Corporate Unit Evaluation Central Project Evaluation

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Central project evaluation

SADC Adaptation to Climate Change in Rural Areas

Project number 2013.2244.5

Evaluation Report

On behalf of GIZ by Dr. Ekkehard Kürschner (FAKT) and Martin Muchero (FAKT)

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The Evaluation Unit commissioned external independent evaluators to conduct the evaluation. This evaluation report was written by these external evaluators. All opinions and assessments expressed in the report are those of the authors.

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Abbreviations

ACCRA	SADC Adaptation to Climate Change in Rural Areas Programme (SADC/GIZ Project)
APPSA	Agricultural Productivity Program for Southern Africa
BMZ	German Federal Ministry for Economic Cooperation and Development
CAADP	Comprehensive Africa Agriculture Development Programme
CCAFS	Climate Change, Agriculture and Food Security (CGIAR research programme)
CCSAP	Climate Change Strategy and Action Plan
CCARDESA	Centre for Coordination of Agricultural Research and Development in Southern Africa
CI	Conservation International
CGIAR	Consultative Group on International Agricultural Research
CIMMYT	Centro Internacional de Mejoramiento de Maíz y Trigo - International Maize Improvement Centre
COP	Community of Practice (of ICKM Focal Points of SADC member states)
CSA	Climate-Smart Agriculture
C-NRM	Climate Resilience and Natural Resource Management
DAC	Development Assistance Committee
FANR	Directorate of Food, Agriculture, and Natural Resources
FANRPAN	Food, Agriculture and Natural Resources Policy Advocacy Network
GCF	Green Climate Fund
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
ICKM	Information, Communication and Knowledge Management
MoA	Ministry of Agriculture of SADC Member States
MFED	Ministry of Finance and Economic Development Botswana
NCCC	National Climate Change Commission (Botswana)
NDA	National Designated Authority (Botswana)
NDC	(intended) Nationally Determined Contributions
OECD	Organisation for Economic Co-operation and Development
PPF	Peace Park Foundation
RAP	Regional Agricultural Policy of SADC
SACAU	Southern African Confederation of Agricultural Unions
SADC	Southern African Development Community
SADC-FANR	SADC Directorate of Food, Agriculture, and Natural Resources
UNFCCC	United Nations Framework Convention on Climate Change
VC	Value chain
ZARI	Zambia Agriculture Research Institute

The project at a glance

Southern Africa: SADC Adaptation to Climate Change in Rural Areas (ACCRA) Programme

Project number	2013.2244.5
Creditor reporting system code(s)	43040 – Rural Development 31110 – Agriculture Policy and Administration 41010 – Environment Policy and Administration
Project objective	The Centre for Coordination of Agricultural Research and Development in Southern Africa (CCARDESA) has increased the capacities of the Southern African Development Community member states to integrate climate change aspects into agricultural programmes and investments.
Project term	April 2015 - March 2021
Project value	EUR 8,147,600 incl. COVID-19 measures and Green Climate Fund (GCF) readiness project Botswana (EUR 377,600 of total co-financed by GCF)
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ); Green Climate Fund (GCF) co-finance
Lead executing agency	Southern African Development Community (SADC)-Secretariat
Implementing organisations (in the partner country)	Centre for Coordination of Agricultural Research and Development for Southern Africa
Other development organisations involved	Stakeholders in SADC member states (government authorities, research institutes, agriculture research and extension, private sector, civil society, producers) and implementing partners in collaboration with Ministries of Agriculture in member states (International Maize and Wheat Improvement Centre (CIMMYT) / Zambia Agriculture Research Institute (ZARI), Rural Self-Help Development Association (RSDA/Lesotho), Peace Parks Foundation (PPF)/ Conservation International (CI), Food, Agriculture and Natural Resources Policy Advocacy Network (FANRPAN); and the Botswana Ministry of Finance and Economic Development (MFED).
Target group(s)	Direct target group are expert and management staff of regional, national and decentralised government authorities and agricultural extension services in the SADC region, national research institutes, private sector and civil society organisations with responsibility of knowledge dissemination and advice on agriculture development and climate change and who are involved in the formulation and implementation of agricultural programmes and investments. A specific focus was placed on strengthening the capacity of the Centre for Coordination of Agricultural Research and Development in Southern Africa (CCARDESA) as key implementing partner. Indirect target group is the poor rural population in the SADC region whose livelihoods depend on agriculture and who are vulnerable to impact of climate change. Women constitute a large part of this target group. To initiate a long-term transformation process to a more productive and climate resilient agriculture, the project particularly targets youth through specific activities.

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 commissioned by the German Federal Ministry for Economic Cooperation and Development (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. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH structures the planning, implementation and use of evaluations so that the contribution which the evaluation process and the findings make to these basic functions is optimised (GIZ, 2018).

This end-of-project evaluation is part of the random sample drawn for GIZ's Central Evaluation System. Main stakeholder groups of the evaluation are: GIZ Botswana and in the Southern Africa Development Community (SADC) region; key partners organisations (SADC-Secretariat, its Directorate for Food, Agriculture, and Natural Resources (FANR), the Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA), the Ministries of Agriculture (MoA) in SADC member states, including extension services, research institutes/departments, information services, and departments involved in developing and implementing agricultural programmes and investments, other development and extension agents in the region including civil society and private sector); GIZ-units at headquarters responsible for managing the portfolio for the SADC region/Botswana, the technical department and the evaluation unit.

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 1). 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.

