time (e.g. the 2009 matrix [Year 1] has little in common with the 2011 performance matrix [Year 3]).
I-412	By the end of Year 1, MAP acknowledged numerous implementation issues due to external factors (e.g. GOV changes) and

Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	internal factors linked mainly to the lack of clear MAP objectives and related actions, lack of implementation guidelines for the sub-projects of MAP. A (final) overall MAP baseline and a log frame were developed very late during the implementation (by 07/2011) following the proposal for a Monitoring & Assessment System in 03/2011, and on the recommendation of the mid-term review. Prior to this, each sub-project had its own M&E system which made it very difficult to relate sub-projects results to MAP results.
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#### 3.2.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

4 MAP units were created in order to monitor the programme and a code of conduct signed between NORAD and CATIE to define reporting / monitoring requirements and design the log frame.

##### Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	By the end of Year 1, there was a need to review the indicators because the matrix could not provide any information on HR development as well as education activities. A MAP team was made available at CATIE with another 4 MAP units located in MAP areas.
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	The 2008 code of conduct signed between CATIE and NORAD specifies that before the annual meeting, MAP provides baseline data, a log frame with indicators (by 2008), a monitoring framework, financial narrative reports and annual work plan.

#### 3.2.4.3 JC 43 Adjustment of programme design and/or implementation modality

The log frame has profoundly evolved over the course of the programme resulting in difficult monitoring (e.g. subsequent more relevant results monitoring results that were not planned initially).

##### Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a	Over the course of the programme, there were constant changes in indicators and goals resulting in recurrent adjustments of activities. The MTR evidenced the lack of coherence in products between the annual work plan and subsequent annual report.

consequence of M&E results	Over time, the performance matrix changed and mostly expanded in products and indicators.
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### 3.2.5 EQ5: To what extent have programme results been documented?

#### 3.2.5.1 JC 51 Availability of documentation of results

MAP has produced several databases on knowledge dissemination; annual reports, mid-term review and several key technical documents officially published within CATIE.

##### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	MAP keeps various databases on disseminated knowledge, lessons learned. Annual reports are produced and increased considerably in terms of contents over 3 years (including the design of log frame & performance matrix).
I-512 Existence and quality of evaluation reports	A comprehensive mid-term review was produced.
I-513 Existence and quality of other types of documentation of results	Technical information and methodological approached to sustainable land management, education are divulged as part of MAP products through 'dissemination series' publications.

#### 3.2.5.2 JC 52: Extent to which intervention results have been disseminated

An entire result of MAP is dedicated to information dissemination. CATIE uses all kinds of channels for knowledge transfer to both final and institutional beneficiaries (support in policy / strategy elaboration, forums, trainings, mass media, etc.).

##### Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	MAP keeps a database on the information corresponding to the means of verification re. to dissemination of knowledge & information to relevant stakeholders. Result n°4 is entirely dedicated to dissemination. MAP uses a wide variety of dissemination strategies (TV, radio, forums, web,

Indicator	Evidence
	etc.); overall, the MTR shows that MAP is successfully divulging knowledge to relevant stakeholders.
<p>I-522</p> <p>Appropriateness of dissemination tools and channels in relation to subjects to be disseminated</p>	<p>MAP keeps a database of the actions to promote formulation &amp; adjustment processes on policies &amp; programs; maintains a database on regional forums and events related to MAP.</p> <p>The MAP Coordination carries out an annual survey on the use of CATIE/MAP products.</p> <p>MAP uses a wide variety of tools and methods to divulge sub-projects results: mostly related to poverty reduction, sustainable land management and adaptation to climatic change; there is no direct reference to food security in any report although the vast majority of results will indirectly contribute to food security</p>
<p>I-523</p> <p>Evidence of articles published, presentations in workshops, conferences</p>	<p>Extensive data available in annual reports:</p> <p>On knowledge production &amp; dissemination:</p> <p>“Finnfor: Foro Trinacional en potencialidades del manejo forestal en SSP, como una alternativa de manejo sostenible a escala de paisaje. PPMs en Centroamérica fortalecidos y recuperados (Honduras, Guatemala y Belice); Taller regional de investigación a largo plazo en Parcelas Permanentes: Cuarenta participantes. Curso trinacional en manejo forestal en el marco de corredores biológicos</p> <p>Seminario Regional de Lecciones Aprendidas y Plan de contingencia para la prevención control de incendios forestales. Bases de datos de parcelas permanentes actualizadas; 1 Estudio</p> <p>Innovaciones Café: Experiencias del proyecto en ADA, semana científica y Junta Directiva de CATIE; Se comparte metodología ERAS en la estrategia de cambio climático (MARENA, CONACAFE): alianzas para la adaptación al cambio climático.</p> <p>LACEEP/EfD - IKI Project (Ecosystem-based Adaptation for Smallholder Subsistence and Coffee Farming Communities in Central America In Costa Rica, Guatemala and Honduras) EfD ; Desarrollo de los trabajos becados por LACEEP (11 working papers) Manual de estilo en validación; Mas de 4 estudios e investigaciones regionales en temas MAP; Varos foros regionales</p> <p>Mesoterra: Borrador de informe final de estudio uso de crédito por familias productoras; Informe: CEPAL, DFID, DANIDA. 2011. La economía del cambio climático en Centroamérica. Reporte Técnico 2011. Presentado en foro de ECADERT</p> <p>PCC Alianza Público Privada Sixaola, Binacional Sixaola y la Plataforma de la Biodiversidad utilizan metodologías y enfoques del PCC.</p> <p>Oficinas Técnicas Nacionales</p> <p>El Salvador: Participación en ECADERT. Participación en PCCMCA</p> <p>Honduras: Participación en la ECADERT (cuencas).</p> <p>México: Participación en el Programa Intergubernamental de Cambio Climático (PRICA) que coordina el IICA en el ámbito Mesoamericano, Colombia y República Dominicana. Participación en LATINAQUA: red latinoamericana que coordina el TEC de Monterrey.</p> <p>Nicaragua : Participación en ECADERT</p> <p>Panamá : 9 reuniones de la ECADERT 3 reuniones comité Nacional de GWP (Global Water Partnership) ; 2 reuniones nodo</p>

Indicator	Evidence
	<p>nacional del PRICA (Directiva)</p> <p>CPU : Asistencia y participación activa en reuniones SICTA ; Manual de estilo elaborado, en revisión y validación</p> <p>Coordinación CPU/Genero/M&amp;E : Participación PRAT- ECADERT: temas MAP en planes anuales y quinquenales ; Participación en el Taller para la elaboración del plan de acción regional quinquenal vinculado con la ejecución de la ECADERT (en Guatemala)”</p> <p>Etc.</p>
<p>I-524</p> <p>Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects</p>	<p>MAP made a lot of efforts to disseminate relevant results to both final and institutional beneficiaries:</p> <p>At local level: on indicator 1.1.1: 7,580 farmer families improve their capacities and/or adopt technologies (1,012 women heads of household, or 14%): “MTR comments: MAP exceeded its expectations in terms of number of direct and indirect beneficiary families. Field visits allowed verifying that participating families improve their capacities and adopt technologies. The participation of women heads of household in this component was also verified.</p> <p>On indicator 1.1.2 - 15 ha. of quality cocoa germplasm for families in 6 countries; MTR comments: “This intervention is highly relevant and appreciated by farmer families, as well as by other stakeholders involved in cocoa production. MAP reports that they continue in the process to attain this goal”.</p> <p>Etc.</p> <p>At regional level: on indicator 2.2.1: 57 platforms for local incidence on MAP subjects: [1] municipalities, [2] community associations, [3] platforms, [4] local tables; “MTR comment: very satisfactory development”</p> <p>At national level: on indicator 3.1.1: Participation in the termination and spreading of national legal frames (planned 10 – achieved: 39) and policies (5): natural resources, water, coffee, cocoa and special garden produce (vegetables); MTR comments: “MAP projects are involved in the termination process of policies in some countries. But it is not possible, from the information provided; to verify how they arrived at the final figure (39)”.</p> <p>On indicator 3.1.2: Participation in 24 events/ meetings to have incidence in policies and policy and regulation reviews and/or adjustments. MTR comment: “The assessment team verified that they surpassed compliance of this sub-goal”.</p> <p>Etc.</p>

### Cluster 3: Sustainability and Scaling up

#### 3.2.6 EQ6 To what extent have programmes been sustainable?

##### 3.2.6.1 JC 61 Financial sustainability/economic sustainability

CATIE is donor dependant. At regional / national levels, CATIE / MAP is lobbying to have concepts, methods integrated within relevant institutions and or agendas.

##### Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	CATIE is an institution dependent of donor funds. At national / regional level, MAP is trying to embed concepts within policies / strategies so that institutions can allocate resources by themselves.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	No information.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	No information.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	No information. Still, the apparent high adoption rate of knowledge / techniques is evidence that beneficiaries will take advantage of MAP results on a long term basis.
I-615 Policy changes are not likely to affect programme activities	For result n°2: "Long-term sustainability of the actions that MAP aims at its leaders and local decision makers are more complicated to guarantee. Political leaders change as well as budgets. MAP has taken into account the mechanisms that guarantee incorporation of MAP concepts into the local political agenda (in other words, in order to ensure that the actions started by one administration do not cease with the change of administration)." (source: MTR) For result n°3: To insure that MAP concepts have a preponderant part at the national level, MAP works with stakeholders, leaders and decision makers at the national level. The link between the programmed activities of MAP and the results in poverty reduction at Result level 3 is more indirect. Therefore, the sustainability of MAP actions at this level is probably more dependent on MAP in the midterm. The importance of MAP may seem exaggerated, but at this time, MAP's role will be considered as necessary although not enough. MAP's role in the maintenance of the national conscience about the importance and the continuity of the MAP concepts is assured through MAP presence in different arenas and forums where a large variety of stakeholders converge (journalists, different ministries, governmental agencies at different municipal and national levels). Sustainability of the interventions at this level have good prospectus although they are more dependent on the continuation of MAP" (source: MTR)



### 3.2.6.2 JC 62 Institutional and technical sustainability

MAP interventions are highly likely to continue by the time it is phased out possibly because of strong ownership by local stakeholders. MAP also supported service providers and final beneficiaries (new / innovative land husbandry techniques): it is unlikely that these will stop with MAP.

#### Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	For result n°1 “The interventions that are implemented at this level have high probabilities of continuing even after the MAP project life, because they have emphatically demonstrated its functionality at the level of farmer families, farms and the organizations that support farmers. The institutional anchorage has been assured precisely by the way in which the interventions were designed” (source: MTR)  For result n°5: “The creation of MAP and of the institutional and structural changes that have occurred within CATIE as a response to the creation of the program will be considered as a long-term strategy. CATIE is committed to the development of the MAP focus and it is reasonable to expect that this commitment continue beyond the program life” (source: MTR).
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	For result n°2: “The interventions implemented at this level have high probabilities of continuing without the presence of MAP. Strengthening service providers, leaders and local decision makers is a feasible strategy to ensure the continuity and permanence of the MAP concepts and strategies. There are high probabilities that the interventions at result level will have an impact at the micro level that directly benefits other stakeholders with local responsibilities and will continue supporting and promoting MAP work concepts and strategies. Furthermore, the strategy to influence the coordination and planning of the execution processes and investment of partners at the local level makes one think that there are good prospects to continue in the desired direction at this level.” (source: MTR).

### 3.2.6.3 JC 63 Environmental sustainability

MAP is promoting environmentally friendly land husbandry practices either directly towards farmers (that are readily adopted) or promoting these at policy level; hence, there is probably no pressure on environment.

#### Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Highly unlikely because MAP is focusing on sustainable land management: many activities, trainings are related to environmentally friendly practices.

<p>I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)</p>	<p>Result n°1: “The interventions at this level have high environmental sustainability because the interventions, in addition to contributing toward improved production, the results contribute to mitigate environmental risks. There are high probabilities that farmers and their organizations be capable of continuing on their own with the technological innovations that have been promoted. MAP promotes a series of environmentally friendly practices, reduction of external supplies, agro-forestry systems, soil and water conservation, and forest management that are validated in Meso America. There is clear evidence that the participants in the program experience improved crop yields and in the ability that the participants have to discuss the information they have acquired through the ECAs” (source: MTR)</p>
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### 3.2.6.4 JC 64 Quality of exit strategy

The exit strategy through continuity of MAP actions remains very difficult to achieve because CATIE/MAP acts as a process facilitator and these remain a challenge to be taken over by relevant stakeholders.

#### Evidence on indicator level

Indicator	Evidence
<p>I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities</p>	<p>For result n°4: “The continuity of MAP actions and concepts at the regional level, by being indirect interventions, are also more difficult to ensure. The role of MAP as a facilitator program is important to place those concepts on the agenda and to ensure the persistence of MAP concepts within the regional treaties and policies. Those concepts represent a challenge and an opportunity for the regional institutions and CATIE-MAP has incentives to assume the facilitator role. However, MAP ability to have a direct effect in the implementation and change of behaviour will always be limited.” (source: MTR)</p>

### 3.2.7 EQ7 To what extent have programmes lent themselves to scaling-up?

#### 3.2.7.1 JC 71 Appropriateness of programme design for scaling up

Scaling up MAP successful results is integrated into result n°4 through wide spread dissemination although there is little evidence of an independent multiplication effect.

#### Evidence on indicator level

Indicator	Evidence
<p>I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value</p>	<p>MAP results' scaling up is the basis of result n°4: “developing new technology and concepts from the farm to the regional political level, training and education, and increased emphasis on scaling up and scaling out activities to help create favorable conditions for sustainable land management and widespread dissemination of the knowledge” (source: MAP program document). As per mandate, (teaching, research, technical cooperation), CATIE allows a constant generation of technological innovations</p>

over existing methods, etc.	which are in situ tested and guarantees that the innovations have broad acceptance within the target groups and maintained/improved beyond MAP program life. In MAP, scaling up is actually dissemination of knowledge; there is nonetheless little concrete evidence of multiplication or copy/paste effect outside MAP intervention in the documents.
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### 3.2.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

Beneficiaries adopt readily MAP techniques / methods possibly because these are tried and tested at field level and supported by institutions. There is no evidence that Gov. is ready to take over MAP activities by the time MAP is terminated. These can be reviewed by local GOV /relevant institutions on a case by case basis at national level (not through MAP).

#### Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	MAP has organized several workshops on divulging success stories to potential beneficiaries, as per subproject's relevance.
I-722 Evidence of an effective learning process with a high adoption rate	According to the MTR, there is evidence of a high adoption rate of knowledge produced by MAP (both for final and institutional beneficiaries).
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	No evidence in the reports (possibly because MAP is too macro-oriented).

### 3.3 International Centre for Integrated Mountain Development (ICIMOD) 2008-2012 (RAS-07/010)

Intervention title	<b>International Centre for Integrated Mountain Development (ICIMOD) 2008-2012</b> (source: Agreement Summary Report)
Agreement partner (name)	NGO International
Type of agreement partner	Bilateral Agreement (Appropriation doc)
Agreement nr.(s)	RAS-07/010 (source: Agreement Summary Report)
Country / region	Himalaya Region
Implementing partner	ICIMOD - International Centre for Integrated Mountain (=regional intergovernmental organization) (source: Agreement Summary Report) Contac person & contact detail: klabya Sharma, PhD Director Programme Operations International Centre for Integrated Mountain Development GPO Box 3226, Kathmandu, Nepal Tel +977-1-5003222 Ext 209: Direct Line +977-1-5003208: Fax +977-1-5003277
Programme officer:	Vognild, Inge Harald & Camilla Rossak inge.harald.vognild@mfa.no
Extending agency	Royal Norwegian Embassy in Kathmandu
DAC Sector	Main sector: 410 - General environmental protection Sub sector: 10 - Environmental policy and administrative management (source: Agreement Summary Report)
Intervention start & end dates	2008-2012 (source: Agreement Summary Report)
Budget Approved amount Agreed amount Disbursed amount	<ul style="list-style-type: none"> <li>• 25.000.000 (source: Agreement Summary Report) + <i>addendum of 10 730 372 USD for 2008</i></li> <li>• 25.000.000 (source: Agreement Summary Report)</li> <li>• 20.000.000 (source: Inventory Data Base until end of 2011)</li> </ul> <p><b>This case study focuses its analysis on the core support to the strategy 2008-2012 and the medium term action plan.</b> This support is of 5 million NOK per year (2008-2012) and is a non-earmarked fund for the activities of ICIMOD.</p> <p>➔ <i>Attributing effects of food security relevant ICIMOD activities (often implemented by local partners) to the Norwegian core support is difficult.</i></p> <p>Beside this core fund support to ICIMOD, there are several projects financed by a) the embassy, b) Norad, c) the ministry. These projects are:</p> <ul style="list-style-type: none"> <li>• Croysphere (35 mio NOK, 2010-2015, funded by the embassy: Aim is to increase knowledge and capacity related to glaciers in the Himalaya.</li> <li>• HICAP: 75 mio NOK, 2011-2015; funded by ministry: aim is to increased knowledge about vulnerability and adaptability to climate change</li> <li>• REDD project (12 million NOK over 3 years from 2013 on, funded by Norad:</li> </ul>
Main stakeholders	Key target group: policy makers, decision makers, mountain communities (source: MTAP II 2008-2012) Other donor to ICIMOD (core funding): Germany, Sweden
Number of beneficiaries targeted	Not possible to inform on final beneficiaries, as core funding support
Intervention description	ICIMOD is a Knowledge, Learning and Enabling centre where information and knowledge are developed and exchanged within the member countries. ICIMOD is a regional platform where policymakers, experts, planners and practitioners can meet and exchange ideas and perspectives. CIMOD's <b>applied research</b> is ultimately to be able to <b>scale up the results</b> so they become enabling to its regional member countries. ICIMOD's work is centred around 3 focal areas between 2008-2012 : 18. Integrated Water and Hazards Management (IWHM)

