

KNOWING WHAT WORKS

Central project evaluation

Transboundary Use and Protection of Natural Resources in the SADC Region (TUPNR II)

Project number 2014.2453.0

Evaluation Report

On behalf of GIZ by Stefan Silvestrini (CEval GmbH) and Martin Muchero

Date of evaluation report: 24. January 2022

Published: December 2023

Imprint

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Published by:

Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

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Design

now [nau], kommunikative & visuelle gestaltung, Frankfurt

Distribution

GIZ, Bonn

Bonn 2023

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Abbreviations

ACCRA	Adaptation to Climate Change in Rural Areas (GIZ project)
ARTP	IAI-IAis-Richtersveld Transfrontier Park
AFC/GOPA	Agriculture and Finance Consultants of the GOPA Consulting Group
BMZ	German Federal Ministry for Economic Cooperation and Development
BSA	Boundless Southern Africa
CADECOM	Catholic Development Commission in Malawi
CBNRM	Support to Community-Based Natural Resource Management (GIZ project)
CCA	Climate change adaptation
COMACO	Community Markets for Conservation
DAC	Development Assistance Committee
DNPW	Department of National Parks and Wildlife (Malawi)
FANR	Food, Agriculture and Natural Resources Directorate of the SADC Secretariat
FC	Financial cooperation
GDP	Gross domestic product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GNI	Gross national income
HCD	Human capacity development
HWC	Human–wildlife conflict
KfW	Kreditanstalt für Wiederaufbau
LEAP	Law enforcement and anti-poaching
LTE	Long-term expert
LTFCA	Lubombo TFCA
M&E	Monitoring and evaluation
MEA	Multilateral environmental agreement
MO	Module objective
NGO	Non-governmental organisation

NRM	Natural resource management
NWR	Namibia Wildlife Resorts
OECD	Organisation for Economic Co-operation and Development
PO	Programme objective
PPF	Peace Parks Foundation
REDD	Reducing emissions from deforestation and forest degradation
RISDP	Regional Indicative Strategic Development Plan
SADC	Southern African Development Community
SAWC	South Africa Wildlife College
SDG	Sustainable Development Goals
SMART	Specific, measurable, achievable, relevant and time-bound
STE	Short-term expert
TC	Technical cooperation
TFCA	Transfrontier Conservation Area
TRAFFIC	Trade Records Analysis of Flora and Fauna in Commerce
TUPNR	Transboundary Use and Protection of Natural Resources
USAID	United States Agency for International Development



The project at a glance

Southern African Development Community (SADC): Transboundary Use and Protection of Natural Resources in the SADC Region (TUPNR) project

Project number	2014.2453.0
Creditor reporting system code(s)	41030 – Biodiversity (100%)
Project objective	The implementation of Southern African Development Community (SADC) protocols and strategies for sustainable natural resource management (NRM) in Transfrontier Conservation Areas (TFCAs) by local, regional and national actors has improved.
Project term	June 2015 - 31 March 2021
Project value	EUR 13,296,000
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	SADC Secretariat
Partner organisations	Key implementing organisations: IAI-IAis-Richtersveld Transfrontier Park (ARTP), Malawi-Zambia (Kasungu-Lukusuzi) TFCA, Lubombo TFCA (LTFCA), SADC Secretariat, TFCA Network Further implementing partners: Community Markets for Conservation (COMACO), Catholic Development Commission in Malawi (CADECOM), Namibia Wildlife Resorts (NWR), Southern African Wildlife College (SAWC), Peace Parks Foundation (PPF)
Other development organisations involved	Agriculture and Finance Consultants of the GOPA Consulting Group (AFC/GOPA), Kreditanstalt für Wiederaufbau (KfW)
Development cooperation (DC) programme	<i>Grenzüberschreitender Schutz und Nutzung natürlicher Ressourcen</i>
Implementing organisations of the DC programme	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, KfW Development Bank
Target group(s)	Poor rural residents in three selected TFCAs in the SADC region who depend on natural resources as a basis for living and production. Managing and operational staff of national ministries, education and research institutions, local governments, private sector initiatives for tourism and non-governmental organisations (NGOs). SADC Secretariat (Food, Agriculture and Natural Resources Directorate (FANR)) and TFCA practitioners.
Reporting year of CPE	2022
Sample year of CPE	2019

1 Evaluation objectives and questions

This chapter aims to describe the purpose of the evaluation, the standard evaluation criteria, and additional stakeholders' knowledge interests and evaluation questions.

1.1 Evaluation objectives

Central project evaluations of projects commissioned by BMZ fulfil three basic functions: they support evidence-based decisions, promote transparency and accountability, and foster organisational learning within the scope of contributing to effective knowledge management. GIZ structures the planning, implementation and use of evaluations so that the contribution the evaluation process and the evaluation findings make to these basic functions is optimised (GIZ, 2018a).

The evaluation is part of the Evaluation Unit's random sample. It was conducted at the end of the project implementation term on 31 March 2021, and is thus to be considered as a final evaluation. Due to the COVID-19 pandemic it had to be implemented semi-remotely, with the national consultant coordinating the data collection on site and the international consultant being involved in interviews and focus group discussions where possible. While the semi-remote approach worked fine, the pandemic delayed the implementation of the data collection phase considerably because the national consultant became infected and was put in quarantine during the field visit to Eswatini.

1.2 Evaluation questions

The project is assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. This is based on the Organisation for Economic Co-operation and Development ([OECD/Development Assistance Committee \(DAC\) evaluation criteria](#) (updated 2020) for international cooperation and the [evaluation criteria for German bilateral cooperation \(in German\)](#): **relevance, coherence, efficiency, effectiveness, impact and sustainability**.

Specific assessment dimensions and analytical questions have been derived from this framework. These form the basis for all central project evaluations in GIZ and can be found in the **evaluation matrix** (Annex). In addition, contributions to the 2030 Agenda for Sustainable Development and its principles are taken into account as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation are included in all OECD DAC criteria.

Finally, further questions raised by the key stakeholders of the project are considered. These questions, as voiced in the interviews during the inception phase, mainly concern what will happen after the end of the project. Whereas project partners raised issues regarding the TFCAs' and member states' perspectives following the end of the project, GIZ project and management staff wished to receive recommendations on increasing the follow-on project's effectiveness. According to the interview results, the main questions can be summarised as shown in Table 1.

Table 1: Knowledge interests by main evaluation stakeholder groups

Evaluation stakeholder group	Knowledge interests in evaluation/additional evaluation questions	Relevant section in this report
Project partners	What are the partner states' views about the end of the project and what are their recommendations?	Included in sustainability criterion
Project partners	How do the communities in the TFCAs feel about the project coming to an end?	Included in sustainability criterion
GIZ project staff	How can further support from partner states be leveraged?	Included in analysis of follow-on project
GIZ management staff	How can the regional agenda be (better) integrated in the follow-on project's implementation?	Included in analysis of follow-on project

2 Object of the evaluation

This chapter aims to define the evaluation object, including the theory of change, and results hypotheses.

2.1 Definition of the evaluation object

The object of the evaluation is the Technical Cooperation Module Transboundary Use and Protection of Natural Resources in the SADC Region (TUPNR) (PN: 2014.2453.0), referred to in this document as 'the project' or 'the TUPNR project'. This was part of the Development Cooperation Programme of the same name. The project was implemented between 1 June 2015 and 31 March 2021 in the SADC region. It covered four components, namely Support to the SADC Secretariat, Improving National Frameworks, Support Projects in TFCAs and cross-cutting TFCA Network. Support projects were implemented in three selected TFCAs: Malawi-Zambia TFCA, Lubombo (Eswatini, Mozambique, South Africa) TFCA and IAi-IAis-Richtersveld Transfrontier Park (ARTP, Namibia, South Africa). Hence, the support projects component covered Eswatini, Malawi, Mozambique, Namibia, South Africa and Zambia, and this is also the geographical focus of the evaluation. It had a total budget of EUR 13,296,000, fully financed by BMZ (Doc_GIZ_01,02,04,07,08,51).

The project pursued a multilevel approach that included the development of capacities at local, national and regional level. It built on the predecessor project of the same name (PN: 2010.2260.7), implemented between 1 February 2012 and 31 May 2015 in the same area with a total budget of EUR 5,805,000 (Doc_GIZ_45). It was succeeded by a follow-on project, Climate Resilience and Natural Resource Management in the SADC Region (C-NRM) (PN: 2019.2189.9), which started on 1 January 2021.

A quick comparison of some key economic performance indicators shows that while facing similar ecologic challenges, the six SADC countries in which the TUPNR project was implemented feature quite different political and economic conditions (see Table 2).

Table 2: Key economic performance indicators of the intervention countries for 2019

Country	GDP per capita (US\$)	GNI per capita (US\$)	Poverty headcount ratio (%)	International tourism receipts (US\$)
Eswatini	4,818	3,670	n.a.	14,300,000
Malawi	536	550	71.1 (2010)	47,000,000
Mozambique	589	490	n.a.	324,000,000
Namibia	5,881	5,180	13.8 (2015)	451,000,000
South Africa	7,346	6,040	16.2 (2010)	9,064,000,000
Zambia	1,654	1,430	65.8 (2010)	820,000,000

Source: All data from World Bank databank:

<https://databank.worldbank.org/reports.aspx?source=2&country=MWI,NAM,ZAF,ZMB,MOZ,SWZ>

GDP, gross domestic product; GNI, gross national income.

While South Africa and also, to a large extent, Namibia can be regarded as relatively economically stable low-middle-income countries with a functioning regulatory framework for conservation areas, Eswatini and Zambia struggle considerably more with establishing supportive conditions for sustainable use of their natural resources. Mozambique and Malawi appear to lack basic capacities as well as financial resources to do so. Moreover, the latter suffer from a deficient infrastructure and, particularly Eswatini and Malawi, from a much less developed tourism sector.

As regards the ecologic situation in the supported TFCAs, the challenges include population growth and the resulting extension of farmland, degradation and fragmentation of ecosystems, increasing energy demands and the widespread effects of the climate change. In addition, TFCAs suffer from particular drawbacks that are rooted mostly in insufficient collaboration and coordination of actors across borders and a lack of participation of local communities regarding issues such as fires, wildlife population movements, increased poaching, untapped potential for tourism, weak local management capacities and a lack of dissemination of knowledge about sustainable utilisation and conservation approaches (Doc_GIZ_01-07).

In addition to these deficiencies on the ground, the governing organisations, i.e. the SADC Secretariat, the TFCA Focal Points and the TFCA Network, do not have the necessary capacities and resources to provide sufficient guidance to alleviate this situation. While the project and its predecessor were working on these issues, the general ecologic conditions and organisational setting did not appear to change throughout their implementation (Doc_GIZ_17-23). However, what did change dramatically in the final year of the project was the economic situation as a result of the COVID-19 pandemic. This led to a breakdown of the tourism sector and, hence, a substantial shortfall of income for the population and the protected area institutions in these areas (Doc_GIZ_23,52).

2.2 Results model including hypotheses

The project aimed to improve the implementation of SADC protocols and strategies for sustainable NRM in TFCAs by local, national and regional actors (**module objective, MO**). It should thus contribute to the transfrontier conservation of biodiversity and functional ecosystems and the sustainable use of natural resources that secure the socio-economic and ecologic livelihood of the local population and future generations (**programme objective, PO**) (Doc_GIZ_01-07,17-23).

The **political partner** of the project was the FANR Directorate of the SADC Secretariat, and particularly its organisational unit on Natural Resources. Among other things the SADC Secretariat is a transnational institution responsible for convening and coordinating programmes that are jointly funded and implemented by the SADC member states. The secretariat's primary objective is to contribute to poverty eradication and regional integration. Its mandate is outlined in the SADC Treaty,¹ which was signed in 1992 by the governments of the SADC member states and regularly updated thereafter. The FANR Directorate oversees the collaboration of the TFCAs. It implements the regional SADC TFCA programme in coordination with the TFCA Focal Points, i.e. the representatives in the SADC member states' sector ministries who are responsible for NRM. It is further responsible for monitoring the programme's progress (Doc_GIZ_01-07). FANR is also tasked with the coordination and harmonisation of agricultural policies and programmes in the SADC region, in line with priorities in the Regional Indicative Strategic Development Plan (RISDP).² The project coordinated its activities with SADC's Technical Committees on Forestry, Wildlife and Tourism, and with the TFCA Network Steering Committee.

Through its integration in the regional KfW–GIZ-implemented German development programme, the project cooperated with KfW, which worked towards the same objectives. Moreover, it featured interfaces with other international stakeholders such as Trade Records Analysis of Flora and Fauna in Commerce (TRAFFIC), an NGO working on wildlife trade in the context of both biodiversity conservation and sustainable development,³ and other regional projects such as the United States Agency for International Development (USAID) VukaNow project and the Ketha project, implemented jointly by USAID and the World Wide Fund for Nature. Finally, the project collaborated with AFC/GOPA to provide support to the TFCAs to develop their tourism activities.

At regional and national level, the project collaborated with the TFCA Network, the TFCA Focal Points in the respective sector ministries of the member states, and national, regional and international NGOs and institutions. These comprised training and research institutions (e.g. SAWC and PPF, an NGO providing support to the TFCAs⁴). Within the scope of its activities on tourism promotion in particular, the project supported Boundless Southern Africa (BSA), a regional marketing and investment promotion label operated by the Southern African Department of Forestry, Fisheries and the Environment that supports and facilitates sustainable tourism development in Southern Africa's TFCAs,⁵ and NWR, a Namibian tourism agency.⁶

At local cross-border level the project worked in three TFCAs, namely the ARTP, the Malawi-Zambia TFCA, and the LTFCA. In these TFCAs the **direct target groups** included the park management, forestry and wildlife staff, and district governments, local authorities and communities. In the Malawi-Zambia TFCA, the project collaborated with CADECOM, a church organisation aiming to empower disadvantaged groups,⁷ and COMACO, a social enterprise that supports wildlife conservation and sustainable agriculture among small-scale farmers in Zambia.⁸ TFCA residents such as farmers and ranchers, agroforestry groups, cooperatives, youth groups and former poachers and charcoal burners were also supported, and these can be considered the **final beneficiaries** of the project.

¹ <https://www.sadc.int/documents-publications/show/4171> [6.4.2021]

² <https://www.sadc.int/sadc-secretariat/directorates/office-deputy-executive-secretary-regional-integration/food-agriculture-natural-resources/> [13.3.2021]

³ <https://www.traffic.org/about-us/our-conservation-strategy/> [13.3.2021]

⁴ <https://www.peaceparks.org/how/political-will/> [13.3.2021]

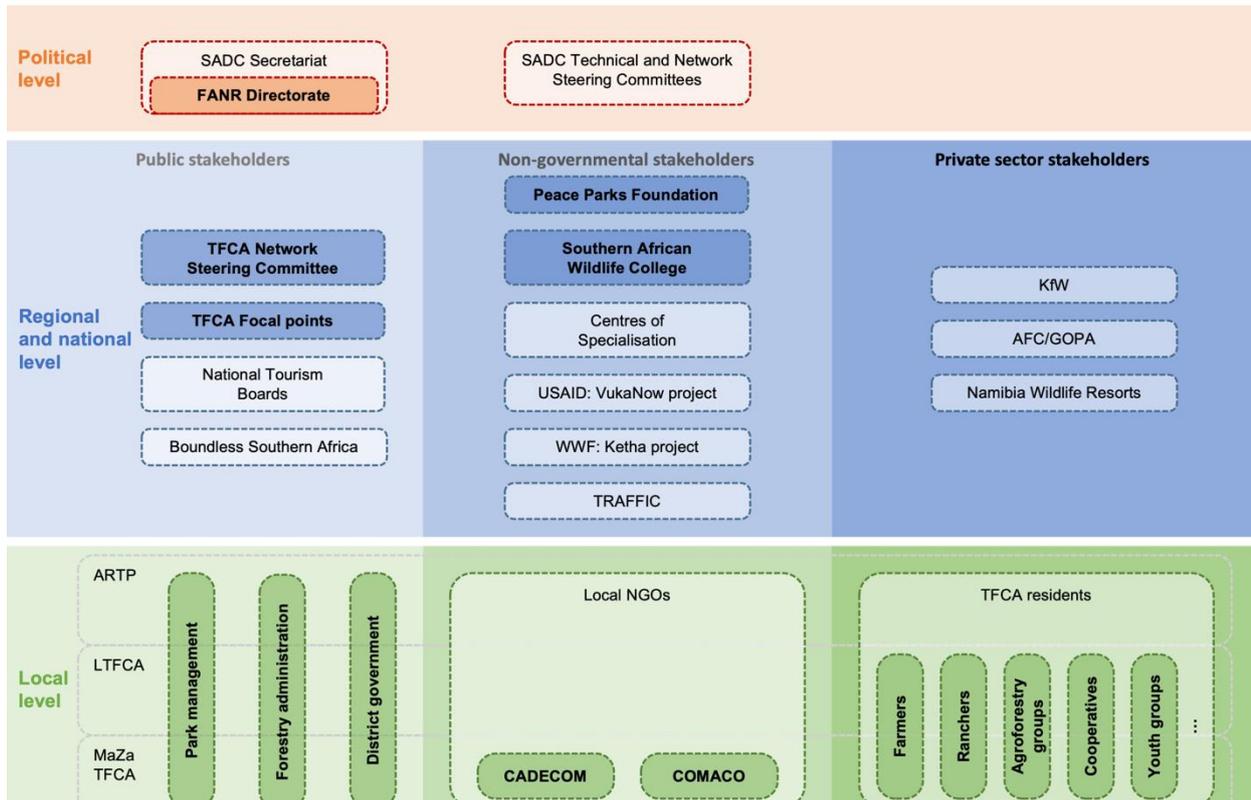
⁵ <https://boundless-southernafrica.org> [13.3.2021]

⁶ <https://www.nwr.com.na> [13.3.2021]

⁷ <https://www.ecmmw.org/new/commissions/cadecom/> [13.3.2021]

⁸ <https://itswild.org> [13.3.2021]

Figure 1: Stakeholder map of the TUPNR project (key stakeholders from whom empirical data was collected are highlighted)

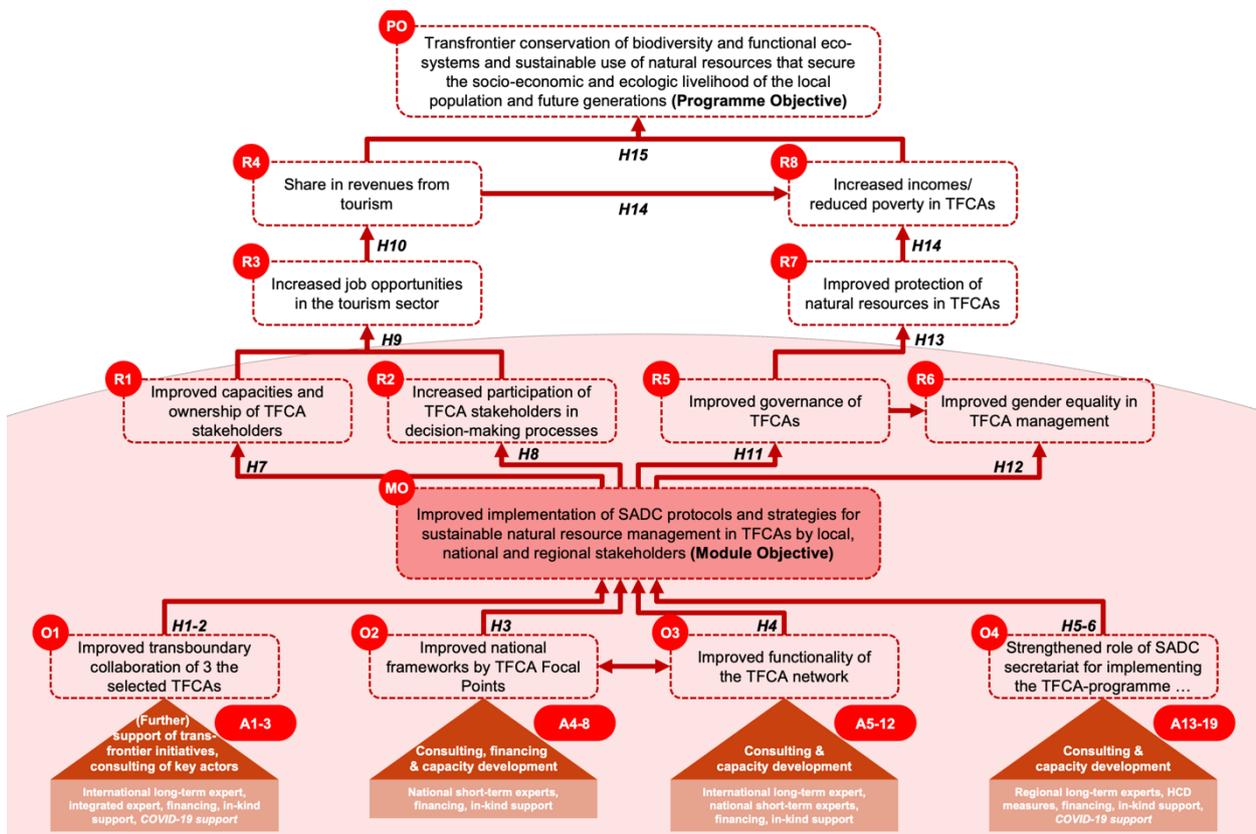


The project provided capacity development support to technical and management staff of the above-mentioned TFCN partners, TFCN Network practitioners, professional staff of the education and research institutions, and ultimately, staff of the relevant sector ministries in the partner countries.

Owing to the characteristics outlined, the project received the DAC identifier UR 2 (i.e. principal objective) for environmental protection and resource conservation and BTR 2 (gearing cooperation to objectives of the Convention on Biological Diversity), and 1 (i.e. significant objective) for gender equality, participatory development/good governance, DES 1 (gearing cooperation to objectives of the Convention to Combat Desertification) and KLA 1 (adaptation to climate change). Furthermore, the BMZ marker MSA (i.e. involving measures that operate at the macro or sectoral level) for poverty reduction was assigned to the project, and rural development and food security was defined as a significant objective.

Figure 2 shows the reconstructed results model of the TUPNR project, with the project's sphere of responsibility shaded in pink.

Figure 2: Current results model (March 2021), adapted during evaluation



Caption:

- Sphere of responsibility
- Causal hypothesis
- COVID-19 related result
- Programme objective
- Module objective
- Results (Outcomes)
- Outputs
- Activities
- TC/FC instruments

Output level

The project encompasses the following four outputs:

- Output 1: Improved transboundary collaboration of the three selected TFCAs
- Output 2: Processes for improving national frameworks initiated by TFCA Focal Points
- Output 3: Improved functionality of the TFCA Network
- Output 4: Strengthened role of the SADC Secretariat for implementing the TFCA programme

Output 1 focuses on improving the transboundary collaboration of the stakeholders in the three selected TFCAs. In order to achieve this, the following **activities** were implemented:

- advising stakeholders (park managers, community members, community forums, local NGOs, etc.) in the TFCAs on the establishment of transboundary governance bodies, transboundary tourism, transboundary control of wildlife and illegal wildlife trade, sustainable agriculture and other methods of income generation for populations, financing mechanisms, climate change adaptation and fire management (**A1**) (see Figure 2),
- establishing and organising cross-border meetings, platforms and governance structures (**A2**), and
- documenting experiences from the support projects in the form of recommendations for improved TFCA management and coordination at the local level (**A3**).

As regards the technical and financial cooperation (TC and FC) instruments, the project is coordinated by an international long-term expert (LTE) as project manager, supported by two international and two regional long-term advisors. This advice is accompanied by grants for partners implementing measures to support cross-border initiatives.

The underlying hypothesis for Output 1's contribution to the MO is that through the capacitation of local stakeholders and by bringing them together on a regular basis with the respective exchange platforms, they will develop mutual trust and willingness to collaborate with their counterparts on the other side of the border **(H1)**, which is a key prerequisite for the implementation of SADC's sustainable NRM protocols. Furthermore, the experiences from the selected TFCAs should serve as examples of good practice for other TFCAs and thus be disseminated across the entire SADC region **(H2)**.