Table 1: Knowledge interests by main evaluation stakeholder groups

Evaluation stakeholder group	Knowledge interests in evaluation / additional evaluation questions	Relevant section in this report
BMZ/GIZ/SADC	Exploitation of results by SADC-Secretariat and by member states.	Chapter 4.4 effectiveness and chapter 4.7 sustainability
GIZ	Suitability of the regional partnership as a model for promoting CSA in SADC member states.	Chapter 4.2 relevance and chapter 4.4 effectiveness
BMZ / GIZ	Transformation of lessons at different levels by the new project ('Climate Resilience and NRM').	Chapter 4.4 effectiveness and chapter 4.7 sustainability
BMZ/GIZ	To which extent are the roles of SADC-FANR and CCARDESA understood and acknowledged by the member states and their stakeholders?	Chapter 4.2, Chapter 4.4, Chapter 4.6
SADC-Secretariat	To what extent were the adoption of improved technologies and Climate-Smart Agriculture (CSA) practices by farmers part of project activities and processes?	Chapter 4.4, Chapter 4.5
SADC-Secretariat	What has been the effective contribution of the project to solving problems at different levels on sustainable agricultural development?	Chapter 4.4, Chapter 4.5, Chapter 4.6
GIZ	How could successful experiences on CSA be scaled to enhance transformation of knowledge into practice?	Chapter 4.4, Chapter 4.5, Chapter 4.6

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

Object of evaluation is the project 'Adaptation to Climate Change in Rural Areas in Southern Africa' (ACCRA; Project Number – PN 2013.2244.5), named 'the project' in this report, funded by BMZ with a small cofinance from the Green Climate Fund (GCF). ACCRA is a regional project for the Southern African Region, which is implemented under an agreement of the German Government and the SADC-Secretariat through GIZ. The project has been implemented side by side with the project 'Transboundary Use and Protection of Natural Resources in the SADC Region' (TUPNR). A new project, 'Climate Resilience and Natural Resources Management' (C-NRM; PN 2014.2453.0), starting in 2021 is taking up elements from both projects.

The **evaluation object**: The project aims at increasing the capacities of SADC member states to integrate climate change aspects into agricultural programmes and investments. Main action areas comprise: (1) improving regional knowledge management and dissemination - through Information, Communication and Knowledge Management (ICKM) services at the regional Centre for Coordination of Agricultural Research and Development in Southern Africa (CCARDESA), benefiting all SADC member states; (2) building capacities for promoting Climate Smart Agriculture (CSA) through a participatory study process for climate proofing of value chains (VC; with the selected member states Botswana, Lesotho, Malawi, Mozambique, Zambia and Zimbabwe); and (3) developing capacities for financing CSA through a participatory process of developing investment proposals and strengthening partnerships for accessing climate finance. Measures against the

COVID-19 pandemic were added in 2020. The project was implemented from 1 January 2016 until 31 June 2021 (including a no-cost extension from 1 April until 30 June 2021). The budget of EUR 8,147.600 of the project includes a cofinancing agreement of 2019 with the Green Climate Fund (GCF) covering EUR 377.600.

The **political and sectoral context** concerns the Southern African Region. It covers a geographic area of 556,781 km^2 and a population of about 345 million (SADC, 2020c www.sadc.int 30 November 2020). Climatic conditions vary from arid in the west through semi-arid and temperate areas in central zones to semi-arid in the east with a few sub-humid areas in central regions. The 16 countries of the region form the Southern African Development Community (SADC), represented by the SADC-Secretariat, an intergovernmental organisation, which promotes economic and regional integration. Agriculture provides livelihoods including subsistence, employment and income for about 61% of the region's population. Agriculture contributes about 17% to GDP in the region and about 28% if middle-income countries are excluded (SADC, 2014).

Climate change and extreme weather events have adversely affected the region for the past 15 years. Severity and incidence of extreme weather events like droughts and floods have increased. Inter-annual rainfall variability is characterised by lengthening of midseason dry spells and sporadic intense rainfall events. El Niño-induced droughts (2016/2017), severe droughts during 2018/2019 and extreme flooding, tropical storms and cyclones were observed, which seriously affected food security across the region (SADC, 2020a).

Women remain the backbone of food and nutrition security contributing to more than 60% of regional food production through farming and income generation in the formal and informal sectors. They comprise the largest workforce of agriculture (GIZ, 2019c). Climate change has a greater impact on women compared to men due to their socially determined roles and responsibilities. Reduced availability of surface water for example increases the already high workload of women. Women often continue to remain limited in their rights, have limited mobility and access to resources (productive assets: land, inputs, credit and finance), and to information and decision-making. Despite the lack of access to and control over land and natural resources, technology and markets, and the lack of access to education and training, women play an important role in climate change adaptation given their domestic and farming roles (GIZ, 2019c).

Challenges of the agricultural sector related to the adaptation to climate change are addressed by the key policies guiding sector development in the region: SADC's Regional Agricultural Policy (RAP) of 2014, the Climate Change Strategy and Action Plan (CCSAP) of 2015, and the Revised Regional Indicative Strategic Development Plan (RISDP 2001-2015), which was revised in 2015 (RISDP 2015-2020) and in 2020 (RISDP 2020-2030). These frameworks are guiding member states' policies and strategies with regards to adaptation of agriculture to climate change, though they are non-binding compared to SADC Protocols. The RAP (SADC, 2014) prioritises among others climate change. It calls for reducing social and economic vulnerability of the region's population (policy statement 20.1: improving the region's capacity to adapt to and mitigate climate change and variability). This includes 'promoting adoption and incorporation of sound environmental impact mitigation measures in national/regional agricultural policies and programmes' and 'promoting research and development for climate change'. It also includes mitigating gender-related vulnerability and marginalisation (policy statement 21.1 mainstreaming of gender to agriculture, food and nutrition security). Promoting gender equality and equity are also a key objective of the SADC regional integration agenda (SADC, 2015a; SADC, 2016). Its implementation, however, has been very weak.

An explicit request to SADC emphasises the need to complement and support member states by enhancing the capacity of institutions like extension services, farmer organisations, specialised Research and Development (R&D) etc. (policy statement 11.3). This is considered imperative to strengthen their role and to promote higher degrees of knowledge and information sharing and to provide tailored farm-support systems.