	<p>19. Environment Change and Eco-systems Services (ECES)  20. Sustainable Livelihood and Poverty Reduction (SLPR)  (source: MTAP II 2008-2012)</p>
<p>Programme background &amp; history</p>	<p>The greater Himalayan region, with its dense population and widespread poverty is an area where water related stresses are rapidly emerging and, in some areas, may be reaching crisis point. The water resources of the Himalayas are extremely sensitive to climate change and the large (often vulnerable) population dependent on these water resources is at increasing risk. Therefore, it is of paramount importance to carefully monitor and understand the environmental changes that can affect water resources; to mitigate the impacts of these changes; and to support the society's adaptation processes (source: MTAP II 2008-2012)</p>
<p>Overall objectives/  Strategic goals of ICIMOD</p>	<p>Overall strategic goals:  <i>"Enabling and facilitating equitable and sustainable well-being of the people in the Hindu Kush Himalayas (HKH) by supporting <b>sustainable mountain development through regional co-operation.</b>"</i></p> <p>Specific goals of the ICIMOD:  <i>Goals covering the key development issues of the region</i></p> <ul style="list-style-type: none"> <li>• To increase the regional awareness and capacity needed to effectively reduce poverty among mountain people by improving the <b>sustainable management of natural resources</b>;</li> <li>• To use a multidisciplinary research approach to address issues on <b>environmental change in the region</b>, to draw attention to the <b>environmental services</b> provided by Hindu Kush-Himalayas (HKH) mountain areas to plains areas (and globally), and to find appropriate solutions to improve the well-being of HKH communities;</li> </ul> <p><i>Goals covering ICIMODs operational strategy</i></p> <ul style="list-style-type: none"> <li>• To expand strategic <b>regional and global partnerships</b> and to cooperate with regional and global centres of excellence to jointly <b>manage globally important resources such as water, energy and biodiversity</b>;</li> <li>• To <b>promote dialogue, networking and the exchange of information</b> and experiences between and amongst the stakeholders of the region by documenting, synthesising, disseminating, and applying relevant information, knowledge and good practices; and</li> <li>• To provide professional services, technical advice and project management know-how to the regional member countries to assist them in <b>scaling up ICIMOD-generated knowledge and technologies</b>.</li> </ul> <p><b>Within the Strategy 2008-2012, the programme will focus on 3 areas (detailed below).</b> These 3 areas are supplemented with a <b>cross-cutting unit for Integrated Knowledge Management (IKM)</b>, and <b>smaller units for economic analysis, gender and governance issues</b></p> <p>The programme <b>covers 8 countries:</b> Afghanistan, Bangladesh, Buthan, China, India, Myanmar, Nepal, Pakistan (Hindu Kush Himalaya (HKH) region).  (source: MTAP 2008-2012)</p>

**Projects objectives and activities & expected results****Programme 1: Integrated Water and Hazards Management (IWHM)**

Specific objectives / Programme goal (not literally found in the respective doc)	Sustainable management and use of water and ecosystems resources for livelihoods, disaster risk reduction (DRR), human health and the environment in the Himalayan region
Expected results / Programme outcomes	<p>Programme 1: Integrated Water and Hazards Management (IWHM)</p> <ul style="list-style-type: none"> <li>Improved knowledge and understanding of the status of glaciers and water resources, related hazards, and their trends and changes in the HKH region shared with RMCs and globally.</li> <li>Increased awareness, capacity, preparedness, and access to knowledge among key stakeholders in the field of disaster risk reduction.</li> <li>Enhanced knowledge on climate-induced hazards is used to help policy and decision makers make better informed decisions, which in turn, improve the adaptation capacity of rural communities.</li> <li>Improved dialogue and strengthened cooperation becomes a basis for water related benefit sharing and risk management in the region.</li> </ul> <p>(source: MTAP 20008-2012)</p>
Main activities specify agri. Activities for envir. Interventions)	<p>Action Area 1.1.: Monitoring and Assessment of Ice and Water Resources</p> <p>Action Area 1.2.: Disaster Risk Reduction (DRR) and Community Resilience</p> <p>Action Area 1.3.: Strengthening Upstream-Downstream Linkages</p> <p>(source: MTAP 20008-2012)</p>

**Programme 2: Environment Change and Eco-systems Services (ECES)**

Specific objectives / Programme goal (not literally found in the respective doc)	Development of optimal methods and application of those methods to adapt to and mitigate the consequences and impacts of climate change.
Expected results / Programme outcomes	<ul style="list-style-type: none"> <li>Enhanced global understanding of environmental change in the HKH through regional and international strategic partnerships and participation in regional case studies.</li> <li>Effective and vibrant regional cooperation aimed at assessing environmental change and its impact on natural resources.</li> <li>Strengthened community-based natural resource management in watersheds and rangelands; participatory action research in biodiversity and in community and livelihood forestry; and interventions in ecosystem services enhancements.</li> <li>Mountain-specific technologies, procedures, coping mechanisms and methodologies adopted by key partners in the region.</li> <li>Suitable coping and adaptive strategies and programmes up-scaled in the RMCs in conjunction with capacity building for communities, professionals and institutions.</li> </ul> <p>(source: MTAP 20008-2012)</p>
Main activities specify agri. Activities for envir. Interventions)	<p>Action Area 2.1.: Integrated Watershed Management (IWM)</p> <p>Action Area 2.2.: Biodiversity Conservation and Management (BCM)</p> <p>Action Area 2.3.: Rangeland Resources Management (RRM)</p> <p>Action Area 2.4.: Community and Livelihood Forestry (CLF)</p> <p>(source: MTAP 20008-2012)</p>

**Programme 3: Sustainable Livelihood and Poverty Reduction (SLPR)**

Specific objectives / Programme goal (not literally found in the respective doc)	Reducing poverty by providing enhanced livelihood options
Expected results / Programme outcomes	<ul style="list-style-type: none"> <li>● <b>Empowered mountain communities, especially poor and women, through enhanced livelihood options</b> and the support of equitable institutional arrangements;</li> <li>● Enhanced and <b>diversified income opportunities for mountain people</b> created by tested technical and institutional innovations;</li> <li>● Improved well-being of mountain people through the establishment of efficient and equitable market linkages for mountain niche products and services;</li> <li>● More sustainable livelihoods, improved equity, and reduced poverty for mountain people facilitated by the promotion of evidence-based mountain policies.</li> </ul> <p>(source: MTAP 20008-2012)</p>
Main activities specify agri. Activities for envir. Interventions)	<p>Action Area 3.1.: <b>High Value Products and Value Chains</b>: esp. honey bee keeping and aromatic plants (medicinal, aromatic and dye plants =MAPs)</p> <p>Action Area 3.2.: <b>Innovative Livelihood Options (ILO)</b></p> <p><b>Economic analysis and gender and governance units (crosscutting)</b></p> <p>(source: MTAP 20008-2012)</p>
List of available documentation for the intervention	See Bibliography

## Cluster 1: Contribution to Food Security

### 3.3.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 3.3.1.1 JC 11 Alignment with partner country food security policies/strategies if available

Due to the thematic focus of ICIMOD (climate change adaptation and accessibility and conservation of water and natural resource) as well as its broad geographical coverage (8 countries in the Himalaya basin), food security is not an explicit objective and no explicit alignment on food security policies of ICIMOD member states could be found. It is probable that this alignment can be found on project level.

#### Evidence on indicator level

Indicator	Evidence
<p>I-111</p> <p>Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies</p>	<p>No explicit alignment of the ICIMOD 5-year strategy or medium term action plan (2008-2015) with national food security policies/strategies. This can be explained by the fact that food security is not a primary objective of the ICIMOD strategy and action plan. There might be alignment with national policies at project level.</p> <p>Looking at alignment in general and not specifically on food security, the Quinquennial Review (QQR) 2006 notes that a large number of ICIMOD's initiatives are donor driven and not well aligned to the regional countries priorities. Further the QQR found insufficient knowledge and analysis of priorities, policies and development issues of member countries. Regional Member Countries (RMC) are unaware of ICIMOD's strengths and impact. It further states that current practice to consult mainly with cooperation partners make it difficult to have convocation power, and to leverage at the policy level. <i>(source: commented appropriation document, 2007).</i></p> <p>This is also highlighted by the programme appraisal (2007): <i>"Another challenge is gaining increased alignment with the plans of the partner countries. This has been done in some cases, but not as a systematic exercise for all programmes. There is a scope for increasing this alignment, in many cases to the extent that the planned ICIMOD activities would figure in the work plans of the partner institution. ICIMOD is in the process of mapping planning cycles and preparing for joint programming exercises with institutions in partner countries. If successful, a higher number of ICIMOD activities will be coordinated with RMC plans in the next MTAP."</i></p> <p>This criticism has been taken seriously for the elaboration of the strategy 2008-2012 and enhanced alignment to stakeholder priorities is sought: <i>"ICIMOD plans to have increased interaction with regional partners to develop a better understanding of their policies and priorities, and to build up systematic cooperation with and through them. ICIMOD will also identify and support regional networks in academia and civil society."</i> <i>(Source: Strategic framework for ICIMOD, Oct 2007)</i></p>
<p>I-112</p> <p>In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of</p>	<p>No food security specific analysis could be found.</p> <p>Consultations with member states as well as stakeholder of the region (including farmers and highland communities) were hold before the design of the new strategy. Those consultations raised e.g. the problem of limited opportunities for the livelihood of pastoralists, the need for the introduction of improved livestock production, added value mechanisms, rural income-generation activities; limited market support for forest products, etc. <i>(source: MTAP II 2008-2012)</i></p> <p>The new strategy 2013-2020 includes a country strategy chapter for each of the 8 ICIMOD member countries.</p>



the national/regional/subnational food security situation	
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### 3.3.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

No coherence with national food security programmes could be found. Coordination of donors within ICIMOD was a weak point under the 2008-2012 framework, which resulted e.g. in different reporting requirements between donors providing core funds and donors funding specific ICIMOD implemented projects. It also results in weak influence to change strategic priorities. This should change now with a greater influence of donors within the ICIMOD support group. There is even discussion going on to move towards a joint funding agreement which seems to be more appropriate for an intergovernmental institution such as ICIMOD.

Weaknesses and risks are discussed in several planning documents (appraisal document, appropriation document); however, the ICIMOD strategy document and the medium term action plan do not explicitly include risk analysis chapters.

#### Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	<p><b>Coordination within ICIMOD activities:</b> Norway provides core support to ICIMOD as well as support to projects implemented by ICIMOD. ICIMOD has several international donors, ICIMOD member states are furthermore also donors to the intergovernmental organisation ICIMOD. Furthermore, ICIMOD relies on 74 cooperation partners with assist in implementing projects through agreement arrangements. Normally these arrangements are jointly funded. The Mid-term review highlights some problems arising from the large network of partners, especially the different perception on the implementation of ICIMOD's strategy: <i>"Implementation of the partnerships strategy, selection and follow-up of the partnership relations may not have been consistent at all times. (...) It is important that all RMCs, various partners and ICIMOD have a common understanding of what ICIMOD is, and about its roles and responsibilities versus the RMCs. The MTR team's discussions with RMCs and a number of other stakeholders have revealed that there is still some room for improving this common understanding."</i></p> <p>Also between donors of ICIMOD, coordination has not been optimal in the past, e.g. different reporting requirements, no coordination between core support and project support. According to interviews, this has improved with the increase of the budget.</p> <p><b>Coordination with non-ICIMOD projects in the region:</b> Norway supports a number of programmes and organisations that work in areas of relevance for ICIMOD. The strong support to the <b>CGIAR institutions</b> links closely with the research that Norway's support though ICIMOD. Norway also supports a <b>regional environmental programme in Asia</b>, and this programme has components of relevance for ICIMOD though international organisations such as UNEP, FAO or GEF e.g. UNEP programme 'Capacity building to support environmental sustainability in Asia and the Pacific'.</p> <p><b>Coordination in the field</b> No information on the coordination of ICIMOD projects and other projects in the region.</p>
I-122	The approval document (from the embassy) as well as appraisal document (external) identify risks and weaknesses and formulate recommendations to address them.

Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	However, the ICIMOD strategy document and the medium term action plan do not explicitly contain risk analysis chapters.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	No joint actions during the framework 2008-2012, but this seem to change due to an increased need for coordination. There are currently discussions going on how to develop a joint funding agreement in order for the ICIMOD Support Group (ISG) support to be more effective. But also the support of the different Norwegian institutions will need to be better coordinated in the future. The monitoring report 2012 suggests that support to ICIMOD should be coordinated by the Embassy in Kathmandu, with agreed long-term professional support from Norad and political support from UD. This should also engage synergy with other projects from the embassies or initiatives in the regions funded by other sources. <i>(Source: monitoring report 2012)</i> .

### 3.3.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

#### 3.3.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

No evidence found. It seems that ICIMOD strategic action plan only marginally supports projects directly related to food production.

##### Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	No information available on programme level. For relevant projects an analysis of food production might be existing.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	No intervention targeting specifically food production (with the exception of honey bees, see I-223) could be found in the progress reports until 2012.

### 3.3.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

ICIMOID activities are likely to contribute to increased and diversified income in the Himalaya mountain region. Increased purchasing power for household should come through the introduction of new income generating activities such as apiculture, cultivation of medicinal and aromatic plants and other high value products. Furthermore emphasis is on the development of the value chain approach and a vulnerability assessment especially for mountain inhabitants.

#### Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	No systematic information available on programme level. For relevant projects an analysis of food access might be existing. The progress report describes the development of a Poverty and Vulnerability Assessment Tool (PVAT) and Vulnerability and Adaptation to Climate Change Assessment (VACA) as a result of a mountain poverty analysis revealing that poverty in the mountains are approximately 5% higher than in the plains. <i>(progress report 2012)</i>
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	No information at programme level.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power (based on high value crop production/livestock production, cash crop production) at household/individual levels in targeted areas	Activities financed under the focal areas “2.3. Rangeland Resource Management” and under focal area 3 “Sustainable Livelihoods and Poverty Reduction” are likely to enhance purchasing power. Action Area 3.1 deals with “High-Value Products and Value Chain (HVPVC)”, and concentrating on products such as honey and medicinal and aromatic plants. Action Area 3.2. addresses Innovative Livelihood Options (ILO), aiming at understanding mountain poverty and vulnerability addressing land based practices (e.g. through mushroom cultivation) or developing pro-poor mountain tourism.

### 3.3.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

No information available.

#### Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	No information available on programme level. For relevant projects an analysis of food shortage might be existing.
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	No information.

### 3.3.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

No evidence available on programme level/not a focus of the ICIMOD financed activities.

#### Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No information available on programme level. For relevant projects an analysis of food utilisation might be existing.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g.	No information.

reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	
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### 3.3.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

#### 3.3.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

No evidence on programme level. Some activities might have targeted food production, such as honey bee cultivation or livestock production by pastoralists. However, due to a missing result framework and aggregated data on programme level, it is difficult to attribute achievements of projects to Norwegian core support to ICIMOD.

##### Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	<p>No projects targeting directly food production/food crop production.</p> <p>But projects related to honey production or livestock development are likely to increase income and to some extent availability of food.</p> <p>Within the Action Area 2.3 Rangeland Resources Management (RRM) Outcome 1: Improved range ecosystem services and pastoral livelihoods through, the activities aiming at increasing the added value of livestock products were promoted through building the capacities of the pastoral communities in sustainable harvesting, meat processing, improving hygiene and marketing in the overall region. The progress report 2011 states the following achievements: <i>“Baseline information on the socio-economics of the pastoral communities was generated and analysed in six RMCs. The regional rangeland database and information setup is established that comprises base map of the HKH rangelands, country-wise maps of participating RMCs, and baseline data of sample pastoral communities. The government PES schemes in pastoral areas of China were analysed for further development of rewarding schemes for rangelands and tourism plan incorporated in a rangeland area in Bhutan. The progress during 2011 included development of the HKH base map of rangelands and country rangeland maps of the participating RMCs. Baseline data were compiled on sample pastoral communities and livestock valuation survey in the participating RMCs. Preparation of a sustainable tourism plan for Wangchuk Centennial Park in Bhutan was facilitated.”</i></p> <p>(Source: Progress report 2011)</p>

#### 3.3.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

No investigation at project level and no aggregated data on programme level available.

##### Evidence on indicator level

Indicator	Evidence
I-321	No information.

Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	
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### 3.3.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

Although there is no aggregated data on resilience of livelihood system, there are some examples showing how the 2008-2012 action plan contributes to increased income generation, especially through value added activities such as bee-keeping, medicinal and aromatic plant cultivation and mushroom production. Also tourism is an important source of income and one of the activities developed under the Medium-Term action plan II.

#### Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	No evidence available on programme level.
I-332 Evidence of decreasing use of coping strategies in targeted areas)	No evidence available on programme level.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	<p>Examples are (within the focal area no 3):</p> <ul style="list-style-type: none"> <li>• “In close collaboration with an UNDP project and local GO and NGO’s partners’ beekeeping, mushroom cultivation, bio-briquetting, and medicinal plants activities have been introduced to foster the employment and income generation in the Chittagong Hill Tracts of Bangladesh.”</li> <li>• “An arrangement was facilitated between Federation of Nepal Beekeepers (FNBK) and honey processing company for ensuring quality supply of honey by facilitating supply of quality packaging material. This improved the hygiene bringing the product closer to the requirements of codex alimentarius. A bulk purchase agreement of honey was also facilitated between producers and processors/buyers. Through this four years agreement FNBK will supply 400 Mt honey per year to DABUR Nepal.”</li> <li>• “Income of upstream stakeholders in India increased by improving bargaining power of producers and facilitating reference price for honey and bay leaves. To ensure exchange of technology and information, partners and stakeholders were taken for exchange visit to Chinese bee institutions” (source: 2009 annual report)</li> <li>• “Improving the value chains for high-altitude products (MAPs, yak products, etc.) is planned in Bhutan. Based on the</li> </ul>

	<p>lessons learned from the bee and MAPPA project, this AA will also analyse framework conditions, suggest improvements in the quality, labelling and standardisation of five bee and MADP products in four countries. The establishment of Common Facility Centres in at least four sites will address the needs of the RMCs for effective poverty reduction in marginalised areas. All RMCs will benefit from focussed and demand-driven regional discussions on good practices in the niche product sector. Marketing issues will be addressed by: improving the products, organising the producers, ensuring equitable information flow, supporting the simplification of regulations and sharing technical feedback.</p> <p><i>Source: MTAP</i></p> <p>The annual report 2011 reports on enhanced and diversified income opportunities :  <i>“A pro-poor, mountain-specific value chain framework comprised of different products and services is being used by ICIMOD and its partners in different contexts. Common Facility Centres were established in Bhutan and Nepal, resulting in the inclusive and equitable integration of producers of high-value products in value chains. <b>Value chain analysis and interventions</b> included increasing the economies of scope for <b>Malta oranges in India, medicinal and aromatic plants (MAPs) in western Nepal, and upgrading the tourism value chain in Mustang, Nepal.</b> The importance of the <b>policy component</b> of value chain development in regards to product quality was demonstrated in efforts to standardize policies and practices for honey production. ICIMOD’s work on beekeeping contributed to improving the livelihoods of poor mountain producers through community-based enterprises and by diversifying income opportunities. This work also contributed to <b>recognition of beekeeping activities in policies in the eleventh Five-Year Plan of the Ministry of Agriculture and Forest, Government of Bhutan.</b>”</i></p>
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#### 3.3.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

Not relevant, no information available.

##### Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No project targeting this indicator. Not relevant.

#### Cluster 2: M&E and Documentation



### 3.3.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

#### 3.3.4.1 Appropriateness of programme M&E design

ICIMOD has a very elaborated M&E design, including a hierarchy of objectives and an appropriate number of indicators on each level. The M&E system has long been criticized, and efforts to improve the M&E system have been made. The weak point of the M&E strategy of the 2008-2012 Strategic Framework is the lack of clarity of the result framework as a result of 1) too broad goals and objectives, b) vagueness of the indicators and the lack of baseline for each indicator. This results in difficulty in attributing achievements of single projects to the ICIMOD's strategic framework, not to mention to the funding of the core donors. No information was available on the human and financial resources planned for the monitoring.

#### Evidence on indicator level

Indicator	Evidence
<p>I-411 Quality of objectives and indicators at all levels to allow for M&amp;E (including availability of gender disaggregated indicators)</p>	<p>The framework strategy and the medium term action plan have a clear hierarchy of objective: Overall and strategic goals (2 covering key development issues and 3 covering the operational strategy of the institution), 3 strategic programmes, each with action areas with defined outcomes.</p> <p>On strategic level, there are 7 operational (<i>Operational outputs refer to the performance of the Strategic Programmes</i>) and 6 institutional indicators (<i>Institutional outputs indicate how well the Centre is functioning as an interdisciplinary knowledge and learning centre, and how well it is contributing to the regional and global sustainable mountain development agenda</i>). (source: MTAP II 2008-2012 pg.12)</p> <p>At the level of the action area, the achievement of one action is measured by a maximum of 3 indicators.</p> <p>It is evident that a lot of effort has been put in the elaboration of the log frame. In fact, M&amp;E has long been (first review in 2001 highlights the weaknesses of the M&amp;E system) subject of criticism of reviews and appraisal documents and ICIMOD is continuously working on the improvement of its M&amp;E system.</p> <p>M&amp;E becomes more and more important to ICIMOD, especially with the increasing annual budget and the move to long term programme funding, which in the longer term should be followed by the mainstreaming of a basket funding modality. During the Strategic Framework 2008-2012 the move towards programme funding has already started. This brings new challenges to the M&amp;E system, especially the organisational assessment and the question of attribution of field work result to ICIMOD's/donor support. The last monitoring reviews (2012) as well the interviews reveal that the result framework is not very clear: strategic goals are too broad and indicators are formulated too vague. Also, the double use of indicators exists.</p> <p>A weak point of the strategic framework is the missing of specific baseline for each indicator (Source: interview, decision of the board meeting July 2013).</p> <p>The appraisal document of the 2008-2012 Strategic Framework already highlights the problems: "The assessment (...) is that a gradual sensitization of ICIMOD staff has taken place, and that M&amp;E is making its way into programming in a better way than before. There is however still a long way to go before the system can supply data of sufficient quality for <b>assessing the outcomes and impacts of ICIMOD activities</b>. There is also scope for further development of the M&amp;E system to integrate with e.g. GIS for mapping of outcomes and documentation of on-the-ground effects (like e.g. land use changes) from ICIMOD supported programmes. (...) There is clear progress on M&amp;E, and the recommendations from the 2005 review are being taken seriously. (Source: appraisal doc 2007)</p>



	<p>The MTR assesses: <i>“ICIMOD has done a commendable job in developing and institutionalising its strategic planning and monitoring (SPM), both with regard to ICIMOD institutional issues as well as with regard to professional achievements of its programs. This refers in particular to the ICIMOD results chain and impact pathway analysis. With the modifications of the strategic framework (SF) strategic goals and the strategic results of the MTAP-II (..), <b>the results chain/ impact pathways would need to be revisited to reflect these modifications.</b>”</i> (Source MTR, 2010).</p>
<p>I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.</p>	<p>M&amp;E has been planned from the beginning of the Strategic Framework 2008-2012 and is under constant development. The M&amp;E framework is illustrated in the MTAP II, as follow:</p>

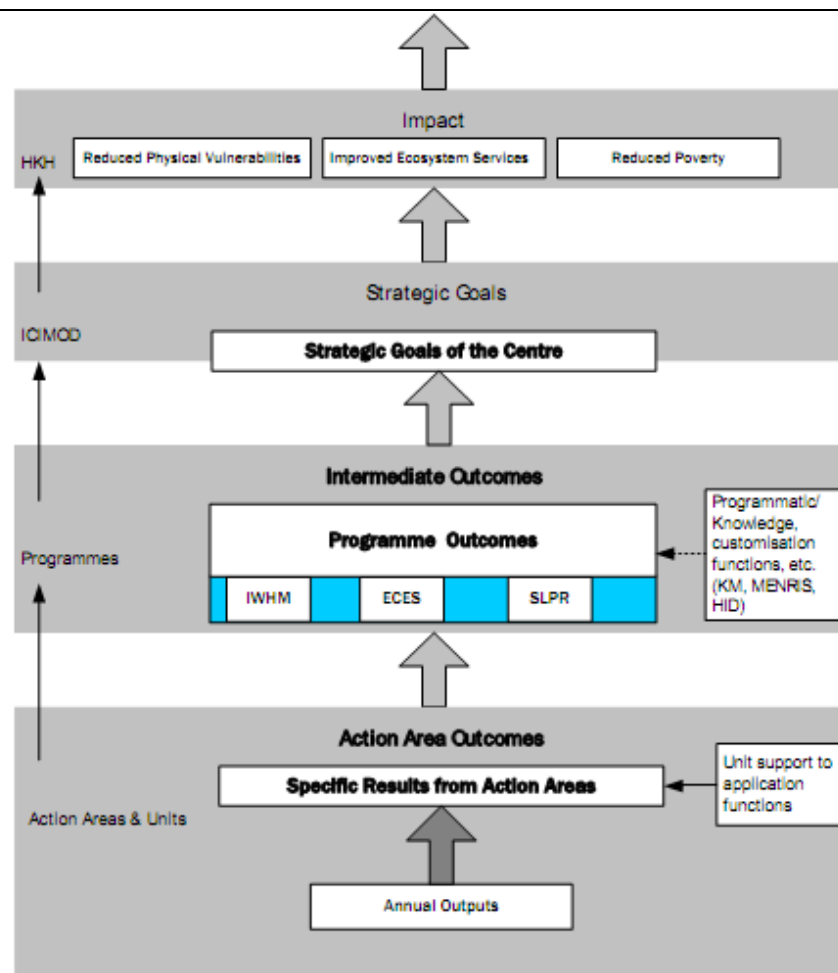


Figure 8. ICIMOD Monitoring and Evaluation Framework

No information on human or financial resources used for monitoring.

The MTR noted: "ICIMOD was in the past defined by a rather hierarchical management and leadership structure. It is, however, noticeable that the organizational culture is drastically changing through the process the change management project has set off. Team workshops, feedback, coaching, ombudspersons, training for leadership and cross cultural competence as well as a number of similar actions led to the necessary levelling of hierarchy, which resulted in better cooperation between the different

*working units and discussions, initiatives and collaborations beyond the boundaries of divisions and departments.”*

### 3.3.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

In order to pilot the strategic framework ICIMOD has established a strategic planning and monitoring system and unit. There is no information on financial and human resources needed. Performance monitoring of the SF is done every 4 month by the manager of the action areas using a traffic light system. The annual progress report uses the data from this system to compare planned outputs to achievements. There is no information on how the monitoring is done on project level by the different implementing partners. Gender sensitive monitoring has been developed, but no information available on the data collection.

#### Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources made available for M&E (human and financial)	The MTR describes the strategic planning and monitoring (SPM) system: <i>“(ICIMOD) and has established a <b>SPM Unit</b>. The overall objective is to enhance SPs' and IKM's performance with strategic monitoring, and the intermediate outcome is expected to be strengthened ICIMOD management with regard to strategic planning, monitoring and SP/IKM management. Strategic planning is based on LFA with log frames developed with indicators for each action area (AA), using Excel software. This is transformed into annual planning and budgeting with allocation of <b>appropriate financial and human resources to implement the planned activities</b>.</i>
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	<i>Performance monitoring is done <b>on a 4 monthly basis, using a risk assessment system with traffic lights (green, yellow, red) with the AA (action area) managers</b>. The annual progress reports extract data and information from the system for monitoring of planned outputs and achievement of expected outcomes (to the degree this may be measurable at the time of reporting).”</i> (Source: Mid-term review). The M&E requirements for implementing partners are determined by the specific letters of agreement. Usually a progress report is done, monthly, half yearly or every 9 months, depending on the project. The crosscutting unit for gender division developed together with the SPM gender sensitive planning and monitoring guidelines in 2009 (progress report 2009), no further information on gender disaggregated data collection could be found in the following progress reports.

### 3.3.4.3 JC 43 Adjustment of programme design and/or implementation modality

No evidence of adjustment found. The M&E system is in constant development, though.

#### Evidence on indicator level

Indicator	Evidence
I-431	No specific adjustment can be quoted, however the M&E system is in constant improvement.

Evidence and quality of adjustments of plans as a consequence of M&E results	
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### 3.3.5 EQ5: To what extent have programme results been documented?

#### 3.3.5.1 JC 51 Availability of documentation of results

Results are made available via an annual progress report. This report gives inside about the achievements by outcome and action area. Every 5 year a review of ICIMOD is done, called Quinquennial Review (QQR) which concentrates on ICIMOD organisational structure and its goal.

##### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and databases	Yearly a progress report is presenting in a narrative manner the achievements, while the planning for the next year is done in standardised templates, asking for planned output and deliverable. This template also includes a 10-line space to resume the activities of the last year. The report is voluminous, but comprehensive, a short version (approx. 30 pages) is also done. The contract between ICIMOD and Norway states the content of the progress reports. The MTR notes that Monitoring and reporting requirements for individual projects should be simplified by the funding agencies. Furthermore, ICIMOD's regular planning, monitoring, reporting and evaluation system and structure should in principle be used (for all donors), and only in exceptional cases should these be supplemented with specific reports.
I-512 Existence and quality of evaluation reports	Every 5 years an external review (called QQR) is done.
I-513 Existence and quality of other types of documentation of results	No information available.

#### 3.3.5.2 JC 52: Extent to which intervention results have been disseminated

ICIMOD has a communication unit which follows a defined set of goals within the strategic framework 2008-2012. The first 3 years were used to build IT based communication tools. Since 2011 a new communication strategy is under development. As a resource and learning centre, communication is an important aspect and the range of different up-to date communication tools reflects this. The list of publication, workshop presentation and conference with ICIMOD presence is long. The MTR sees some possibility for improvement in the communication and dissemination of ICIMOD results towards regional member states.

## Evidence on indicator level

Indicator	Evidence
<p>I-521</p> <p>Evidence and quality of dissemination strategies of</p>	<p>ICIMOD has its own communication unit (formerly Information Technology and Communication) which has own objectives (crosscutting unit) and is reporting annually in the progress report.</p> <p>Its goals are:</p> <ul style="list-style-type: none"> <li>• Outcome 1: Knowledge from ICIMOD programmes (and others) is properly captured and packaged, shared by different (communication) pathways, and applied by diverse groups</li> <li>• Outcome 2: Web infrastructure with system for content development used to share information related to ICIMOD with others</li> <li>• Outcome 3: Information Centre transformed into a Mountain Learning Information Centre, fully integrated with KM (knowledge management) and ICIMOD resources and connected (linked) widely with relevant collections of others (finalised end 2010)</li> <li>• Outcome 4: ICT tools used to support internal knowledge sharing and exchange (finalised end 2009)</li> </ul> <p>While until end of 2010 the focus of this division was on the elaboration of IT-based solution (website, ICIMOD Youtube site, web-based document management system, integrated contacts database) as well as the creation of internal acceptance and knowledge of the communication unit, the challenge for 2011-2012 shifted towards the consolidating the communications and PR approach (“new branding of ICIMOD”) and developing and implementing a more detailed communications strategy, especially in terms of media contacts and reaching the media in other regional member countries. Staff training is also a main element of the communication strategy as well as the maintenance of the website.</p> <p>According to the progress report 2012, a draft communication strategy has been developed which will be discussed further in 2012 for adoption and implementation.</p> <p>The Communication unit is part of the Integrated Knowledge Management Division.</p>
<p>I-522</p> <p>Appropriateness of dissemination tools and channels in relation to subjects to be disseminated</p>	<p>ICIMOD uses a broad range of dissemination tools, including e-based technologies and the enhanced use of social media. This seem to be appropriate to reach the different partners.</p> <p>Whether on project level the tools for dissemination were appropriate could not be assessed.</p> <p>For countries where communication on ICIMOD activities is challenging : <i>“an ICIMOD co-ordination committee should be appointed with required guidelines and assistance from ICIMOD. Alternatively or additionally, an annual “ICIMOD-day” may be arranged in RMCs where this is not yet instituted. ICIMOD should continue the dialogue with the RMCs on how to meet the stated objective of 50 % funding from RMCs for the core budget, how to establish procedures for RMCs to fund specific regional programs, and on the modalities to make the ICIMOD Foundation operational. To deepen ownership and collaboration networks in the region ICIMOD should continue targeting joint ownership on products. The BoG should encourage ICIMOD Management (5.1) to give higher priority to responding to international and RMC demands for high quality integrated information and assessments in themes of global significance such as climate change, water resources, and biodiversity and to develop the skill profiles of its staff accordingly applying an open minded recruitment policy.”</i> (source: MTR)</p> <p>Communication budget varies between 300.000 and 400.000 USD.</p>

<p>I-523</p> <p>Evidence of articles published, presentations in workshops, conferences</p>	<p>Information divulged through conferences, trainings, websites, etc. Each annual progress reports list the publishing, information sheet, flyers, handbooks etc.</p> <p>“During 2012, ICIMOD co-authored a paper in Science on ‘The State and Fate of Himalayan Glaciers’. In the last year, ICIMOD staff contributed to 70 publications, out of which 25 appeared in peer-reviewed journals and 14 in book chapters. ICIMOD organized 74 events with participation from 1,762 persons, out of which 23% were women.” <i>(annual report 2012)</i></p>
<p>I-524</p> <p>Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects</p>	<p>No information on final beneficiaries of ICIMOD financed activities. For divulgation of its activities, exchange and knowledge sharing with development partners in the region and beyond several ICT platforms exist. (Source: MTR)</p> <p>For regional member states: ownership of ICIMOD activities could be strengthened (see 521). The MTR highlights the importance of communication of innovative pilot projects (e.g. projects incorporating poverty reduction as one objective) in order to be able to integrating project results in national policies.</p>

### Cluster 3: Sustainability and Scaling up

#### 3.3.6 EQ6 To what extent have programmes been sustainable?

##### 3.3.6.1 JC 61 Financial sustainability/economic sustainability

ICIMOD is currently in a transition phase towards long term programming and possibly a basket funding modality. It is therefore too early to judge the financial sustainability. An EU assessment has certified that ICIMOD operates in accordance with internationally accepted standards with regards to financial management, which is an advantage for attracting international funding. Political changes in regional member countries must be seen as a risk to ICIMOD activities. No information on economic sustainability on project level; however, activities such as income generation for mountain people (honey bees, medicinal plants, etc.) are likely to be economically sustainable.