The key prerequisite for achieving Output 1 is that the SADC member countries support the three cross-border projects and approve the selection of the three supported TFCAs. They also need to commit to their collaboration with the other actors at the different levels and decide on the implementation of joint activities within the TFCA governance structure. Moreover, the acquisition of further financing sources is required to establish local grants. Finally, the capacities of the beneficiaries of community-based NRM, project and process management need to be raised over time.

Output 2 focuses on initiating processes for improving national frameworks. In order to achieve this, the following **activities** were implemented:

- organisational development to strengthen TFCA structures at national level **(A4)**,
- processing of experiences from support projects as recommendations for improving the national framework conditions **(A5)**,
- advising TFCA Focal Points on transboundary tourism, transboundary control of poaching and illegal wildlife trade, sustainable agriculture and other methods of income generation for the population, financing mechanisms, climate change adaptation and fire management, as well as on opportunities to adapt national frameworks for improved transboundary management of natural resources **(A6)**,
- establishment and organisation of dialogue processes **(A7)**, and
- organisation of peer-to-peer learning between TFCA stakeholders **(A8)**.

The advice to the national stakeholders and their policy initiatives at national level is mainly provided by regional short-term experts (STEs).

The hypothesis for Output 2's contribution to the MO is that the TFCA Focal Points in the relevant sector ministries of the partner countries play a crucial role in the development of a TFCA strategy because only they have the power to provide for the necessary national regulatory frameworks **(H3)**. A necessary precondition for the hypothesis to be true is that the TFCA Focal Points in the SADC member states implement the suggestions from the TFCAs and the TFCA Network autonomously.

Output 3 focuses on improving the functionality of the TFCA Network. In order to achieve this, the following **activities** were implemented:

- advising members of the TFCA Network on network management, network facilitation, online portal management, forms of participation in discussion processes with various stakeholder groups, as well as on the topics of transboundary tourism, transboundary control of poaching and illegal wildlife trade, sustainable agriculture and other methods of income generation for the population, financing mechanisms, climate change adaptation and fire management **(A9)**,
- reviewing experiences from support projects and commenting on draft recommendations **(A10)**,
- promoting the SADC TFCA Network on the joint presentation of TFCAs as regional tourism destinations **(A11)**, and

- establishing and strengthening the self-governance structures and fund-raising capacities of the network as part of the exit strategy from 2020 onwards **(A12)**.

Another international LTE was appointed to coordinate the TFCA Network at interfaces with the regional and national levels. The TFCA Network was also supported by local STEs for targeted studies and coordination.

Output 3's contribution to the MO is based on the hypothesis that by strengthening the capacities of TFCA Network partners and providing them with technical support, they will be able to foster collaboration between the TFCA stakeholders and thus improve the network's functionality at local level **(H4)**. Including new stakeholder groups is intended to increase the diversity of the network, which again should be reflected in an increasing number of practical contributions to improve exchange and TFCA operations. Therefore, it is also necessary for the TFCA Network to be acknowledged by all relevant actors as the official regional network for TFCAs and for it to be open to actors from outside governments. Finally, funds from other donors and NGOs are necessary to strengthen the network.

Output 4 focuses on strengthening the role of the SADC Secretariat in implementing the TFCA programme. In order to achieve this, the following **activities** were implemented:

- advising the SADC Secretariat on the coordination of member states in relation to the Conference of the Parties for multilateral environmental agreements (MEAs), e.g. 2016 and 2019 Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), 2018 Convention on Biological Diversity, and other relevant international conventions **(A13)**,
- advising the secretariat on the organisation of a regional event to mark the 20th anniversary of the TFCA initiative **(A14)**,
- advising the secretariat on demand-based support for the implementation of the TFCA Guidelines at national level **(A15)**,
- advising members of the SADC Secretariat on the monitoring of implementation of regional guidelines and programmes, analysis of national reports, reporting, development of guidelines on relevant issues on transboundary NRM, facilitation of multistakeholder and networking meetings, strategy development and strategic thinking **(A16)**,
- promoting national adaptation of the law enforcement and anti-poaching (LEAP) strategy (anti-poaching) **(A17)**, and
- commenting on draft reports **(A18)**.

The advice to the SADC Secretariat is provided by two regional LTEs (one for MEAs and one for LEAP).

Due to its pivotal role in the integration of the interests and strategies of its member countries, and thus the development of the entire region, it is assumed that support for the secretariat will strengthen its ability to plan and steer the implementation of its TFCA programme **(H5)**. To achieve the output, the SADC Secretariat must be adequately staffed, including all key positions, throughout the project implementation and, despite insufficient operational funds, its staff and all partners must be continuously engaged to develop the SADC TFCA programme and collaborate with the project experts.

Potentially **unintended positive and negative results** at output level were not systematically monitored by the project.

Outcome and impact level

The above-mentioned **Outputs 1 to 4 should** contribute to improved implementation of SADC protocols and strategies for sustainable NRM in TFCAs by local, national and regional stakeholders. The overarching hypothesis is that **strengthening the key stakeholders**, i.e. the TFCAs, their network and national focal points, and the responsible unit in the SADC Secretariat, will enable them to **create the necessary conditions for and to work together towards a coherent NRM in the TFCAs**. Hence, the project is geared to achieving

horizontal (between different TFCAs) and vertical (between local, national and regional levels) upscaling of solutions generated in cross-border initiatives. The **project works with actors at all levels of the cooperation system and with the TFCA Network** as a 'transmission belt' between these levels. The TFCA structures and TFCA Network are important links to both the national and local levels. The national **TFCA Focal Points in the SADC member countries provide an important link to national decision-makers** to address the policy and regulatory gaps identified in TFCAs. Finally, the **SADC Secretariat contributes to the institutionalisation of good practices and approaches** through the development of regional guidance and coordination of the levels involved.

An important prerequisite for achieving the MO is that the SADC Secretariat and the 16 member states accept the selection of the three selected TFCAs, support the efforts of the project to become active in the selected TFCAs' partner countries, and promote the project.

The development and improved implementation of the protocols and strategies in the TFCAs is intended to lead to a number of direct benefits (**outcomes**) for the project's target groups. At local level, it should result in improved capacities and ownership of TFCA stakeholders (**H7→R1**) as well as in their increased participation in decision-making processes (**H8→R2**). Through their increased capacities and participation, their income opportunities should eventually increase (**H9→R3**), which again should enable them to also share in revenues generated by tourism (**H10→R4**). At regional level the achievement of the MO should result in improved governance of TFCAs (**H11→R5**) and gender equality in TFCA management (**H12→R6**), which again should translate into improved protection of natural resources in TFCAs (**H13→R7**) in the long run.

The underlying assumption for increasing income and reducing poverty (**H14→R8**) in the TFCAs (**impacts**) is that the target groups are able to benefit from tourism revenues, to improve and diversify their own activities (agriculture) and to improve the protection of natural resources. Achieving these results should contribute to the transfrontier conservation of biodiversity and functional ecosystems, reduced poaching, and the sustainable use of natural resources that secure the socio-economic livelihood of the local population and future generations (**H15→PO**).

Potentially **unintended positive and negative results** at outcome and impact level were not systematically monitored by the project. The project's progress reports and programme reports do not indicate that such results were observed.

System boundary

To the understanding of the evaluation team, the project's sphere of responsibility included its outputs and the MO. The latter can be regarded as an intermediary outcome, i.e. a benefit for its direct target groups that is necessary for further improvements in their livelihood situation and environmental conditions. The project can be considered as being responsible for the results R1 and R2 as well as R5 and R6 for its direct target groups at local, national and regional level, as its activities are directly geared towards improving the stakeholders' capacities and participation and towards improving the TFCAs' governance. The achievement of the subsequent results, however, depends not only on the project's success but also on a multitude of external factors (e.g. climate change, political and economic development of the implementing countries, the current pandemic crisis) that cannot be controlled by the project. Such results are thus regarded as being outside the project's sphere of responsibility.

3 Evaluability and evaluation process

This chapter aims to clarify the availability and quality of data and the process of the evaluation.

3.1 Evaluability: data availability and quality

This section covers the following aspects:

- availability of essential documents,
- monitoring and baseline data including partner data, and
- secondary data.

Availability of essential documents

All key documents necessary for the evaluation were made available by the project. Further information about the economic, political and ecologic conditions in the implementing regions can be retrieved by an internet search.

Monitoring and baseline data including partner data

Project monitoring data is available in form of a monitoring report from February 2021 (Doc_GIZ_24) and yearly, quarterly and biannual progress reports from 2015 to 2020 (Doc_GIZ_17,19,21-23). The documents contain information about the achievement of the project's official output and outcome indicators at given times (so-called milestones). The results matrices annexed to the progress reports contain relevant information about the data sources and partly how it was analysed. They also provide assumptions about the prerequisites and risks that may jeopardise achievement of the results. The quality of the monitoring data is regarded as being sufficient to provide a basis for the project's effectiveness assessment at output and outcome level. While not directly referring to partner monitoring systems, the matrices reveal that most of the monitoring data stems from TFCA reports as well as technical documents and meeting minutes, although the content of these is mostly provided by the project. The use of KOMPASS is not explicitly mentioned in any of the documents. Further to the above-mentioned monitoring documents, two evaluation reports are available (Doc_GIZ_10-14) that yield valuable information about the project's performance according to the OECD DAC criteria. Moreover, the results of an online survey of a webinar series were made available and used for triangulation purposes (see section 4.4). Baseline data on the output and outcome indicators of the project was found in the results matrix of the initial offer to the BMZ (Doc_GIZ_01).

Secondary data

The evaluation team did not see any substantial added value in analysing national and regional statistics. Owing to the innovative character of the project, specific information on the development of its outcome indicators (e.g. transfrontier initiatives, coherence of regional regulatory framework) was not available in official databases. National statistics on the implementation of management plans for protected areas, revenues from tourism and NRM could not be retrieved.

3.2 Evaluation process

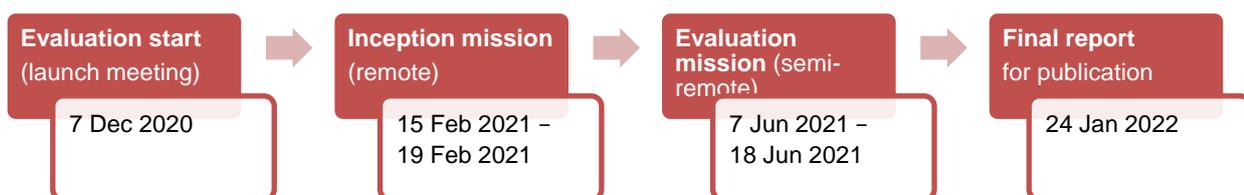
This section covers the following aspects:

- milestones of the evaluation process,
- involvement of stakeholders,
- selection of interviewees,
- data analysis process, and
- roles of international and local evaluators.

The evaluation started on 7 December 2020 with a virtual briefing meeting with the GIZ evaluation department representative responsible for this evaluation, followed by a virtual launch meeting on the following day with the project manager and the country manager (head office) of the project. During the launch meeting the selection of the regional evaluator was agreed upon, and this evaluator was then contracted by CEval. The project provided the relevant documents for the desk study, which was then conducted until end of January 2021. After thorough preparation, the semi-remote inception mission was conducted between 15 and 19 February 2021, starting with a half-day results model reconstruction workshop, followed by semi-structured explorative interviews with project and partner staff. All interviews were implemented virtually via Microsoft Teams by the regional and the international consultant. On 19 February 2021 a debriefing meeting with the project staff took place during which the further proceedings were agreed upon. This inception report was provided in draft form to the GIZ evaluation department on 15 March 2021 and was approved after two rounds of revision on 5 May 2021.

The main evaluation phase started on 17 May 2021 with a virtual launch meeting with the GIZ evaluation department and project staff, after which the main evaluation mission was prepared. Owing to the pandemic situation and continuing travel restrictions, the evaluation was conducted remotely, i.e. with only the regional evaluator collecting data on site in Malawi-Zambia TFCA and LTFCA. For connectivity and scheduling reasons, it was not possible for the international consultant to dial in during the interviews in the TFCAs. The empirical data collection took place between 7 and 22 June 2021.

Figure 3: Milestones of the evaluation process



Involvement of stakeholders

The evaluation team made efforts to involve all relevant key stakeholders sufficiently in the scoping of the evaluation and its implementation. In addition to the GIZ project staff, these stakeholders comprised representatives from all political and operative partners at local (i.e. park management, local NGOs), national and sub-regional (e.g. TFCA Network and Focal points, PPF, SAWC, BSA) and regional (i.e. FANR/SADC, VukaNow, KfW, AFC/GOPA) level. According to the participatory approach of the evaluation team, during the inception mission the stakeholders were informed about the tasks and purposes of the evaluation. During the explorative interviews, they were also invited to share their views on further relevant aspects to be considered that were not initially included in the evaluation matrix. Furthermore, they were all given the opportunity to formulate additional questions that the evaluation team should consider in its further research. The plan was to involve these stakeholders further in the course of the evaluation, particularly during the interpretation and assessment of the evaluation results.

Selection of interviewees

In preparation for the inception mission, the evaluation team was given a list of the project team, all operative and political partners, and stakeholders from other relevant development projects. For most of these, data could be collected during the inception mission by means of semi-structured explorative interviews.

During the evaluation phase, despite the travel restrictions, it was possible for the regional evaluator to visit two out of the three TFCA, i.e. the Malawi-Zambia TFCA and the LTFCA. Together with the remote interviews conducted with the ARTP TFCA during the inception phase, this enabled a representative picture to be gained from all three TFCA.

Table 3: List of evaluation stakeholders and selected interviewees

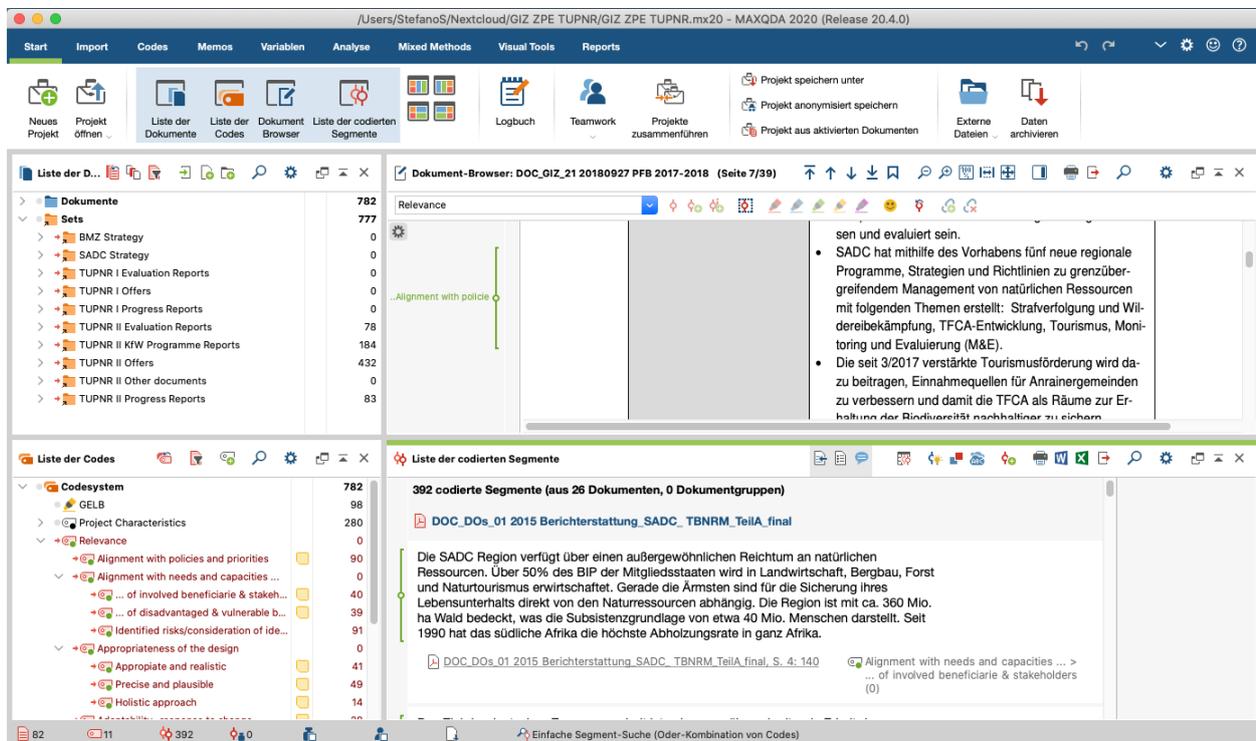
Organisation/company/ target group	Overall number of persons involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
Donors	1 m	1 m			
BMZ					
GIZ	6 m / 4 f*	5 m / 4 f		6 m / 4 f	
GIZ project team, GIZ country office, GIZ headquarters Germany					
Partner organisations (direct target group)	32 m / 23 f	32 m / 23 f			
ARTP, LTFCA, Malawi-Zambia TFCA, CADECOM, COMACO, TFCA Network, TFCA Focal Points, PPF, BSA, NWR, FANR/SADC, KAZA Secretariat					
Other stakeholders (e.g. public actors, other development projects)	3 m / 1 f	3 m / 1 f			
GIZ Adaptation to Climate Change in Rural Areas (ACCRA) project, KfW, AFC/GOPA, USAID					
Civil society and private sector actors (direct groups and final beneficiaries)**	72 m / 56 f	72 m / 56 f			40***
TFCA residents, farmers, ranchers, agroforestry groups, cooperatives, youth groups, former poachers and charcoal burners, other local NGOs					
Universities and think tanks	2 f	2 f			
SAWC					
Note: f = female; m = male. *double counts due to participation in workshops and interviews already deducted; **LTFCA and Malawi-Zambia TFCA only; *** secondary analysis of project's SADC TFCA Webinar feedback survey					

Data analysis process

All interviews were transcribed, and the transcripts of the interviews where both evaluators were present were exchanged between the regional and international evaluator for cross-checking. Both the interview content and the documents were subjected to a qualitative content analysis according to Mayring (see, e.g., Mayring 2010). For data management and analysis, a software called MaxQDA was used. First, all documents and transcripts were imported and a code scheme was developed based on the evaluation matrix. All relevant content of the documents was then coded according to the scheme. In the next step, the coded text segments were aggregated by the individual codes and finally analysed qualitatively. The following screen shot shows an

example of the coding and data aggregation: upper left window: list of imported documents; lower left window: code system (i.e. the indicators from the evaluation matrix); right upper window: exemplary coded text segment; lower right window: exemplary aggregated text segments output.

Figure 4: Screenshot of the qualitative data analysis with MaxQDA



Quantitative data from the empirical data collection, the efficiency tool and a survey on the satisfaction of webinar participants conducted by the project (see section 4.4) was analysed descriptively; only univariate statistical methods (i.e. calculation of frequencies, distributions, arithmetic means) were applied. Where possible, results were visualised using bar charts. Owing to the non-random sampling of the interviewees and as no further information about the composition and characteristics of the larger basic population in the intervention area of the project was available, applying inferential statistics (e.g. regression analyses, t-tests) would not have been meaningful.

The qualitative and quantitative data analysis was undertaken according to socio-scientific standards. Thus, the evaluation team applied good common practice (e.g. a sound mix of qualitative and quantitative methods, four-eyes principle) and in particular followed the DeGEval and UNEG evaluation standards.

Roles of international and local evaluators

As already outlined, the evaluation team consisted of one regional and one international evaluator. Owing to the pandemic, the entire evaluation was implemented semi-remotely, with the regional evaluator visiting two TFCAs and the international evaluator joining interviews via video during the inception phase.

The profiles of the evaluation team complement one another ideally. The regional consultant, who holds an MSc in Agricultural Economics and has worked in a number of NRM-related projects in the SADC area, possesses in-depth sectoral and regional expertise, while the international evaluator has a strong methodological background and long-standing practical experience with more than 100 project evaluations over the past two decades.

4 Assessment according to OECD DAC criteria

This chapter describes how the project was assessed according to the OECD DAC criteria. To begin with, it should be noted that the evaluation was based on a **non-experimental (single) time-difference** design, for the following reasons:

- The **target groups were not selected at random**. In order to control for the so-called unobservable heterogeneity of the target group (i.e. that it differs from the non-treatment group in characteristics that co-determine observable changes/outcomes), randomised controlled trials⁹ require a randomised selection of beneficiaries. However, the beneficiaries were selected by their location (i.e. living in a TFCA).
- For the same reason it was **not feasible to construct a comparison group** for the target group.
- Project outcomes partially refer to **changes at institutional and system level**. The project followed a multilevel approach that included developing capacities at local, national and regional level. As it was not realistic to conduct a country comparison, it was not possible to establish a counterfactual situation for any interventions conducted at institutional level.

To compensate for these deficits and to provide for valid and reliable findings, the evaluation team followed a **theory-based approach** (see section 2.2) and a **multimethod approach** (see section 3.2) when assessing all OECD DAC criteria. It thus gained a thorough understanding of how the project intended to achieve its objectives, which measures were therefore implemented, and how and why they took, or did not take, effect. Furthermore, the roles of the different stakeholders (e.g. park management, focal points, SADC Secretariat) involved in the activities as well as their own objectives, strategies and capacities were taken into account. Finally, unintended effects as well as the influence of external factors on the measures' implementation, their effectiveness and their outcomes/impacts were also identified and assessed. Hence, at the outset the intervention logic of the programme was reconstructed (as outlined above) by tracing its main impact pathways. The results model guided the team through the data collection process by highlighting the causal assumptions to be investigated further between output, outcome and impact level. Finally, the results model was validated by the evaluation as it provided information about the extent to which the causal assumptions between its elements (e.g. activities that focus on income generation and factual income increase and the diversification of conservancy households) hold true.

4.1 Impact and sustainability of predecessor projects

This section analyses and assesses the impact and sustainability of the predecessor project, Transboundary Use and Protection of Natural Resources in the SADC Region (TUPNR I).¹⁰

Summarising assessment of predecessor project

TUPNR I facilitated the implementation of nine pilot projects on fire management, climate change adaptation and income generation in the TFCAs. However, vertical and horizontal upscaling of best practices of these pilots was a challenge and required the further strengthening of the link between local actors and the formal TFCA structures at national and regional level. The project contributed to the establishment of the SADC TFCA Network in 2014, which, since then, has advanced to become an important hub of knowledge exchange between TFCAs and between the multiple actors involved in TFCA governance. The network, led by the SADC

⁹ A randomised controlled trial is a research design in which potential beneficiaries are selected at random into a target group that receives a benefit and a control group that does not. By providing each potential beneficiary with the same probability of becoming a member of any of the groups, bias introduced by unobserved heterogeneity of the population is controlled for.

¹⁰ The name of the predecessor project is identical to the name of the current project. The projects are identified by adding 'I' (1) or 'II' (2) after the abbreviation 'TUPNR'.

Secretariat, has political backing from the member states for the development of TFCAs. While the project's impact hypothesis regarding its contribution to developmental changes such as the improvement of TFCA residents' livelihoods and the sustainable management of natural resources appears plausible, the achievement of any large-scale impact will depend on the successful implementation of TUPNR II.

Analysis and assessment of predecessor project

The predecessor project, TUPNR I, was implemented between 1 February 2012 and 31 May 2015 in the same area with a total budget of EUR 5,805,000 (Doc_GIZ_45). TUPNR II is based on a similar intervention approach to its predecessor and both projects have the same MO and target groups. However, the MO indicators and the output objectives (for TUPNR I component objectives) were gradually adapted, modified or changed from TUPNR I to TUPNR II. These changes were conducted based on experiences collected during the implementation of TUPNR I and recommendations formulated by a project review conducted in 2014 (Doc_GIZ_47). Compared with TUPNR II, the component objectives of TUPNR I had a broad thematic focus on fire management, reducing emissions from deforestation and forest degradation (REDD) and climate change adaptation (CCA). While component 1 focused on the implementation of the regional SADC TFCA programme, component 2 entailed the implementation of the Regional Fire Management Programme and the REDD Programme in TFCAs. Component 3 featured the implementation of the framework conventions on climate change in TFCAs.