Strengthening of regional and national capacities to respond to climate change is emphasised by the CCSAP (SADC, 2015b). It aims to enhance implementation of the regional policy and legislative frameworks. Capacity

development for resource mobilisation and facilitating access to international finance like the Green Climate Fund (GCF) is identified as important for implementing the CCSAP. The strategy goals are in line with the needs identified in the capacity development strategy by the project (ACCRA, 2017). Despite the ambitious regional policy frameworks, implementation at national level in member states appears to have progressed little in recent years. At global level, SADC's policies and strategies are based on the specific guidelines of the United Nations Framework Convention on Climate Change (UNFCCC). Relevant for the project are also the BMZ 2030 reform strategy (2018) and its focal area 'climate protection', 'environment and biodiversity' as well as the 'Marshall Plan for Africa' (BMZ, 2017) with regards to 'safe-guarding the natural resource base'.

2.2 Results model including hypotheses

A detailed Theory of Change had been developed after the start of the project in 2017, which was adapted with the modification offer in 2019. For the purpose of the evaluation, the result model was reconstructed with clearly identifiable, systematically underlying hypotheses to facilitate the analysis of consistent and plausible cause-effect relationships along key impact pathways from activities to output to outcome and impact. In order to facilitate connectivity with the project, the results model presented in Figure 1 reflects adaptations based on the existing results model, which served as a base of the project's Results Based Monitoring (RBM)[1]. The hypotheses selected for contribution analyses from the model below are presented in chapter 4.3 and 4.4.

The key change agent in the **stakeholder landscape** for the project is the SADC-Secretariat, the principal executive institution of SADC. SADC is the political partner of the project. Its structures are still considered weak, despite a restructuring of the SADC-Secretariat in 2008 and more recently in 2016. Also, the authority to act, which exists on paper, is limited in practice. The secretariat acts with the full cooperation of the member states, provided decisions by the Summit, the only political authority, are ratified by the member states. However, about 75% of the secretariat's budget to operate and to implement programmes are provided by donors (Verheukelom and Bertelsmann-Scott, 2016).

SADC's responsibility for the agricultural sector lies with the Directorate of Food, Agriculture, and Natural Resources (FANR). FANR is responsible for coordination of agricultural policy and programme development and implementation for SADC. FANR sits on the board of its subsidiary Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA), set up in 2010 (SADC, 2010), the project's key implementing partner. While SADC/FANR directly coordinates sub-sector activities in areas such as plant genetic resources, CCARDESA has been set up to coordinate agricultural R&D as an autonomous organisation. The multi-level approach of ACCRA supports the SADC region through CCARDESA as main implementing partner and target organisation in strengthening its role in promoting the integration of CSA strategies and programmes in member states across the region (SADC Charter establishing CCARDESA 2010 & CCARDESA MTOP 2014).

A wide range of different stakeholder groups of member states are involved at different levels including rural communities and farmers, which are relevant for integrating climate change-related aspects. Accordingly, the project applies a broad definition of SADC member states, which refers to government agencies (Ministries of Agriculture (MoA) with relevant departments on extension, research and planning/policy), research institutions, private sector and civil society organisations. Selected member states are addressed through participatory processes of climate proofing of agricultural practices in selected value-chains and for mobilising financial resources.

Other relevant international stakeholders with long-term involvement in agricultural R&D including adaptation to climate change across the region comprise: the Food, Agriculture and Natural Resources Policy

[1] GIZ O+R Standard: Results-based monitoring: responsibility and scope, GIZ Intranet: GIZ Results-based Monitoring.

Analysis Network (FANPRAN) engaged in policy dialogue and advocacy; the Southern African Confederation of Agricultural Unions (SACAU); COMESA (Common Market for Eastern and Southern Africa); New Partnership For Africa's Development (NEPAD); the Consultative Group on International Agricultural Research (CGIAR) research programme on Climate Change, Agriculture and Food Security (CCAFS), International Maize Improvement Centre (CIMMYT), Zambia Agricultural Research Institute (ZARI), the International Livestock Research Institute (ILRI); Peace Park Foundation (PPF) and Conservation International (CI). With regards to resource mobilisation, the project engaged with the Government of Botswana through the Ministry of Finance of Botswana (MFED) as National Designated Authority (NDA) for the GCF and the Ministry of Environment and Natural Resources Conservation and Tourism (MENT) as UNFCCC focal point as well as institutions interested in becoming accredited to the GCF such as the University of Botswana.

The **target group** of the project (based on the analysis in chapter 4.2) consists mainly of institutions and intermediary organisations of agricultural R&D and related adaptation to climate change at regional, national and local levels. This includes their technical and management staff. The 'poor rural population' whose livelihoods is highly dependent on agriculture and who is particularly vulnerable to impacts of climate change" (as defined in the project proposal; GIZ, 2014) is considered the indirect target group. This includes women who comprise a high proportion of the rural population. Also, youth is being highlighted in the proposal due to their role for making agriculture more productive and climate-resilient in the long term.

From outputs to outcome: Three outputs are expected to contribute to 'increased capacities of the SADC member states to integrate climate change aspects into agricultural programmes and investments': Improved regional knowledge management (output 1), increased capacities to promote climate-smart practices and strategies for key agricultural VC[2] (output 2) and to finance climate-smart practices (output 3). The project focuses on production systems rather than on the climate proofing of entire value chains.

Output 1: Improved knowledge management is expected to contribute (→ 80) to increased capacities of SADC member states by providing access to quality knowledge products and extended Information Communication and Knowledge Management (ICKM) services. The hypothesis is that key stakeholder groups in SADC member states (technical and management staff of extension services, research institutes, planning/policy departments and decision makers of MoA) utilise the services provided through CCARDESA to adapt policies, strategies and programmes and extension approaches to climate change. The assumption is that member state governments and the SADC-secretariat provide the essential political backing and view at CCARDESA as an effective knowledge broker in collaboration with the SADC.