#### Evidence on indicator level

Indicator	Evidence
<p>I-611</p> <p>Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out</p>	<p>ICIMOD is in a transition phase from a short term project funding to long term programme funding/basket funding modality. Whether this transition will be successful and the running with basket funding effective, will be seen in the future.</p> <p>An issue to be highlighted is the still small contribution of regional member states to the core funding (in 2010 approx. 20%). In a long term perspective ICIMOD should receive more contribution of its member states, rather than from other external donor sources to be financial independent. (source MTR).</p> <p>The MTR recommendation on this issue: <i>“With reference to the EU assessment that ICIMOD operates in accordance with internationally accepted standards with regard to financial management, program (basket) funding should become the norm for organisations' funding of ICIMOD (in addition to at least 25 % of the core funding). Long-term funding into the next MTAP-III 2013-17 should reflect the common but differentiated global responsibility for addressing issues of climate change and downstream implications on international water and ecosystem change. This would supplement linking to research networks on system changes “above the timberline”, tracking and analysing bilateral support and national contributions to individual RMCs in sectors of global significance.” (source: MTR)</i></p>

I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Not enough information to judge on project level. It is likely that this is the case for honey related activities.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	Not enough information to judge on project level. It is likely that this is the case for honey related activities.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	No information.
I-615 Policy changes are not likely to affect programme activities	As ICIMOD is depending on its regional member countries (RMC), policy changes within a country is a risk, which the appraisal report highlights: <i>“There is also a risk of RMCs and partners having their own agendas that not fully correspond with the ICIMOD strategy and work plans”</i> (source appraisal rapport ICIMOD).

### 3.3.6.2 JC 62 Institutional and technical sustainability

Institutional sustainability must be assessed as high, as a constant development of managerial and technical capacities takes place. No information on technical sustainability could be gathered at final beneficiary level.

#### Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	<p>ICIMOD has given itself a new organization structure in 2012. According to interviews this new structure, which is based on 4 thematic groups is much more sustainable than the former structure, which relied more on “key problems” (often donor driven and likely to change) and in accordance on specific people/scientists.</p> <p>Getting key scientists in order to be able to do high-level research, but keeping a mix between international and regional scientists is seen as a problem.</p> <p>The MTR highlights some problems: “The main risks related to sustainability are linked to the quality of planning processes, procedures for quality control of proposals (e.g. safeguarding for cross-cutting issues) and qualifications of staff. At the general level, these are all seen as satisfactory, but quality control (e.g. of proposals) could be organised in a more systematic manner. (source: 2010 MTR)</p> <p>The appraisal document highlights the lack of ownership of ICIMOD RMCs. Ownership is needed to guarantee a more systematic taking over of ICIMOD’s activities by member countries (source: appraisal rapport ICIMOD)</p>

I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Not analysed, but likely for high value products and value chains.
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### 3.3.6.3 JC 63 Environmental sustainability

Institutional sustainability must be assessed as high, as a constant development of managerial and technical capacities takes place. No information on technical sustainability could be gathered at final beneficiary level.

#### Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	Unlikely, as ICIMOD is targeting the mountain region as an ecosystem and environmental degradation are the main focus of the projects.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	Not analysed.

### 3.3.6.4 JC 64 Quality of exit strategy

ICIMOD has no exit strategy, but is developing its structure and way of functioning/financing in recent years to sustain the organisation and its mission in a long term perspective. No analysis of exit strategies on project level.

#### Evidence on indicator level

Indicator	Evidence
I-641	No evidence on project level. At programme level, ICIMOD is currently engaging in changing its funding modality towards a long term programme funding. No



An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	exit strategy is foreseen, as ICIMOD's vocation is to be sustained.
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### 3.3.7 EQ7 To what extent have programmes lent themselves to scaling-up?

#### 3.3.7.1 JC 71 Appropriateness of programme design for scaling up

One of ICIMOD's main objectives is to launch innovative projects that should then be scaled up by national members. The structure is appropriate for this, i.e. integration of countries in the advisory board, emphasis on communication activities, etc.

##### Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	<p>One of ICIMOD's objective is to create an innovation and regional platform to divulge innovation processes; development of knowledge management approach – external for divulgation, internal for securing institutional memory and to facilitate information access to relevant member countries institutions.</p> <p>As formulated in the medium term action plan II: the objective is to more systematically scale up success stories and pilot initiatives that helped increase the resilience of poor mountain communities by improving livelihoods strategies (source: MTAP II 2008-2012).</p> <p>The strategic framework sees the implementation of scaling up as following: <i>“Scaling up will largely take the form of national projects that will, for the most part, be funded through local sources in the member countries themselves. The assumption is that ICIMOD's contribution to scaling up activities will eventually require less and less funding from the non-regional stakeholders to ICIMOD and that scaling up activities will be funded directly by the regional member countries themselves.”</i> (Source: Strategic framework).</p>

#### 3.3.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

There are examples of successfully scaled up activities, mainly the uptake of pilot and test activities by partner countries to be mainstreamed in policies. No analysis has been conducted on project level.

##### Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	<p>There are several success stories, here some examples (not exhaustive):</p> <ul style="list-style-type: none"> <li>• Long-term efforts of ICIMOD in the field of livelihood related, small scale business interventions like beekeeping and medicinal plants have been successfully up-scaled in the Chittagong Hill Tracts of Bangladesh. (source : 2009 annual</li> </ul>

	<p><i>report)</i></p> <ul style="list-style-type: none"> <li>Partners and governments of RMC acknowledge the knowledge generated on pro-poor mountain policies and propose their adaptation: Progress under this outcome included a Participatory Guarantee System of Organic Certification in terms of capacity building and documentation of appropriate approaches on how to manage change in shifting cultivation. These experiences were shared and up-scaling approaches advocated through national (India, 2009) and regional (Nepal, 2009) meetings involving decision makers and other stakeholders. Up scaling of lessons learned; at least one strategy developed - Lessons learned from tourism up scaled through integrated strategy development for WCP and other PAs in Bhutan. (<i>annual report 2011, see also p. 39</i>)</li> <li>The Common Fund for Commodities project has been completed and an improved supply chain for medicinal and aromatic plants (MAPs) and other high-value products has been developed in Nepal and Bhutan along with the establishment of Common Facility Centres. The governments of Nepal and Bhutan have committed to up-scaling project learning through the integration of Common Facility Centres in high-value product chains. In Nepal the initiative is being linked with the landscape conservation programmes of ICIMOD and the Ministry of Forests and Soil Conservation (MoFSC), and in Bhutan the Ministry of Agriculture has included it in their plans under the Department of Horticulture. Partners have been actively involved in the research design for shifting cultivation projects in Bangladesh, Bhutan, and Nepal, leading them to look at the technique in a holistic and objective way. This participatory approach has also enabled the involvement of women and local researchers in the programme. Work on payments for ecosystem services in Nepal could be consolidated in the Kulekhani, Shivapuri, and Lamatar watersheds through strategic partnerships. (<i>Progress report 2012</i>)</li> </ul>
<p>I-722 Evidence of an effective learning process with a high adoption rate</p>	<p>No analysis on project level.</p>
<p>I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention</p>	<p>As ICIMOD is an intergovernmental organisation, political will of its regional member countries is crucial. According to the MTR the measure of success of the strategic framework is its indirect impact on national policy, legal and institutional frameworks being developed for poverty alleviation (compared to the direct impact on improved livelihoods of initially targeted population and communities per se). The MTR highlights that there is still some room for improving the common understanding between the RMC and ICIMOD. In response to the MTR recommendation to more communication towards RMC, a follow-up action plan for each RMC has been developed after the consultations. Furthermore country days have been organised.</p>

## 4 Global interventions

### 4.1 Adapting Agriculture to Climate Change: Collecting, Protecting and Preparing Crop Wild Relatives - QZA-11/0204

#### General Data

Intervention title	Adapting Agriculture to Climate Change: Collecting, Protecting and Preparing Crop Wild Relatives” (Source: Agreement)
Agreement partner (name)	GCDT – The Global Crop Diversity Trust
Type of agreement partner	Multilateral institutions
Agreement nr.(s)	QZA-11/0204 (extending agency NORAD)
Country / region	GLOBAL data collection presumably in around 20 countries (Meeting report 2011)
Implementing partner	The Global Crop Diversity Trust Jane Toll (Project Manager): jane.toll@croptrust.org +47 06 570 55142 (or FAO operator +47 06 570 51 ask for Jane Toll) Luigi Guarino (Senior Science Coordinator): luigi.guarino@croptrust.org
Programme officer:	Daniel van Gilt, Norad
Extending agency	NORAD Daniel van Gilst (Senior Adviser) Department for Climate, Energy and Environment Agriculture and Forestry Division Tlf: +47 2398 0095 Mob: +47 954 81858 dvg@norad.no Daniel.van.Gilst@norad.no
DAC Sector	Main sector: Sub sector: 30 - Bio-diversity
Intervention start & end dates	2011-2020 (The current valid agreement between Norway and GCDT is signed for a period from 2011-2013CDT until
Budget Approved amount Agreed amount Disbursed amount	Phase 1 (2011-2013): 14.216.907 USD Phase 2 (2014-2016): 15.434.920 USD Phase 3 (2017-2020): 20.348.172 USD Total budget: 50.000.000 USD (source: Agreement) For 2011: 15.000.000 NOK (source: Agreement), eq. 2.648.560 USD 13.361.732 NOK (only 2011, source: inventory data base)
Main stakeholders	Direct beneficiaries: Climate change experts, biodiversity conservationists, and agricultural scientists, national agricultural research institutes and botanical gardens in developing countries, the Millennium Seed Bank of the Royal Botanic Gardens Kew UK and CGIAR Centers, and the Secretariat and national focal points of the International Treaty. Indirect beneficiaries in the future: farmers worldwide (source: project summary)
Number of beneficiaries targeted	Research community : no data available.
Intervention description	The project will work with the wild relatives of crops of major importance to food security <sup>2</sup> . It will

<sup>2</sup> Alfalfa, Apple, Bambara Groundnut, Banana, Barley, Bean, Carrot, Chickpea, Cowpea, Eggplant, Faba Bean, Finger Millet, Lentil, Grasspea, Oat, Pea, Pearl Millet, Pigeon Pea, Potato, Rice, Rye, Sorghum, Sunflower, Sweet Potato, Vetch, Wheat

	<ol style="list-style-type: none"> <li>1. <b>identify those crop wild relatives</b> that are missing from existing collections, are most likely to contain diversity of value to adapting agriculture to climate change, and are most endangered;</li> <li>2. <b>collect them from the wild; provide them to gene banks for conservation;</b></li> <li>3. prepare (through 'pre-breeding') these and crop wild relatives already in collections for use in breeding crops for new climates;</li> <li>4. <b>evaluate them</b> for useful traits; and</li> <li>5. <b>make the resulting information widely available.</b></li> </ol> <p>The pre-bred material incorporating the desired traits will directly fed into ongoing, active and successful breeding initiatives aimed at aiding farmers in developing countries, and made available to on-farm improvement efforts as appropriate.</p> <p>The project will therefore <b>introduce a range of new and existing adaptive options</b> for agriculture that might otherwise have been lost, whilst helping protect biodiversity from disappearing.</p> <p>The project will help <b>build capacity in developing countries</b> and will produce valuable information to assist in complementary on-farm and in-situ efforts.</p> <p>Importantly, it will implement and/or <b>support the implementation of the International Treaty</b>. (source: Agreement)</p> <p>Three phases of implementation could be identified:</p> <ol style="list-style-type: none"> <li>1. Planning and research (Phase 1: main activities implemented between 2011-2013)</li> <li>2. Collecting and conservation (Phase 2: mainly between 2014-2016)</li> <li>3. Pre-breeding and evaluating breeding lines (Phase 3: mainly between 2015-2020, with exception of some pre-breeding tests that have been launched already)</li> </ol>
Programme background & history	<p>The awareness that mitigation measures alone would not be sufficient to maintain the current climate and adaptation measures therefore becomes necessary. Crop adaptation is one major part of this, requesting genetic and eco-geographic data from so called crop wild relatives to create new crops.</p> <p>Inspired by the <b>International Treaty on Plant Genetic Resources for Food and Agriculture</b>, Norway was interested in supporting a study on Crop Wild relatives (CWR). In order to ensure its effectiveness and sustainability, they decided to extend the approach and also include collecting and pre-breeding activities which are now part of phase 2 and 3. (source: interview with Daniel Van Gilst)</p>

### Project objectives and activities & expected results

Overall objectives/ Goal	To develop new varieties of the world's most important food crops that can be productive in the new climates of the future. (source: Agreement)
Specific objectives/ Purpose	To collect a portfolio of plants, with the characteristics required for adapting the world's most important food crops to climate change, to protect them and to provide them to plant breeders in a form that they can readily use. (source: Agreement)
Expected results/ Outcomes	<ol style="list-style-type: none"> <li>21. <u>Planning and research</u>: The collecting and use of novel genetic diversity for crop adaptation to climate change are informed by an assessment of the state of ex situ conservation of the wild species related to major crops (Crop Wild Relatives - CWR).</li> <li>22. <u>Collecting and Conservation</u>: Novel and threatened diversity of CWR is collected, shared with breeding programs, and high quality seed safeguarded ex situ and accessible to researchers and other users worldwide.</li> <li>23. <u>Pre-breeding and evaluating breeding lines</u>: Germplasm lines incorporating novel, useful diversity from CWR are available to breeders and farmers worldwide for enhancing crop adaptation to</li> </ol>

	<p>climate change.</p> <p>24. <u>Dissemination of results</u>: Researchers, collection holders, breeders and other users of plant genetic resources have access to information and information systems for improved conservation and use of CWR and other plant genetic resources (source: Agreement)</p>
Main activities specify agri. Activities for enviro. Interventions)	<p>1. <u>Planning and research (Phase 1)</u></p> <ul style="list-style-type: none"> <li>• Understand, for example by looking at expected future climates in different regions, <b>which characteristics will be required</b> to adapt individual crops to the future climatic conditions;</li> <li>• Ascertain, by looking at current conditions and distributions, where relevant diversity and required adaptive traits are most likely to be found in each crop's wild relatives, and where the greatest diversity of crop wild relatives may be encountered;</li> <li>• <b>Analyse the gaps in existing gene bank collections;</b></li> </ul> <p>2. <u>Collecting and conservation (Phase 2)</u></p> <ul style="list-style-type: none"> <li>• Organise <b>collecting expeditions</b> in conjunction with national partners, and in accordance with all relevant national legislation, collect these plants according to international technical standards;</li> <li>• Provide <b>capacity building to national partners typically national research institutes, the national gene bank, etc.)</b> in identification of target areas and species, taxonomy, collecting, and information systems that will strengthen national programs and assist in development of <i>in situ</i> and on-farm strategies;</li> <li>• <b>Conserve the original samples securely in gene banks</b> (national and international), where they remain available for future use;</li> </ul> <p>3. <u>Pre-breeding and evaluating breeding lines (Phase 3)</u></p> <ul style="list-style-type: none"> <li>• <b>'Pre-breed'</b> the samples into materials that are suitable for use in further plant breeding and improvement;</li> <li>• <b>Evaluate the material for priority traits</b> for climate change adaptation, resilience, yield improvement, etc.;</li> </ul> <p>4. <u>Dissemination of results (crosscutting)</u></p> <ul style="list-style-type: none"> <li>• <b>Make information</b> on the material and its characteristics widely available electronically;</li> <li>• Make available to <b>breeding programs, as well as to on-farm improvement programs</b>, those plant lines in which novel traits for climate change adaptation have been incorporated. <p>(source: Agreement)</p> </li></ul>
Process on track? Main difficulties/challenges	Both the report and Appendix A with log frame on activities show that the project has started according to the project document and is well on schedule according to the plans. (source: progress report 2011)
List of available documentation for the intervention	See bibliography

## Cluster 1: Contribution to Food Security

### 4.1.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?

#### 4.1.1.1 JC 11 Alignment with partner country food security policies/strategies if available

“Adapting Agriculture to Climate Change: Collecting, Protecting and Preparing Crop Wild Relatives” is a worldwide research programme managed by the Global Crop Diversity Trust (GCDT). Within this specific programme, collaboration with selected partner countries will take place, but have not been particularised so far (planned for the next phase, starting 2013 onwards). The GCDT is aligned with the ‘International Treaty on Plant Genetic resources for Food and Agriculture’.

##### Evidence on indicator level

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	Not relevant on national level, as it is a worldwide research programme. However, the GCDT is aligned with the ‘International Treaty on Plant Genetic resources for Food and Agriculture’. ( <i>source: Interview with Daniel Van Gilst</i> ). Moreover, agreements with partner countries and specific funding guidelines are supposed to ensure the alignment to regional conservation strategies. ( <i>source: interview with Daniel van Gilst, Guidelines of Regional Strategies</i> )
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Only partially relevant within the second and third phase of the project. After finalizing the research and completing the database, the project will cooperate with specific partner countries to collect seeds in situ. ( <i>source: project documentation, interviews</i> )

#### 4.1.1.2 JC 12: Coherence with national food security programmes (action plans) and programmes of other donors

Coordination with other donors is ensured by a relationship agreement with the Governing Body of an International Treaty, which among others consist of a commitment to joint efforts in the field of crop conservation. Besides this, the programme is planned to have a close collaboration with partner institutions and national programmes with the selected partner countries, in particular in phase 2 and 3.