The project review from 2014 shows some interesting insights on the early implementation of TUPNR I, and these are briefly outlined here. The report was commissioned by GIZ to review and assess the achievements of the project and to contribute to its future design. It was based on the analysis of project documents, discussions with team members, field visits to TFCAs, and interviews and workshops with local and regional project partners. The project was assessed as effective according to the achievement of its MO indicators. At the outset, the project faced some delays owing to the tender procedure for selecting promising pilot projects for cross-border TFCA management. It emerged that the standards of many project proposals submitted highlighted the lack of capacity within many TFCAs to develop fundable proposals. Nevertheless, the project was able to identify and select nine pilot projects on fire management, CCA and income generation, with a delay of six months. Local partners in the TFCAs then successfully implemented these pilot projects through to the end of TUPNR I. They were considered as the first steps for introducing new approaches into TFCA management. Pilots were supposed to be analysed to identify best practices for horizontal (between TFCAs) and vertical (between policy actors from the local to the regional level) upscaling through the TFCA Network, the national focal points and the SADC Secretariat. However, the report notes that the projects were still implemented on a very small scale and that approaches could not be easily connected to national contexts and translated into regulations, guidelines and standards. Replication and institutionalisation were still a challenge and required further strengthening of the link between local actors and the formal TFCA structures at national and regional level. The report also identified significant potential for future upscaling in the fields of community-based fire management and income-generating initiatives in TFCAs.

In addition, the reviewers highlighted the contribution of the project to the establishment of the TFCA Network connecting officials involved in the TFCA governance. The network already had a vital role in fostering communication and exchange between countries and TFCAs and had contributed to regional policy development. It was widely acknowledged by TFCA stakeholders as a hub for knowledge exchange and horizontal and vertical upscaling of best practices. Member states' representatives had validated the TFCA Network, and the fact that the SADC Secretariat had started to cooperate with the network for the development of a guideline for the establishment of new TFCAs was regarded as a big achievement. To allow more cost-efficient opportunities for cross-country networking, in 2014 the TFCA online portal was launched as an alternative to travel-intensive face-to-face meetings. However, the report recommended opening the network to private sector and civil society stakeholders to further include the perspective and experience of practitioners

on the ground in regional-level discussions. Furthermore, to increase the potential for vertical upscaling, the network needed to establish stronger links with the ministerial level of the member states.

Regarding the contribution of TUPNR I to developmental changes at impact level, the reviewers regarded it as plausible that the project's community-based approach had the potential to contribute to poverty alleviation. Moreover, they saw it as likely that interventions on the financial sustainability of TFCAs and on tourism development would improve the overall economic condition of TFCAs. However, at the time of the report it was too early to make empirical observations on these overarching developmental results. The report also highlighted that the project contributed to an increase in capacity and awareness among political decision-makers in the partner countries on the future implementation of processes geared towards developmental objectives.

Regarding the sustainability of the intervention of TUPNR I, the reviewers saw it as likely that the initiatives that started in the context of the pilot projects would be carried on once TUPNR I support had expired. Furthermore, the local training institutes that implemented capacity building measures for the project had already received requests from stakeholders to explore options on how the training courses could be further developed into standard training offers.

A central recommendation of the review for the development of TUPNR II was to define a clear thematic focus for the intervention. The combination of the different topics of TFCA management, CCA and REDD in the project's objectives was seen as being too broad to achieve tangible results in all three dimensions with the given resources. It was recommended that the project's results framework should be clearly focused on the institutionalisation and management of TFCAs and the implementation of the respective SADC TFCA programme. This recommendation was taken up in adapting the project design to TUPNR II, as the MO indicators and objectives on output level now clearly focus on TFCA governance at all levels and on horizontal and vertical upscaling.

In conclusion, the implementation of TUPNR I was assessed as rather successful. This assessment was also shared to a large extent by the current project team (Int_37,38) and project partners (Int_21,26,39). The experiences and lessons learnt from the implementation of TUPNR I contributed to the further improvement of the design and results framework of TUPNR II. Whether the results achieved during TUPNR I had large-scale developmental impact and whether the achievements would last beyond the support of the project crucially depends on the implementation of TUPNR II, as both projects built on a similar intervention logic and many activities of TUPNR I were continued under TUPNR II. Only if TUPNR II was able to facilitate the upscaling and institutionalisation of approaches that had proved successful within the pilot projects and further strengthen the TFCA Network and effective collaboration and governance between the multiple levels involved could widespread impact on the livelihoods of TFCA residents and the sustainable use of natural resource be achieved. The sustainability of the pilot projects' achievements depended on whether TUPNR II was able to develop and implement a sound exit strategy and further strengthen the capacity of local partners and political institutions at national (TFCA Focal Points) and regional level (SADC Secretariat).

Methodology for assessing predecessor project

Table 4: Methodology for predecessor project

Assessment dimension: predecessor project	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Impact of the predecessor project	Documents: TUPNR I project proposal, TUPNR I project review	<p>Evaluation design: Ex-post-facto design</p> <p>Empirical methods: Review of project documents and the 2014 project review of TUPNR I</p>	The project review of TUPNR I is a good source of information about the early stage of the project implementation. It was written by three external experts based on document analysis, discussions with the project staff, field visits and interviews with local partners.

4.2 Relevance

This section analyses and assesses the relevance of the project Transboundary Use and Protection of Natural Resources in the SADC Region.

Summarising assessment and rating of relevance

Table 5. Rating of OECD DAC criterion: relevance

Criterion	Assessment dimension	Score and rating
Relevance	Alignment with policies and priorities	30 out of 30 points
	Alignment with the needs and capacities of the beneficiaries and stakeholders	25 out of 30 points
	Appropriateness of the design	20 out of 20 points
	Adaptability – response to change	20 out of 20 points
Relevance total score and rating		<p>Score: 95 out of 100 points</p> <p>Rating: Level 1: highly successful</p>

In total, the relevance of the project is rated as **Level 1: highly successful**, with **95 out of 100 points**.

Analysis and assessment of relevance

The project's relevance was assessed along four analytical dimensions: the alignment of the project design with **relevant strategic frameworks**, its alignment with the **needs and capacities of its beneficiaries and further stakeholders**, the **adequacy of its design** for achieving its objectives, and its **adaptability to changing conditions**.

The assessment was based on the analysis of policy and strategy papers as well as project documents that provided information on the project's goal design. Furthermore, findings from interviews with the project partners were taken into account as empirical data sources. In this way, the project's alignment with beneficiaries' needs in particular could be triangulated by empirical and documentary data sources. Given the accessible documentary data sources and the fact that all key stakeholders could be consulted, the **evidence was regarded as being good**.

Relevance dimension 1: Alignment with policies and priorities

The alignment of the project with policies and priorities was assessed on the basis of the coherence of its objectives with **national frameworks and development strategies**, the **BMZ country strategy** and **relevant Sustainable Development Goals (SDGs)**, and on its **complementarity with partner efforts**.

Seven documents in particular provided information for assessing the project objectives' coherence with national frameworks and development strategies: (1) the SADC Programme for Transfrontier Conservation Areas (Doc_SADC_06), (2) the SADC Tourism Programme 2020–2030 (Doc_SADC_01), (3) the SADC Climate Change Strategy and Action Plan (Doc_SADC_03), (4) the SADC Regional Fire Management Programme Document (Doc_SADC_07), (5) the SADC Support Programme REDD (Doc_SADC_08), (6) the Law Enforcement and Anti-Poaching Strategy 2016–2021 (Doc_SADC_05), and (7) the SADC RISDP (Doc_SADC_09).

The mission of the SADC Programme for Transfrontier Conservation Areas is 'to develop SADC into a functional and integrated network of transfrontier conservation areas where shared natural resources are sustainable co-managed and conserved to foster economic and social development, tourism, and regional integration for the benefit of those living within and around TFCAs and mankind at large'. To achieve this, seven key component areas are declared, among them **advocacy and harmonisation**. The policy specifies the **identification of gaps** and proposal of **joint solutions for policy and legal frameworks** relevant to TFCA management in SADC member states as a key activity, and support of the **harmonisation of policy and legal frameworks** for TFCA management as an overall objective (Doc_SADC_06).

A common feature of the SADC Programme for Transfrontier Conservation Areas and the other policies mentioned above is that they target, inter alia, **transboundary initiatives of local stakeholders** relevant to the respective TFCA as well as to the TFCA programme in a wide variety of areas: promoting concerted action by SADC member states in the protection, management, conservation and sustainable use of their wildlife and other natural resources (Doc_SADC_05); developing tourism in transfrontier conservation areas (Doc_SADC_01); capacity building initiatives on sustainable utilisation and management of biodiversity at different levels, particularly in communities (Doc_SADC_03); developing adaptation measures to cope with the consequences of climate change and variability on biodiversity and livelihoods (Doc_SADC_06); establishing and implementing fire management systems in SADC member states (Doc_SADC_07); and establishing a national or subnational action plan that addresses the drivers of deforestation and countermeasures (Doc_SADC_08).

Comparing the above-outlined countries' objectives and strategies for achieving them with the results logic of the TUPNR project, it becomes clear that it is very well in line with these and that it **directly supports the SADC Secretariat's efforts** by working towards some of its specific objectives. Firstly, the project's objective can be regarded as a key prerequisite for the region's declared outcome of conservation of biodiversity through the management of shared natural resources across international boundaries. The MO indicators relate directly to the policy fields of action, including outcomes relevant for the **governance of TFCAs** (see section 2.2, RI.5), increased **participation of TFCA stakeholders in decision-making processes** (RI.2), improved **capacities and ownership of TFCA stakeholders** (RI.1) and improved gender equality in TFCA management (RI.6). This finding is corroborated by the results from the interviews with the political partner, whose representatives stated that the project was coherent in terms of regional (SADC) and national objectives (Int_04,05,21,27).

The SADC Revised RISDP (2015–2020) defines the protection of natural resources as a cross-cutting issue that promotes economic, social and ecological development in the SADC region. At the continental and global level, the objectives of the RISDP are aligned with those of the larger frameworks such as the African Union Agenda 2063, the BMZ Marshall Plan with Africa and the Global Agenda 2030. The focus on NRM, with the overarching goal of improving the use of natural resources for economic development in an ecologically,

economically and socially sustainable manner, leads to the conclusion that the **project is also well aligned with BMZ's Political Guidelines for Africa.**

With regard to the project's alignment with the SDGs, a linkage to poverty reduction (SDG 1), food security (SDG 2), gender equality (SDG 5), decent work and economic growth (SDG 8), reducing inequalities (SDG 10), taking urgent action to combat climate change and its impacts (SDG 13), sustainable life on land (SDG 15) and good governance (SDG 16) can be acknowledged. In view of the MO and the measures implemented, these **assignments appear plausible**, though with varying relevance in practice. While on the one hand the project activities included **many efforts to protect, restore and promote sustainable use of terrestrial ecosystems and to support good governance**, on the other hand **reducing inequalities, particularly between the sexes**, can be regarded as a **secondary goal**.

Relevance dimension 1 – Alignment with policies and priorities – scores **30 out of 30 points**.

Relevance dimension 2: Alignment with the needs and capacities of the beneficiaries and stakeholders

Alignment of the project objectives with the needs and capacities of the beneficiaries and stakeholders was assessed on the basis of the **orientation of its objectives towards the needs** of the political partner, the collaborating public, the non-governmental and private sector stakeholders at regional and national level, and the local stakeholders in the TFCAs. In the TFCAs, **residents, farmers, young people and women in particular can be considered as disadvantaged and vulnerable groups**. Among the residents, former poachers and charcoal burners should also be considered as beneficiaries. The needs of these stakeholders were identified through interviews. In particular, the following representatives of the key stakeholder groups were interviewed:

- **SADC Secretariat:** technical advisors and senior programme officers of the SADC FANR Directorate,
- **PPF:** senior and project managers, chief development officer, advisors in Lubombo and Malawi-Zambia TFCAs,
- **CADECOM:** team leaders,
- **COMACO:** team leaders, food and nutrition technicians and staff of the Lundazi Farm Support Centre,
- **SAWC:** chief executive officer and senior advisor,
- **TFCA Network Steering Committee:** TFCA Focal Point Namibia, Coordinating Network Consultant,
- **LTFCFA:** former vice-chair of the Lubombo Community Forum, Youth Environment Ambassadors mentor and facilitator, project managers, directors, chief development officers and technical officers, and
- **Malawi-Zambia TFCA:** officers in charge of Malawi-Zambia TFCA, chairperson of the community forest management group, Lumezi District Council commissioner, members of the transformed poachers group and the transformed charcoal burners group, farmers, women's group, Lumamba Wildlife Camp staff, forestry management committee, chairperson of Chikomeni Market, MWALE Group.

At the political level, according to the representatives of the FANR Directorate (Int_21), the project was **highly relevant**. They confirmed the demand for establishing common positions with regard to the development of TFCAs, which was directly supported by the project, and the necessity of creating capacities for their governance. The support measures were also considered to have been **adequately adapted** to the SADC Secretariat's capacities in terms of their content and didactic design. The empirical findings were backed up by the results from the document analysis, which indicated a **strong need for capacity support and technical and financial assistance**, in particular for advocacy and awareness-creating measures, coping with the consequences of climate change (Doc_SADC_03,06), encouraging concerted actions (Doc_SADC_05), raising further financial resources (Doc_SADC_07) and establishing a functional monitoring system for the TFCA Network (Doc_SADC_09).

The findings from the interviews with the public/governmental and non-governmental actors at regional and national level are broadly the same for both stakeholder groups. According to the TFCA Steering Committee

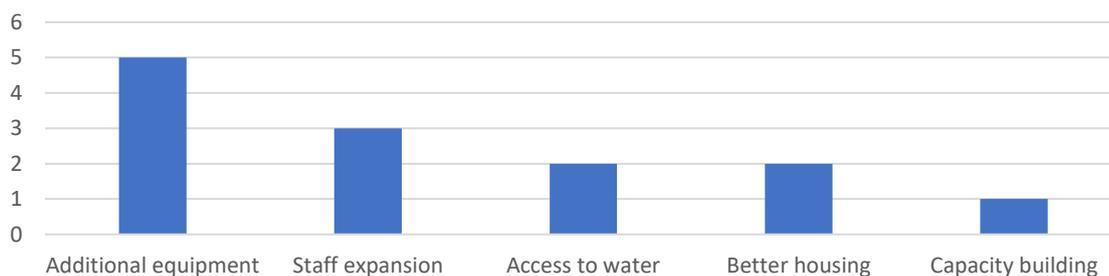
(Int_XX¹¹), area residents **lack awareness about the potential of transboundary collaboration** for managing natural resources sustainably and generating incomes. The interviewee further highlighted the importance of **preventing local communities from making their livelihoods from non-sustainable activities**, such as poaching and charcoal manufacture. Finally, the interviewee stated that the **insufficient functionality of the TFCA Network** was a continuous challenge that prevented the areas leveraging synergies through collaboration.

TFCA Focal Point representatives (Int_23) further confirmed the **need for the establishment of national frameworks** to provide the basis for the development of the network. The interviewees from PPF (Int_XX,XX¹²) also attested that the project was **highly relevant for the development of the TFCA Network**. In this regard, they pointed out the necessity of bringing the national TFCA units up to par with each other in order to ensure an equitable collaboration between them.

At local TFCA level, while the interviews overall yielded a similarly positive picture, in 6 out of a total of 36 interviews (Int_01,02,09,12,13,15), respondents indicated a **lack of alignment of the project with their specific needs**, with additional technical equipment (e.g. uniforms for forestry guards, radio communication, a separate radio communications room, oil expellers, rippers, beehives and harvesting kits) the most frequently named.

The second most frequently mentioned need was **more staff**. Three interviewees expressed the need for more rangers and officers to effectively manage the TFCA. It is also worth noting that in some conservancies (two of the six), **access to water** is apparently deemed to still be improvable (i.e. more water points and boreholes, piping of the water to a central overhead water tank). Named with equal frequency was the need for **better housing**, in terms of both quantity and quality. For effective and adequate enforcement, some parks will require more rangers, and this would mean that more housing units would need to be supplied. Others mentioned that staff at the main camp needed better housing, as they were still living in structures built in the 1970s. A further need mentioned in one interview was **further capacity building measures**. Rangers should be capacitated as trainers in conservation as they are now more accepted by the communities and often called upon to train communities, including in conservation. Figure 5 provides an overview of the number of interviews in which respondents expressed additional needs.

Figure 5: Further needs stated by interviewees, by number of interviews



Relevance dimension 2 – Alignment with the needs and capacities of the beneficiaries and stakeholders – scores **25 out of 30 points**.

Relevance dimension 3: Appropriateness of the design

The appropriateness of the project design was assessed on the basis of the **quality of its results model** and the plausibility of its inherent causal hypotheses, the **adequacy of the instruments, activities and outputs** for achieving the project objectives, and the **extent to which external factors were considered**.

Unfortunately, it was not possible within the scope of the evaluation to conduct a comparative analysis of the

¹¹ In order not to compromise the anonymity of the respondent, here the reference is not revealed.

project's design with similar projects. Instead, its results logic was analysed descriptively with particular focus on the traceability and plausibility of its inherent causal assumptions, taking into account the conditions in which it operated.

As outlined in the description of the evaluation object (see chapter 2), the project pursued a **multilevel capacity development approach**, including collaboration with stakeholders at national/government, regional/conservancy and local/beneficiary level in order to achieve its MO. Because a coherent policy implementation requires all parties to have the right capacities, this makes sense. While the government needs the capacities to provide the overall regulatory framework, the conservancies need the capacities to comply with it and the conservancy residents need to have the opportunity to make a living from the natural resources in the conservancies. Also, the contribution of the MO to overarching development impacts and the associated SDGs is plausible. Accordingly, from an analytical viewpoint **the project's results logic and the assumptions associated with it are well thought through**. Apart from that, **all support measures**, including training, advisory and technical support **are considered adequate**.

These findings relate to the assessment of the project's instruments. According to the progress reports, the project was implemented by **six LTEs**. In addition, **short-term staff** were deployed to support dialogue processes for improved functioning of the network, to facilitate meetings and prepare an exit strategy, and to develop SADC policies and guidelines and common SADC positions for MEAs. In field of action 2, the project supported national actors in the relevant ministries in implementing proposals from the TFCAs and the TFCA Network to improve framework conditions for TFCA management, but without LTEs on the ground in the ministries. Impacts at this level were therefore very much dependent on the initiative and ownership of national actors. For the area of tourism development, there was already an **integrated expert** employed in South Africa. In view of the above-outlined assessment of the adequacy of the support, the **intervention design can be assessed as being appropriate and realistic**.

Based on the project's proposal and progress reports, it can be assumed that the planners and **implementers were quite aware of external factors** that may jeopardise goal achievement. Six risks were anticipated in particular: (1) insufficient staffing of the FANR Directorate; (2) delay in selection procedures for the three supported TFCAs; (3) lack of implementation mandate at national level; (4) long-standing process of adapting the framework conditions at national level, which depends heavily on the initiative of national actors; (5) lack of recognition of the TFCA Network as a regional network; and (6) insufficient preparedness of individual members and partners to sufficiently finance the network. While to a large extent all of these **factors were beyond control of the project**, the project nevertheless directly worked towards **mitigating the negative effects** both at ministry level and conservancy level by **providing continuous capacity building and technical support**.

Relevance dimension 3 – Appropriateness of the design – scores **20 out of 20 points**.

Photo 1: Left: kitchen and dining hall, sponsored by Dutch development cooperation; Right: community hall, sponsored by GIZ at LTFCA, Eswatini. © by Martin Muchero



Relevance dimension 4: Adaptability – response to change

The **adequacy of project adaptations** was assessed on the basis of its progress reports (Doc_GIZ_17-23) as well as interviews with the above-mentioned stakeholders at political, regional and local level.

The reports noted **FANR's permanent high workload**, particularly in 2015–2016 owing to two vacant programme manager positions for natural resources and TFCA management, and also to its involvement in the coordination of the political and strategic response of the member states to the **extreme drought in the region** (Doc_GIZ_17). Apart from these, **no significant changes** were identified in terms of the needs and capacities of project partners and target groups by the end of 2018. To ensure the success of the project despite the initial delays, it was extended until the end of 2020 and the budget was increased. A stronger focus on increasing tourism development and income-generating activities in TFCAs, further strengthening the capacity of the SADC Secretariat, and increasing support to the SADC Secretariat and member countries in developing regional positions for MEAs were recommended (Doc_GIZ_21).

Owing to the **outbreak of COVID-19**, further adjustments of activities had to be made. Most activities with a physical presence could be substituted with **virtual formats**. However, this was not possible for all activities, such as the planned high-level TFCA Summit, the implementation of which is still in discussion. Other negative impacts of the pandemic were that the **implementation of activities on the ground in the support projects was delayed** owing to cross-border procurement difficulties, i.e. transport of material and work force from South Africa to Malawi-Zambia TFCA. The project responded to this unforeseen challenge with counter measures, including a **needs assessment to respond to the pandemic**, the **distribution of preventive materials** such as masks, hand-washing facilities and soap, **training** on the use of masks, and **awareness support**. To cope with COVID-19-related delays to the module and to mitigate the negative impacts of the pandemic, a change offer was submitted to BMZ in August 2020 for an additional EUR 500,000 COVID-19 cash funding and extension of the module until March 2021 (Doc_GIZ_23). However, as the implementation agreement with the SADC Secretariat could not be signed, the funds will be paid back to BMZ. Therefore, the project's COVID-19 measures were covered by its core budget.

In summary, the **project's reactions to the changing environmental and health-related conditions seemed adequate and comprehensive**. The findings from the empirical data collection yielded a similar picture (Int_04,17,20,27). A number of respondents listed the variety of measures the project had taken in response to the pandemic. The support was said to have been positively received by the beneficiaries. Two interviewees stated that the pandemic situation was brought under control and that the **project may have contributed to saving lives**. Overall, it seems likely that the project had a **significant impact on mitigating the difficult implementing conditions**.

Relevance dimension 4 – Adaptability – response to change – scores **20 out of 20 points**.

Methodology for assessing relevance

Table 6: Methodology for assessing OECD DAC criterion: relevance

Relevance: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Alignment with policies and priorities	Alignment of project objectives <ul style="list-style-type: none"> with national frameworks and development strategies, and complementarity with partner efforts to implement them with BMZ country strategy and relevant sectoral concepts with relevant SDGs 	Evaluation design: Ex-post-facto design Empirical methods: Interviews, qualitative content analysis	<ul style="list-style-type: none"> Availability of data: good Collection of additional data: n.a. Lack of representation of specific stakeholders/groups: none Response rates (if applicable): n.a. Possibility of data/method triangulation: yes, empirical findings from interviews could be triangulated with documentary data Evidence strength: good Influence of conflict/fragile context on the quality and validity of the data and access to target groups: n.a.
Alignment with the needs and capacities of the beneficiaries and stakeholders	Alignment of project objectives with needs of <ul style="list-style-type: none"> the political partner FANR/SADC the partners at regional and national level (PPF, SAWC), the TFCAs' management conservancies' residents 		
Appropriateness of the design	<ul style="list-style-type: none"> Quality of results model and plausibility of its inherent causal hypotheses Adequacy of instruments, activities and outputs for achieving project objectives Consideration of external factors 		
Adaptability – response to change	<ul style="list-style-type: none"> Consideration of and adaptation to changing conditions 		

4.3 Coherence

This section analyses and assesses the coherence of the project. It is structured according to the assessment dimensions in the GLZ project **evaluation matrix** (see Annex).

Summarising assessment and rating of coherence

Table 7. Rating of OECD DAC criterion: coherence

Criterion	Assessment dimension	Score and rating
Coherence	Internal coherence	45 out of 50 points
	External coherence	45 out of 50 points
Overall score and rating		Score: 90 out of 100 points Rating: Level 2: successful

In total, the coherence of the project is rated as Level 2: successful, with 90 out of 100 points.