Two main sets of activities contribute to improving regional knowledge management. Based on a strengthened institutional capacity and strategic orientation of CCARDESA, the ICKM system is improved. The combination of different improvements (technical, tools, processes, human resource competencies) and user-orientation of quality knowledge products lead to (→ 10) user-oriented and effective services of an up-to-date standard. This includes a built-in ICKM monitoring system. A second pillar is the establishment of an active regional ICKM Community of Practice (COP), which draws on ICKM focal points in SADC member states. The COP promotes knowledge sharing and learning, which leads to (→15) emerging ICKM regional networks and partnerships on climate change-related knowledge. The COP also contributes to (→ 11) the development of the ICKM-system by providing feedback from member states, and (→ 13) to building a rich knowledge base on climate change-related aspects by mobilising knowledge products from member states. The hypothesis is that regional networks and partnerships become active advocates of the platform and of CCARDESA as a knowledge broker. This results in increased visibility of CCARDESA and the platform for regional climate change-related exchange and learning. Increased visibility of CCARDESA (→19) along with effective and user-oriented ICKM services (→18) result in a regional knowledge management that is owned by the SADC member states.

[2] The project actually addressed 'production systems' (farming and livestock/rangeland management)

Output 2: Climate proofing of key production systems is expected to contribute to increased capacities of SADC member states by equipping the participating stakeholders with conceptual and the process knowledge (→ 81) to adapt their extension strategies and programmes by integrating climate change related aspects. The hypothesis is that participatory learning processes on climate proofing effectively increase the conceptual and process capacity of stakeholders on CSA. The processes provide stakeholder organisations in member states and their management (→ 42) with suitable CSA approaches and practices for integration into extension strategies and programmes. They are being identified (→ 38) because of their specific suitability and potential as 'business cases' for investment on a large scale. This is the result of a joint prioritisation by stakeholders and farmers as part of an intense science-based study process. The selection of CSA practices and technologies is based on an in-depth analysis of climate risks (vulnerability assessment) (→ 35/37) and on on-farm research of piloting by stakeholders (→ 36). The results of the process provide for (→ 39) feasibility studies to design CSA investments that are beneficial to farmers. The process starts from a competitive process of concept notes and selection of key production systems, which provide starting points (→ 30/→ 31) for identifying and training potential climate proofing project partners, (→ 32) developing collaboration modalities and setting up of structures and mechanisms for coordination and community engagement. The results of the process contribute knowledge products to the platform (→ 6 output 1), to the development and submission of investment proposals for scaling (→ 60 output 3) and to the formation of strategic partnerships for proposal submission and implementation. A further strand set of activities was added at an advanced stage of project implementation, which aims at developing the capacity of media agencies for disseminating news on CSA strategies, technologies and practices.

Output 3: A process of proposal development and submission contributes to increased capacity for financing CSA practices in agricultural production systems, which enables SADC member states to come up with investment programmes that have integrated climate change aspects. The hypothesis is that (→ 82) stakeholders acquire the necessary conceptual and process knowledge and skills to successfully submit investment proposals for additional funding to integrate climate change aspects into agricultural programmes and investments by participating in an exemplary process of forming partnerships, proposal development, promotion and submission.

Two sets of activities contribute to the achievement of this output. The first set relates to the support of key stakeholders at member state and regional levels to access climate funding through a series of steps including training of organisations, support in developing CSA investment proposals and measures of facilitating strategic partnerships and of promoting access to funding contributed to this output. The second set of activities relates to a GCF readiness project, which aims at developing the capacity of the Government of Botswana for accessing climate financing from the GCF (→ 56), which builds on the establishment of a functional National Designated Authority (NDA) and (→ 55) on the development of guidelines and procedures for handling the processes. The NDA serves as a clearing unit for proposals and with the responsibility for developing a GCF country programme for Botswana, including all sectors in the country. This activity directly contributes to (→ 83) the mobilisation of financial resources across all sectors in Botswana (→ 83).

From outcome to impact: 'Increased capacities of the SADC member states to integrate climate change aspects into agricultural programmes and investments', the outcome of the project is expected to contribute to (→ 84) the promotion of the use of adaptive and climate-smart agricultural practices and technologies among farmers and the development of green agri-businesses (in line with the CCSAP) by extension and other development agents. The hypothesis is that agricultural extension services transform the accessed knowledge products (→ 80) and the acquired conceptual and process knowledge of stakeholder staff (→ 81) into adapted extension strategies by integrating climate change related aspects. This enables the extension officers and development agents to widely promote CSA practices and technologies among VC actors, farmers in particular. As a result of implementing adapted extension strategies, farmers (a focus by the project) adopt CSA technologies and practices on a wide scale as they recognise the advantages through increased

resilience and benefits from their adapted production systems. This will contribute to sustainable increases of agricultural production and productivity.

These result steps occur because programmes are oriented at generating benefits for farmers, in particular smallholders. The results will further contribute to aggregate long-term development impact of increased regional food security. To some extent capacity development is expected to result in the promotion of improved environmental management and natural resources measures by implementing national/regional policies and programmes (objectives of RISDP and RAP). Ultimately, these measures are expected to contribute to aggregate long-term development impact of increased regional climate resilience (SDG 13).

Also, the outcome of the project is expected to contribute to (→ 85) SADC member states implementing agricultural (strategies and) programmes which are linked to agriculturally relevant targets of policies and strategies at both the national and regional levels (Nationally Determined Contributions, NDCs, regional RAP). This is the case, because planners and decision makers of MoAs are transforming (→ 81) the acquired conceptual and process knowledge on climate change (→ 82) along with knowledge and skills to successfully formulate concepts and submit funding proposals for scaling CSA due to a learning process of developing full investment proposals through exposure to funding mechanisms and financiers. Therefore, member states are able (→ 85) to implement investment proposals on a broad scale, which are aligned to climate change-related targets of plans and policies at national and regional levels (objectives of the NDC, RISDP, RAP). As decision makers are committed to prioritise climate change responses and to allocate human and financial resources to proposal development and submission, programme implementation contributes to an acceleration of the promotion of CSA agriculture. This is expected to lead to wide-spread adoption of CSA practices and technologies by rural (farming and herding) communities. Due to wide-scale reduction of vulnerability to climate change, increased productivity and diversified and sustainable production systems, and the improved sustainability of agro-ecosystems and rangeland, increased resilience (SDG 13) and food security (SDG 1: No Poverty Hunger; SDG 2: No Hunger; SDG 15: Life on Land) are resulting across the region.