##### Evidence on indicator level

Indicator	Evidence
I-121 Norwegian funded agricultural	The GCDT was established through a partnership between the United Nations Food and Agriculture Organization (FAO) and the Consultative Group on International Agricultural Research (CGIAR) acting through Biodiversity International in 2005. In this

<p>projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)</p>	<p>regard the Trust represents a strategic alliance of organizations involved in agricultural research for sustainable development. A close coordination with these stakeholders is ensured by a Relationship Agreement with the Governing Body of the 'International Treaty on Plant Genetic resources for Food and Agriculture', which was set up in 2006.</p> <p>The GCDT receives financial support from different donors (governments, foundations, companies and individuals), while the assessed project "Adapting Agriculture to Climate Change: Collecting, Protecting and Preparing Crop Wild Relatives" is only funded by Norway.</p> <p>The donor's council of the GCDT provides a platform for professional exchange and harmonised funding strategies. (source: Interview Daniel Van Gilst, GCDT website)</p>
<p>I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps</p>	<p>The document explaining the project approach clearly identifies the current research gaps to adapt crops to climate change which would be necessary to ensure food security in the future. The most valuable resource for crop adaptation is crop diversity, as it can be found in the tough wild species most closely related to existing food crops – the so named "crop wild relatives." For the time being, much of the world's crop diversity is neither safely conserved, nor readily available to scientist or farmers.</p> <p>To address this issue, worldwide research efforts have to be undertaken, as mentioned in the projects action plan: firstly to identify crop wild relatives with characteristics valuable for the adaptation of crops, secondly to collect and conserve them and thirdly to evaluate breeding lines and make them available to breeding programs and farmers. (source: interview, project approach, website)</p> <p>Overlaps of research activities in the field of crop diversity are minimised by a close collaboration with different stakeholders, as mentioned under I-121.</p>
<p>I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work</p>	<p>The 'International Treaty on Plant Genetic Resources for Food and Agriculture' represent a joined strategy including food security objectives, which forms the foundation for GCDT's work. The Treaty clearly demands joint efforts to implement the rolling Global Plan of Action for the Conservation and Sustainable Use of Plant Genetic Resources for Food and Agriculture while highlighting the need for a close collaboration between the undersigned. (source: International Treaty on Plant Genetic Resources for Food and Agriculture)</p> <p>Moreover, the project is characterised by involving a number of partners at different stages of the project. While the partnership between the Global Crop Diversity Trust and the Royal Botanic Gardens Kew (RBG Kew) is at the core of the project, shared analytical work with several national and international research institutions will take place, e.g. with the University of Birmingham and CIAT. Most of the data which is used by the project has been made available by independent experts and other institutions. (source: Progress Report)</p>

#### 4.1.1.3 JC 13: Relevance of project intervention according to final beneficiaries

Was not assessed (Light Analysis).

#### Evidence on indicator level

Indicator	Evidence
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I-131 Project intervention reflect priorities and needs of final beneficiaries	Could not be assessed, as no field visits/interviews with final beneficiaries were foreseen (Light Analysis).
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#### 4.1.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

##### 4.1.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

The project by itself will not lead to increased food availability within its implementation period. However, as a research project it is going to pave the way for follow up activities which are very likely to contribute to increased food availability in the long-term. Crop adaptation will increase the production and therefore the availability of food, even in highly challenging environments.

##### Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	Only partially relevant within the second and third phase of the project when the project is implemented in specific partner countries. At the time being, no respective data is available, as the partner countries have not been selected so far.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	Increased food production is a long-term goal of the project, but could not be clearly attributed to one of the projects activities. Therefore no data is available. However, it is likely that the outcomes of the project will lead to increased food production in the future. The purpose of the project is to adapt the world's most important food crops to climate change, which would have a direct effect on the worldwide food production.

##### 4.1.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

The project by itself will not lead to increased food accessibility within its implementation period. However, the adaptation of crops, as an overall goal of the project, will enable farmers in agricultural unfavourable areas to cultivate food crops and the project is therefore likely to contribute to increased food accessibility in the long-term.

##### Evidence on indicator level



Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access at household/individual level and its projection at national/sub-national levels (targeted areas)	Not relevant as it is a global research project.
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	Increased food accessibility is a long-term goal of the project, but it cannot be clearly attributed to one of the project activities. Therefore no data is available. However, it is likely that the crop adaptation to climate change will have direct effects on food accessibility in the future: Supporting farmers in agricultural unfavourable areas with the opportunity to cultivate crops will increase their access to food.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	Enhanced purchasing power could be a positive side effect of the outcome of the project in the remote future. However, no evidence so far.

#### 4.1.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

The project by itself will not lead to increased food accessibility within its implementation period, but is considered as highly relevant for further efforts.

##### Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to	Not relevant as it is a global research project.

adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at national/subnational levels (targeted areas)	
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	After the project has been implemented successfully, it might be possible that the outcomes of the program will contribute to reduced periods of food shortages worldwide. As no explicit target area is mentioned in the programme outline, this assumption refers to a global perspective. However, no evidence so far.

#### 4.1.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

Not relevant.

##### Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	Not relevant
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	One of the main reasons for adapting crops by using their wild life relatives is to improve their nutritional quality. But even if one assumes that the project will facilitate the improvement of the nutritional quality of crops in the long-term, this does not provide enough evidence to state that the nutritional status of beneficiaries will improve by all means. Therefore no evidence available.

**4.1.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?**

EQ3 could not be answered by JC31, JC32, JC33, JC34 as they are not relevant for this specific research project.

**4.1.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian sup**

Not relevant.

**Evidence on indicator level**

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	After two out of ten years implementation it is barely possible to answer this question. However, the project by itself will not increase the food production in the world, but pave the way for other efforts to do so.

**4.1.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support**

Not relevant.

**Evidence on indicator level**

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	Not relevant, as the project exclusively focus on research activities.

**4.1.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support**

Not relevant.

**Evidence on indicator level**

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at household/individual levels in targeted areas	Not relevant, as the project exclusively focus on research activities.

I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	Not relevant, as the project exclusively focus on research activities.
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	Not relevant, as the project exclusively focus on research activities.

#### 4.1.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

Not relevant.

##### Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	Not relevant, as the project exclusively focus on research activities.

#### Cluster 2: M&E and Documentation

#### 4.1.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

##### 4.1.4.1 JC 41 Appropriateness of programme M&E design

The M&E Strategy is based on an annual work and reporting scheme with formal meetings between GCDT and the donor twice a year. In addition the implementing partners are required to monitor activities more frequently according to the kind of activities and based on individual agreements.

###### Evidence on indicator level

Indicator	Evidence
I-411 Quality of objectives and indicators at all levels to allow for M&E (including availability of gender disaggregated indicators)	The project document (and also all reporting documents) indicate the following intervention logic: 1 Goal → 1 Purpose → 5 Outcomes → 18 “Broad Outputs”, which are divided into 55 “Specific Outputs”. All parts of the log frame are logical linked to each other. The Outcome 5 (“ <i>project outputs achieved on time and within the budget</i> ”) mainly refers to the operational performance of the project management team than the programme activities themselves and is therefore left out in the project description above. The outputs are relevant, measurable and time bound: they clearly indicate a milestone to be achieved and are allocated to years of implementation. However, they are not specific with regard to the respective tasks to be performed (e.g. 1.4.7. “ <i>Expert input from breeding/use community on collecting priorities</i> ”) Besides this, no additional indicators are provided. No evidence of gender disaggregated indicators, which would only be relevant with regard to the cooperation with research institutions and partner countries.
I-412 Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.	The project agreement document indicates a monitoring and evaluation strategy based on an annual work- and reporting plan. Moreover, two formal meetings chaired by the trust are planned to be held each year in order to keep the donor informed. (source: <i>project agreement</i> ) On project level, these M&E activities shall be complemented by numerous informal meeting between the different stakeholders and a more detailed reporting scheme, based on specific agreements with each of the implementing partner institutions. In particular the second phase of the project might request more regular M&E activities, presumably on a seasonal base. (source: <i>interview with GCDT</i> ).

##### 4.1.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The financial plan does not give exact information on the allocated financial and human resources for M&E; however, the project management team, who are responsible for this task, have ensured regular data collection.

###### Evidence on indicator level

Indicator	Evidence
I-421 Evidence of required resources	The project management team is mainly responsible for M&E and seem to have fully accomplished this task. It is assisted by an advisory panel, consisting of representatives of the international treaty as well as several external scientists (source: <i>interview</i> )

made available for M&E (human and financial)	<i>Daniel Van Gilst, GCDT</i> . Due to a financial plan, which only lists the overall item “project management team”, it was difficult to establish the exact financial, human and time resources made available for M&E. ( <i>source: financial report 2011</i> ) The partner organisations have conducted the monitoring requirements as agreed in the contract with GCDT. The costs for an independent end of term review will be covered by the grant. ( <i>source: agreement document</i> )
I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)	The implementing partners are requested to annually report on the outputs, outcomes and impacts of their activities and besides that provide information on request and during informal meetings.

#### 4.1.4.3 JC 43 Adjustment of programme design and/or implementation modality

No adjustments of plans have taken place as the programme design is considered as reasonable by both the donor and implementing partner.

##### Evidence on indicator level

Indicator	Evidence
I-431 Evidence and quality of adjustments of plans as a consequence of M&E results	No adjustments of plans have taken place. Though there have been minor delays in some activities, there has been no need for any mayor corrections in speed or direction. ( <i>source: progress report, interviews</i> )

#### 4.1.5 EQ5: To what extent have programme results been documented?

##### 4.1.5.1 JC 51 Availability of documentation of results

All progress reports are available and satisfy the requirements of the donor. Moreover, the research results to date are freely accessible on websites set up by the implementing partner and its partner institutions.

##### Evidence on indicator level

Indicator	Evidence
I-511 Existence and appropriateness of monitoring/progress reports and	Annual Progress Report of 2011 available. Next Progress Report expected to be available in March 2013. The progress report providing an overview corresponding to the different activity areas, explaining major derivations from the work plan, updating the risk matrix and reflecting the projects efficiency and lessons learned. Certainly, the formulation often is a

databases	bit bloomy, but the structure and content of the report seem to be appropriate. The Ministry was satisfied with the Progress Report, and requests to continue using the same format for future reports. ( <i>source: comments on the progress report</i> )
I-512 Existence and quality of evaluation reports	No evaluation report available, as the programme is just in its second year of implementation. An independent end of term review of the entire project period focusing on results achieved and the effectiveness of the Project, i.e. the extent to which the purpose has been achieved, will be carried out at the end of the Project period (costs covered by grant). Besides this, the final report (for the entire 10 year period) is requested to assess the effectiveness of the Project, its impact, the sustainability of the Project and a summary of main "lessons learned". ( <i>source: agreement document</i> )
I-513 Existence and quality of other types of documentation of results	An online information portal provides free access to data from the gene bank and thereby to information regarding the current research status. ( <a href="http://www.genesys-pgr.org/">http://www.genesys-pgr.org/</a> ).

#### 4.1.5.2 JC 52: Extent to which intervention results have been disseminated

The results of research undertaken by the project are available to the public at no charge as the project provides all relevant information on its website and online information portals.

#### Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	According to the objectives of the programme, the results of research undertaken by the project will be made available to the public. In order to ensure a broad dissemination, the results (reports, publications, data etc ) will be published and uploaded on free accessible websites (e.g.: <a href="http://www.croptrust.org">www.croptrust.org</a> ; <a href="http://www.genesys-pgr.org">www.genesys-pgr.org</a> ; <a href="http://www.cwrdiversity.org/home/checklist">www.cwrdiversity.org/home/checklist</a> ). The websites are already launched, the information easy to access. The usefulness of the provided content will be assessed by tracking the visitors on the website. Moreover, it is planned to publish articles about the methodology as well as the results in scientific magazines. In order to reach also the non-scientific community, a more explicit communication strategy is currently under discussion. This need has arisen from an increasing interest in the issues of the programme by external stakeholder esp. politicians, also in Norway. In this regard it is planned to publish articles in daily newspapers and to send a film crew into the field to capture the work. ( <i>Source. Interview D. v. Gilst, GCDT</i> )
I-522 Appropriateness of dissemination tools and channels in relation to	The sharing of reports and publications via several websites is appropriate. In order to disseminate the huge amount of data collected and generated by the project, an online information portal has been developed which links gene banks worldwide. Herewith the project brings together existing online international information systems, such as the CGIAR's System-wide Information Network for Genetic Resources ( <a href="#">SINGER</a> ) and the European

subjects to be disseminated	Cooperative Programme for Crop Genetic Resources Network's database ( <a href="#">EURISCO</a> ), with the databases of national gene banks, initially that of the USDA ( <a href="#">GRIN</a> ).
I-523 Evidence of articles published, presentations in workshops, conferences	Several articles have been published on the website already. At a later stage, presentation on workshops and conferences are planned as well. (source: <i>interview with GCDT</i> )
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian funded agricultural projects	As far as it could be assessed by interviews with the donor and the implementing partner, relevant stakeholders are well informed about the projects results. The strong international network of scientist and politicians, linked by the International Treaty, might contribute to a successful awareness-raising. See also I-521 for communication strategy.

### Cluster 3: Sustainability and Scaling up

#### 4.1.6 EQ6 To what extent have programmes been sustainable?

##### 4.1.6.1 JC 61 Financial sustainability/economic sustainability

As the research results will be made available free of charge, it is very likely that they are used by the beneficiaries (mainly national research organisation, private sector seed companies, etc.) after phasing out. The contractual commitment of the international community by signing the *International Treaty on Plant Genetic Resources on Food and Agriculture* is considered as an indication that follow up activities will be financed and financial sustainability is ensured.

##### Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/institutions are available for supporting the programme activities after phase out	According to the project outline, its research activities will be terminated by the end of the project, but the results will be available for follow up activities even after phasing out. So far it is unclear, how these follow up activities will be financed. However, due to a contractual commitment by the international community based in the <i>International Treaty on Plant Genetic Resources on Food and Agriculture</i> there is hardly any doubt that follow up activities will be financed somehow. Please also compare the exit strategy as explained under I-641.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	According to the objectives of the programme, its results will be available free of charge and therefore affordable for the beneficiaries (mainly national research organisation, private sector seed companies, etc.) succeeding phase out. (source: <i>agreement document, website</i> )
I-613	The research results are likely to be meaningful even if economic factors change.



Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	However, weak financial capacity of states and research institutions could hinder the use of the results within the second and third phase of implementation, due to the need of expensive technologies.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	Not relevant for research results.
I-615 Policy changes are not likely to affect programme activities	Policy changes within potential partner countries could affect the collecting, pre-breeding/evaluation of crops. Considering this as a high risk, the project developed respective mitigation strategies to address this issue. ( <i>source: progress report 2011</i> )

#### 4.1.6.2 JC 62 Institutional and technical sustainability

Capacity building activities conducted by the programme will ensure the institutional and technical capacity of the institutions involved in the implementation of programme activities (collection, conservation, pre-breeding or evaluation) in order to continue activities even after phasing out.

##### Evidence on indicator level

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	As the GCDT has been established by two of the worldwide biggest institutions in the field of crop conservation it is very likely that required capacity to continue activities succeeding phase out is ensured. Moreover, the programme includes capacity building activities for partner national programs, in particular with regard to the collecting of CWRs and the use of gene bank data management which will support the use of research results in the future. ( <i>source: project agreement</i> )
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	Depends on the perspective: The direct beneficiaries (such as Climate Change experts, biodiversity conservationists, and agricultural scientists, national agricultural research institutes and botanical gardens in developing countries, the Millennium Seed Bank of the Royal Botanic Gardens Kew UK and CGIAR Centers, and the Secretariat and national focal points of the International Treaty) are likely to have the technical and managerial capacity to continue activities. Moreover, the programme approach includes capacity building activities for <b>national partners</b> (e.g. national gene banks, breeding programmes or research institutes and consultative groups.), in particular to use the gene bank data-management system, to collect and conserve in an appropriate way). ( <i>source: agreement document(interviews)</i> ) First activities planned for 2013: <ul style="list-style-type: none"> <li>• Training and backstopping in GRIN-Global use provided to key prospective partner national programs</li> </ul>

	<ul style="list-style-type: none"> <li>• Portal further developed and introduced to project partners to accommodate accession-level data from Project</li> </ul> <p>The indirect beneficiaries of the programme (farmers worldwide), have not been involved in the programme activities so far, wherefore follow up activities would be necessary, in particular related to capacity building and technical and financial support.</p>
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#### 4.1.6.3 JC 63 Environmental sustainability

No evidence could be found that the project would have negative impacts on the environment.

##### Evidence on indicator level

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	No evidence that the project have negative impacts on the environment.
I-632 Good environmental practices are followed in project implementation (use of land, water, energy, etc.)	No information available.

#### 4.1.7 JC 64 Quality of exit strategy

The exit strategy of the project is based on the assumption that its research results will be used by scientist and breeders for further crop adaptation activities.

##### Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant	<p>The exit strategy of the project is based on the assumption that its research results will be used by scientist and breeders for further crop adaptation activities. For this purpose, GCDT aims to raise further funds, to manage support of consultative groups, to connect national gene banks and to enhance exchange and cooperation between institutions. (<i>source: interview with GCDT</i>)</p> <p>The International Treaty on Plant Genetic Resources for Food and Agriculture could be considered as a long-term commitment of the international community to continue the previous efforts.</p>

partners/authorities	
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#### 4.1.8 EQ7 To what extent have programmes lent themselves to scaling-up?

##### 4.1.8.1 JC 71 Appropriateness of programme design for scaling up

The research conducted by the programme is considered as highly relevant and appropriate for scaling up activities.

###### Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The 10 years action plan provides evidence of scaling up activities within the second and third phase of implementation. Moreover, it is very likely that the results provided by the research project will be used for further activities after phasing out. (see I-641)

##### 4.1.8.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)

The programme activities have a high potential for scaling up, based in the relevance of its research results and the contractual agreement of the international community to follow up.