Analysis and assessment of coherence

The project's coherence was assessed along two analytical dimensions: its internal **coherence within German development cooperation** and its external **coherence with partners' and other donors' efforts**.

The assessment draws mainly on the analysis of project and programme documents that provided information about the project's interlinkage with other German as well as other donors' development projects. Additionally, findings from interviews with the project partners at political and regional level were taken into account. Given the accessible documentary data sources and the fact that all partners could be consulted, the **evidence is regarded as being good**.

Coherence dimension 1: Internal coherence

The project's internal coherence was assessed by its **complementarity with other German development projects**, the **interlinkage of the project's instruments with each other**, and the **project's consistence with national and international standards** to which German development cooperation is committed.

TUPNR is part of a German development programme that includes several other technical and financial assistance projects (Doc_DO_01, GIZ_01,07, KfW_01-04). Besides its sister project, ACCRA, (PN: 2013.2244.5), the programme comprises several KfW financial assistance modules, namely for the Malawi-Zambia TFCA (PN: 2012.66.535) and the Kavango Zambezi TFCA (PN: 2012.66.519), the Transnational Conservation Area Great Limpopo Park and Bilateral Cooperation with Mozambique (PN: 2014.68.768), the Training and Capacity Building of Wildlife Managers and Rangers in the SADC Region (PN: 2011.66.685), and the TFCA Financing Facility (PN: 2016.68.409).

While TUPNR does not appear to have many commonalities with ACCRA, which supports the Centre for Coordination of Agricultural Research and Development for Southern Africa in integrating climate change aspects into agricultural programmes and investments (Int_GIZ_37,41), its **overlaps with the KfW projects** appear to be more significant. The first three FC modules mentioned in particular are considered complementary to the project as they are geared directly at supporting other TFCAs in the region. Accordingly, the projects feature a **considerable mutual learning potential** that apparently was also exploited, at least to some extent.

Because the FC modules in the Malawi-Zambia and the Kavango Zambezi TFCAs started earlier, it was possible to build on them. Moreover, **knowledge exchange between the TC and FC modules** continued. Although the exchange was described from both sides as being event-driven rather than strategic (Int_37,40,46), it nevertheless appears that through physical and virtual meetings, synergies could be leveraged. For instance, learning experiences from the FC modules regarding participatory TFCA management and tourism development were apparently disseminated through the TFCA Network and the contents for the training of rangers could be adopted.

Besides the other programme modules, a number of other ongoing projects in the SADC regions were mentioned in the project proposal as being **relevant for collaboration** (Doc_GIZ_01). However, only with the regional GIZ project Partnership Against Poaching and Illegal Wildlife Trade Programme (PN: 2017.6253.3) did a closer collaboration exist with regard to the implementation of the LEAP strategy in the region (Doc_GIZ_23). To that effect, the 2014 mid-term review came to the conclusion that '**synergies** with other SADC-German projects of TC and FC as well as with bilateral projects of the German cooperation in SADC member states **should be further explored**' (Doc_GIZ_11). Unfortunately, the TUPNR II progress reports and the empirical data did not provide any evidence that this recommendation has been subsequently taken forward.

With regard to the coherence of the project instruments, analysis of the project documents suggested that the **multilevel approach**, which tackled the lack of strategies for NRM at the TFCAs and thus provided the basis for an economically and ecologically sustainable livelihood therein, **makes sense**. In particular, assisting actors at political, regional, national and local level appears meaningful, given their mutual interdependence and particularly the **limited power of the SADC Secretariat** to push through urgent improvements. Building up capacities through LTEs and human capacity development (HCD) measures, not only at the secretariat as the governing entity but also at the TFCA Focal Points at the member states' responsible ministries, are both complementary and necessary efforts to provide for a **suitable regulatory framework**. Moreover, supporting regional and local NGOs to professionalise by means of STEs and LTEs, financing and in-kind support can be considered essential groundwork for **establishing a beneficial institutional setting** for the further development of the TFCAs.

This expert assessment is widely confirmed by the findings from the interviews with the representatives of the respective institutions (Int_03,06,12,16,19,21,23,26,28,39,45). While some **shortcomings in practical implementation** were mentioned (and are further described in the subsequent chapters on effectiveness and impact), hardly anyone questioned the rationale of the intervention approach. At best, the **amount and duration of the instrument application was criticised** as being insufficient to achieve the intended objectives.

Finally, the project can be attested to have a **high level of consistency with national and international standards**. Firstly, by aiming at **sustainable long-term results** (see section 4.6), a **high level of partner orientation** (see section 4.2), **efficient steering** and the **economic use of resources** (see section 4.5), it appears to comply with GIZ's own corresponding HCD quality standards (Doc_GIZ_54). Secondly, the project can also be assessed as complying with the SDG implementation principles (Doc_GIZ_55). With its alignment with national and regional goals, it shows a **high degree of universality**, and by considering social, economic and ecologic dimensions in its goal design, it follows an **integrated approach**. The definition of TFCA residents as final beneficiaries places the focus on marginalised populations according to the **leave no one behind** principle, and applying a multilevel, multistakeholder approach is in line with the principle of shared responsibility. The good-quality project indicators (see section 4.4) and available documentation provide a sound basis for the project's **accountability**.

Coherence dimension 1 – Internal coherence – scores **45 out of 50 points**.

Coherence dimension 2: External coherence

The project's external coherence was assessed based on its **complementarity with FANR/SADC's and member countries' own efforts**, its **coordination with other donors' activities**, the **use of existing systems and structures**, and the **use of common systems for monitoring and evaluation (M&E), learning and accountability**.

According to the FANR representatives, the project complemented the secretariat's efforts to develop the TFCA Network and to provide a suitable regulatory framework for it (Int_21,26). In particular, the project's efforts to foster tourism in the TFCAs and knowledge sharing between them was deemed to be adding to the regional development strategy. However, the interviewees also stated that the **shift towards activities relating to wildlife conservation** (LEAP, human-wildlife conflict (HWC)) in TUPNR II, and hence the reduction of emphasis on forestry, **was not appreciated**, as the two aspects were considered to be equally important.

A further criticism was that the **project did not take up the secretariat's efforts to increase the TFCAs' resilience against climate change**, a topic that is now included in its follow-up project. According to a TFCA Focal Point (Int_23), from the member states' perspective the **project has worked towards their objective of facilitating their collaboration across borders and harmonising actions for the benefit of the TFCAs**. In view of these statements, it can be concluded that the project considered the objectives of its political partners and complemented their efforts to reach them, to a large extent.

As regards the project's coordination with other donors' activities, the picture is somewhat more heterogeneous. While the project documents named several projects in its field of intervention, such as the Inter-ACP Global Climate Change Alliance Plus Initiative (GCCA+) of the European Union, the USAID VukaNow project and the Ketha project (Doc_GIZ_21,23), in practice **exchange appears limited to mutual information about progress and further planning** through meetings with the Thematic Working Group of the FANR (Doc_GIZ_23) instead of systematically coordinating each other's activities. The partner staff could not refer to any particular synergies between these and the TUPNR project.

By collaborating with the SADC Secretariat and the national TFCA Focal Points as well as the TFCA Network, the **project worked within the existing regional governing frameworks** for TFCAs. Supporting their decision-makers and using already available organisational structures for its activities at all levels speaks for its **alignment with management systems** that are already in place. The respondents' descriptions of their respective tasks and responsibilities and the mandate of their entity (Int_03,21,23,26,39) also indicated that the **project has chosen the appropriate actors at political, regional and national level**. Accordingly, during the evaluation **no evidence could be found for any unnecessary duplications**.

The question about the use of 'common' monitoring, evaluation, learning and accountability systems is to a large extent obsolete as it was actually the objective of the project to develop and implement such systems within the TFCA Network in the first place. According to the project proposals (Doc_GIZ_01-09) and progress reports (Doc_GIZ_17-23), the **lack of implementation of protocols and strategies for sustainable management of natural resources was the core problem** that the project wanted to remediate. Therefore, among other things, it supported the TFCA management in developing local M&E systems (→ Output 1), advised the SADC Secretariat on how to **monitor the implementation of regional programmes**, analyse national reports and develop guidelines (→ Output 4), and assisted the TFCA Focal Points in **documenting learning experiences from support projects** for improving TFCA management, producing recommendations from this, and facilitating peer learning between the TFCAs (→ Outputs 2 and 3).

Coherence dimension 2 – External coherence – scores **45 out of 50 points**.

Methodology for assessing coherence

Table 8: Methodology for assessing OECD DAC criterion: coherence

Coherence: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Internal coherence	<ul style="list-style-type: none"> • Complementarity of the project with other German development projects • Interlinkage of the project's instruments with each other • Consistency of the project with national and international standards to which German development cooperation is committed 	<p>Evaluation design: Ex-post-facto design</p> <p>Empirical methods: Document analysis, interviews</p>	<ul style="list-style-type: none"> • Availability of data: good • Collection of additional data: n.a. • Lack of representation of specific stakeholders/groups: none • Response rates (if applicable): n.a. • Possibility of data/method triangulation: partially, documentary data was amended by empirical findings from interviews • Evidence strength: good • Influence of conflict/fragile context on the quality and validity of the data and access to target groups: n.a.
External coherence	<ul style="list-style-type: none"> • Complementarity of the project with FANR/SADC's own efforts • Its coordination with other donors' activities • Use of existing systems and structures • Use of common systems for M&E, learning and accountability 		

4.4 Effectiveness

This section analyses and assesses the effectiveness of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex).

Summarising assessment and rating of effectiveness

Table 9. Rating of OECD DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	Achievement of the (intended) objectives	30 out of 30 points
	Contribution to achievement of objectives	25 out of 30 points
	Quality of implementation	15 out of 20 points
	Unintended results	15 out of 20 points
Overall score and rating		Score: 85 out of 100 points Rating: Level 2: successful

In total, the effectiveness of the project is rated **Level 3: moderately successful, with 85 out of 100 points.**

Analysis and assessment of effectiveness

The project's effectiveness was assessed along four analytical dimensions: the **achievement of its intended objectives**, its **contribution** to these, the **quality of its implementation**, and its **unintended results**.

The assessment was based on findings from interviews with project partners at political, regional and local level as well as direct target groups and final beneficiaries within the TFCAs. Project documents such as proposals, progress reports and monitoring data were used for further data analysis and triangulating the empirical data. Given the accessible documentary data sources and the fact that all key stakeholders could be consulted, the **evidence was regarded as being good**.

Effectiveness dimension 1: Achievement of the (intended) objectives

The extent to which the project achieved its intended objectives was assessed on the basis of its **achievement of the MO indicators** as stated in the GIZ results monitor excerpt from February 2021 (Doc_GIZ_24). To increase the reliability of these findings, this source was triangulated with data from M&E reports (Doc_GIZ_10,12-14,24) and the programme reports (Doc_DO_01, KfW_01-04), as well as from interviews with partner staff at the FANR Directorate at the SADC Secretariat (Int_21,26,39).

Table 10: Assessed and adapted objective indicators for specific modules (outcome level)

Project's objective indicator according to the (last change) offer	Assessment according to SMART* criteria	Specified objective indicator
<p>A total of 3 x 3 transfrontier initiatives of local actors (e.g. tourism development, fighting poaching, fire management, CCA, disaster management), including 1 COVID-19 emergency action, that are relevant for the TFCA as well as the TFCA programme have been initiated, taking account of gender-sensitive approaches in the 3 TFCAs and at least 3 have been successfully accomplished.</p> <p>Base value (June 2015): 0 Target value (March 2021): 9 (i.e. 3x3) transfrontier initiatives + 1 COVID-19 emergency action Current value (08/2020): 13 initiatives initiated, 7 have been successfully accomplished, 1 COVID-19 emergency action has not yet been implemented Achievement in % (March 2021): 130% Source: TFCA reports to SADC Secretariat, SADC Secretariat yearly reports, results protocols and reports, and meeting minutes</p>	<p>Specific: Among the stakeholders a transfrontier initiative is a commonly understood concept, as is the state of its implementation and its subsequent accomplishment. While the specification that it should consider gender-sensitive approaches may not fully specify the quality of such an initiative, for the purpose of the evaluation the indicator is, nevertheless, considered as being sufficiently specific (see also the discussion on gender effects in the impact chapter). Measurable: As the documents referred to as sources of evidence are available and contain relevant information for the indicator's validation, it was also considered as being measurable. Achievable: As the indicator was overachieved within the project term, it was evidently achievable. Relevant: Transfrontier initiatives refer to actions of the target groups to which the project should provide a meaningful contribution. Furthermore, such initiatives are an essential part of SADC's strategy for the sustainable use of natural resources in TFCAs. Therefore, the indicator operationalises the MO well and was considered to be relevant. Time-bound: While the indicator itself does not include particular dates or periods when it should be achieved, it can be concluded from the project offer (Doc_GIZ_52) that it refers to the implementation period of the project. It is therefore also considered to be time-bound.</p>	n.a.
<p>Relevant decision-makers in 6 SADC member states implemented 6 proposals for improving national frameworks for the management and governance of TFCAs that were developed jointly by TFCA Focal Points with local actors.</p> <p>Base value (June 2015): 0 Target value (March 2021): 6, at least 1 in each member state Current value (August 2020): 7 Achievement in % (August 2020): 117% Source: Strategy documents, meeting minutes of SADC committees</p>	<p>Specific: The stakeholders appeared to have a common understanding of the content of such proposals and their (adequate) implementation. Thus, the indicator was considered sufficiently specific. Measurable: See indicator above. Achievable: Since the indicator was overachieved within the project term, it was evidently achievable. Relevant: The implementation of proposals for improving national frameworks for the management and governance of TFCAs are actions triggered by the project, and they are a key element of the respective SADC strategy. Accordingly, the indicator was considered to be relevant. Time-bound: See indicator above.</p>	n.a.
<p>The TFCA Network developed 5 recommendations for adapting the national and regional frameworks for the</p>	<p>Specific: Again, the stakeholders appeared to agree on the content of these recommendations, so the indicator can be considered to be sufficiently specified.</p>	n.a.

Project's objective indicator according to the (last change) offer	Assessment according to SMART* criteria	Specified objective indicator
<p>implementation of SADC protocols and strategies for the sustainable management of natural resources in TFCAs, and submitted them to relevant SADC committees.</p> <p>Base value (June 2015): 0 Target value (March 2021): 5 recommendations developed and submitted Current value (August 2020): 5 Achievement in % (August 2020): 100% Source: Strategy documents, meeting minutes of SADC committees</p>	<p>Measurable: See indicator above. Achievable: As the indicator was achieved within the project term, it was evidently achievable. Relevant: The indicator refers to an action of one key stakeholder group of the project as a result of the use of its support services. As such recommendations are relevant to the implementation of the SADC TFCA strategy, the indicator provided another suitable operationalisation of the project's MO. Time-bound: See indicator above.</p>	
<p>6 regional guidelines relevant for TFCA programme components were recommended by the SADC technical committee to the ministers meeting for decision.</p> <p>Base value (June 2015): 0 Target value (March 2021): 6 Current value (August 2020): 5 Achievement in % (August 2020): 83% Source: Project M&E data</p>	<p>Specific: All key stakeholders understood the content of the guidelines, as well as what was meant by the recommendation to the ministers meeting. Therefore, the indicator was considered to be sufficiently specific. Measurable: See indicator above. Achievable: As the indicator was achieved within the project term, it was evidently achievable. Relevant: Such guidelines are evidently another prerequisite for the successful implementation of the SADC TFCA strategy. Thus, the indicator was also considered relevant. Time-bound: See indicator above.</p>	n.a.

* SMART: specific, measurable, achievable, relevant and time-bound

The evaluation team concluded that all four project objective indicators were fully achieved by the end of the project.

Effectiveness dimension 1 – Achievement of the (intended) objectives – scores **30 out of 30 points**.

Effectiveness dimension 2: Contribution to achievement of objectives

The project's contribution to the achievement of its objectives was assessed on the basis of the following criteria:

- the extent to which the project outputs were delivered as originally planned, used and equally accessed,
- the extent to which the project contributed to the achievement of objectives at political (SADC/FANR), regional and local (TFCA) level, and
- the internal and external factors that contributed to or hindered the achievement of these objectives.

In order to provide a valid assessment, in Tables 11–14 the project's results hypotheses for achieving the MO are outlined and validated by the empirical data from the stakeholder interviews and the findings from the analysis of the project work plans (Doc_GIZ_29,53), progress reports (Doc_GIZ_17-23), M&E reports (Doc_GIZ_10,12-14,24), and programme reports (Doc_DO_01, KfW_01-04). For the sake of completeness, all six hypotheses from the results model (see chapter 2) were selected for the assessment.

Table 11: Selected results hypotheses for effectiveness: hypothesis 1

Hypothesis 1 (H1-2) (activity – output – outcome)	Through advising TFCA stakeholders on transboundary collaboration (Activity 1), establishing and organising cross-border meetings, platforms and governance structures (Activity 2), and documenting experiences from the support projects in the form of recommendations for improved TFCA management and coordination at the local level (Activity 3), the transboundary collaboration in the three selected TFCAs will improve (Output 1). The improved transboundary collaboration will contribute to improved implementation of SADC protocols and strategies for NRM in the TFCAs by local, national and regional stakeholders (Outcome = MO).
Main assumptions	<ul style="list-style-type: none"> • The SADC member countries support the three cross-border projects and approve the selection of the three supported TFCAs. • They further commit to collaborate with the other actors at the different levels and decide on the implementation of joint activities within the TFCA governance structure. • Further financing sources that are required for establishing local grants can be identified. • The capacities of the beneficiaries for community-based NRM, project and process management are increased over time.
Risks/unintended results	Conflicting interests of stakeholders on each side of the borders impede transboundary collaboration.
Alternative explanation	None, due to a lack of capacities and alternative resources of the TFCAs.
Confirmed/partly confirmed/not confirmed	The hypothesis can be confirmed.

According to the latest progress report (Doc_GIZ_23) and the SADC semi-annual monitoring report (Doc_14), the project succeeded in **improving the cross-border collaboration** between the TFCAs in various ways. Also, several TFCA representatives (Int_01,03,04,12,23,24,27,36) declared that the **network has built trust and willingness to collaborate** among a wide range of local stakeholders such as area managers, rangers and other practitioners. As particular achievements in this regard, the **development of cross-border products** and their **marketing** were mentioned, as was the **establishment of a joint park management committee** and the **introduction of a transboundary radio communication system** in the Malawi-Zambia TFCA. The management of LTFCA welcomed the initiation of **joint cross-border patrols**, which were said to have contributed to a **reduction in livestock theft** and overall to have **strengthened social ties across national boundaries**. The interviewees left no doubt that the observable improvements at TFCA level could be traced back to the project activities, which also appeared plausible given the lack of alternative explanations.

The interview findings further indicated that the **improved cross-border collaboration supported the achievement of the MO** in terms of making the stakeholders aware of the necessity of a **coherent regulatory framework for NRM** in the TFCAs. In this regard, the **development and formalisation of governance structures** and the **improvement of the areas' relationships with national institutions** (e.g. Department of National Parks and Wildlife (Malawi) (DNPW)) was said to be most beneficial. One respondent even stated that only through the project was the **TFCA concept brought back to life** (Int_04).

An internal factor that apparently contributed substantially to the achievements mentioned was the **good working relationship between the parties involved**. Despite a number of challenges, which were related mostly to administrative processes (see the following section on the quality of implementation), **GIZ was given credit for establishing an atmosphere of mutual trust**.

The most important external factor that contributed to goal achievement was the **willingness of the member states to improve their collaboration across borders**. The TFCA Focal Points appeared to be in favour of a regional collaboration and to recognise its added value.

Table 12: Selected results hypotheses for effectiveness: hypothesis 2

Hypothesis 2 (H3) (activity – output – outcome)	By strengthening TFCA structures at national level (A4), developing recommendations for improving the national framework conditions (A5), providing technical advice to TFCA Focal Points (A6), establishing and organising dialogue processes (A7), and organising peer-to-peer learning between TFCA stakeholders (A8), processes for improving national frameworks will be initiated (O2). Such improved national frameworks will contribute to an improved implementation of SADC protocols and strategies for NRM in the TFCAs by local, national and regional stakeholders (MO).
Main assumptions	TFCA Focal Points in the SADC member states implement the suggestions from the TFCAs and the TFCA Network autonomously.
Risks/unintended results	TFCA Focal Points are not given the decision competencies and resources by their ministries to improve national frameworks for TFCAs.
Alternative explanation	None, as due to a lack of capacities and alternative resources in the member states' responsible ministries, it is very unlikely that SADC protocols and strategies will be implemented without the support of the project.
Confirmed/partly confirmed/not confirmed	The hypothesis can be partly confirmed.

According to the latest progress report and SADC semi-annual monitoring report, the **main milestones** (i.e. consulting of TFCA Focal Points by LTEs and STEs, initiation of roundtables) for supporting the improvement of national frameworks by capacitating key stakeholders **have been met**, with the **exception of the organisation of on-site training**, which had to be converted into a **series of online webinars** owing to COVID-19. These webinars,¹² which contain information on guidelines for TFCA governance, management and funding, on sustainable resource management, fishing and tourism, as well as good practice examples, were apparently **very much appreciated and deemed suitable tools for mediating knowledge** to the counterparts at national and local level. This was also confirmed by an **online survey**¹³ that was implemented among its participants. With about two thirds having attended at least three courses, the vast majority of the 40 respondents (82.5%) rated the webinar series as either **very good or excellent**. As regards the webinars' content, the episodes on 'History, Governance and Management of the SADC TFCA Network and Programme' and on 'Impact of COVID-19' were rated moderately good, with a mean score of 6.4 and 6.1, respectively, on a 10-point scale. **The practicality of the content, its selection and the interactivity of the format were mentioned as particular assets**, while the **didactic skills of some trainers were criticised**.

What remains unclear, however, is **how the capacitation of key stakeholders such as TFCA Focal Point staff effectively translates into improved national frameworks**. While the interviewees confirmed the quality and adequacy of the advice provided, they could not provide any practical examples of how dialogue among national counterparts was fostered or how such dialogue could have benefited national frameworks. At this point the **results logic of the project appears rather vague**, and this was also confirmed by several interviewees (Int_21,39). It can be concluded that the **development of national frameworks rather depends on available resources** in the respective member state, which also explains why the least progress in this regard was observed for Eswatini (Int_12).

As regards the factors that had an influence on goal achievement, again, the **SADC member states' inclination to intensify their collaboration** for mutual benefit must be mentioned on the positive side. Although in this regard the pathway of impact could not be traced by the evaluation team, the **TFCA Focal Points appeared open to any support that would enable them to improve national frameworks**. On the negative side, meanwhile, **administrative challenges** appeared to diminish the effectiveness of the activities, as further outlined in the following section.

¹² <https://www.youtube.com/playlist?list=PLNMT3vdat52Huh1iuMUQpsNVN0N0NApEQVm> [2.10.2021]

¹³ <https://de.surveymonkey.com/results/SM-93BLZ92K9/> [2.10.2021]. Although it was not possible within the scope of the evaluation to scrutinise the survey methodology in depth, given the questionnaire design and data structure, its results appear valid and of sufficient quality for triangulation purposes.

Table 13: Selected results hypotheses for effectiveness: hypothesis 3

Hypothesis 3 (H4) (activity – output – outcome)	Providing technical advice to TFCA Network members (A9), reviewing experiences from support projects and commenting on draft recommendations (A10), promoting the SADC TFCA Network on the joint presentation of TFCAs as regional tourism destinations (A11), and establishing and strengthening the self-governance structures and fund-raising capacities of the network (A12) will lead to improved functionality of the TFCA Network (O3). A more functional TFCA Network will contribute to improved implementation of SADC protocols and strategies for NRM in the TFCAs by local, national and regional stakeholders (MO).
Main assumptions	<ul style="list-style-type: none"> • The TFCA Network is acknowledged as the official regional network for TFCAs by all relevant actors. • The TFCA Network is open to actors from outside governments. • It will be possible to attract funds from other donors and NGOs to strengthen the network.
Risks/unintended results	<ul style="list-style-type: none"> • The TFCA Network is not acknowledged as the official, regional network for TFCAs by the member countries' ministries. • The TFCA Network does not succeed in attracting funds from other sources.
Alternative explanation	None, as owing to a lack of capacities and alternative resources of the TFCA Network it is unlikely that it will be able to enforce the implementation of SADC protocols and strategies without external support.
Confirmed/partly confirmed/not confirmed	The hypothesis can be confirmed.