The implementation of adapted, gender-sensitive agricultural programmes of SADC member states will also contribute in two further ways: a) to improved gender equality and gender equity (SDG 5): This is the case, because implementing gender mainstreaming in line with SADC policies (RAP) is applied as key criterion for adapting agricultural programmes to climate change aspects; and b) to improved environmental management and sustainable use of natural resources, as promotion of CSA practices and technologies focuses on both, sustainable use of natural resources as well as on generating benefits to smallholders. Both results are expected to lead to reduced social and economic vulnerability to food insecurity, which will contribute to aggregate long-term development impact of mitigation (SDG 13). Improved gender equity will also contribute to improved productivity of foods which are diverse, safe and nutritious and hence to aggregate long-term development impact of increased regional food security and related SDGs 1, 2 and 15.

Other pathways concerning contributions of project outcome to (→ 86) strengthened regulatory frameworks for agricultural development of SADC member states are not considered further, since the project mainly intervenes at regional level and does not provide respective advisory support at SADC member state level, with very few exceptions. Similarly, results of finance and resource mobilisation related to the GCF readiness project with Botswana, which are intended to contribute (→ 87) to all sectors, are not considered further. Its effects concerning the agricultural sector have been captured and general capacity development for accessing climate finance across sectors is not a main stay of the ACCRA project.

System boundary: The boundary of the project is defined by capacity development of CCARDESA, of the regional and national stakeholders in SADC member states. The capacity development is expected to enable the stakeholder organisations within their own structures to transform the knowledge of individuals in extension, research and planning/finance from the accessed services and the acquired competence and skills into developing and implementing large-scale programmes in member states. However, between the knowledge

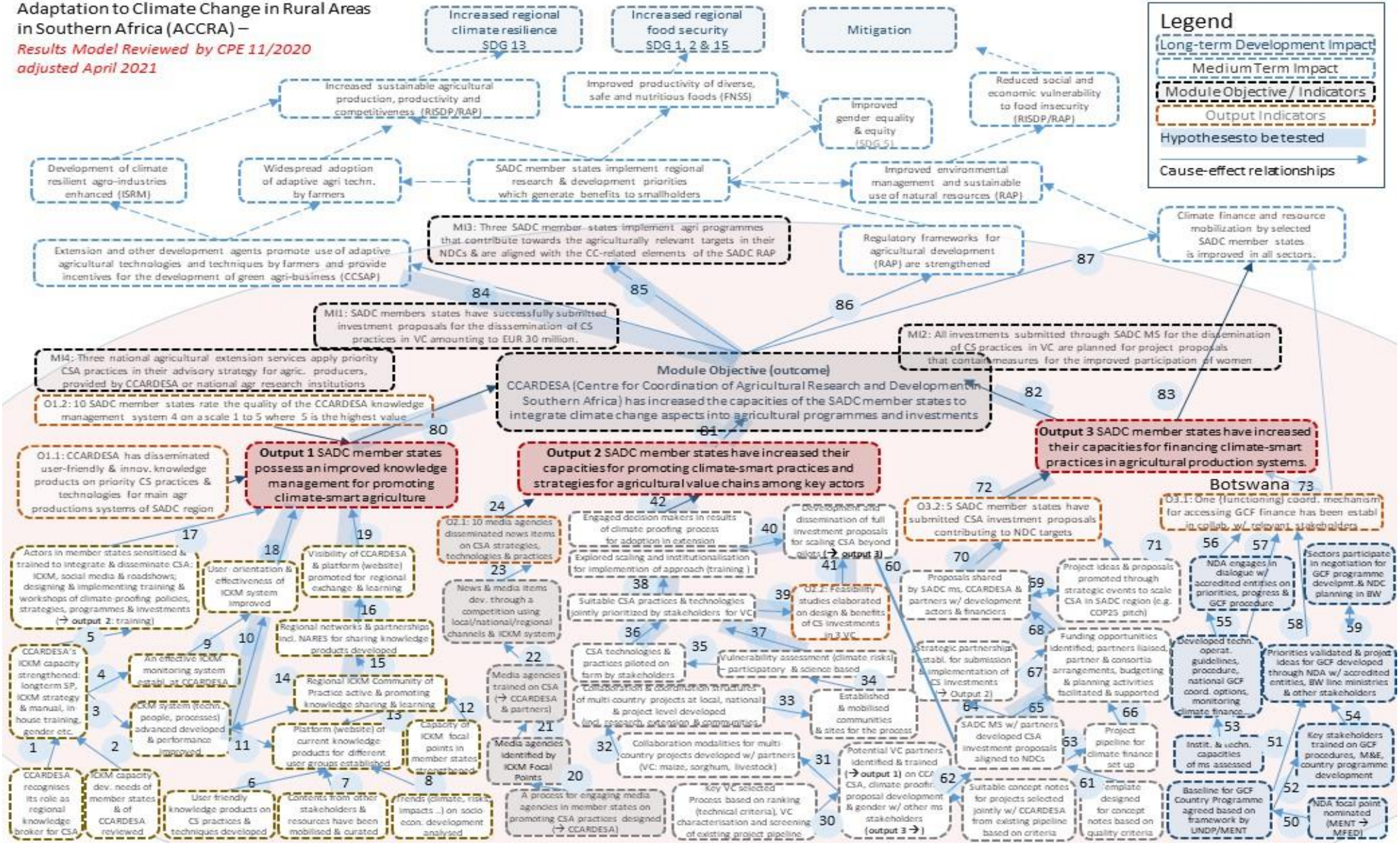
management and capacity development activities of the project and the intended aggregate impact at the level of rural beneficiaries across the region is a wide attribution gap. This gap is significant as the project largely intervenes at regional level and does not directly advice SADC member states and their institutions with very few exceptions. Thus, contributions of the project to aggregate impact are likely to be confounded to a significant extent by other factors far beyond the scope and influence of the project.