###### Evidence on indicator level

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	Two case studies on rice and sunflower are using modern 'genomics techniques' that allow researchers to compare the levels of natural genetic variation across a myriad of genes in both the wild relatives as well as the progeny of crosses between the wild and cultivated plants. Such information helps discover cryptic forms of natural genetic variation that is often hidden in wild plants but which can be used to enhance the performance of the world's most productive cultivars. A series of inter-specific (wild x cultivated, wild sp. x wild sp.) and backcross populations (that is, crosses between the progenies of the original crosses involving wild material and a cultivated line) will also be generated to determine whether the degree of genetic, geographic or ecological divergence between parents is useful as a predictor of breeding value. That should speed up subsequent breeding efforts. (source: pre-breeding CWR, interview with Daniel van Gilst)  Success story: Two small scale pre-breeding projects have already started as pilot cases in Uganda and Ghana in order to test the strategies for working with national partners.

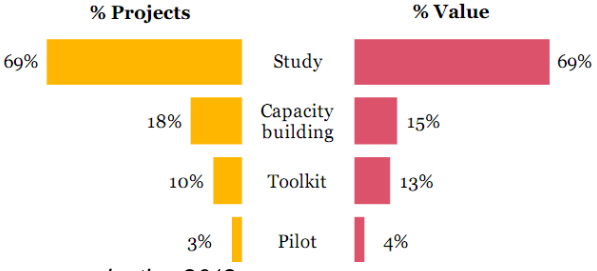
<p>I-722 Evidence of an effective learning process with a high adoption rate</p>	<p>As the project is just in its second year of implementation, not many adjustments have taken place. However, one of the major lessons learnt has been the awareness that the data sharing and management is far more complex, both from a technical and logistical point of view, and that the amount of time needed to collate and curate the huge dataset was underestimated. <i>(source: progress report 2011)</i></p>
<p>I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention</p>	<p>The International Treaty on Plant Genetic Resources for Food and Agriculture is considered as an overall political agreement among international stakeholders to scale up the activities of the intervention. No information yet on the reaction of partner countries to the programme activities.</p>

## 4.2 Trust Fund for Environmentally and Socially Sustainable Development (TFESSD), 05-4040017/06-4040017

Intervention title	<b>Trust Fund for Environmentally and Socially Sustainable Development (TFESSD)</b>
Agreement partner (name)	IBRD - International Bank for Reconstruction and Development
Type of agreement partner	Multilateral institutions
Agreement nr.(s)	05-4040017 06-4040017
Country / region	Funds shall be primarily targeted to the poorest countries with approximately 50% of the funds for Africa. In addition IDA countries will be given preference. (source: N-IBRD Agreement 2002) Final evaluation shows that 75% of funds are used for regional studies/activities
Implementing partner	Worldbank Mr. Rasmus Heltberg, former trust fund manager, <a href="mailto:rheltberg@worldbank.org">rheltberg@worldbank.org</a> ; tel: (202) 473-5396 or
Programme officer:	
Extending agency	Ministry of Foreign affairs Harriet Veddegjerde Solheim
DAC Sector	Main sector: 410 - General environmental protection Sub sector: 10 - Environmental policy and administrative management
Intervention start & end dates	1999 – 2011
Budget	Not available
Approved amount	Not available
Agreed amount	Total amount received by the fund: 140 USD over 12 years.(80-85% financed by Norway)
Disbursed amount (until end of 2011)	Disbursements: 2005-2009 (PTA database): kr 342.394.327
Main stakeholders	Main beneficiaries': Departments of Wordbank Depending on project financed: Partner countries, research institutions, external consultants, local stakeholders
Number of beneficiaries targeted	Not possible to determine number of final beneficiaries
Intervention description	TFESSD is a multi-donor trust fund supported by Finland and Norway that provides grant resources for World Bank activities aimed at mainstreaming the environmental, social and poverty reducing dimensions of sustainable development <b>into World Bank work.</b> TFESSD activities are managed in <b>four Windows</b> which correspond to the four Sector Boards (Environment, Social Development, Poverty, and Social Protection) managing the fund. Funding is provided based on <b>open calls for proposals</b> , generally issued once a year. The themes are defined annually in agreement between the Bank and the donors. (source: website info)
Programme background & history	TFESSD was set up in December 1999, initially as a Norwegian-funded "umbrella" trust fund (NTFESSD); replacing many separate trust funds on environment and social development. The initial dialogue leading up to the establishment of the fund centred on Norwegian <b>support to environmental</b> work in the Bank and a desire to strengthen the emphasis of sustainability in development, linking environment more closely with <b>social development</b> and poverty. In July <b>2001, funding for poverty</b> issues was added to the scope of the TFESSD (the "Poverty Window" ) In <b>2004 the "Social protection window"</b> was included. In November 2002, the Government of Finland joined the fund, changing the name to TFESSD. (contributing around 15-20% of funding) (source: website info, review 2012)

### Project objectives and activities & expected results

Overall objectives	...to act as a catalyst for the mainstreaming of environmental and social dimensions of sustainable development and for inclusion of these cross-cutting issues into the Bank's operations, both at headquarters and in the field. (source: TFESSD Review)
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<p>Specific objectives/ Sub-objectives</p>	<p>... to provide more effective donor support, encourage partner dialogue, innovative, targeting poor, cross-sectoral collaboration, cross-country/regional, increase cooperation within Bank and/or UN agencies, increasing south-south cooperation, network building, Africa region, IDA preference, country interest, enhance capacity, synergy with bank activities, influence bank portfolio. (source: <i>TFESSD Review</i>)</p>															
<p>Expected / achieved results</p>	<p><b>Not specified in initial agreement document.</b> The final evaluation (2012) gives an overview of the activities of the 12 years: What was financed:</p> <ul style="list-style-type: none"> <li>• <b>Study:</b> Primarily framed as study, often with capacity building elements</li> <li>• <b>Capacity building:</b> Primarily designed as capacity building</li> <li>• <b>Pilot:</b> Funding small activity to test out approach</li> <li>• <b>Toolkit:</b> Explicitly developing toolkit or specific methodology (for proportion of activities in total, see figure below)</li> </ul> <p>The purpose of the financed activities:</p> <ul style="list-style-type: none"> <li>• <b>Upstream:</b> explicitly targeted at identifying operational and policy solutions (53% of projects)</li> <li>• <b>Global knowledge:</b> Diagnostics and reviews increasing the understanding of global issues (40% of projects)</li> <li>• <b>Impact evaluation:</b> Evaluating impact of specific activities (8% of projects)</li> </ul> <p>Four impact categories have been defined by the evaluation:</p> <ul style="list-style-type: none"> <li>• Impact on <b>Bank operations</b> (29% of projects)</li> <li>• Impact on <b>country policy</b> (20% of projects)</li> <li>• Impact on <b>Bank strategy</b> (4% of projects)</li> <li>• <b>No stated impact</b> (45% of projects)</li> </ul>															
<p>Main activities specify agri. Activities for envir. Interventions)</p>	<p><b>In total 450 activities have been financed</b></p> <p><i>Most activities are studies</i></p> <p>Figure 2.1: Activities by number and value (2008-2010)</p>  <table border="1"> <thead> <tr> <th>Activity Type</th> <th>% Projects</th> <th>% Value</th> </tr> </thead> <tbody> <tr> <td>Study</td> <td>69%</td> <td>69%</td> </tr> <tr> <td>Capacity building</td> <td>18%</td> <td>15%</td> </tr> <tr> <td>Toolkit</td> <td>10%</td> <td>13%</td> </tr> <tr> <td>Pilot</td> <td>3%</td> <td>4%</td> </tr> </tbody> </table> <p>Source: <i>evaluation 2012</i></p> <p><b>Areas of support according to the call for proposal</b> Themes 2011: Shocks and Vulnerability Themes 2010: Climate change Impacts and Response (food insecurity) Themes: 2009-2001: several topics in each call.</p> <p>There is no overall list of financed activities, nor an overview of activities on a sector classification (e.g. food security), it is therefore difficult within the scope of this case study to extract activities which have or might have activities relating/impacting on food security</p>	Activity Type	% Projects	% Value	Study	69%	69%	Capacity building	18%	15%	Toolkit	10%	13%	Pilot	3%	4%
Activity Type	% Projects	% Value														
Study	69%	69%														
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Toolkit	10%	13%														
Pilot	3%	4%														
<p>List of available documentation for the intervention</p>	<p>See bibliography</p>															

**Cluster 1: Contribution to Food Security****4.2.1 EQ 1: To what extent have supported programmes been relevant for achieving food security, regardless of whether they have food security as an explicit objective or not?****4.2.1.1 JC 11 Alignment with partner country food security policies/strategies if available**

According to the evaluation of the TFESSD in 2008 the majority of programs and activities supported by the trust fund were consistent with country and global development priorities. However, “trust funds themselves are not well integrated into the Banks’s Country assistance strategies or the consultations around them, which makes it more difficult to ensure their alignment and coordination with overall aid at the county level”.

**Evidence on indicator level**

Indicator	Evidence
I-111 Objectives and activities of Norwegian funded agricultural projects are aligned with relevant/updated national food security policies/strategies	<p>The TFESSD has been financing 450 projects in different least developed countries + China and India. In a broad range of sectors going from environment to social safety nets, including food security. The majority of the projects target several countries, a region (74%) and nearly a third is classified as “global”.</p> <p>Therefore a general statement concerning the alignment with national food security policies is difficult to make, it needs to be done on individual project level.</p> <p>However, the annual call for proposal clearly requests that the project should be linked to respective country strategies and operations (<i>source: call for proposal 2011</i>). According to the evaluation of the TFESSD in 2008 the majority of programs and activities supported by the trust fund were consistent with country and global development priorities.</p> <p>With regard to alignment, the evaluation 2012 states that funds themselves are not well integrated into the Banks’s Country assistance strategies or the consultations around them, which makes it more difficult to ensure their alignment and coordination with overall aid at the county level. Within the annual report 2011, the reasons for misalignment are explained; a) different schedule of the call for proposal and the preparation of the work programme, b) the emphasis of the TFESSD on “innovative” approaches goes against the country management unit’s programmes, b) the TFESS are primarily aiming at generating knowledge for the Bank’s future strategies (<i>source: annual report 2011</i>)</p>
I-112 In the absence of relevant/updated policies/strategies: project/programme is aligned with adequate/recognized analysis of the national/regional/subnational food security situation	Information not available at activity level.

**4.2.1.2 12: Coherence with national food security programmes (action plans) and programmes of other donors**

Although coordination with other actors in the field has been one of the objectives of TFESSD, the final evaluation concludes that the trust fund did not necessarily foster coordination on the ground. The coordination gap is first of all a Bank internal one, namely to coordinate TFESSD activities with the country management units of the Bank (CMU). This coordination seems to be lacking with the result of a weak ownership of the TFESSD project by the national teams of the bank. The agreement document does not include a gap analysis. No evidence of joint actions in the field of food security could be found.

**Evidence on indicator level**

Indicator	Evidence
I-121 Norwegian funded agricultural projects have been coordinated with national/other donor-funded food security programmes/food security platforms (if available)	An additional objective of the TFESSD to forge partnerships globally, in donor countries, and recipient countries. The Trust Fund Agreement notes that encouraging and improving dialogue with donor agencies, research institutions, NGOs and other interested parties would underpin the purpose of a more effective, and efficient way to use donor support. The evaluation of 2012 came to the conclusion, that the trust does not necessarily foster coordination on the ground with other sources of aid. The failure to align the trust-funded activities (in particular ESW) with the country management units of the Bank (CMU)/client countries' needs and interests as mentioned under I-111 is likely to result in a lack of explicit support from the country teams [from the Bank], in terms of Bank budget resources necessary to supervise the grant activities and to disseminate their results adequately. "The lack of grant consistency with client countries' needs would also likely translate into weak participation and ownership by national counterpart teams [of the bank] and decision makers during implementation, and following completion of the grant activities" (source: annual report 2011).
I-122 Planning documents of Norwegian supported agricultural projects identify gaps, discuss means of filling them, and identify action to minimise overlaps	No gap analysis is done in the agreement documents. This might be the case in the annual planning documents, which were not available to the evaluation team.
I-123 Evidence and quality of joint and harmonised agricultural/food security strategies, of joint field missions and of shared analytical work	No evidence of e.g. jointly financed studies in the field of food security.

**4.2.1.3 JC 13: Relevance of project intervention according to final beneficiaries**

No information available.

**Evidence on indicator level**



Indicator	Evidence
I-131 Project intervention reflect priorities and needs of final beneficiaries	The TFESSD is financing a huge amount of different activities around the world, with no specific target area. Therefore a general statement concerning the needs-orientation of the intervention is not possible, but has to be assessed for each individual project.

#### 4.2.2 EQ2: To what extent have programme theories (rationale) of supported activities – explicitly or implicitly related to food security – been based on evidence and realistic?

Enhancing food security is not an explicit goal of the TFESSD, although some of the funded activities have targeted food security issues (implicitly or explicitly, partially or fully. In particular the calls for proposal of the years 2010 clearly referred to food security as one of the potential funding areas.)

Due to the number of project financed (450 over 12 years), the evaluation team was not able to assess the programme theories on project level and could therefore not answer this EQ. Some example of studies on food security/food insecurity in general that might have contributed to food security:

- The project: **TF055675 (Productive Safety Nets)** evaluates three inter-related elements of the Ethiopia Productive Safety Nets Program (PSNP) to undertake: (i) an evaluation of the deferred payment system, through which beneficiaries receive part payment at time of work and part payment during the hungry season; (ii) an evaluation of the impact of cash transfers on households; and (iii) an evaluation of the impact of cash transfers on markets. Progress made on each is as follows: The evaluation of the purchasing power of the PSNP cash wage rate in rural areas was contracted and fielded in October 2006. This study found that there was a growing disparity between the food wage and the purchasing power of the cash wage. This led to an agreement to increase the daily wage rate of the program by one third, from Birr 6 to Birr 8. The benchmarking study to develop a quantifiable evidence-based definition of **graduation from food insecurity** was completed and resulted in an in-depth analysis that established region-specific benchmarks for graduation, which are to be used as an objective mechanism for determining when exit from the program should occur. The benchmarks have largely been adopted by the regions. The analysis of issues related to household graduation from food insecurity has also been completed following the benchmarking study above.. (..) These studies have facilitated policy dialogue on critical design issues between Government and donor partners and led to significant changes for the PSNP. The studies have also initiated a more systemic discussion about the feasibility of graduation by beneficiaries from the program which will be particularly important as the PSNP moves towards its third phase. This is an example of close complementarity with a Bank lending and influence on operations. (Source: progress report 2008). The GRM Report states that the studies under this TFESSD activity “will have a direct impact on the design of the third phase of Bank support (APL III).” It goes on to say that “given the Bank’s role in leveraging its support to achieve policy reform, as well as bring on board other donors, the work will consequently also impact the Government’s overall strategy and donor support vis-à-vis the sector.” (Source: evaluation 2008, country report Ethiopia.)
- The projects TF097955, TF095046, TF095119, TF094826 are dealing with conditional cash transfers (CCT). Livestock indemnity insurance for high value cattle are tested as well as capacities of local stakeholders trained, in order to achieve improvement in sustainable nutrition, health and education provision.
- The project TF097298 is working in Pakistan with the statistical institute to collect the largest panel household survey data to study the dynamics of poverty and the impact of the 2008 food crisis. It is thus creating a valuable resource for many studies to come and already advised the government’s Benazir Income Support Program).
- In Djibouti and Yemen, activities focus on improving food security and the ability to adapt to price shocks in nutrition (TF096163).
- Similarly, strengthening nutrition supply constitutes a key objective in a project in Haiti (TF097257).

- In Cambodia, data was collected on 4,000 households for an impact evaluation of a WFP project to determine if cash or food assistance in school feeding programmes are more effective; an answer that is likely to influence work within and outside of the Bank (TF097745). The objective of this project is to evaluate the impact of cash vs. food assistance within Cambodia's school feeding programs. Food for education programs have been criticized for being less cost effective than alternative programs that focus more directly on either education or nutrition outcomes. The project is being carried out together with the World Food Program (WFP) and in consultation with the Ministry of Education and involves local researchers for capacity building in impact evaluation. It generates knowledge to improve program strategies of the WFP and Ministry of Education in this area.

#### 4.2.2.1 JC 21 Norwegian supported activities likely to lead to increased food availability (local/national level)

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-211 Existence of and reference to adequate analyses of food production and its projection at national and sub-national levels (targeted areas)	No data available. It is probable that studies related to food security have provided baseline data.
I-212 Norwegian funded agricultural projects are likely to contribute to increased food production at local/national level (targeted areas)	No data available.

#### 4.2.2.2 JC 22 Norwegian supported activities likely to lead to increased food accessibility

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-221 Existence of and reference to adequate analysis of food access	No data available. It is probable that studies related to food security have providing baseline data.

at household/individual level and its projection at national/sub-national levels (targeted areas)	
I-222 Norwegian funded agricultural projects are likely to contribute to increased level of food accessible (e.g. increased number of meals per day) at households/individual levels in targeted areas	No data available.
I-223 Norwegian funded agricultural projects are likely to contribute to enhanced purchasing power household/individual levels in targeted areas (based on high value crop production/livestock production, cash crop production, stable production costs and food prices)	No data available.