The latest progress report and the SADC semi-annual monitoring report state that the **functionality of the TFCA Network was improved** by setting up an online TFCA Portal,¹⁴ increasing network membership activities through social media marketing, organising meetings for the Network Steering Committee, supporting peer-to-peer learning through several online training sessions implemented in collaboration with SAWC, endorsing the implementation of a TFCA business case study, and making inventories of vocational and academic training institutions in the SADC region that offer relevant training as well as of initiatives and projects within TFCAs. While it was not possible to verify each and every activity during the empirical data collection, the interview findings suggested that at network level, the **project has provided a wide range of support measures**, which were mostly **rated as very beneficial by the respondents** and would ultimately improve the functionality of the TFCA Network.

However, as regards the **added value of the TFCA Portal** in particular, **opinions differed** between the interviewees. While some regarded it as an **efficient tool for marketing and knowledge dissemination** (Int_06,26), others (Int_23) stated that it had not **met their expectations concerning visibility and outreach**. They concluded that given its costs, it would **not be efficient** as it would **not be sufficiently used by SADC member states and the private sector**. The sceptical view of these respondents was also reflected in the minutes of a TFCA Steering Meeting (Doc_31), in which a **slow uptake** of the portal and the management of social media communication in general was criticised. While the evaluation team did not have the means to conduct an in-depth review of the portal, a quick check of the website revealed that it did indeed **contain a lot of relevant information** about the TFCAs, donor projects and tourism in particular. A closer look at the news section also showed that it is **quite regularly updated**. However, the website statistics¹⁵ also revealed that with about 1,600 visitors per month currently, its **traffic is rather low**.

In contrast to the previous hypothesis, the **contribution** of a more functional network to the better implementation of SADC protocols and strategies for NRM at the different levels is **more obvious**. The **stronger ties between the stakeholders** in the different countries in particular were mentioned by a number of interviewees as being an **essential prerequisite for collaboration** and, hence, compliance with SADC development strategies. Thus, reference was made not only to **better NRM**, but also to **increased mutual trust and economic development** more widely.

¹⁴ <https://tfcportal.org> [2.10.2021]

¹⁵ Website statistics were checked with www.statshow.com most recently on 2 October 2021.

Again, owing to a lack of alternative explanations, it appears **plausible** that the observable improvements at the TFCA Network level can be traced back to the project activities. The internal and external factors that are relevant for goal achievement at this level can be summarised as the **willingness and ability** of the parties involved **to collaborate** and the **administrative hurdles** that had to be overcome in order to make it happen.

Table 14: Selected results hypotheses for effectiveness: hypothesis 4

Hypothesis 4 (H5-6) (activity – output – outcome)	By providing technical advice to the SADC Secretariat (A13, A16), organising a regional event to mark the 20th anniversary of the TFCA initiative (A14), advising the secretariat on demand-based support for the implementation of the TFCA Guidelines at national level (A15) and on monitoring of the implementation of regional guidelines and programmes, promoting national adaptation of the LEAP strategy (A17), and commenting on draft reports (A18), the role of SADC Secretariat in implementing the TFCA programme will be strengthened (O4). A stronger SADC Secretariat will contribute to improved implementation of SADC protocols and strategies for NRM in the TFCAs by local, national and regional stakeholders (MO).
Main assumptions	<ul style="list-style-type: none"> • The SADC Secretariat will be adequately staffed, including all key positions, throughout the project implementation. • The secretariat's staff and all partners are continuously engaged in developing the SADC TFCA programme and collaborating with the project experts.
Risks/unintended results	The SADC Secretariat is not given the mandate to implement the TFCA programme.
Alternative explanation	None, as due to a lack of capacities and alternative resources of the SADC Secretariat it is unlikely that it will be able to enforce the implementation of SADC protocols and strategies without external support.
Confirmed/partly confirmed/not confirmed	The hypothesis can be confirmed.

Support to the SADC Secretariat is at the heart of the TUPNR project and thus comprises the **most activities**. According to the latest progress report and the SADC semi-annual monitoring report, these activities were **mostly accomplished** as planned, with the exception of participation at the International Tourism Fair in Berlin, which had to be cancelled owing to pandemic-related travel restrictions, and the organisation of some physical meetings, some of which were held virtually. Other than that, the project was able to provide most of its deliverables within the given time frame, i.e. revision of the SADC Protocol on Tourism, assessment of the implementation of the SADC Protocol on Wildlife, development of guidelines on community engagement and the development of tourism products, M&E training of secretariat staff, development of the Botswana Great Green Wall Initiative Action Plan, provision of 500 wildlife crime scene investigation kits, development of a management concept for stockpiles by member countries, marketing campaigns for cross-border tourism, TFCA tourism destinations and products, and an increase in the visibility of BSA.¹⁶ At the time of the evaluation, a **few activities** – such as the development of a memorandum of understanding between SADC and its member countries, the final revision of SADC's LEAP strategy and an impact assessment of COVID-19 on wildlife management and conservation – were **still ongoing or about to be completed**.

As far as possible, the **adequate provision** of the deliverables and their **utility** for the secretariat for strengthening its role in implementing the TFCA programme **could be confirmed** during the empirical data collection (Int_26,37-39). Moreover, the contribution of a stronger secretariat to improved implementation of its protocols and strategies is unquestionable, as it is the leading entity in this regard; thus, the hypothesis can be confirmed.

As already mentioned, the **pandemic** was an **external factor that hindered the implementation** and completion of some activities within the time span of the project.

¹⁶ That is, a regional marketing and investment promotion initiative supporting and facilitating sustainable tourism development in TFCAs; see <https://boundless-southernafrica.org> [2.10.2021].

Effectiveness dimension 2 – Contribution to achievement of objectives – scores **25 out of 30 points**.

Effectiveness dimension 3: Quality of implementation

The quality of the project implementation was assessed on the basis of the **assessment of its management by the SADC Secretariat** as well as **its partners at regional level** (i.e. TFCA Steering Committee, TFCA Focal Points, PPF and SAWC) and **local level** (i.e. TFCA stakeholders).

According to the available documentation of the project management (Doc_GIZ_25,28), the **steering structure and capacity development approach appear reasonable** and adapted to the respective stakeholders at the different levels. The empirical data confirmed this first impression from the document study, with **most interviewees also giving the project management a positive testimony**. Most partner staff (Int_06,12,16,21,23,26,42,43) characterised the **collaboration with GIZ as honest, trustful, transparent and flexible**. GIZ staff were considered to be **very committed, easy to work with and responsive**. As regards the composition of the stakeholder setting, many respondents (Int_04,08,16,17,27,28,36) further stated that **partners at regional and local level were well selected and sufficiently involved**. In particular, the comprehensive involvement of key stakeholders at the TFCAs, including traditional leaders, apparently made a difference as it gave the partners confidence and increased their ownership. Accordingly, the project was said to be **very hands-on** and mostly **embedded appropriately in the respective local frameworks** of the TFCAs. It is interesting to note that the **management capacities of regional partners (PPF, SAWC, etc.) were rated exceptionally well by the governmental partners**, a rather rare finding in TC projects.

Notwithstanding these overall positive observations, the TFCA stakeholders in particular (Int_03,04,05,07,16,36,43) described a **number of shortcomings of the project management**. The first of these was that the **project duration was too short** and that it **lacked an exit strategy**, which gave them insufficient time to absorb the support measures and establish long-term development changes. Some (Int_03,07,17,20,24) also rated the **capacity building and scope of support at TFCA level as insufficient** and underfunded, resulting in **demands not being satisfied** (see the section on stakeholder needs under relevance dimension 2 and Figure 5). Whether these interviewees' dissatisfaction is rooted in unrealistic expectations or in a lack of information for this stakeholder group cannot be determined. However, an indication that it is the latter is the criticism by the LTFCA management (Int_31-33) of the **lack of communication** regarding funding mechanisms and the lack of sufficient direct interaction with GIZ. This lack of communication is said to have caused the project there being not as well anchored as in the Malawi-Zambia TFCA.

In general, GIZ **administrative procedures** were found by a few interviewees (Int_05,21,36) to be **cumbersome** and at times **too rigid**, for example as regards financial management or travel allowances for meetings. However, it was also reported that **GIZ staff were very supportive** and made efforts to explain the administrative requirements. Further points of critique that were expressed by individual respondents referred to **upscaling potential not being sufficiently exploited** (Int_04), the **technological level of training being too demanding at times** (Int_06), and the project following a **top-down approach** that hindered stakeholder involvement (Int_21).

Interestingly, the pandemic did not appear to be much of an issue for the interviewees with regard to the assessment of the project management. However, a regional partner representative (Int_12) criticised the project management on the partner side. **Staff fluctuations** at TFCA Focal Points and the SADC Secretariat and **a lack of support from the governments** of the member countries are said to have **diminished the project's effectiveness**.

Effectiveness dimension 3 – Quality of implementation – scores **15 out of 20 points**.

Effectiveness dimension 4: Unintended results

The project's contribution to unintended results at outcome (= MO) level was assessed by **observable unintended positive and negative effects, benefits and risks** associated with these unintended effects, and the **project's response** to these unintended effects at outcome level.

A review of the project monitoring did not yield any information about unintended results of the project. Neither the results monitor (Doc_GIZ_25) nor the progress reports and SADCs six-month reports included any information in that regard, a shortcoming that has already been highlighted in the 2017 project progress review (Doc_GIZ_11,12). The only documentary data source on effects that are not in line with the project's objective is the evaluation report of the Centre for Rural Development from 2020 (Doc_GIZ_10), which refers to increased human-wildlife conflict (HWC) in the Malawi-Zambia TFCA, this being attributed to an increase in the wildlife population due to a successful implementation of the LEAP strategy. An increase in the wildlife population was also reported by the interviewees in the Malawi-Zambia TFCA (Int_01,11). While HWC was said to be effectively resolved by training and appropriate counter measures for protecting farmland, a latent danger nevertheless appears to remain.

Further anecdotal references to positive results that were not initially considered in the project planning included improvements in the sanitation infrastructure at the LTFCA through the use of saved project budget (Int_13), the establishment of a community of practitioners in the TFCAs (Int_26), the ability of SAWC to mobilise further resources for piloting further training (Int_06), and the attraction of additional donors to support rangeland water infrastructure (Int_12,16,20,30), for example from the World Bank. While the latter is not necessarily an unintended result, it was apparently worth mentioning as an added value by the respondents.

Effectiveness dimension 4 – Unintended results – scores **15 out of 20 points**.

Methodology for assessing effectiveness

Table 15: Methodology for assessing OECD DAC criterion: effectiveness

Effectiveness: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Achievement of the (intended) objectives	Extent to which the project achieved its intended objectives	Evaluation design: Ex-post-facto design, retrospective (single-difference) time-series design	<ul style="list-style-type: none"> • Availability of data: good • Collection of additional data: n.a. • Lack of representation of specific stakeholders/groups: none • Response rates (if applicable): n.a. • Possibility of data/method triangulation: yes, empirical findings from interviews could be triangulated with documentary data • Evidence strength: good • Influence of conflict/fragile context on the quality and validity of the data and access to target groups: n.a.
Contribution to achievement of objectives	Extent to which <ul style="list-style-type: none"> • project outputs were delivered as originally planned • project outputs were used and equally accessed • the project contributed to the achievement of objectives at political (SADC/FANR), regional and local (TFCA) level • internal and external factors contributed to or hindered goal achievement 	Empirical methods: Interviews, document analysis, quantitative descriptive analysis	
Quality of implementation	Quality of project steering and management <ul style="list-style-type: none"> • in view of the achieved project objectives • from the perspective of FANR/SADC and the partners on regional and local level 		

Effectiveness: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Unintended results	<ul style="list-style-type: none"> • Observable unintended positive and negative effects of the project • Benefits and risks associated with these unintended effects • Project's response to unintended effects 		

4.5 Impact

This section analyses and assesses the impact of the project. It is structured according to the assessment dimensions in the GLZ project evaluation matrix (see Annex).

Summarising assessment and rating of impact

Table 16: Rating of OECD DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development changes/results	20 out of 30 points
	Contribution to higher-level (intended) development results/changes	30 out of 40 points
	Contribution to higher-level (unintended) development results/changes	25 out of 30 points
Impact score and rating		Score: 75 out of 100 points Rating: Level 3: moderately successful

In total, the impact of the project is rated **Level 3: moderately successful, with 75 out of 100 points.**

Analysis and assessment of impact

The project's impact was assessed along three analytical dimensions: the **observable higher-level intended development changes**, the project's **contribution to these changes**, and its **contribution to unintended development changes** at this level.

The assessment was based on findings from interviews with project partners at political, regional and local level as well as direct target groups and final beneficiaries within the TFCAs. Project documents such as proposals, progress reports and monitoring data as well as publications from the SADC Secretariat and implementing partners were used for further data analysis and triangulating the empirical data. Given the accessible documentary data sources and the fact that all key stakeholders could be consulted, the **evidence is regarded as being good.**

Impact dimension 1: Higher-level intended development changes/results

The assessment of the achievement of higher-level intended development changes/results was based on the extent to which such changes could be observed, in terms of **improved capacities and ownership of TFCA stakeholders (R1)**, **increased participation of TFCA stakeholders in decision-making processes (R2)**, **improved governance of TFCAs (R5)**, **improved gender equality in TFCA management (R6)**, **increased job opportunities in the tourism sector (R3)** and **revenues therefrom (R4)**, **improved protection of natural resources (R7)** and **reduced poverty in TFCAs (R8)**, and ultimately the **achievement of the PO** of

securing the socio-economic and ecologic livelihood of the local population and future generations (PO).

The primary sources of evidence for the assessment were the interviews with the key stakeholders: the FANR Directorate of the SADC Secretariat as the political partner, the implementing partners at regional level (i.e. TFCA Focal Points and Steering Committee, PPF, SAWC) and local level (i.e. TFCA management, COMACO, CADECOM) as well as the final beneficiaries, the residents in the TFCAs. Project and programme documents, and in particular the 2020 evaluation report (Doc_GIZ_10), were used as secondary sources.

With regard to R1, as discussed in the previous chapter, through the comprehensive involvement of all relevant actors, such as traditional leaders, the **TFCA stakeholders' ownership increased considerably** during the project implementation. However, it was also ascertained that **capacities were apparently not sufficiently built up** (see effectiveness dimension 3 and relevance dimension 2).

Concerning R2, the interview findings provided a more consistent positive picture. Several TFCA representatives stated that the **confidence of community members in dealing with DNPW and with conservation issues had increased** and that **communities had become more engaged in discussions about NRM** (Int_03,19,24,26). In this regard, it appears that COMACO played an important role in promoting stakeholder engagement and dialogue and in increasing the involvement of local stakeholders in decision-making processes at the Malawi-Zambia TFCA (Int_19). The empirical findings were further backed up by the 2020 SLE evaluation, which came to the conclusion that 'the **component gave communities a voice in NRM** [...]. The use of chiefs and traditional leaders as patrons of these resource boards/committees was appropriate to the local context as it **facilitated local participation and promoted cooperation within communities.**'

A number of interviewees from the **Malawi-Zambia TFCA** confirm that its **governance (R5) improved significantly** (Int_01,03-05,10,16,19-21,23,24,26,27). The **development and application of instruments, guidelines and frameworks**, such as community conservation and park management and monitoring plans, Climate Change Strategies and the Integrated Management Development Framework (Int_05,16,20,21,23,26,27), were mentioned as evidence for this. Other signs of improved TFCA governance were seen in the **establishment of joint park management and steering committees** (Int_03,10,20,24,26), the **introduction of joint cross-border patrols** (Int_01,05,26), and the existence of a **LEAP strategy**, its enforcement, and the resulting significant **reduction in poaching** (Int_20). **Improved area management** was mentioned as being reflected in the **reduced hostility of rural communities** towards rangers (Int_19,24).

Unfortunately, the evidence relating to LTFCA and ARTP was not as strong as that for the Malawi-Zambia TFCA. For ARTP, this data gap was rooted in the evaluation design itself, which, as outlined in the introduction, allowed visits to only two of the three TFCAs and thus limited the empirical data from ARTP to a single remote interview with its management staff. For LTFCA, it appears that the interviewees there could not come up with as many examples as those from the Malawi-Zambia TFCA. This assumption is corroborated by the assessment of a respondent who stated that the **governance of LTFCA did not appear to have improved** (Int_12). Nevertheless, it was at least reported that **park management had improved** (Int_34) and that a **joint management committee for NRM in border areas** (Int_36) had been established, as had **supportive community structures** and a **community trust** (Int_34,36).

The document analysis confirmed the predominantly positive assessment resulting from the empirical data collection. In the project review, **more effective coordination of TFCA activities at the SADC Secretariat** as well as the **elaboration of strategies**, for example on regional agricultural development or on LEAP, and the **establishment of an M&E framework** are also considered indications of improved TFCA governance (Doc_GIZ_11,12). At TFCA level, the **reduction of illegal poaching**, the associated **increase in the wildlife population**, and the apparently proven **reduction in CO₂ emissions** are regarded as further evidence for better governance of the areas (Doc_GIZ_23). Finally, the SLE evaluation also confirmed **improved 'cross-**

border governance and law enforcement on multiple levels'. In that regard, the establishment of various committees to 'strengthen cross-border governance at the park management level' was regarded as a sign of better TFCA governance.

Moving on in the results model, evidence about observable development changes becomes somewhat weaker. While the **interviewees verified improved natural resource protection in the TFCAs** (R7) and also to some extent **increasing income as a result** (R8), only a **few indications of increased job opportunities** (R3) and **revenues from tourism** could be found (R4). Unfortunately, the project's results monitoring as well as its reviews and progress report do not detail many achievements beyond MO level. Only the SLE evaluation contains significant information for cross-checking the empirical findings. It is also regrettable that an internet search indicated that no sufficiently disaggregated regional data was available to provide statistical evidence about local economic developments in the intervention areas.¹⁷

In addition to the already mentioned increase in the population of wildlife such as elephants, buffalos, hyenas, lions and crown birds through reduced poaching (Int_04,10,12,19,22,24), TFCA residents (Int_11,14,18,19,27) reported an **increase in sustainable agricultural practices** (e.g. composting, reducing the use of chemical fertilisers and pesticides, refraining from cutting shade trees, planting vegetables such as soy beans and ground nuts instead of tobacco and cotton, introducing bee keeping) and a **reduction of charcoal production and the deforestation** it causes.

Many also confirmed an increased income (Int_14,15,18-20,22,24,25), for example from agriculture and bee keeping and from the growth in local markets (Int_04,11,24,28). The increasing demand for local agricultural products and the associated rise in their prices (Int_11,17,27) were said to have **improved living standards in the communities** (Int_10,13) and **reduced the necessity for relief food aid** (Int_27).

In contrast, there was **little empirical evidence for significant revenues from tourism**. Only a very few respondents (Int_30,34,36) confirmed that incomes from this source had increased, or saw the potential for this in the future. Only **at LTFCA was some increase in local tourism** reported. However, on this issue the **impact of COVID-19** must be considered: it certainly had a more **detrimental impact on tourism** than on farming activities. As it can only be speculated how the situation would have developed without the pandemic, this **rather negative finding needs to be interpreted with care**.

Corroborating the empirical findings, the SLE evaluation also reported **increased participation of local communities in NRM, more inclusive decision-making processes** and a **general improvement in the income opportunities and livelihoods of local communities**. Meanwhile, the latest project progress report stated that **income was increased** through honey production and through goat and chicken rearing (Doc_GIZ_23).

In light of these findings, the **PO** can be considered **partly achieved**, with stronger results in managing sustainably natural resources than in fostering tourism in the TFCAs and generating income from this.

Impact dimension 1 – Higher-level (intended) development changes/results – scores **20 out of 30 points**.

Impact dimension 2: Contribution to higher-level (intended) development results/changes

The project's contribution to higher-level (intended) development results/changes was assessed on the basis of the extent to which the **project contributed to the development changes** outlined in the previous section and the **internal and external factors** that contributed to or hindered their achievement.

¹⁷ The search included World Bank and UNStat databases as well as the websites of national statistical offices of Eswatini (http://www.gov.sz/index.php?option=com_content&view=article&id=687:central-statistics-office), Malawi (<http://www.nsomalawi.mw>), Namibia (<https://nsa.org.na>), South Africa (<http://www.statssa.gov.za>) and Zambia (<https://www.zamstats.gov.zm>) [all 4.10.2021].

In order to provide a valid assessment, the project's results hypotheses for achieving the PO are outlined in Tables 17–19 and validated by the empirical data from the stakeholder interviews and the findings from the analysis of project progress reports (Doc_GIZ_17-23), M&E reports (Doc_GIZ_10,12-14,24) and programme reports (Doc_DO_01, KfW_01-04).

Table 17: Selected results hypotheses for impact: hypothesis 1

Hypothesis 1 (H7-10) (outcome – impact)	Improved implementation of SADC protocols and strategies for sustainable NRM in TFCAs by local, national and regional stakeholders (MO) lead to improved capacities and ownership of TFCA stakeholders (R1) and their increased participation in decision-making processes (R2). Through improved capacities and increased participation of TFCA stakeholders in decision-making, job opportunities in the tourism sector are increasing (R3) and the stakeholders will thus benefit from revenues from tourism (R4).
Main assumptions	<ul style="list-style-type: none"> • TFCA stakeholders are able and willing to comply with SADC protocols and strategies for sustainable NRM. • The tourism sector grows as expected.
Risks	<ul style="list-style-type: none"> • Lack of compliance on the part of TFCA stakeholders with SADC protocols and strategies. • Market risks in the tourism sector.
Alternative explanation	None, as the SADC Secretariat is apparently unable to adequately support the TFCAs with regard to the above-mentioned results and no other donor is currently working towards the improvement of SADC protocols and strategies in the member countries.
Confirmed/partly confirmed/not confirmed	The hypothesis can be partly confirmed.

As outlined in the section on effectiveness, the MO can be considered as having been widely achieved. In view of the lack of alternative explanations, the interviewees' statements outlined in the previous section strongly indicate that the **project contributed substantially to improving the capacities and ownership of TFCA stakeholders** as well as to **increasing TFCA stakeholders' participation in decision-making processes**. The SLE evaluation came to the same conclusion by stating that the multistakeholder dialogue that was established through the project effectively contributed to the achievement of the objectives of **'strengthening cross-border governance at park management level'** and **'improving cross-border communication and cooperation'**.

However, the empirical data (Int_19,20,26,38) also showed that, unfortunately, such **improved capacities and participation of TFCA stakeholders did not translate as much as expected into increased job opportunities in the tourism sector, nor to associated revenues**. While in view of the COVID-19 pandemic this result may not be considered solely as the 'project's fault', it reveals a **substantial weakness in its results logic**, in which it appears that the TFCA stakeholders' capacities and decision-making competencies are considered sufficient prerequisites for achieving such results. It further indicates that **tourism is apparently not a reliable source of income**, given the manifold challenges in the area, the pandemic being just one of these, with others including climate change and HWC. Therefore, the hypothesis can only be **partly confirmed**.