Several **risks** were identified at the outset (GIZ, 2014). The overload of CCARDESA's limited capacity as a young institution is one of the possible risks. Also, benefits and added value of CCARDESA needed to be recognised by the SADC member states in order to fulfil their commitments to support the regional institution. Time consuming decision-making and administration at SADC-FANR are a risk for implementation through CCAEDESA, subordinate to SADC. In addition, the uncertainty related to climate financing was expected to depend on factors like priorities by governments and donors as well as the access to climate funds.

Interactions between social, economic and environmental results: The project objective is oriented at ecological, social, and economic sustainability. It intends to contribute to the Sustainable Development Goals (SDGs) 2, 5, 8, 13, and 15, the Paris Agreement of the UNFCCC, the Climate Change Strategy and Action Plan and RAP of SADC. By promoting the incorporation of CSA into agricultural programmes and investments in the SADC region, the project connects environmental aspects (vulnerability and risks) with social aspects (gender orientation and youth) by applying criteria at different levels of the implementation process) as well as with economic aspects (resilience of production systems, direct benefits to the rural population).

Instruments of the project: until the end of 2020 (for the duration of 60 months or 5 years) the project was implemented by an average of 1.8 full time equivalent (FTE) of international experts (107 person months total) and 1.4 FTE of regional advisory experts (86 person months total). The number of staff increased after implementation start in January 2016, peaked in 2019 and declined towards the end of 2020. Staff deployment spread over the outputs with 58 person months for output 1, 61 person months for output 2, and 39 person months for output 3. The project office was set up at the main implementing partner CCARDESA. With the establishment of the third intervention area on access to climate finance an additional expert from the region was added and placed in the partner institution (Ministry of Finance and Economic Development, MFED). For developing CCARDESA's ICKM system (output 1), substantial service contracts were concluded with specialised consulting firms. In addition, financing agreements were concluded with different consortia leading the implementation of three multi-country projects (output 2) for the climate proofing (maize-legume, sorghum, herding for health). In addition, studies and training on climate change, dialogue measures and promotion of resource mobilisation were implemented through significant financing agreements and service contracts. CCARDESA's support was complemented through three financing agreements. Across the three outputs, substantial training and exchange activities with collaborating partners and a range of different types stakeholder groups from member states were conducted.

Figure 1: Current results model (March 2021), adapted during evaluation



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 documents of the project (related to planning, implementation, monitoring and evaluation, management) central for the evaluation, regarding the overall project as well as the different output areas were available. This applies also to documents regarding the sectoral context of agricultural development and climate change in the SADC region. Some documents, like the initial proposal, were available in German language only. An explicit written strategy of BMZ for the SADC region does not exist.

Monitoring and baseline data including partner data

The monitoring system is composed of a number of different monitoring elements: processes, indicator tracking, and activity area-specific monitoring (ACCRA/CCARDESA 2020). Notes describe in detail each indicator and information and criteria requirements. An overview of what contributes to monitoring and how different elements function together as a system was not clear. This applies also to the roles within the steering structure (political steering, strategic steering, operational/technical steering).

Among the processes, quarterly progress review and planning of the project with CCARDESA to monitor milestones and achievements appeared to be most important. The joint process strengthened the planning and monitoring at CCARDESA, the main partner. The project increasingly moved to a common annual work and operational plan. A systematic involvement of the political partner (SADC-FANR) in the project, in particular in the steering, was not achieved for a large part of the project duration (Int_5, 10, 21, 45). Other elements relate to various reporting tracks. Annual progress reports to BMZ, (initially) quarterly reports to SADC-FANR and bi-annual reports to SADC that may have not reached department level and the reporting channel for the GCF readiness project with the MFED Botswana were noted.

Indicator tracking: A significant part of the indicators (objective indicators 1, 2, 3 and 4, output indicator 3.2) is based on qualitative and quantitative information to be extracted from documents, which the project was to specifically collect from SADC member state stakeholders and partners. This required a tailor-made analysis, for example of submitted investment proposals which promote dissemination of CSA practices and which are aligned to climate change and applied climate-smart practices through extension strategies of the SADC member state stakeholders. Most other indicators are directly related to activity areas controlled by the project: dissemination of knowledge products developed by the project and its partners, dissemination of news items by media, feasibility studies of key production systems and coordination mechanism for accessing GCF finance (Output indicators 1.1, 2.1, 2.2 and 3.1, respectively). Output indicator 1.2 is based on utilisation and user satisfaction monitoring, which is built into the ICKM system that was developed and established at the implementing partner CCARDESA. How indicators are made operational and how the largely qualitative information base of the indicators is being analysed for entering the indicator target figures was clear for only

part of the indicators. Systematic analysis and documentation of qualitative information such as products, proposals and reports relevant for the indicator counts was not apparent from the documents.

Additional information and data were collected which are not entering the indicator targets: for example, quarterly statistics on the logins/clicks on the platform (number of sessions and of users, country origin and the type of ICKM utilisation like page views, social media likes, news groups). These are provided by the built-in system at CCARDESA, including user satisfaction by country and type of user (extension, research, policy advisor etc.) and intended use (extension, research, policy development etc.). Training activities, dialogue events and meeting activities were listed throughout the project duration including records of the convenor, participating organisations, gender-disaggregated number of participants and SADC member state representation. The latter provided useful summary information but did not allow for an analysis of developing the capacities of stakeholder organisations or services.