#### 4.2.2.3 JC 23 Norwegian supported activities likely to lead to increased food stability over time

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-231 Existence of and reference to adequate analysis of food shortages caused by crisis (financial or climate) or cyclical events (seasonal food insecurity), and its projection at	No data available. It is probable that studies related to food security have provided baseline data.

national/subnational levels (targeted areas)	
I-232 Norwegian funded agricultural projects are likely to contribute to reduced periods of food shortages at household/individual level in targeted areas	

#### 4.2.2.4 JC 24 Norwegian supported activities likely to lead to enhanced food utilization resulting in a good nutrition status

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-241 Existence of and reference to adequate analysis of food utilization and nutritional situation at household/individual level, and its projection at national/sub-national levels (targeted areas)	No data available. It is probable that studies related to food security have providing baseline data.
I-242 Norwegian funded agricultural projects are likely to contribute to improved nutritional status (e.g. reduced level of stunting, wasting, etc.) of beneficiaries in targeted areas	No data available.

### 4.2.3 EQ 3: To what extent have programmes reached or are likely to reach their goals with respect to food security?

There are several projects focusing on food security and nutrition. Due to the number of projects and the limited information on each project, the evaluation team did not assess the outputs and outcomes of each project related to food security. On overall programme level, no indicators related to food security are available.

#### 4.2.3.1 JC 31: Food availability: increased (achieved or expected) availability of food due to the Norwegian support

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-311 Increased (achieved or expected) food production in targeted areas	No evidence found

#### 4.2.3.2 JC 32: Food accessibility: increased (achieved or expected) accessibility of food at household/individual level due to the Norwegian support

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-321 Evidence of increased number of meals per day (meal of same size) or improved diet at household/individual levels in targeted areas	No data available

#### 4.2.3.3 JC 33: Food stability: availability and accessibility of food is stable due to the Norwegian support

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-331 Evidence of decreased length of periods of food insecurity at	No data available

household/individual levels in targeted areas	
I-332 Evidence of decreasing use of coping strategies in targeted areas (no asset deterioration, etc.)	No data available
I-333 Livelihood systems in the targeted areas have become more resilient and sustainable due to the Norwegian support (livelihood diversification, non-farm/off-farm income, asset creation, etc.)	No data available

#### 4.2.3.4 JC 34 Food utilization: achieved or expected improved food utilization leading to enhanced nutritional well-being

No evidence found.

##### Evidence on indicator level

Indicator	Evidence
I-341 Evidence of decreased number of underweight/stunted/wasted children; and/or increased adult Body Mass Index in the targeted areas,	No data available

## Cluster 2: M&E and Documentation

### 4.2.4 EQ 4 To what extent have programmes been designed to allow monitoring and evaluation (including breakdown on gender in order to know the inclusion of female farmers) and to what extent have they been revised according to evidence emerging from within or outside the programmes during their execution?

#### 4.2.4.1 Appropriateness of programme M&E design

The initial agreement only foresees basic reporting requirements between the Bank and Norway. As concluded by the evaluation 2012, a clear result framework is missing and correspondingly no appropriate monitoring system has been put in place. The lack of indicators with measurable targets does not allow an assessment of results or impacts on programme level. As result of the lack of initial definition, the monitoring and reporting requirements have developed during the trust fund life time on an ad hoc basis (following emerging problems or donor requests. See also discussion in next JC.).

#### Evidence on indicator level

Indicator	Evidence
<p>I-411</p> <p>Quality of objectives and indicators at all levels to allow for M&amp;E (including availability of gender disaggregated indicators)</p>	<p>The initial agreement between Norway and the IBRD indicates a very broad objective and purpose. These might be specified in the yearly donor-fund annual planning. (not available to the team).</p> <p>The main problem of the Trust funds is its lack of a clear result framework, with objectives and indicators allowing an impact assessment on programme level.</p> <p>The evaluation 2012 resumes:</p> <p><i>“The TFESSD objective is quite ambitious and its scope is broad. A large number of objectives underpin the main objectives yet are not prioritized or clearly operationalized. While each activity is associated with objectives and targets, the Fund itself has not defined results benchmarks, indicators or measurable outputs on an aggregated level.”</i></p> <p>In comparison to the trust fund level, the initial agreement between the Bank and Norway requests that each activity financed by the Fund indicates in its proposal the development objective, the expected outputs as well as the major activities and include a logical framework.</p> <p><i>“The Sector Boards will call for proposals once per year, or on an ad hoc basis when extra funds become available. These proposals will be short but shall include a logical framework demonstrating relevance to the objectives of the program and details of key aspects such as innovation, partners, country ownership, deliverables and development impacts. This logical framework will be used for monitoring and evaluation purposes and will define the objective of each separate TF allocation. (initial agreement between Norway and the Bank, 2002)</i></p>
<p>I-412</p> <p>Evidence in planning, of a monitoring and evaluation strategy, including (human) resources required, feedback mechanisms foreseen, etc.</p>	<p>The agreement document of 2001 between Norway and the Bank outlined the reporting requirements and the meeting schedules as well as the requirements for successful proposals (see 411).</p> <p><i>“In June each year the donors and the bank meet to review the progress and content of the portfolio and agree on funding for the coming year, based on annual reports and a suggested plan of activities submitted by the bank. In addition, the Bank is requested to be available for general consultations with the donors at any time.” (source: N-IBRD Agreement 2002)</i></p> <p>It does not seem as if a detailed monitoring strategy has been set up a priori, especially not at programme level.</p> <p><i>“The overall objective of mainstreaming is not defined, and reports have not distinguished between different types of impact that</i></p>

	<p><i>the activities have had. TFESSD annual reports have mainly constituted a list of active projects and highlighted the ones that appear particularly successful. While increasingly noting where impact has been important, at the request of donors, reports do not provide information about the distribution of resources on types of activities (impact evaluation, upstream analysis, capacity building etc) or results (typology of footprint, number of projects instigating new approaches, specific lending, or change in national policies). A more systematic monitoring framework with expected and measurable results across the TFESSD might have provided more guidance to donors and the Bank over time, both for learning and documentation purposes.” (source: evaluation 2012)</i></p>
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#### 4.2.4.2 JC 42 Appropriateness of internal M&E strategy and implementation

The initial monitoring strategy must be assessed as weak and has accordingly not been implemented very rigorously, especially with regards to reporting deadlines.

One of the weaknesses is the missing link between the monitoring system on project level (done by the window task manager and according to World Bank procedures) and the programme level (reporting requirements stated by the donors) which results in annual report on programme level which only summaries the different project activities without giving information on the result achievements on programme level.

##### Evidence on indicator level

Indicator	Evidence
<p>I-421 Evidence of required resources made available for M&amp;E (human and financial)</p>	<p>The Administrator and Senior Technical Specialist on TFESSD, Mr. Rasmus Heltberg, was in charge of reporting to the donors. He was assisted by the managers of the four windows and was in charge of the reporting and monitoring of their respective projects. This reporting has been done according to World Bank procedures and standards and templates. Those reports have furthermore a 5-6 trust fund specific questions.</p> <p>It remains unclear how much financial resources have been used for specifically monitoring and reporting purposes. No specific budget line seems to have been allocated to monitoring.</p>
<p>I-422 Relevance, frequency and timeliness of data collection (including gender disaggregated data) at all levels (output, outcome and impact)</p>	<p>No data available on the monitoring procedures of the projects funded under each window. The requirements of the fund towards the windows are clearly stated in the “grant management guidelines”:</p> <p><i>“Review of Implementation Progress: During March to May every year, the Window Manager (on behalf of the Sector Board) conducts a portfolio review of implementation progress of activities in the Window. The aim of the portfolio review is to ensure that activities under the Window are progressing well. The review detects stale grants that potentially need to be cancelled or reduced. The review is based on actual disbursement/commitment progress, annual progress reports, and contacts with the TTLs as appropriate. Based on the review, the Window Manager recommends to the Sector Board reducing budgets or closing activities if:</i></p> <ul style="list-style-type: none"> <li>• <i>implementation progress has been slow and there have been no commitments or disbursements over the past six months</i></li> <li>• <i>there are long outstanding commitments (over a year) □ the activity is unlikely to be completed after a one year extension.</i></li> </ul>



	<p>(Grant management guidelines 2010)</p> <p><b>On programme level</b>, the reporting requirements have been defined in <i>the agreement document of 2002</i>: the Trust fund secretariat reports 2 times annually. These progress reports includes a short summary of each project. There does not seem to be predefined indicators or data that have to be collected and the reporting requirement which are very unspecific have been interpreted and handled not very rigorously (e.g. irregular reporting submissions, resulting in a financial reporting which is not annualized by fiscal year). This leads to annual reports that were not consistently linked to specific projects or backed with robust indicators. (source: eval 2012)</p>
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#### 4.2.4.3 JC 43 Adjustment of programme design and/or implementation modality

Over a period of 12 years it is obvious that adjustments have been made. However, it was not the monitoring system pointing out the needs for adjustment. On the contrary, evaluations, but also donors brought in the request for an adjustment of the monitoring system itself. This has been, in the bounds of possibility been done. The overarching problem remains the lack of a result framework, which would have needed a complete change of the trust fund objective structure. In consequence, the TF is phasing out in 2012.

##### Evidence on indicator level

Indicator	Evidence
<p>I-431</p> <p>Evidence and quality of adjustments of plans as a consequence of M&amp;E results</p>	<p>Over the time the reporting system has evolved and has been adjusted to fit to the needs of the donors. It is not likely that the adjustments have been made as a consequence of M&amp;E results but rather on the request of donors to change e.g. the reporting template. According to an interviewee the latest report has been crafted very well and is used as an example for other World Bank Trust Fund reporting.</p> <p>Also the criticism of the 2 evaluations has certainly contributed to engage changes (e.g. call for proposals are now more focused, with one topic; there is only 1 annual call and not anymore 2).</p> <p>Nevertheless, these adjustments have not t been sufficient enough, as it seems that difficulties to allocate activities to specific outcomes were one of the main reasons why the Fund is phasing out (source: interview with Rasmus Heltberg)</p>

#### 4.2.5 EQ5: To what extent have programme results been documented?

##### 4.2.5.1 JC 51 Availability of documentation of results

Documents are available, both on project as on programme level. Both have predetermined reporting goals. The problem highlighted by the 2 evaluations is the missing link (though appropriate performance indicators) between the project reporting and the reporting on trust fund level towards donors. (see discussion on result framework in EQ4). Quality of reporting has improved considerable during the trust fund life. 2 external evaluations have been commissioned by Norad and the MFA which both are of good quality.

##### Evidence on indicator level

Indicator	Evidence
<p>I-511</p> <p>Existence and appropriateness of monitoring/progress reports and databases</p>	<p>The requirements of the fund towards the <b>windows (managing the projects)</b> are clearly stated in the “grant management guidelines”:</p> <p><i>“Review of Implementation Progress: During March to May every year, the Window Manager (on behalf of the Sector Board) conducts a portfolio review of implementation progress of activities in the Window. The aim of the portfolio review is to ensure that activities under the Window are progressing well. The review detects stale grants that potentially need to be cancelled or reduced. The review is based on actual disbursement/commitment progress, annual progress reports, and contacts with the TTLs as appropriate. Based on the review, the Window Manager recommends to the Sector Board reducing budgets or closing activities if:</i></p> <ul style="list-style-type: none"> <li>• <i>implementation progress has been slow and there have been no commitments or disbursements over the past six months</i></li> <li>• <i>there are long outstanding commitments (over a year)</i></li> <li>• <i>the activity is unlikely to be completed after a one year extension.</i></li> </ul> <p><i>(Grant management guidelines 2010)</i></p> <p><b>On programme level</b>, the reporting requirements have been defined in <i>the agreement document of 2002</i>:</p> <ul style="list-style-type: none"> <li>• Yearly meetings with the donors and the bank</li> <li>• Semi-annual reports on the activities financed by the Grant Funds</li> <li>• Annual reports, consisting of a short overview of the current stage of the TFESSD’s work, highlighting some specific results and provide a brief insight in the funded activities, clustered by the four windows.</li> <li>• Within six months of the completion of the activities, or of full disbursement of the Grant fund, the bank will provide a final progress report to each donor.</li> <li>• The Bank provided the donors within six months following the end of each Bank fiscal year, a management assertion together with an attestation from the Bank external auditors concerning the adequacy of internal control over financial reporting for trust funds as a whole. (costs covered by bank)</li> </ul> <p>The quality of the annual report is assessed in the 2012 evaluation: <i>“The overall objective of mainstreaming is not defined, and reports have not distinguished between different types of impact that the activities have had. <b>TFESSD annual reports have mainly constituted a list of active projects and highlighted the ones that appear particularly successful.</b> While increasingly noting where impact has been important, at the request of donors, <b>reports do not provide information about the distribution of resources on types of activities</b> (impact evaluation, upstream analysis, capacity building etc.) or results (typology of footprint, number of projects instigating new approaches, specific lending, or change in national policies). A more systematic monitoring framework with expected and measurable results across the TFESSD might have provided more guidance to donors and the Bank over time, both for learning and documentation purposes.” (source: evaluation 2012)</i></p> <p>On a positive note, interviews revealed that the reports have increased in quality during the programme and the 2011 report has been used as good example for other trust funds.</p>
<p>I-512</p> <p>Existence and quality of</p>	<p>An external Review of the TFESSD was carried out and the respective report was published in January 2012. The report is well structured, nicely designed and successful in providing a good overview regarding the achievements and challenges of the</p>

evaluation reports	TFESSD. This evaluation is explicitly based on a 2008 evaluation which has focus on the results of the activities (including 3 country visits), unlike the 2012 reports which concentrates on the benefit of the TFESSD partnership and the structures and procedures.
I-513 Existence and quality of other types of documentation of results	No other documents available.

#### 4.2.5.2 JC 52: Extent to which intervention results have been disseminated

Limited measures are in place to ensure accumulation and dissemination of knowledge and results. However, some positive examples on project level where dissemination tools have been used successfully exist.

##### Evidence on indicator level

Indicator	Evidence
I-521 Evidence and quality of dissemination strategies	Annual reports by TFESSD are published on the fund's website. Beside this, the calls for proposal explicitly indicate dissemination and knowledge management as one of the main selection criteria: "We strongly encourage in-country dissemination as well as short (2-4 page) knowledge briefs/dissemination notes for wider distribution". Furthermore, explaining the dissemination strategy is part of the application form. ( <i>source: Call for Proposals 2011</i> ) However, the review of 2012 came to the conclusion that limited measures were in place to ensure accumulation and dissemination of knowledge to justify the labour intensive setup and that the TFESSD lacks systematic accumulation and dissemination across activities. ( <i>source: review 2012</i> )
I-522 Appropriateness of dissemination tools and channels in relation to subjects to be disseminated	Compare I-521 Regardless the critical comments raised under I-521, there have been a few examples where the dissemination tools and channels lead to the expected result: In Peru, Colombia, Afghanistan and China, environment sector staff across regions pointed to (within dissemination events) the value of specific TFESSD financed studies to demonstrate to authorities the urgency and relevance of specific pollution issues. The cases influenced the national policies. ( <i>source: review 2012</i> )
I-523 Evidence of articles published, presentations in workshops, conferences	No evidence on communication activity at TF level available. Projects have to have a dissemination strategy that often results in country workshops. In the case of research studies, articles have been published in academic journals or briefing notes have been written.
I-524 Awareness, by relevant stakeholders, of results and lessons learnt from Norwegian	No data available to the evaluation team

funded agricultural projects	
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### Cluster 3: Sustainability and Scaling up

#### 4.2.6 EQ6 To what extent have programmes been sustainable?

##### 4.2.6.1 JC 61 Financial sustainability/economic sustainability

No data available.

##### Evidence on indicator level

Indicator	Evidence
I-611 Funds of relevant stakeholder/ institutions are available for supporting the programme activities after phase out	No data on specific activities available. Trust fund will be closed after the end of the projects, it is not planned to extend it.
I-612 Services/results are affordable for the intended beneficiaries succeeding phase out	Depending on the specific scope of the financed activity. No data on specific activities available.
I-613 Likelihood that results can be maintained if economic factors change (commodity prices, exchange rates, etc.)	As most of the financed activities (up to 69%) are research projects, it is likely that their results are maintained even if economic factors change. However, their relevance might increase or decrease depending on the specific objective of the study.
I-614 Beneficiaries/authorities are capable of affording replacement and maintenance	In case the financed activity is a research project, this indicator would not be relevant.
I-615 Policy changes are not likely to affect programme activities	Depending on the specific scope of the financed activity. No data on specific activities available.

**4.2.6.2 JC 62 Institutional and technical sustainability**

No data available.

**Evidence on indicator level**

Indicator	Evidence
I-621 Institutional structures involved in implementation have the required capacity (managerial and technical) to continue activities succeeding phase out	Not relevant for trust fund. Donors decided not to fund the TF anymore. It will phase out in 2012. There are no plans to reactivate this specific TF.
I-622 Beneficiaries have the required technical and managerial capacity to continue activities succeeding phase out	No information available.

**4.2.6.3 JC 63 Environmental sustainability**

As enhancing environmental sustainability is one of the main purposes of TFESSD, it is unlikely that the projects funded have generated damage on the environment.

**Evidence on indicator level**

Indicator	Evidence
I-631 The achievement of project results and objectives are not likely to generate damage on environment or increased pressure on scarce natural resources	As enhancing environmental sustainability is one of the main purposes of TFESSD, it is unlikely that the projects funded have generated damage on the environment. However, proved statements could only be made on project level, which has not been assessed by the evaluation team. So no data available.
I-632 Good environmental practices are followed in project implementation (use of land,	No data available.

water, energy, etc.)	
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#### 4.2.6.4 JC 64 Quality of exit strategy

No data available.