Table 18: Selected results hypotheses for impact: hypothesis 2

Hypothesis 2 (H11-14) (outcome – impact)	Improved implementation of SADC protocols and strategies for sustainable NRM in TFCAs by local, national and regional stakeholders (MO) lead to improved governance of TFCAs (R5) and improved gender equality in TFCA management (R6). Through improved TFCA governance, their natural resources are better protected (R7), which together with the increased job opportunities in the tourism sector should in turn increase the income, and thus reduce the poverty of their residents (R8).
Main assumptions	<ul style="list-style-type: none"> • TFCA stakeholders are able and willing to comply with SADC protocols and strategies for sustainable NRM. • The natural resources in the TFCAs provide the basis for generating a sufficient income/livelihood.
Risks	<ul style="list-style-type: none"> • A lack of compliance on the part of TFCA stakeholders with SADC protocols and strategies. • Insufficient natural resources.
Alternative explanation	None, as the SADC Secretariat is apparently unable to adequately support the TFCAs with regard to the above-mentioned results and no other donor is currently working towards the improvement of SADC protocols and strategies in the member countries.
Confirmed/partly confirmed/not confirmed	The hypothesis can be confirmed.

Whereas the empirical findings described previously strongly suggest that the project has made a significant contribution to improving the governance of TFCAs, **gender effects were difficult to discern**. However, such effects, though desirable, are **not a prerequisite for the improved protection of natural resources**. It actually raises the question of why gender equality has been taken up as a relevant project result at all. Interestingly, the 2017 project review (Doc_GIZ_12,13) came to a similar conclusion by stating that while gender aspects may be addressed at a local level, it would **not be ‘foreseeable that this will have effects beyond those directly and locally affected’**. Furthermore, such aspects would **not have ‘been dealt with in any of the other fields of action, in the absence of substance and demand’**. It consequently suggested that either the **project should be reshaped** to clearly address the gender issue, or that its **gender marker should be changed to GG0**. Apparently, neither the former nor the latter has yet been done.

Returning to the project’s contribution to improved protection of natural resources in TFCAs through their improved governance, the interview findings previously described strongly suggest that this hypothesis again holds true. It appears that the **project succeeded in creating a well-disposed mindset among the stakeholders involved at political and regional level** and a **good understanding of the benefits of sustainable NRM** in all three TFCAs.

With several respondents stating that they were able to **derive income from agriculture and livestock** (Int_14,15,18-20,22,24,25; see previous section), the **contribution of improved protection of natural resources to reducing poverty in TFCAs** is likewise obvious, albeit on a rather small scale. Therefore, the hypothesis can be considered as being **confirmed**.

Table 19: Selected results hypotheses for impact: hypothesis 3

Hypothesis 3 (H15) (outcome – impact)	Benefiting from tourism revenues (R4) and the resulting increased income of TFCA stakeholders (R8) eventually contribute to transfrontier conservation of biodiversity and functional ecosystems and the sustainable use of natural resources that secure the socio-economic and ecologic livelihood of the local population and future generations (PO).
Main assumptions	Revenues from tourism and the use of natural resources are sufficient to reduce poverty in the TFCAs, thus allowing for adequate socio-economic and ecologic livelihoods of its residents.
Risks	<ul style="list-style-type: none"> • Market risks in the tourism sector. • Insufficient natural resources.

Alternative explanation	None, as apart from tourism and natural resources, TFCAs apparently feature no other significant income sources.
Confirmed/partly confirmed/not confirmed	The hypothesis can be partly confirmed.

In conclusion, the contribution of **a share in tourism revenues** and **increased income from natural resources** to the **socio-economic and ecologic livelihood of local population** can only be **partly confirmed** owing to its **limited resilience against the detrimental effects of the lack of income from tourism**.

Impact dimension 2 – Contribution to higher-level (intended) development results/changes – scores **30 out of 40 points**.

Impact dimension 3: Contribution to higher-level unintended development results/changes

The project's contribution to unintended results at impact (= PO) level was assessed by **observable unintended positive and negative effects, benefits and risks** associated with these unintended effects and the **project's response** to these unintended effects at impact level. The main data sources for the assessment were interviews with TFCA stakeholders as well as project and partner documents.

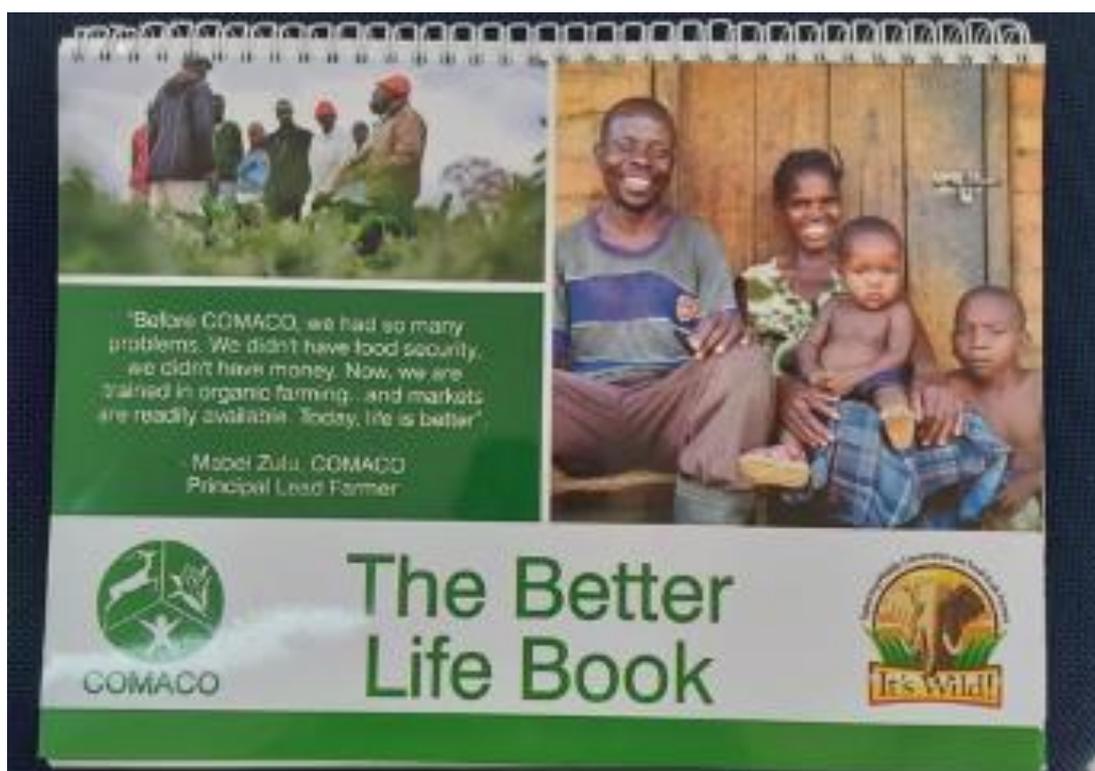
A number of interviewees declare that the project had brought some unintended positive results at local level. It was repeatedly mentioned that as a result of their improved economic situation, **more families were sending their children to school** (Int_09,15,20,22). In addition, **domestic violence was said to have reduced** owing to better livelihood situations (Int_15) and the fact that **morale among rangers had improved** (Int_13). One person even stated even that the project had had a **positive effect on the health status of the local population** (Int_18). The latter assertion is corroborated to some extent by the SLE evaluation, which claims that the project had a **positive influence on the nutrition of the local population** by enabling it to receive a more diversified diet through increased agricultural activities.

On the negative side, apart from the **increase in HWC**, which could also have a **negative effect on the livelihood of the local population**, little evidence of any other unintended effects could be found. In contrast to the majority, only one respondent (Int_04) reported **increased tobacco production** in the Malawi-Zambia TFCA, resulting in **deforestation, soil fertility depletion and general degradation of the environment**. The SLE evaluation further reports on **increased social tensions between local community members** caused by the introduction of new natural resource and wildlife management regulations, and the fact that the **tourism infrastructure is likely to limit farmers' access to water**. However, these findings could not be confirmed in this evaluation.

The project documents and the empirical data did not provide any information on whether and how the project responded to these unintended effects.

Impact dimension 3 – Contribution to higher-level (unintended) development results/changes – scores **25 out of 30 points**.

Photo 2: 'The Better Life Book', produced by COMACO in two languages with the support of the GIZ TUPNR project. © by Martin Muchero



Methodology for assessing impact

Table 20: Methodology for assessing OECD DAC criterion: impact

Impact: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Higher-level (intended) development changes/results	<p>The extent to which higher-level development changes can be observed, in terms of</p> <ul style="list-style-type: none"> • improved capacities and ownership of TFCA stakeholders • increased participation of TFCA stakeholders in decision-making processes • improved governance of TFCAs • improved gender equality in TFCA management • increased job opportunities in the tourism sector and resulting revenues • improved protection of natural resources and reduced poverty in TFCAs • achievement of the PO 	<p>Evaluation design: Ex-post-facto design, retrospective (single-difference) time-series design</p> <p>Empirical methods: Interviews, document analysis, quantitative descriptive analysis</p>	<ul style="list-style-type: none"> • Availability of data: good • Collection of additional data: n.a. • Lack of representation of specific stakeholders/groups: none • Response rates (if applicable): n.a. • Possibility of data/method triangulation: yes, empirical findings from interviews could be triangulated with documentary data • Evidence strength: good • Influence of conflict/fragile context on the quality and validity of the data and access to target groups: n.a.
Contribution to higher-level (intended) development results/changes	<ul style="list-style-type: none"> • The extent to which the project has contributed to the above-mentioned higher-level intended development changes • The internal and external factors that contributed to or hindered the achievement of the project objectives at impact level 		

Impact: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Contribution to higher-level (unintended) development results/changes	<ul style="list-style-type: none"> • Observable unintended positive and negative effects of the project at impact level • Benefits and risks associated with these unintended effects • Project's response to unintended effects 		

4.6 Efficiency

This section analyses and assesses the efficiency of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex).

Summarising assessment and rating of efficiency

Table 21. Rating of OECD DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	Production efficiency (Resources/Outputs)	70 out of 70 points
	Allocation efficiency (Resources/Outcome)	20 out of 30 points
Efficiency score and rating		Score: 90 out of 100 points Rating: Level 2: successful

In total, the efficiency of the project is rated Level 2: successful, with 90 out of 100 points.

Analysis and assessment of efficiency

The project's efficiency was assessed along two analytical dimensions: its **production efficiency**, i.e. how efficiently the resources were used to produce the project's outputs, and its **allocation efficiency**, i.e. how efficiently these outputs were transformed into outcomes, that is, tangible benefits for its target groups.

The assessment of the project's efficiency was primarily based on the findings gathered through the application of the efficiency tool and on the analysis of the project's operational workplans and its cost commitment report. The results of the document analysis were put into context with further qualitative data gathered through the interviews with project and partner staff.

Efficiency dimension 1: Production efficiency

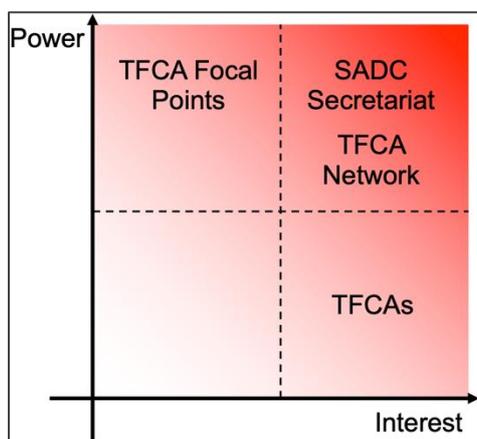
The assessment of the project's production efficiency was based on the **distribution of its input to the different project activities**, the extent to which the **inputs were used economically in relation to the delivered outputs**, the extent to which the **outputs could have been increased by an alternative use of the inputs**, and the extent to which the **outputs were delivered on time**.

To assess the appropriateness of the input distribution to the different project activities, the spending according to the latest cost commitment report (Doc_GIZ_51), the GIZ staffing table (Doc_024) and the cost-output allocation table (Doc_012) were analysed using GIZ's efficiency tool. As shown in the screenshot from the efficiency tool cockpit (Figure 7), and as was already discussed in the effectiveness section, the **project achieved all its MO indicators** within its implementation term. The screenshot also shows that the largest share of the budget was invested in activities for improving the functionality of the TFCA Network (36%),

followed by activities within the TFCAs (26%) and at the SADC Secretariat (23%). In contrast, only 8% of the budget was spent on supporting the TFCA Focal Points.

From the evaluators' point of view, this **skewed distribution of funds towards local and regional actors** to the disadvantage of national actors **makes sense**, given the different levels of power and interest of these stakeholder groups. While the **TFCAs** are the ones **most economically dependent** on the project, and thus are most interested its success but also the **weakest in terms of power**, the **TFCA Network and the SADC Secretariat** as the key institutions for supporting the TFCAs' development are both **powerful and interested players**. The **TFCA Focal Points**, as the entities (only) providing the regulatory framework, are in that sense more of **strategic relevance** since they have **most power** (being the only group with legal power) but are **not as dependent on the project's success**. In the simplified stakeholder analysis grid (Figure 6) (also known as the Mendelow Matrix or Power-Interest-Grid¹⁸), the power relations described are visualised.

Figure 6: Stakeholder analysis grid



The **overachievement of 8 out of 11 output indicators** shows that the **project budget can be considered to have been spent economically** to a large extent and that the project **succeeded in transforming the available budget efficiently into useful products and services** for its stakeholders. Only the indicator (Indicator 3 of Output 3) that depended on third-party financial contributions for its achievement was significantly missed. However, this underachievement could probably not have been remedied by allocating more resources to this area of intervention.

While a thorough benchmarking with other comparable projects in the region was not possible, a direct **comparison with the**

Support to Community-Based Natural Resource Management (CBNRM) project¹⁹ yields a similar economic use of funds with **no detectable irregularities**. Moreover, a review of the project workplan (Doc_GIZ_29,53) and feedback from a number of interviewees (Int_04,12,13,23,24,34) suggested that from a technical point of view, project implementation can be regarded as **comprehensible and efficient**. One respondent even provided some anecdotal evidence by declaring that during the local rehabilitation measures the project **was able to generate some savings**, which then were used for **additional sanitation infrastructure**. Unfortunately, it was not possible for the evaluation team to investigate exactly how much was saved and whether such savings had also occurred elsewhere, but these savings were apparently enough to construct five toilets and washing rooms.

The question about the extent to which outputs could have been maximised with the same amount of resources is thus hard to answer. However, in view of these findings, it is **questionable whether, under the same framework conditions, it would have been possible to achieve more outputs of the same or better quality with the available resources**.

According to the project team and partners, the project's **outputs were delivered according to schedule**, with only a **few slight delays** (e.g. in the implementation of training courses) for administrative or logistical reasons. The only notable factor in this regard was COVID-19, which, as already discussed, resulted in an amendment of the project activities and the need for a **six-month extension**. In view of the worldwide effects of the pandemic, the extension period is understandable.

¹⁸ https://en.wikipedia.org/wiki/Stakeholder_analysis [2.10.2021]

¹⁹ The international evaluator recently also conducted a CPE of the GIZ project Support to Community-Based Natural Resource Management (CBNRM) (PN: 2015.2209.3). The project aimed to improve the Namibian CBNRM policy at national, regional and local level and also supported conservancy areas, which although not transfrontier areas, faced almost the same problems as the TFCAs. Also, the project objectives and implementation approach had some similarities with the TUPNR project, which is why it was considered a suitable object of comparison.

Figure 7: Screenshot from the efficiency tool cockpit

Module objective	The implementation of SADC protocols and strategies for sustainable natural resources management (NRM) in Transfrontier Conservation Areas (TFCAs) by local, regional and national actors has improved.				
BMZ costs (Sum of individual costs)	14.941.092,10 €				
Co-financing	0,00 €				
Partner inputs	0,00 €				
Total costs	14.941.092,10 €				
Residual funds (BMZ costs and co-financing)	0,00 €				
Module objective indicators	A total of 10 transfrontier initiatives of local actors (e.g. tourism development, fighting poaching, fire management, climate change adaptation, disaster management) including 1 COVID-19 emergency action that are relevant for the TFCA as well	Relevant decision makers in 6 SADC member states implemented 6 proposals for improving national frameworks for the management and governance of TFCAs that were developed jointly by TFCA Focal Points with local actors	The TFCA network developed 3 recommendations for adapting the national and regional frameworks for the implementation of SADC protocols and strategies for the sustainable management of natural resources in TFCAs, and	6 regional guidelines relevant for TFCA programme components were recommended by the SADC technical committee to the minister meeting for decision.	0
Achievement	100%	117%	100%	100%	#DIV/0!

	Output A	Output B	Output C	Output D	Output E
Outputs	Transboundary cooperation in three selected TFCAs is improved	Processes have been initiated by national actors for improving the national frameworks for TFCA management and governance.	The functioning of the TFCA Network is improved.	The role of mediator played by the SADC Secretariat in the implementation of the TFCA programme is strengthened.	0
Costs incl. commitment (Obligo)	3.910.380,53 €	1.261.910,44 €	5.353.334,88 €	3.491.851,14 €	0,00 €
Co-financing	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
Partner inputs	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
Total costs	3.910.380,53 €	1.261.910,44 €	5.353.334,88 €	3.491.851,14 €	0,00 €
Total costs in %	26%	8%	36%	23%	0%
BMZ total costs in % without co-financing	26%	8%	36%	23%	0%
Plan for residual funds (residual value)	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €

Output Indicators	Three cross border TFCA Management entities (e.g., park management committees, local advisory boards) are established and include local representatives (Community representatives, traditional Authorities, district administrations, NGOs). They are	TFCA Focal Points have initiated one dialogue process (e.g. round table, dialogue platforms, stakeholder workshops) at national level in all SADC member states that are involved in the TFCAs supported by the project that drafts recommendations for	The diversity of the network participants increases from seven to eight stakeholder groups (namely community representatives) and the representation of Non-state actors increases from 42% to 60%	Based on the contributions of the TFCA Network, the SADC Secretariat has developed 6 additional guidelines for transboundary TFCA management and has submitted these to relevant SADC organs (namely technical committee) for	0
Achievement	233%	133%	134%	83%	#DIV/0!

Output Indicators	Actors from TFCAs (management boards, plat-forms, decision-makers) have each submitted at least 2 recommendations for improving national conditions to relevant decision-makers at national level, based on the needs expressed in the	0	Experience of 6 evaluated approaches for natural resource management and governance is shared in the TFCA Network. One of these approaches specifically addresses the special circumstances of women.	Using the data collected in the TFCAs, the SADC Secretariat has reported annually to relevant SADC organs and has presented recommendations for the further development of the programme.	0
Achievement	167%	#DIV/0!	167%	75%	#DIV/0!

Output Indicators	Actors from two TFCA (management boards, plat-forms, decision-makers) have submitted a joint application for the financing of each sustainable transboundary TFCA operations through the future TFCA facility or through other international	0	The contributions of third parties (external financial sources, contributions of members of the TFCA Network) to recurrent cost of the Network (Internet presence, annual meeting, news letter) reaches 75% by 2020.	SADC Secretariat moderates 6 regional processes for the development of Multilateral Environmental Agreements or strategies in relation to NRM, TFCA development, tourism or anti-poaching and organization of an international TFCA	0
Achievement	250%	#DIV/0!	41%	117%	#DIV/0!

Output Indicators	0	0	0	SADC Secretariat organizes at least 6 multi-stakeholder workshops with at least 3 Member States to support the domestication of the Law Enforcement and Anti-Poaching Strategy.	0
Achievement	#DIV/0!	#DIV/0!	#DIV/0!	133%	#DIV/0!

Efficiency dimension 1 – Production efficiency – scores **70 out of 70 points**.

Efficiency dimension 2: Allocation efficiency

The assessment of the project's allocation efficiency was based on the extent to which **alternative means would be appropriate for achieving the project results**, whether the **project results could have been achieved more cost-effectively**, and the extent to which the **project results could have been increased by an alternative use of the inputs**.

As discussed, the **project performed better in its ecological dimension (→ NRM) than in its economic dimension (→ tourism development)**. Hence, it **did not succeed in contributing to the PO to its full extent**. However, to do justice to the project, it should be mentioned that **COVID-19** has played its part in compromising the economic achievements. At least within the scope of this evaluation, it is **impossible to determine the counterfactual**, i.e. what the picture would look like without the pandemic.

In any case, in order to achieve the results in both dimensions, the project **activities appeared appropriate** in terms of their content and design. The STEs and LTEs at the key TFCA actors for building up capacities at regional and national were **suitable instruments**, as was the training to capacitate local-level stakeholders. The **added value of the experts** was highly appreciated by all partners and the **training was regarded as professional and adapted to the needs of their target groups**. Also, the equipment and infrastructure support provided in the TFCAs made sense in relation to the state of facilities there, as was observed by the national consultant.

As already outlined in the impact section, with these instruments the **project succeeded in improving its stakeholders' capacities** overall and thus **laid the ground for higher-level results**. While increased job opportunities in the tourism sector did not materialise as anticipated, several **anecdotal references on improved protection of natural resources in the TFCAs** were observed. As also discussed, these low-level results, such as increased awareness and knowledge, management capacities, decision-making competencies, and transfrontier collaboration, were considered by most to be indispensable. Given these findings and considering the overall conditions under which the project operated, from an expert perspective, it is doubtful that alternative means would have been more suitable for achieving the project results.

To find out whether the project results could have been achieved more cost-effectively, the stakeholders were asked for their assessment of the project management. A number of interviewees who were actively involved in the project implementation (Int_01,04,12,13,16,24) acknowledged its efficiency in achieving results. **No major flaws or examples of an alternative better use of the inputs to increase the project results could be identified**. Previous reviews and evaluations (Doc_GIZ_10-12,19) also attested that the project made efficient use of its resources and that it compared well with other regional projects.

However, what is also noticeable, in comparison with the above-mentioned CBNRM project, is that the **TUPNR project did not make much use of collaborations with other projects and donors**. It appears that **synergy potentials were thus left unexploited**. At least in the ecologic dimension, **results at the TFCAs could have been leveraged**, e.g. in terms of the number of stakeholders equipped and capacitated.

Efficiency dimension 2 – Allocation efficiency – **scores 20 out of 30 points**.

Methodology for assessing efficiency

Table 22: Methodology for assessing OECD DAC criterion: efficiency

Efficiency: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and Limitations
Production efficiency (Resources/Outputs)	<ul style="list-style-type: none"> How inputs were distributed to the different project activities The extent to which the inputs were used economically in relation to the delivered outputs The extent to which the outputs could have been increased by an alternative use of the inputs The extent to which the outputs were delivered on time 	<p>Evaluation design: Follow-the-money approach</p> <p>Empirical methods: Document analysis, quantitative descriptive analysis of project cost commitment report</p>	<ul style="list-style-type: none"> Availability of data: good Collection of additional data: n.a. Lack of representation of specific stakeholders/groups: none Response rates (if applicable): n.a. Possibility of data/method triangulation: no Evidence strength: moderate Influence of conflict/fragile context on the quality and validity of the data and access to target groups: n.a.
Allocation efficiency (Resources/Outcome)	<p>Extent to which</p> <ul style="list-style-type: none"> alternative means would be appropriate for achieving the project results the project results could have been achieved more cost-effectively the project results could have been increased by an alternative use of the inputs 		

4.7 Sustainability

This section analyses and assesses the sustainability of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex).

Summarising assessment and rating of sustainability

Table 23: Rating of OECD DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
Sustainability	Capacities of the beneficiaries and stakeholders	10 out of 20 points
	Contribution to supporting sustainable capacities	20 out of 30 points
	Durability of results over time	40 out of 50 points
Sustainability score and rating		<p>Score: 70 out of 100 points</p> <p>Rating: Level 3: moderately successful</p>

In total, the sustainability of the project is rated **Level 3: moderately successful, with 70 out of 100 points.**

Analysis and assessment of sustainability

The project's sustainability was assessed along three analytical dimensions: the **capacities of the beneficiaries and stakeholders**, the project's **contribution to the sustainability of these capacities** and **the expected durability of results over time**.

The assessment was based mainly on findings from interviews with project staff, project partners at political, regional and local level, and direct target groups and final beneficiaries within the TFCAs. Although all key stakeholders could be consulted, no substantial documentary data was available for assessing the project's sustainability, so the **evidence is regarded as being moderate**.