Qualitative tools such as the GIZ “KOMPASS” toolbox have not been applied. A “Round Table” had been conducted in March 2020 with key stakeholders to jointly review status of achievements. The workshop, however, was rather an exchange on content / approaches and provided little evidence that can be related to the monitoring of and learning from the achievements/progress of the project. A survey on individuals who were trained in 59 capacity building events had been initiated at the end of the project to establish evidence on the usefulness and the application and transfer of the acquired knowledge and skills by the stakeholders (Int_58).

Baseline data are reported for three dimensions: A first baseline was established in December 2015 prior to the start of the project on the ICKM system at CCARDESA (GIZ/SADC 2015b). This baseline represented a solid analysis of the technical aspects at CCARDESA: existing ICKM-system, its usage, CCARDESA’s technical capacities towards the improvement and enhancement of the existing system. The capacity development strategy of the project, which was developed with selected partners early 2017 (ACCRA 2017) analysed the state in different intervention areas including knowledge management and elaborated on the intended capacity development of CCARDESA. It referred to the findings of two substantive reports commissioned by the World Bank (2014 and 2016) on CCARDESA’s institutional capacity. Also, it took note of needs, expectations and of requests expressed by selected member state staff, including a strengthening of the role of focal persons through MoA decision makers and steering structures. A systematic assessement of the status of the capacities of SADC member states relevant to the project, a main target of the capacity development by the project was not conducted.

A second baseline was done July 2017 analysing relevant agricultural and food policies, strategies and programmes of the SADC member state governments and at the regional level regarding their climate proofing status in 2015 (GIZ/SADC 2017). A third report of May 2017 provided the technical base for selecting priority agricultural systems, relevant for the intervention area aimed at increasing the capacities of member states’ stakeholders to disseminate and finance climate-smart practices and technologies in agricultural value chains (ACCRA/CCARDESA 2017). A further regional analysis of regional strategic priorities of SADC policy and strategy frameworks end of 2017 provides as well baseline information, which is relevant for the regional guiding policy frameworks, coordination and the monitoring of climate (mitigation and adaptation) actions as well as to the area of resource mobilisation for climate action (Foerch und Beerhalter 2017).

Secondary data

A regional statistical system on the agricultural sector is currently not available. The establishment of sector statistics is planned by SADC in collaboration with FAO. A further analysis on the current sectoral and political context across the SADC region, relevant to the starting point of the project regarding government policies and plans, is provided by the following SADC documents: Regional Agricultural Policy of 2014, Climate Change Strategy and Action Plan (SADC, 2015b), which was established with support of GIZ, and the SADC Regional Indicative Strategic Development Plan, RISDP II 2020-2030 (SADC, 2020a). Two recent SADC Futures

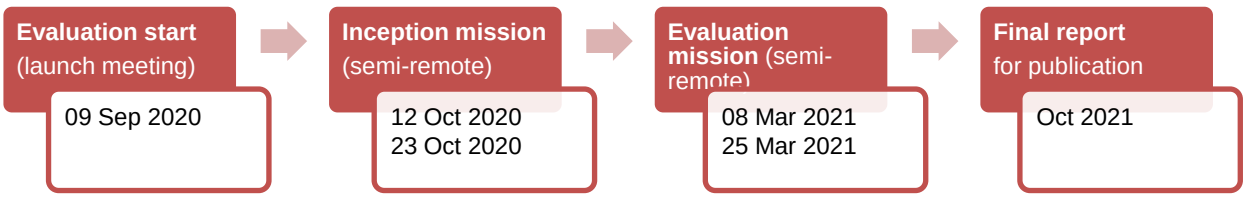
Foresight Framework Studies on “Mega-trends” and on “Climate Risks”, which were commissioned by the project to the CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS) are considered as secondary data as well. The SADC reference documents are used throughout in the region and the member states, they provide a comprehensive overview and their quality is widely accepted in the region. The SADC Futures Studies, conducted by an internationally recognised research programme, are of high quality. In addition to information accessible through the CCARDESA ICKM system, references from internationally recognised research and development organisations were consulted on climate smart agriculture and related topics. Studies or reports from individual SADC member states were not considered, unless the reliability and representativeness of the data were considered appropriate.

3.2 Evaluation process

This section covers the following aspects:

- milestones of the evaluation process,
- involvement of stakeholders,
- selection of interviewees,
- data analysis process,
- roles of international and local evaluators,
- (semi-)remote evaluation (if applicable), and
- context and conflict sensitivity within the evaluation process (if applicable).

Figure 2: Milestones of the evaluation process



Involvement of stakeholders

Stakeholders were involved in different ways and to different degrees in the overall process. The ‘political partner’ SADC-FANR as well as MFED Botswana, implementing partner of the GCF readiness project, and key implementing partners of the overall project, in particular CCARDESA, were consulted at the outset. The intervention areas, stakeholder landscape and the monitoring system were reviewed and the results model reconstructed together with the project team and CCARDESA staff. CCARDESA, partners in SADC member states as well as international partners, involved in implementing the intervention areas, were consulted in exploring scenarios for implementing the evaluation mission. Capturing aspects of local and national level stakeholders in member states during the inception phase, was largely limited to information collected from interviews with SADC-FANR, CCARDESA, other implementing partners and the project team.

Selection of interviewees

The stakeholders to be considered in the evaluation process were identified based on an analysis of the types of stakeholders addressed by the project. Key stakeholder groups are government agencies, research institutions, extension services, the private sector and civil society organisations in SADC member states, as defined in the result matrix and who were expected to benefit from the project, and from the services and capacities developed. This covers field-level, technical staff and ICKM staff of organisations to national level management, strategy development, programme development, finance, and policy and decision-making. Interviewees were selected through purposive sampling from the stakeholder data base of the project in order to cover all SADC member states, to cover the different stakeholder groups, and to represent member states

and stakeholder groups with limited and with intense involvement in activities of project implementation across the three intervention areas.
Besides the political partner and the key partners, which were targeted by the intervention areas (CCARDESA and MFED/NDA), implementing partners, the project and GIZ, key informants from the major regional and international organisations, relevant to and active in climate change the sector in the region, were identified from the stakeholder database of the project. To complete the view on the application of the knowledge and the use of the developed capacities towards expected impact, sites for field visits of rural communities were selected to represent major features and results of each of the multi-country climate proofing projects in the region and based on their accessibility: Botswana (livestock/rangeland system), Lesotho (Sorghum system) and Malawi (Maize-Legume system). The Covid-19 pandemic-related restrictions limited field visits to five sites in Southern Malawi.