##### Evidence on indicator level

Indicator	Evidence
I-641 An appropriate exit strategy/phase out strategy has been prepared, approved and implemented by relevant partners/authorities	No data available

#### 4.2.7 EQ7 To what extent have programmes lent themselves to scaling-up?

##### 4.2.7.1 JC 71 Appropriateness of programme design for scaling up

From the objective of the programme and design of the projects it is likely that some projects funded by TFESSD have led to introducing innovative technologies or added value practices and have been brought to scale up. No information available if this has been the case for food-security relevant projects.

##### Evidence on indicator level

Indicator	Evidence
I-711 Evidence of potentially scaling up programme activities in the form of innovative processes and methods with an added value over existing methods, etc.	The programme rationale of the TFESSD for the environmental sector explicitly mentions the scaling up of on-going efforts as one of its outcomes. It is likely that at least some of them led to scaling up activities. In this regard, the review in 2012 highlighted that TFESSD has contributed to learning and scaling up of some approaches with regards to sustainability issues. (source: review 2012). However, no data available on project level.

**4.2.7.2 JC 72 Extent of scaling up of programme activities (potentially/achieved)**

No evidence

**Evidence on indicator level**

Indicator	Evidence
I-721 Evidence of success stories which can easily be scaled up	No data available on project level. However, considering the trust as a whole, there is one best practice which could also be applied in the design of future trust funds: <i>“Reinforcing existing trends and undercurrents can help achieve breakthroughs. The TF support for the environment strategy is an example. This sector was established at the time TFESSD came into existence, and its funding provided useful resources for rolling out the strategy.”</i> (source: review 2012)
I-722 Evidence of an effective learning process with a high adoption rate	No evidence.
I-723 Evidence of overall (political) agreement among institutional stakeholders (Government, donor, private sector) to scale up activities/results of intervention	No evidence.

### 4.3 Fredskorpset case study

Fredskorpset (FK) has been re-established in 2000 as an independent organisation under the Ministry of Foreign Affairs with the objective to “assist in implementing the overarching aims of Norway’s collaboration with the developing countries”. The FK is focussing on strengthening civil society in the South and promoting contact & cooperation between people & organisations in Norway and in the South. It encourages exchanges of personnel between Norway and developing countries as well as South-South exchanges.

The most recent evaluation of FK conducted in 2006<sup>3</sup> showed that enhanced skills and knowledge was very high for participants, both from Norway and the South. The results for institutions from the South and Norway (increased capacities, international cooperation capabilities) were however relatively disappointing due to weak capacity building of institutions and, participants from Norway not returning to their institutions. Still, interviews and the case studies analysis showed that the exchanges can create strong linkages between N-S and S-S institutions.

Currently, a large number of exchanges occur within the social sectors (health, education, good governance) and business (through the private sector); agriculture and environment/sustainable development are relatively minor in FK’s annual portfolio; e.g. over 130 projects supported in 2012, 9 projects were related to environment (DAC410) and 6 to agriculture (DAC311).

A quick assessment of agriculture related projects showed that they focus on applied/ fundamental research with very indirect effects on food security and the small holders (or no relationship at all).

Overall, there is a correlation between FK’s postings and the Norwegian priority countries (Uganda, Tanzania, Malawi, Kenya, Sri Lanka, South Africa, and Zambia).

2 typical projects were reviewed in detail focussing on research on goat production systems in Tanzania and biosafety through human resources capacity building: while the latter is irrelevant in terms of food security, the former has potentially indirect effects on food security, although at a small scale: it resulted in capacity building of Tanzanian specialists in relation to goat farming systems, built on creating linkages between both participating organisations and anecdotally resulted in the founding of an NGO on dairy goat production in Tanzania. More importantly, the project contributed directly to the implementation of several NORAD’s programmes (PANTIL, EPINAV and CCIAM) in Tanzania.

There is therefore potential for contributing indirectly to improved food security even on a very short term basis (12-24 months) through personnel exchanges. This opportunity might not be eventually reflected in the selection of projects (or corresponding criteria).

In terms of design and implementation, there may be a considerable variation between the original tasks of a participant as defined in the collaborating document and the activities effectively carried out as reflected in the final report; this is evidence of a relative lack of preparation or commitment by partner organisations (barrier languages, unexpected assignments and tasks, desk instead of lab. activities, etc.)

There is no evaluation of the activities carried out by the participants but a regular quarterly monitoring is done by the home partners (through participants’ reports).

In terms of impact, sustainability and potential scaling up, the final report provides some evidence although it is too succinct to be effectively useful. To rectify this situation, FK has significantly overhauled in 2012 its format for application with the need for a baseline, the inclusion of a simplified log frame (results and indicators, outputs and outcomes). It remains to be seen whether these tools will be used in the final narrative report, in order to evidence any change in relation to the initial situation as per project proposal. Still, the format remains simple enough for a wide variety of institutions and participants not familiar with baselines and log frames.

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<sup>3</sup> Evaluation of Fredskorpset – 2006 - NORAD



### 4.3.1 Analysis

**Project name:** integrated Small Ruminant Production Systems for Improved Livelihoods and Reduced Emission of Greenhouse Gases (GHG)

**Partners:**

University of Life Sciences (UMB): Dpt of Animal and Aquacultural Science, Centre for Animal Research (IHA), Noragric / Norway

Sokoine University of Agriculture (SUA): Dpt of Animal Science and Production (DASP)

**Duration:** 2010

**Database ID:**

FK10/114001N	Tanzania	2010	kr 1.334.940,00
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#### Evidence on indicator level

	Comments
<b>EQ 1 Project relevance in achieving food security food security</b>	
<p>Alignment:</p> <ul style="list-style-type: none"> <li>- Adequate food production (regional or national) analysis</li> <li>- Confirmed increased food production by the project</li> </ul> <p>Coherence:</p> <ul style="list-style-type: none"> <li>- Coordination of FS interventions with relevant stakeholders (avoiding gaps, overlapping, platforms, etc.)</li> <li>- Harmonisation (at design stage, operational)</li> </ul>	<p>The goat project is being coordinated with 2 NORAD interventions (PANTIL &amp; CCIAM) in Tanzania ; in addition to creating linkages between staff of both participating organisations (University of Sokoine – TZ &amp; University of Life Science – NW) in the fields of agriculture &amp; animal husbandry, the project will increase the efficiency of PANTIL and CCIAM by providing extra &amp; committed staff.</p>
<b>EQ2 Programme designs based on evidence and realistic</b>	
<ul style="list-style-type: none"> <li>- Existence of base line studies or similar</li> <li>- Likelihood of interventions to increase food production (review activities)</li> </ul> <p>Food accessibility &amp; stability:</p> <ul style="list-style-type: none"> <li>- Food access, food shortages, cyclical events analysis (e.g. in baseline studies or through activities)</li> <li>- Likelihood of food access increase (more \$ → more meals) and raising purchasing power (more agric. production sold)</li> <li>- Reduced food shortages</li> </ul> <p>Improved nutrition:</p> <ul style="list-style-type: none"> <li>- Food utilisation &amp; nutritional status analysis (in baseline studies or during implementation)</li> <li>- Improved nutritional status (stunting, wasting)</li> </ul>	<p>The proposal took advantage of existing Norwegian programmes such as EPINAV, PANTIL, CCIAM so that the project would benefit these interventions. There is no direct information on food security.</p>

<b>EQ3 Programme results in relation to food security</b>	
<ul style="list-style-type: none"> <li>- Increased food production</li> <li>- Increased number of meals / improved diet</li> <li>- Reduced lean period</li> <li>- Reduced % of underweight/ stunted/wasted children &amp; pregnant women / increased BMI</li> </ul>	<p>The research on small ruminants is indirectly expected to contribute to food security by integrating the results into PANTIL and CCIAM.</p> <p>Participants to Tanzania supported a Norwegian group in the establishment of a farm unit close to Dar-es-Salaam.</p> <p>One participant sent to Tanzania was engaged in a project on bananas within the PANTIL programme</p> <p>Two participants sent to Norway did participate in daily work on small ruminants, learn how to manage animals, undertake experiments, process data, participate in a course on tropical animal husbandry; activities included as well better knowledge of goat farming systems, insemination techniques, cheese preparation (and later yogurt preparation).</p> <p>Overall, teaching in small ruminants production systems has been improved at the Sokoine University (Tanzania)</p>
<b>EQ4 Quality of M&amp;E and interventions' modifications</b>	
<p>At design stage</p> <ul style="list-style-type: none"> <li>- Quality of indicators in relation to overall objectives</li> <li>- Evidence of M&amp;E system</li> </ul> <p>At implementation stage</p> <ul style="list-style-type: none"> <li>- Provision of adequate human resources for M&amp;E including data collection systems</li> <li>- Evidence of adjustments (e.g. budget revisions, results/activities modifications)</li> </ul>	<p>An extra grant (10.000NOK) was agreed to support the proposal of 1 participant: to support the initiation of production of yogurt from goat's milk at Mulbadaw' goat farm to be sold at the Child Unit at the Haydom Lutheran hospital, hence increasing the sustainability of the goat project and ensuring fresh and healthy products at the hospital.</p> <p>1 participant originally focussed on disease free banana seedlings through PANTIL but as this activity was shifted to other programmes, he refocused his efforts on CCIAM (modelling of carbon stock &amp; biodiversity).</p> <p>Quarterly reports between partners due to be exchanged, quarterly reports sent by the participant to his home partner, weekly meeting between the participant and his host supervisor.</p>
<b>EQ5 Documentation of programmes' results</b>	
<ul style="list-style-type: none"> <li>- Adequacy of reporting mechanisms (progress, annual, evaluation reports, others) – quality</li> <li>- Evidence of products/results dissemination &amp; communication strategies (to final, institutional, indirect beneficiaries)</li> </ul>	<p>Articles on the goat research were published.</p>
<b>EQ6 Programmes' sustainability</b>	
<ul style="list-style-type: none"> <li>- Likelihood that results can be maintained: affordability of services / products, beneficiaries enhanced capability to take over; results can absorb shocks (economic, environmental, etc.)</li> <li>- Availability of institutional funds / willingness of institutions to take over after phasing out and</li> </ul>	<p>The project' results will benefit PANTIL and CCIAM.</p> <p>2 participant (south) continued activities on promoting goat farming systems, one going back to his previous post in the Ministry of Agriculture, and providing advisor for new dairy goat farmers in Mgeta (Tanzania). The other one is practising her skills including artificial insemination and yogurt preparation within a new project ("Haydom Nucleus Goat Herd").</p> <p>1 participant (north) has returned to the university continuing research on biodiversity and carbon stock modelling &amp;</p>

<p>provide basic services / support</p> <ul style="list-style-type: none"> <li>- Likelihood that results will enhance stakeholders' environmental basis (natural resources, biodiversity, etc.) &amp; good practices</li> <li>- Existence &amp; appropriateness (including formal approval) of an exit strategy</li> </ul>	<p>publishing articles.</p> <p>This goat project is considered one success stories of both universities' collaboration.</p> <p>The University of Sokoine has strengthened its position as a leading institution for small ruminant production systems and animal science in East Africa; it has recruited young staff with expertise in small ruminant production systems; it has established a collaboration with Mulbadaw farm with nucleus herds of dairy and cashmere goats.</p>
<p><b>EQ7 Probability of programmes' scaling up</b></p>	
<ul style="list-style-type: none"> <li>- Evidence of innovation (project activities, processes, etc.) over existing methods</li> <li>- Success stories</li> <li>- High adoption rate in relation to anticipated results</li> <li>- Evidence of agreement among institutional stakeholders to scale up activities (e.g. integration into policies / strategies, new Gov. programs, etc.)</li> </ul>	<p>No direct scaling-up of particular activities; however, both universities have agreed to a 4 years programme on collaboration.</p> <p>The programme resulted in the establishment in Norway of an NGO and private support to dairy goat keeping in Tanzania.</p>

**Project name:** Chinese, Zambian, Brazilian, Norwegian Biosafety Capacity Building Exchange Initiative linked to the Getaways Institutes Program

**Partners:**

Genøk Centre for Biosafety - Norway

Nanjing Institute of environmental Science of SEPA (NIES/SEPA) China

National Institute for Scientific and Industrial Research (NISIR)

Centro de Ciências Agrárias, University of Santa Catarina (UFSC) Brazil

**Date:** 2009-2011

**Database ID:**

FK09/103203N-1	Brazil	2009	kr 522.222,00
FK10/103203N-1	Brazil	2010	kr 388.889,00
FK11/103204N-1	Brazil	2011	Kr 637.281,00
K09/103203N-2	China	2009	kr 1.044.445,00
FK10/103203N-2	China	2010	Kr 777.778,00
FK10/103203N-3	Zambia	2010	Kr 853.617,00
FK10/2732	Zambia	2010	Kr -22.000,00
<b>TOTAL</b>			<b>Kr 4.202.232,00</b>

**Evidence on indicator level**

	Comments
<b>EQ 1 Project relevance in achieving food security food security</b>	
<p>Alignment:</p> <ul style="list-style-type: none"> <li>- Adequate food production (regional or national) analysis</li> <li>- Confirmed increased food production by the project</li> </ul> <p>Coherence:</p> <ul style="list-style-type: none"> <li>- Coordination of FS interventions with relevant stakeholders (avoiding gaps, overlapping, platforms, etc.)</li> <li>- Harmonisation (at design stage, operational)</li> </ul>	Not relevant.
<b>EQ2 Programme designs based on evidence and realistic</b>	
<ul style="list-style-type: none"> <li>- Existence of base line studies or similar</li> <li>- Likelihood of interventions to increase food production (review activities)</li> </ul> <p>Food accessibility &amp; stability:</p> <ul style="list-style-type: none"> <li>- Food access, food shortages, cyclical events analysis (e.g. in baseline studies or through</li> </ul>	<p>The project is an international collaboration in biosafety research activities on health and environmental effects of GMOs<sup>4</sup> through staff training (biosafety molecular methodologies &amp; protocols), GMOs detection and institutional capacity building of participating organisations</p> <p>Not relevant for food security.</p>

<sup>4</sup> Genetically Modified Organisms

<p>activities)</p> <ul style="list-style-type: none"> <li>- Likelihood of food access increase (more \$ → more meals) and raising purchasing power (more agric. production sold)</li> <li>- Reduced food shortages</li> </ul> <p>Improved nutrition:</p> <ul style="list-style-type: none"> <li>- Food utilisation &amp; nutritional status analysis (in baseline studies or during implementation)</li> <li>- Improved nutritional status (stunting, wasting)</li> </ul>	
<b>EQ3 Programme results in relation to food security</b>	
<ul style="list-style-type: none"> <li>- Increased food production</li> <li>- Increased number of meals / improved diet</li> <li>- Reduced lean period</li> <li>- Reduced % of underweight/ stunted/wasted children &amp; pregnant women / increased BMI</li> </ul>	Not relevant.
<b>EQ4 Quality of M&amp;E and interventions' modifications</b>	
<p>At design stage</p> <ul style="list-style-type: none"> <li>- Quality of indicators in relation to overall objectives</li> <li>- Evidence of M&amp;E system</li> </ul> <p>At implementation stage</p> <ul style="list-style-type: none"> <li>- Provision of adequate human resources for M&amp;E including data collection systems</li> <li>- Evidence of adjustments (e.g. budget revisions, results/activities modifications)</li> </ul>	<p>In order to finalise co-operational projects in Norway, a 2.5 months extension of one participant from Brazil was granted for no additional cost.</p> <p>The activities of one participant from Norway turned out not to be those initially planned, a situation that was amended by the end of his stay, resulting in unsatisfactory use of expertise.</p> <p>Language barrier constraints remained very high for sending participants to China (lack of resources to facilitate translation) resulting in no further exchanges to China.</p>
<b>EQ5 Documentation of programmes' results</b>	
<ul style="list-style-type: none"> <li>- Adequacy of reporting mechanisms (progress, annual, evaluation reports, others) – quality</li> <li>- Evidence of products/results dissemination &amp; communication strategies (to final, institutional, indirect beneficiaries)</li> </ul>	<p>Travel reports were produced.</p> <p>Quarterly reports between partners due to be exchanged, quarterly reports sent by the participant to his home partner, weekly meeting between the participant and his host supervisor.</p> <p>Research results published in scientific journal.</p>
<b>EQ6 Programmes' sustainability</b>	
<ul style="list-style-type: none"> <li>- Likelihood that results can be maintained: affordability of services / products,</li> </ul>	The cooperation between Genøk and the University of Santa Catarina enabled the latter to establish new research lines and was an opportunity for students to learn about new

<p>beneficiaries enhanced capability to take over; results can absorb shocks (economic, environmental, etc.)</p> <ul style="list-style-type: none"> <li>- Availability of institutional funds / willingness of institutions to take over after phasing out and provide basic services / support</li> <li>- Likelihood that results will enhance stakeholders' environmental basis (natural resources, biodiversity, etc.) &amp; good practices</li> <li>- Existence &amp; appropriateness (including formal approval) of an exit strategy</li> </ul>	<p>techniques and approaches to their work. Sustainability was not ensured for the work of some participants that were sent by organisations that did not employ them (e.g. Genøk).</p>
<b>EQ7 Probability of programmes' scaling up</b>	
<ul style="list-style-type: none"> <li>- Evidence of innovation (project activities, processes, etc.) over existing methods</li> <li>- Success stories</li> <li>- High adoption rate in relation to anticipated results</li> <li>- Evidence of agreement among institutional stakeholders to scale up activities (e.g. integration into policies / strategies, new Gov. programs, etc.)</li> </ul>	<p>A South-South component is being considered for 2012 to facilitate exchanges of experience between the south partners.</p>