Sustainability dimension 1: Capacities of the beneficiaries and stakeholders

The capacities of the beneficiaries and stakeholders were assessed on the one hand on the basis of the extent to which the SADC Secretariat, the TFCA Focal Points, the TFCA Network, implementing partners at regional level and the TFCA management have the **resources to sustain the achievements of the project over time**. On the other hand, the **resilience of TFCA residents to overcome future risks that could jeopardise the benefits they have received through the project** were also taken into account for the assessment of this dimension. The assessment was based mainly on the empirical data gathered through the interviews with the different stakeholders.

Looking firstly at the **SADC Secretariat**, the empirical findings suggest that it does **not have sufficient capacities in the long run** to continue with the activities initiated by the project because it still **lacks support from the member countries**. In particular, it is assumed that it may **not have the financial means** to continue with the work of the Technical Committees in the long run (Int_21). This is a regrettable finding, as the secretariat is considered to be the only entity that has the power to establish a trustful working relationship between the member countries and thus has a **key role in bringing the respective actors together** (Doc_GIZ_21).

As the long-term capacities of the secretariat's national counterparts, the **TFCA Focal Points**, depend on the support of the respective member countries, their **situation looks similar**. Those in Eswatini and Mozambique in particular are considered **to be not sufficiently staffed and significantly underfunded** (Int_12). In general, it was reported that there is little interest on the part of member countries to develop TFCAs further and that TFCAs are of **little relevance for national political agendas** (Int_16).

The **TFCA Network** is considered to be **in a better position** due to the **involvement of its stakeholders**, its **established working communities** and its apparent **ability to mobilise funds**. However, despite its **common recognition** (Doc_GIZ_12), its **institutional fragmentation** makes it difficult to gain traction at TFCA level. In addition, **coordinating the differing interests of member countries** appears to continue to be challenging (Int_12).

In contrast to the public stakeholders, it appears that the **regional partners** are the strongest link in the chain. **SAWC** is interested in continuing with its training and, by its own account, has already developed a **short course business plan** (Int_06). **COMACO** was also reported to be **eager to provide further support** and to have the **suitably qualified staff** to do so (Int_16).

With regard to the **TFCAs** themselves, they are **considered not to be able to maintain the established infrastructure and provided equipment**, let alone develop more of this, without project support (Int_01,12,13,16). Accordingly, their managements are **seeking further operational support from the TFCA Network** and **hope that other donors will come on board**. Despite their currently **improved ability to generate income from natural resources**, it appears that they will **not be sufficiently resilient against future challenges**, whether these are rooted in the causes of climate change or in economic setbacks.

Sustainability dimension 1 – Capacities of the beneficiaries and stakeholders – scores **10 out of 20 points**.

Sustainability dimension 2: Contribution to supporting sustainable capacities

The contribution of the project to the supporting of sustainable capacities was assessed firstly by the extent to which it has contributed to the **resources as well as the ownership** of the above-mentioned stakeholders **to sustain the achievements of the project over time**. Secondly, its contribution to the strengthening of the **resilience of TFCA residents to overcome future risks that could jeopardise the benefits they have received through the project** is taken into account. For dimension 1, the assessment was based mainly on the empirical data gathered from the interviews with the different stakeholders.

Starting again with the **SADC Secretariat**, despite its limited capacities in absolute terms, the empirical findings suggest that the **project performed quite well** in improving them, though **at a very low level**. In other words, without the project they would be even worse, if they existed at all. In any case, the representatives were able to provide examples of how the project has increased their capacities, such as through **supporting the development of a sustainability strategy** or **introducing an M&E framework** (Int_26). According to the project staff, the fact that the **tourism management position** of the FANR Directorate has been filled **continuously for over a year** should also be considered an achievement of the project, as this was not previously the case (Int_37).

As regards the **TFCA Network**, the project was said to have brought about a **considerable behavioural change** among its members in relation to the **potential of transfrontier collaboration** (Int_03,24). However, it was also mentioned that it **would require further support** in the future in order to maintain this, as members might otherwise **revert to old attitudes and habits** in the long run. In this regard, there was a criticism that the **project did not succeed in attracting further financing partners to leverage the achievements among the network members** (Int_23,24).

Apart from the financial support, the **regional partners** regarded **knowledge transfer as a particularly meaningful** contribution to their **organisational development** and their ability to **continue working within the TFCA framework**. Again, it appears that organisations such as SAWC, COMACO and PPF have profited most from the capacity support. Not surprisingly, they were also the ones that expressed most satisfaction with the project overall.

At the **TFCAs**, it appears that the project provided a **good foundation for upscaling and broadening income generation**, for instance by providing farmers with **expert knowledge** on sustainable agriculture and **linking them to markets** where they could sell their crops as organic products (Int_04). Moreover, it **built capacities within the communities** and **established governance structures** for managing their natural resources (Int_01,04). Also, at this level the project apparently **succeeded, at least to some extent, in attracting other donor funds** (Int_20).

Sustainability dimension 2 – Contribution to supporting sustainable capacities – scores **20 out of 30 points**.

Sustainability dimension 3: Durability of results over time

The durability of results of the project over time was assessed on the basis of the assumed **stability of the conditions** at the project partners, the **extent to which these conditions influenced the durability of its results**, and an estimation of **how durable the results may be**, considering their influence. The assessment was primarily based on the empirical data gathered from the interviews with the different stakeholders and the project team.

A number of interviewees from different stakeholder groups considered that the **project had been too short** and that it **lacked an exit strategy** (Int_03,05,12,16,18,23,36). According to them, this **compromised the**

durability of the project's results and ultimately **damaged their confidence in further development potentials**. Much hope was placed on the **follow-on project**, which continues to work in the TFCAs. It was also mentioned that **further support will be sought**, for instance by the USAID Umbrella programme for Combating Wildlife Crimes in Southern Africa, VukaNow or the Global Climate Change Alliance Plus (GCCA+) Initiative from the European Union.²⁰

As mentioned in the previous section, it is **unclear yet whether the SADC Secretariat will continue with its activities** in the future. While the strategy papers developed during the project are intended to guide the secretariat's actions, some interviewees (Int_37,38,42) questioned the extent to which it will be willing and able to stick to its action plan. According to these interviewees, the **question is not only about funding** but about the **political will of the member countries**. Without a clear **'buy in' by the focal points**, it remains unclear how the achievements can be taken forward.

On the positive side, the **recognition of the TFCA Network by the SADC Secretariat** is considered to be a good sign with regard to its expectable sustainability (Int_23). However, **doubts were raised about whether the network will remain operational without further external support** (Int_16). In line with this scepticism is a finding from the document review. The latest progress report from September 2020 pointed out that the **network management still depended on the support of the project** (Doc_GIZ_23). Moreover, the **survival of the TFCA Portal in the long run remained questionable**. It was reported that its **maintenance is quite resource intensive**, and given the perceived rather limited use, some questioned whether it will be updated as regularly as before once the project has ended (Int_23,42). However, at least for the next two years the portal's funding has been secured by the International Union for Conservation of Nature.

Again, the situation concerning the **durability of the results over time looks best at the regional partners**. SAWC representatives stated that they were confident to continue with their online courses and to apply for further support for its learning programmes (Int_06). The findings from the interviews with PPF, COMACO and CADECOM are along the same lines.

Also, **the situation at the TFCAs looks rather promising**. During the interviews, some **confidence among the stakeholders at community level** could be detected, at least as regards their **trust in continuing to generate income from their available natural resources**. Farming, bee keeping and goat rearing in particular are regarded by many as self-sustaining activities (Int_09-11,14,15,17-19,22,24,25,27). Given that the tourism sector will recover, much **hope was placed, at least in the long term, on making money from the increased wildlife and established infrastructure** (Int_19,30). However, it was also acknowledged that, for instance, **camp infrastructure requires maintenance** for which the communities do not yet have the financial means (Int_16,34). In contrast, there were also voices who realise that **infrastructure that does not generate income**, such as the radio station in the Malawi-Zambia TFCA, **is unlikely to be sustained** as there is no funding for maintenance and repair available (Int_24).

Sustainability dimension 3 – Durability of results over time – scores **40 out of 50 points**.

²⁰ <https://www.gcca.eu> [4.10.2021]

Photo 3: Radio Tower supplied by GIZ for the Malawi-Zambia TFCA. © by Martin Muchero



Methodology for assessing sustainability

Table 24: Methodology for assessing OECD DAC criterion: sustainability

Sustainability: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Capacities of the beneficiaries and stakeholders	<p>Extent to which</p> <ul style="list-style-type: none"> • stakeholders at political and regional level have the institutional, human and financial resources as well as the ownership to sustain the positive results of the intervention over time • beneficiaries in the TFCAs have the resilience to overcome future risks that could jeopardise the project results 	<p>Evaluation design: Ex-post-facto design</p> <p>Empirical methods: Interviews, document analysis</p>	<ul style="list-style-type: none"> • Availability of data: good • Collection of additional data: n.a. • Lack of representation of specific stakeholders/groups: none • Response rates (if applicable): n.a. • Possibility of data/method triangulation: no • Evidence strength: moderate • Influence of conflict/fragile context on the quality and validity of the data and access to target groups: n.a.
Contribution to supporting sustainable capacities	<p>Extent to which the project has</p> <ul style="list-style-type: none"> • contributed to the institutional, human and financial resources as well as the ownership of SADC's FANR Directorate, the implementing partners at regional level and the TFCA managements • strengthened the resilience of the TFCA residents to overcome future risks that could jeopardise the benefits they have received through the project 		
Durability of results over time	<ul style="list-style-type: none"> • Assumed stability of the political, social, economic and ecologic conditions under which the project operated • The extent to which these conditions influence the durability of its results • The estimated durability of the results, considering the influence of these conditions 		

4.8 Key results and overall rating

As shown in the previous sections, this evaluation portrays quite a **heterogeneous** though **predominantly positive picture** of the TUPNR project. While there are **no doubts about the project's relevance and coherence** and about its **professional and efficient implementation**, it **did not fully meet all the stakeholders' expectations** regarding their benefits. Clearly, implementing a 'tourism component' in times of **COVID-19** could be considered a bad idea. However, the **project cannot be held responsible for this** as it was an unforeseen development. It was particularly unfortunate that the pandemic hit the project in its final year of implementation, i.e. when the efforts should have been bearing fruit.

On the positive side, the project appeared to have had some **noteworthy achievements in the TFCAs** as regards **NRM**. The on-site data collection provided the impression that the **project had done well in terms of increasing the beneficiaries' confidence** in making a living from this.

More critical are the **threats to the sustainability** of the project's achievements at partner level. Except for the regional partners, the **stakeholders** must be considered to have insufficient human resources and funding **to keep up with their work** at the current level and **to develop further without external support**. In this regard, the evaluation team endorses the **decision to continue to support the stakeholders in the follow-on project**.

Table 25: Rating and score scales

100-point scale (score)	6-level scale (rating)
92–100	Level 1: highly successful
81–91	Level 2: successful
67–80	Level 3: moderately successful
50–66	Level 4: moderately unsuccessful
30–49	Level 5: unsuccessful
0–29	Level 6: highly unsuccessful

Overall rating: The criteria of effectiveness, impact and sustainability are knock-out criteria: If one of the criteria is rated at level 4 or lower, the overall rating cannot go beyond level 4 although the mean score may be higher.

Table 26: Overall rating of OECD DAC criteria and assessment dimensions

Evaluation criteria	Dimension	Max	Score	Total (max.100)	Rating
Relevance	Alignment with policies and priorities	30	30	95	Level 1: highly successful
	Alignment with the needs and capacities of the beneficiaries and stakeholders	30	25		
	Appropriateness of the design	20	20		
	Adaptability – response to change	20	20		
Coherence	Internal coherence	50	45	90	Level 2: successful
	External coherence	50	45		
Effectiveness	Achievement of the (intended) objectives	30	30	85	Level 2: successful
	Contribution to achievement of objectives	30	25		
	Quality of implementation	20	15		
	Unintended results	20	15		
Impact	Higher-level (intended) development changes/results	30	20	75	Level 3: moderately successful
	Contribution to higher-level (intended) development results/changes	40	30		
	Contribution to higher-level (unintended) development results/changes	30	25		
Efficiency	Production efficiency	70	70	90	Level 2: successful
	Allocation efficiency	30	20		
Sustainability	Capacities of the beneficiaries and stakeholders	20	10	70	Level 3: moderately successful
	Contribution to supporting sustainable capacities	30	20		
	Durability of results over time	50	40		
Mean score and overall rating		100		84	Level 2: successful

5 Conclusions and recommendations

In the following section, the key findings, the factors for success and failure and the recommendations are presented.

5.1 Key findings and factors of success/failure

The evaluation team puts forward the following key findings and factors of success and failure:

- The project was well in line with regional and national development strategies. It directly supported the efforts of the SADC member countries' governments to reach some of their objectives in the area of NRM and economic development. It was likewise aligned with the German political guidelines for collaboration with Africa.
- At political level, the project measures were adequately adapted to the SADC Secretariat's needs as regards capacity development as well as technical and financial support for advocacy and awareness-creating measures, coping with the consequences of climate change, encouraging concerted actions, securing further financial resources and establishing a functional monitoring system for the TFCA Network. Furthermore, its objectives clearly related to relevant improvements for its stakeholders at regional and local level, such as increasing awareness about the potential of transboundary collaboration, preventing local communities from making their livelihoods from non-sustainable activities, improving the functionality of the TFCA Network and establishing national frameworks for its development.
- At local level, the project did not fulfil all the expectations of its beneficiaries as regards technical equipment, qualified staff and capacity building. It appears that the project required a somewhat more realistic management of expectations in the TFCAs.
- In view of the complex stakeholder setting, the project's multilevel capacity development approach – including collaboration with stakeholders at national/government, regional/conservancy and local/beneficiary level – proved to be adequate for establishing a supportive framework for the development of the TFCAs. The use of instruments and the selection of support measures also appeared adequate. External factors that may have jeopardised goal achievement were anticipated and adequately dealt with (e.g. virtualisation of training, inclusion of pandemic response measures). In summary, the project design can be assessed as being appropriate and realistic.
- The project was consistent with national and international standards. It also complied with GIZ's own corresponding HCD quality standards by aiming at sustainable long-term results, featuring a high level of partner orientation, efficient steering and economic use of resources.
- The project complemented to a large extent the efforts of its political and implementing partners to develop the TFCA Network. While not completely in line with their priorities, it facilitated their collaboration across borders and the harmonisation of actions for the benefit of the TFCAs.
- All Module Objective indicators were fully achieved. The implicit causal assumptions of the project's theory of change for reaching the MO could mostly be confirmed, with only the translation of the capacitation of TFCA Focal Point staff into improved national frameworks being questionable. The hypotheses about the contributions to supporting the SADC Secretariat, the TFCA Network, the regional implementing partners and the TFCAs appeared plausible and could be verified.
- Overall, the quality of the project implementation was regarded as outstanding by most. In particular, the transparency, flexibility, commitment and responsiveness of the project staff were mentioned as success factors. In addition, the selection and involvement of the implementing partners at regional and local level

were said to be appropriate. The project was considered to be very hands-on and well embedded in the respective local frameworks of the TFCAs.

- One major point of critique was raised about the project duration, which was rated as being too short and as lacking an exit strategy. As a result, capacities could not be built sufficiently and expectations at the TFCAs could not be fulfilled.
- Staff fluctuations at TFCA Focal Points and the SADC Secretariat as well as a lack of support from the governments of the member countries were mentioned as the most critical external factors for the project's effectiveness.
- As reported from the Malawi-Zambia TFCA, the project succeeded in improving TFCA management by establishing joint park management and steering committees, introducing joint cross-border patrols and establishing a LEAP strategy. It thus contributed to improved natural resource protection and increasing income from this. In contrast, revenues from tourism could not be generated as planned. Nevertheless, there were indications that the livelihood situation in the TFCAs could be improved to some extent.
- The sustainability of the project's achievements is at risk. It appears that most of the implementing partners lack the capacities to continue their activities initiated with the support of the project, the main reasons being insufficient staff and financial means as well as an inability to acquire funding from elsewhere. Moreover, the TFCAs appear not to be able to maintain the established infrastructure and the equipment provided.

Findings regarding 2030 Agenda

Universality, shared responsibility and accountability

The project features linkages to poverty reduction (SDG 1), food security (SDG 2), gender equality (SDG 5), decent work and economic growth (SDG 8), reducing inequalities (SDG 10), taking urgent action to combat climate change and its impacts (SDG 13), sustainable life on land (SDG 15) and good governance (SDG 16), with particular focus on protecting, restoring and promoting the sustainable use of terrestrial ecosystems and on supporting good governance.

By supporting the TFCA Network, the project can be considered to be working within an already existing system, thereby avoiding unnecessary duplications. In order to create ownership and provide for sustainability, its measures targeted all key stakeholders of the network at political (national) and operational (regional and local) level.

Although the project leveraged some synergies with other German FC projects, it did not appear to exploit further scaling-up potential by collaborating with other international donors to the same extent.

Interplay of economic, environmental and social development

The project followed a holistic approach in the sense that it dealt with alleviating the roots of poverty in the TFCAs through support in the economic (→ income generation through tourism development) and ecologic (→ natural resource protection/management) dimensions. These dimensions are related to each other, as the wildlife population (→ natural resource) is one key prerequisite for the tourism (→ source of income) marketing potential of the areas. By working towards objectives in both dimensions and thereby addressing in particular the needs of the most vulnerable groups (e.g. farmers, former poachers), the project contributed to the social development in the TFCAs.

Inclusiveness/leave no one behind

As discussed, the project followed international norms and standards in terms of its capacity development approach and overall management. It was further shown that the empirical data yielded indications on positive

unintended effects at beneficiary level (e.g. education, health). The resilience of TFCA residents could be partly strengthened through the support of income-generating activities through agriculture and animal rearing.

Findings regarding follow-on project

In view of the apparently persisting dependence of most stakeholders on external support, particular emphasis in the follow-on project should be placed on developing a comprehensive exit strategy. The most important goal should be to enable the stakeholders to continue with their work after the project and thus to support them in developing sustainability strategies, such as maintenance plans, revolving funds or proposal writing.

5.2 Recommendations

The following recommendations can be drawn from these conclusions, most of them geared towards the further planning and implementation of the follow-on project:

- **Manage expectations:** In order not to end up with unsatisfied partners and beneficiaries due to unrealistic visions of what the project can provide, the project management should manage expectations from the beginning by setting verifiable targets at all levels, which then should be monitored on the ground.
- **Develop an exit strategy for the follow-on project right from the beginning:** To ensure the sustainability of the project results, the partners should be supported as early as possible to develop suitable strategies to further develop capacities and maintain infrastructure. In particular, they need to be better enabled to acquire alternative third-party funds.
- **Improve knowledge management:** In view of the above-mentioned apparent staff fluctuations on the partner side, more efforts should be made to keep the established knowledge within the respective organisation, for instance by supporting knowledge dissemination beyond the direct counterparts (e.g. through workshops, training of trainers) and facilitating the handover of knowledge in the case of staff changes.
- **Exploit synergies more systematically:** As has been outlined, the project did not appear to make systematic use of upscaling potential by collaborating with other donors. In particular for the benefit of the TFCAs to which the project provided support, actors should be sought who are willing and able to replicate what has been done, and what is planned for, in the supported TFCAs. In addition, incorporating learning experiences from other projects in the field (e.g. VukaNow) should be fostered.
- **Closely monitor HWC :** Although reported by only a few, HWC should be closely monitored in the future as it poses a potentially fatal hazard to TFCA residents. It also risks compromising economic improvements and thus diminishing residents' acceptance of the LEAP strategy, e.g. if wild animals attack livestock or destroy farm infrastructure.
- **Improve the project's monitoring system:** Although the monitoring instruments in place are useful and appear to have been adequately applied, they are nevertheless insufficient. The main gaps are that the instruments are limited to monitoring the achievement of the MO and do not monitor unintended effects. However, a comprehensive project assessment also requires data about project results beyond the MO, whether these are positive or negative.

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Annex: Evaluation matrix

OECD-DAC Criterion Relevance - Is the intervention doing the right things? (max. 100 points)						
The 'relevance' criterion focuses on the intervention's design. It refers to the extent to which the objectives and design of a development intervention are consistent with the (global, country and institution-specific) requirements, needs, priorities and policies of beneficiaries and stakeholders (individuals, groups, organisations and development partners). It also identifies the ability of the						
Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators (e.g. module objective/programme indicators, selected hypotheses, or more generally a definition of the aspects to be used for evaluation)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis,	Data sources (e.g. list of relevant documents, interviews with stakeholder	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Alignment with policies and priorities	To what extent are the intervention's objectives aligned with the (global, regional and country specific) policies and priorities of the BMZ and of the beneficiaries and stakeholders and other (development) partners? To what extent do they take account of the relevant political and institutional environment?	Strategies and priorities as outlined in the following documents BMZ: Africa Policy, Marshallplan, SADC strategy, indicators for regional strategy, climate change adaptation strategy & policy, info sheet on climate change and agriculture, Africa policy guidelines, revised Africa policy guidelines SADC: strategy papers on tourism, LEAP, CC strategy, green economy & sustainable development action plan, TFCA strategy paper, fire management,	Design: Desk study Method: Qualitative content analysis	DOC_BMZ_06-14; DOC_SADC_01-09	Good, no substantial limitations expected	good
Alignment with the needs and capacities of the beneficiaries and	To what extent are the intervention's objectives aligned with the development needs and capacities of the beneficiaries and stakeholders involved (individuals, groups and	Beneficiaries' and stakeholders' self-assessment during interviews and FGDs Needs and capacities of the beneficiaries and stakeholders as outlined in the following documents: SADC: strategy papers on tourism, LEAP, CC strategy, green economy & sustainable development action plan, TFCA strategy paper, fire management, REDD programme, revised RISDP GIZ: stakeholder map, project proposal, modification offers Other: BSA feasibility study, TFCA situational analysis	Design: Ex-post facto design, desk study Method: Interviews, FGDs and qualitative content analysis	Beneficiaries and stakeholders DOC_SADC_01-09; DOC_GIZ_01-09,27,52; DOC_SADC_10-11	Secondary data basis appears to be comprehensive and contain sufficient relevant information. Selection bias may impair empirical database since, due to travel restrictions, only one TFCA can be visited. It therefore	moderate
Appropriateness of the design³	To what extent is the intervention's design appropriate and realistic (in terms of technical, organisational and financial aspects)?	Assessment by project staff and partners, as well as description of project approach and implementation according to operational plan		Project and partner staff DOC_GIZ_29,53	Good, no substantial limitations expected	good
	To what extent are the intervention's instruments, activities and outputs adequate for achieving project objective?	Expert assessment of the project description and its results model in particular		DOC_GIZ_26	The project's results model is a bit complex and mixing up results and indicators but	good
	To what extent were external factors considered?	Expert assessment of the intervention approach in view of the political, societal, economic and environmental framework				good
Adaptability – response to change	To what extent has the intervention responded to changes in the environment over time (risks and potentials)?	Information from the project staff, as well as from modification offers and progress reports about adaptation measures and changes in the overall design and implementation of the project.		Project staff DOC_GIZ_02-09, 52; DOC_GIZ_17,19,21-23	Documentary basis appears to be of sufficient quality.	good

OECD-DAC Criterion Coherence - How well does the intervention fit? (max. 100 points)

This criterion refers to the intervention's compatibility with other interventions in a country, sector or institution as well as with international norms and standards. **Internal coherence** addresses the synergies and division of tasks between the intervention and other interventions of German development cooperation and also the intervention's consistency with the relevant international norms and standards to which German development cooperation adheres. **External coherence** considers the intervention's

Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators (e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Internal coherence	Within German development cooperation, to what extent is the intervention designed and implemented (in a sector, country, region or globally) in a complementary manner, based on the division of tasks?	Information about interfaces to and synergies with other GDC projects found in the programme proposal, KfW documents, the project proposal and progress reports Assessment of the collaboration by GIZ, KfW and BMZ staff	Design: Desk study, ex-post facto design Methods: Document analysis and interviews, qualitative content analysis	DOC_GIZ_01-09,52; DOC_KfW_05,06 GIZ, KfW and BMZ staff	Good, no substantial limitations expected	good
	To what extent are the instruments of German development cooperation (Technical and Financial Cooperation) meaningfully interlinked within the intervention (in terms of both design and implementation)? Are synergies leveraged?					
	To what extent is the intervention consistent with international and national norms and standards to which German development cooperation is committed (e.g. human rights)?					
External coherence	To what extent does the intervention complement and support the partner's own efforts (principle of	Assessment of project's complementarity by FANR/SADC	Methods: Interviews, qualitative content analysis	FANR/SADC staff	Good, no substantial limitations expected	good
	To what extent has the intervention's design and implementation been coordinated with other donors'	Assessment of project's coordination with their activities by USAid, WWF and potentially other donors'	Methods: Interviews, qualitative content analysis	USAid, WWF and potentially other donor representatives	Unclear (not yet in contact)	
	To what extent has the intervention's design been designed to use existing systems and structures (of partners/other donors/international organisations) for implementing its activities? To what extent are these	Assessment of the project's alignment with existing TFCA management systems by FANR/SADC, TFCA-network representatives and TFCA Focal points	Methods: Interviews, qualitative content analysis	FANR/SADC, TFCA-network and TFCA Focal point representatives	Good, no substantial limitations expected	good
	To what extent are common systems (together with partners/other donors/international organisations) used for M&E, learning and accountability?	Information about interfaces with partner M&E systems found in partner documents Information from partner staff regarding commonly used systems	Methods: Document analysis and interviews, qualitative content analysis	FANR/SADC, TFCA-network and TFCA Focal point representatives	Empirically good, no substantial limitations; yet unclear as regards the availability of documentary data	

OECD-DAC Criterion Effectiveness - Is the intervention achieving its objectives? (max. 100 points)

'Effectiveness' refers to the extent to which the intervention has achieved, or is expected to achieve, its objectives (at outcome level), including any differential results across beneficiary and stakeholder groups. It examines the achievement of objectives in terms of the direct, short-term and medium term results.

Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation Indicators (e.g. <i>Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden</i>)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and Limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Achievement of the (intended) objectives¹	To what extent has the intervention achieved, or is the intervention expected to achieve, the (intended) objectives as originally planned (or as modified to cater for changes in the environment)?	Comparison of targeted and achieved results at outcome (module objective) level at the respective points in time, as documented in the project's progress, monitoring and evaluation reports	Design: Retrospective (single-difference) time-series design, desk study Method: Qualitative content analysis, quantitative descriptive analysis (comparing differences over time)	DOC_GIZ_10-14,17,19,21-24	The reports appear to contain quite substantial information about results achievement at output and outcome level. However, the data quality cannot be assessed at this stage and thus needs to be investigated further	good
Contribution to achievement of objectives	<p><i>To what extent have the intervention's outputs been delivered as originally planned (or as modified to cater for changes in the environment)?</i></p> <p>To what extent have the delivered outputs and increased capacities been used and equal access (e.g. in terms of physical, non-discriminatory and affordable access) guaranteed?</p> <p>To what extent has the intervention contributed to the achievement of objectives?</p> <p>To what extent has the intervention contributed to the achievement of objectives at the level of the intended beneficiaries?</p> <p>To what extent has the intervention contributed to the achievement of objectives at the level of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.)?</p> <p><i>Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended objectives?</i></p> <p><i>Which external factors were decisive for achievement/non-achievement of the intervention's intended objectives (taking into account the anticipated risks)?</i></p>	Assessments of the received benefits by the project partners, direct beneficiaries and secondary target groups Results hypotheses as outlined in the reconstructed results model will be validated.	Design: Retrospective (single-difference) time-series design, desk study Method: Qualitative content analysis, quantitative descriptive analysis (comparing differences over time)	Project partners and beneficiaries	It appears to be feasible to validate the hypotheses by data collected from the project partners and beneficiaries.	good
Quality of implementation	<p>What assessment can be made of the quality of steering and implementation of the intervention in terms of the achievement of objectives?</p> <p>What assessment can be made of the quality of steering and implementation of, and participation in, the intervention by the partner/executing agency?</p>	Expert assessment of the CD matrix Assessment of the project by its stakeholders		Project partners and beneficiaries; DOC_GIZ_25	Good, no substantial limitations expected	good
Unintended results	<p>To what extent can unintended positive/negative direct results (social, economic, environmental and among vulnerable beneficiary groups) be observed/anticipated?</p> <p>What potential benefits/risks arise from the positive/negative unintended results? What assessment can be made of them?</p> <p>How has the intervention responded to the potential benefits/risks of the positive/negative unintended results?</p>	So far, no indications for unintended effects could be retrieved. However, the evaluation team will investigate during the main data collection further if any have occurred.		Project partners and beneficiaries	Good, no substantial limitations expected	good

OECD-DAC Criterion Impact (higher-level development results) - What difference does the intervention make? (max. 100 points)

Based on recognisable higher-level development changes (at impact level), the criterion of "higher level development results (at impact level)" relates to the extent to which the intervention has already produced significant positive or negative, intended or unintended results at the overarching level (contributions to the observed changes), or is expected to do so in the future. This includes any differential results across different stakeholders and beneficiaries. This criterion refers to the results of the development intervention.

Assessment dimensions	Evaluation questions	Basics for Assessment / Evaluation indicators (e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis,	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Higher-level (intended) development changes¹	<p>To what extent can the higher-level development changes (social, economic and environmental dimensions and the interactions between them) to which the intervention will/is designed to contribute be identified/foreseen at the level of the intended beneficiaries? (Specify time frame where possible.)</p> <p>To what extent can higher-level development changes to which the intervention will/is designed to contribute be identified/foreseen at the level of particularly disadvantaged/vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.) (Specify time frame where possible.)</p>	Comparison of targeted and achieved results at impact (programme objective) level at the respective points in time, as documented in the programme reports	<p>Design: Retrospective (single-difference) time-series design, desk study</p> <p>Method: Qualitative content analysis, quantitative descriptive analysis (comparing differences over time)</p>	DOC_DO_01; DOC_KfW_01-04; government officials,	From the documents, the data base at impact level is rather scarce and it is not yet clear the extent to which government officials will be able to provide further evidency about systemic effects and/or if they have further data available.	weak
Contribution to higher-level (intended) development changes	<p>To what extent has the intervention actually contributed to the identified and/or foreseeable higher level development changes (social, economic, environmental dimensions and their interactions, taking into account political stability) that it was designed to bring about?</p> <p>To what extent has the intervention achieved its intended (original and, where applicable, revised) development objectives?</p> <p>To what extent has the intervention achieved its (original and, where applicable, revised) development objectives at the level of the intended beneficiaries?</p> <p>To what extent has the intervention contributed to higher-level development changes/changes in the lives of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders that it was designed to bring about? (These may be broken down by age, income, gender, ethnicity, etc.)</p> <p><i>Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended development objectives?</i></p> <p><i>Which external factors were decisive for the achievement/non-achievement of the intervention's intended development objectives?</i></p> <p>To what extent has the intervention achieved structural or institutional changes (e.g. for organisations, systems and regulations)?</p> <p>To what extent did the intervention serve as a model and/or achieve broad-based impact?</p> <p><i>How would the situation have developed without the intervention?</i></p>	The extent to which the project has contributed to increased job opportunities in the tourism sector, the participation of the TFCA residents in revenues from tourism, their income increase, the improved protection of natural resources in TFCA and eventually the transfrontier conservation of biodiversity and functional eco-systems and sustainable use of natural resources that secure the socio-economic and ecologic livelihood of the local population and future generations.	<p>Design: Retrospective (single-difference) time-series design, desk study</p> <p>Method: Qualitative content analysis, quantitative descriptive analysis (comparing differences over time)</p>	Partner organisations and primary beneficiaries, secondary target group survey; project progress reports (DOC_GIZ_17,19,21-23), results matrices (DOC_GIZ_18,20) and results model (DOC_GIZ_26), monitoring document (DOC_GIZ_24) and Capacity Development matrix (DOC_GIZ_25)	While the quality of the project monitoring data cannot be assessed, the interviews, FGDs and the survey are expected to yield valid and reliable information	good
Contribution to higher-level (unintended) development changes	<p>To what extent can higher-level, unintended development changes (social, economic and environmental dimensions and their interactions, taking into account political stability) be identified/foreseen? (Specify time frame where possible.)</p> <p>To what extent has the intervention brought about foreseeable/identifiable unintended (positive and/or negative) higher-level development results?</p> <p>To what extent has the intervention contributed to foreseeable/identifiable unintended (positive and/or negative) higher-level development results at the level of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.)</p>	So far, no indications for unintended effects could be retrieved. However, the evaluation team will investigate during the main data collection further if any have occurred.		Interviews and FGDs with its partner organisations and primary beneficiaries, secondary target group survey	Good	good

OECD-DAC Criterion Efficiency - How well are resources being used? (max. 100 points)

This criterion describes the extent to which the intervention delivers results in an economic and timely way (relationship between input and output, outcome and impact level). The evaluation dimension "production efficiency" refers to the appropriateness of the relationship between inputs and outputs. The evaluation dimension "allocation efficiency" refers

Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators (e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Production efficiency	<i>How are the intervention's inputs (financial, human and material resources) distributed (e.g. by instruments, sectors, sub-interventions, taking into account the cost contributions of partners/executing agencies/other beneficiaries and stakeholders etc.)?</i>	Results of the analysis of the resource allocation according to the efficiency tool	Design: Follow-the-money approach Methods: Quantitative descriptive/comparative analysis	Filled out template for HR-instruments; project manager	Good, no substantial limitations expected	good
	To what extent have the intervention's inputs (financial, human and material resources) been used economically in relation to the outputs delivered (products, investment goods and services)? If possible, refer to data from other evaluations in a region or sector, for instance.					
	To what extent could the intervention's outputs (products, investment goods and services) have been increased through the alternative use of inputs (financial, human and material resources)? If possible, refer to data from other evaluations of a region or sector, for instance. (If applicable, this question adds a complementary perspective*)					
	* This case is always applicable in the technical cooperation (TC), please answer the question bindingly					
Were the outputs (products, investment goods and services) produced on time and within the planned time frame?						
Allocation efficiency	<i>By what other means and at what cost could the results achieved (higher-level project objective) have been attained?</i>	If comparable projects can be identified, a benchmarking would be possible; needs still to be investigated			Yet unclear, depending on the availability of information about comparable projects	
	To what extent – compared with alternative designs for the intervention – could the results have been attained more cost-effectively?					
	To what extent – compared with alternative designs for the intervention – could the positive results have been increased using the existing resources? (If applicable, this question adds a complementary perspective*)					
* This case is always applicable in the technical cooperation (TC), please answer the question bindingly						

OECD-DAC Criterion Sustainability - Will the benefits last? (max. 100 points)						
The 'sustainability' criterion relates to continued long-term benefits (at the outcome and impact level) or the probability of continued long-term benefits – taking into account observed or foreseeable risks – over time, particularly after assistance has ended.						
Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators <i>(e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)</i>	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality Assessment (weak, moderate, good, strong)
Capacities of the beneficiaries and stakeholders	To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the institutional, human and financial resources as well as the willingness (ownership) required to sustain the positive results of the intervention over time (once assistance has drawn to a close)?	Implementing partners' networking and management capacities, risk coping strategies, increased resilience and income diversification	Design: Exploratory/ex-ante impact assessment Methods: Interviews and FGDs	Project and partner staff, direct target groups and secondary beneficiaries	While a valid assessment of current capacities and resources and the project's contribution thereto may be possible, their potential sustainability can only be estimated ex-ante, based on assumptions made by the respondents and information about the political/regulatory, societal, economic and environmental conditions.	moderate
	To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the resilience to overcome future risks that could jeopardise the intervention's results?					
Contribution to supporting sustainable capacities	To what extent has the intervention contributed to the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) having the institutional, human and financial resources as well as the willingness (ownership) required to sustain the intervention's positive results over time and to limit the impact of any negative results?	Suitability of the project measures' design for knowledge dissemination, continuation of activities after the end of the project, established refinancing and risk coping mechanisms				
	To what extent has the intervention contributed to strengthening the resilience of the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies)?					
	To what extent has the intervention contributed to strengthening the resilience of particularly disadvantaged groups? (These may be broken down by age, income, gender, ethnicity, etc.)					
Durability of results over time	<i>How stable is the context in which the intervention operates?</i>	Observable dissemination activities, ability of the implementing partners to identify alternative funding opportunities, influence of the COVID-19 pandemic				
	<i>To what extent is the durability of the intervention's positive results influenced by the context?</i>					

Predecessor project, follow-on project and further evaluation questions						
Assessment dimensions	Evaluation questions	Basis for Assessment / Evaluation indicators (e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)	Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.)	Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.)	Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong)	Data Quality (weak, moderate, good, strong)
Impact of the predecessor project (if predecesso project exists)	Which results were envisaged at the impact level of the predecessor project and which were achieved?	Programme objective: TFCAs in the SADC region integrated into a regional network enhancing information exchange, promoting human and financial resources and harmonising the regulatory framework. Programme objective indicator: • 80% of TFCA stakeholders confirm improved level and access to TFCA-related	Design: Ex-post facto design, secondary analysis Methods: document analysis and interviews, qualitative content analysis	AV and former project staff TUPNR I offers (DOC_GIZ_32-45) TUPNR I progress reports (DOC_GIZ_49, KfW_06) TUPNR I evaluation reports (DOC_GIZ_46-48)	Not all former staff members may be available anymore, due to the temporal distance recalled information from predecessor project may not be as precise as of the current project, validity and reliability of the information from the documents cannot be assessed	moderate
	Which results of the predecessor are still visible today at impact level?					moderate
	Which results of the predecessor are only visible today at impact level?					moderate
	How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the impact of the predecessor as well as the current project until today? How?					moderate
	What were factors for success / failure for the impact of the predecessor?					moderate
Sustainability of the predecessor project (if predecesso project exists)	Which results were envisaged at the outcome level of the predecessor project and which were achieved?	Module objective: Policy and legal framework harmonised as well as political involvement promoted for further development of TFCAs Module objective indicators: • 70% of all TFCAs regularly provide monitoring information about progress. • At least two new treaties signed with facilitation by SADC Secretariat.	Design: Ex-post facto design, secondary analysis Methods: document analysis and interviews, qualitative content analysis	AV and former project staff TUPNR I offers (DOC_GIZ_32-45) TUPNR I progress reports (DOC_GIZ_49, KfW_06) TUPNR I evaluation reports (DOC_GIZ_46-48)	Not all former staff members may be available anymore, due to the temporal distance recalled information from predecessor project may not be as precise as of the current project, validity and reliability of the information from the documents cannot be assessed	moderate
	Which results at outcome level (and important outputs) are still present or have been further developed by the partners? (without external funding vs. with external funding)					moderate
	How were the results of the predecessor anchored in the partner structure?					moderate
	How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the sustainability of the predecessor and the current project until today? How?					moderate
	What were factors for success / failure for the sustainability of the predecessor?					moderate
Follow-on project: Analysis of the design and recommendations for implementation (if a follow-on project exists)	Evaluability and design of the successor: Are the results model for the follow-on project including the results hypotheses, the results-oriented monitoring system (WoM) and the project objective indicators plausible (and in line with current standards)? Are there - also based on the evaluation of the current project - recommendations for improvements in the further course of the follow-on project?	Assessment by the AV, current project staff and implementing partners	Interviews	AV, project staff and implementing partners	Good	good
	Based on the results of the evaluation of the current project: Which recommendations can be derived for the implementation of the follow-on	Evaluation results	n.a.	n.a.	n.a.	
Please add further knowledge interests /evaluation questions that cannot be assigned to any other assessment dimensions...	What are the partner states' views about the end of the project and what are their recommendations?	Assessments by the TFCA Focal Point representatives	Interviews	TFCA Focal Point representatives	Good	good
	How do the communities in the TFCAs feel about the project coming to an	Assessments by the TFCA	FGDs	TFCA residents/stakeholders	Good	good
	How can further support from partner states be leveraged?	Suggestions by the TFCA Focal Point	Interviews	TFCA Focal Point	Good	good
	How can the regional agenda be (better) integrated in the follow-on project's implementation?	Ideas by the project staff	Interviews	Project staff	Good	good

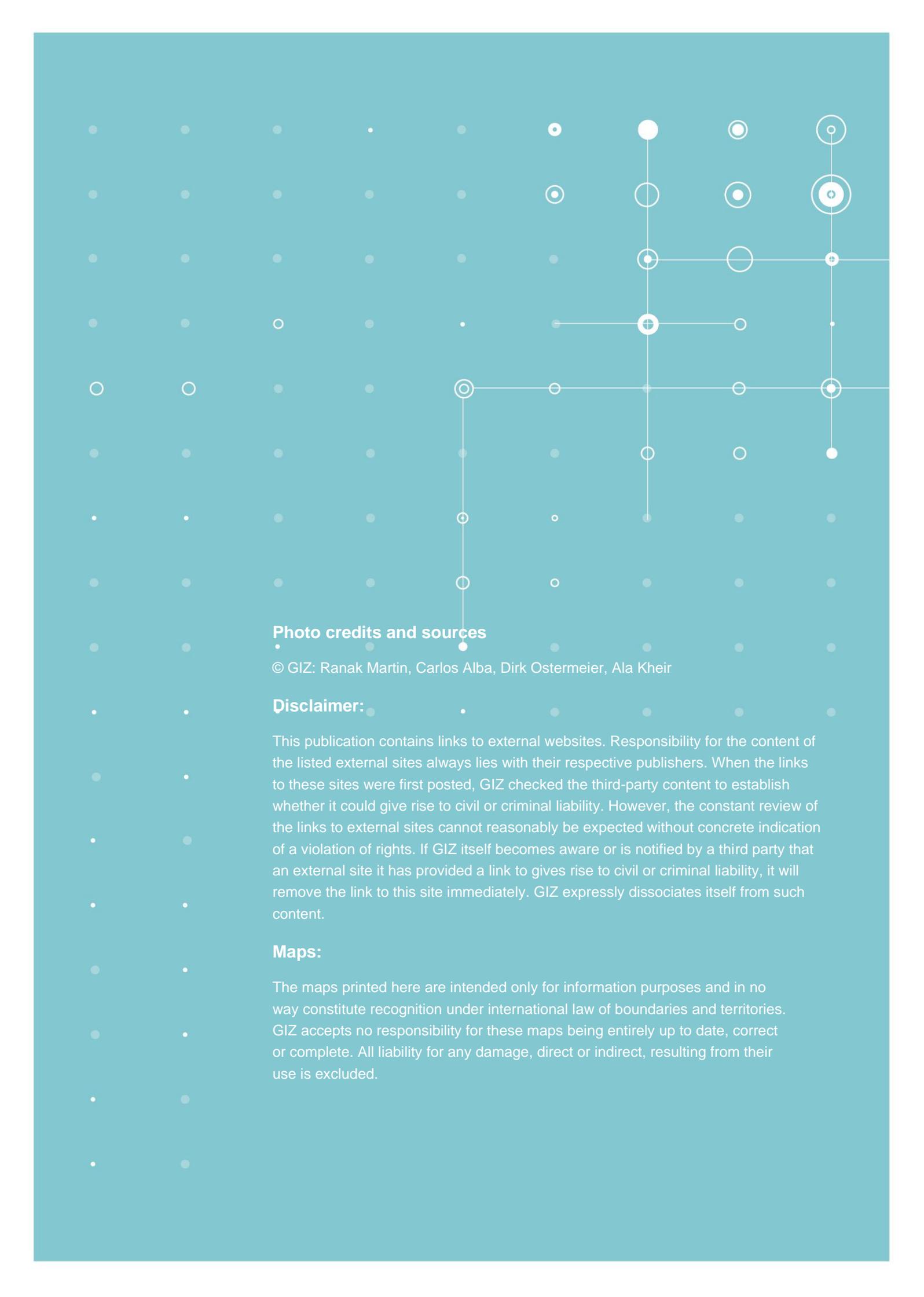


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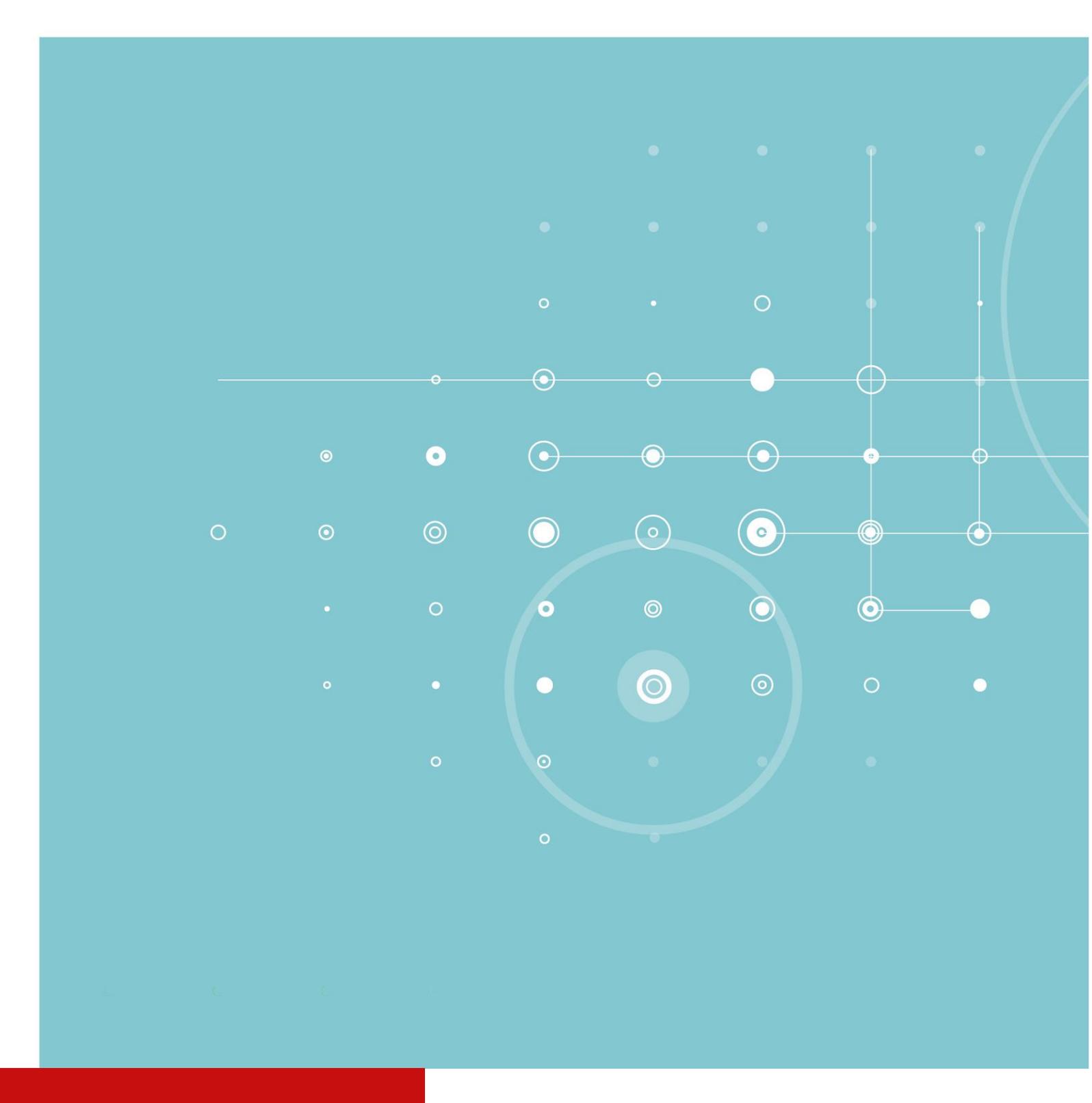
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