Table 2: List of evaluation stakeholders and selected participants

Organisation/company/ target group	Overall number of persons involved in evaluation (incl. gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
Donors	3 (0f/3m)	2 (0f/2m)		1 (0f/1m)	
I: BMZ/German Embassy Botswana II: EU Delegation Botswana					
GIZ	14 (12f/ 2m)	14 (12f/2m)		5 (4f/1m)	
I: ACCRA Project and Botswana Country Office II: GIZ headquarters Germany (Technical Department, Regional Desk)					
Partner organisations (direct target group)	30 (15f/15m)	19 (11f/8m)		18 (8f/10m)	
I: SADC-FANR (political partner) II: CCARDESA (main implementing partner) III: SADC member state stakeholders in agriculture and climate change (government agencies, programming investments, ICKM services, extension services and research, private sector and civil society organisations) IV: MFED Botswana (GCF NDA Botswana) V: SAWC					
Other stakeholders (e.g. public actors, other development projects)	13 (2f/11m)	13 (2f/11m)		4 (0f/4m)	
I: CIMMYT/ZARI Zambia/MoA Malawi (implementing partner “climate proofing maize-legume systems”) II: GIZ TUNPR and CR-NRM Projects III: GIZ NAREN Project IV: FAO (Sub-Regional Office) V: MENRT Botswana (NCCC Botswana)					
Civil society and private sector actors	16 (8f/8m)	10 (5f/5m)		8 /4f/4m)	
I: PPF/CI / CLAWS (implementing partner “climate proofing livestock-rangeland systems”) II: RSDA Lesotho (with MoA Lesotho implementing partner “climate proofing sorghum system”) III: SACAU IV: Greencroft Economics					
Universities and think tanks	3 (1f/2m)	3 (1f/2m)			
I: CCAFS/ILRI II: FANRPAN Interview					

Organisation/company/ target group	Overall number of persons involved in evaluation (incl. gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants	No. of survey participants
III: University of Botswana					
Final beneficiaries/ indirect target groups (sum)					
Rural communities in MW, ZA and ZW (Maize)	27 (15f/12m)		27 (15f/12m)		
Note: f = female; m = male					

Data analysis process

During the mission, process and findings were continuously reflected for plausibility checks and to identify gaps. Based on an initial analysis, the preliminary findings were reflected towards the assessment by evaluation dimension along the OECD-DAC criteria. Data analysis was largely done using qualitative methods (content analysis, analysis by category/typology, comparative analysis) in relation to the respective evaluation basis and by applying the specific evaluation questions of the evaluation matrix. Results from interviews, focus group discussions and workshops were documented and systematically analysed along with the results from documents. Prior to the analysis, empirical data sources were coded, whereas documents are included in the list of references for citation. In addition, quantitative analysis such as descriptive statistics (frequencies) was applied for numeric data where appropriate. During the analysis process, findings from different sources and methods were jointly reviewed for triangulation purposes.

Roles of international and local evaluators

The international evaluator assumed responsibility for the quality of the methodological design and of its implementation, and the products of the evaluation (presentations, inception and evaluation reports). Also, he took charge of transforming methods and evaluation questions into tools, applied with different stakeholder groups, the methodology for analysing the findings.

The regional evaluator fully participated throughout the evaluation process. He provided inputs to analysing the stakeholder landscape/partner system at regional and member state level, and the sectoral context in the region as well as regarding relevant policies and strategies. He oriented culturally sensitive procedures and settings.

The international evaluator and the regional evaluator jointly implemented the evaluation and shared tasks were feasible in implementing the missions, facilitating, conducting and documenting workshops, focus groups discussions and interviews.

(Semi-)Remote evaluation

The evaluation required support of the evaluated project as well as of ongoing regional projects and GIZ country offices. Due to the COVID-19 pandemic, the international evaluator could not travel to Gaborone, the seat of the regional partners (SADC-FANR and CCARDESA) and of the regional project. Due to the pandemic and the risks involved in Southern Africa, it was not possible to plan for travel within the region. Due to these limitations, also interviews with Gaborone-based institutions were held in remote mode for both evaluators. Workshops and interviews with stakeholder organisations and the project had to be implemented in a fully remote mode. This provided challenges in addition to the geographical spread of the SADC member states.

For these reasons, scenarios foreseen at time of the inception report for visits to pilot countries (Botswana, Malawi, Lesotho) included an implementation of field visits and field level assessments facilitated and organised through the key partners implementing the respective pilots. Due to travel limitations organisational support by the project, its implementing partners and by other GIZ offices in the region was used in preparing field visits. Based on the procedure and method provided by the evaluators, the only field visit that could be conducted was in Malawi with support of local consultants, specifically hired and trained by the evaluators for this purpose.

Context and conflict sensitivity within the evaluation process

Regarding the implementation context and the regional project with SADC, with a main focus on knowledge management and on capacity development of technical and management staff of stakeholders (regional level and SADC member states), as well as regarding the largely remote implementation of the evaluation conflict and human rights issues were not considered critical in influencing for the evaluation process.

4 Assessment according to OECD/DAC criteria

This chapter provides the results of the evaluation of the ACCRA project along the standard evaluation criteria and the respective dimensions of each evaluation criteria as defined in the evaluation matrix as well as key information on the respective methodology applied (Annex).

4.1 Impact and sustainability of predecessor projects

The project, which is evaluated as a single measure, was not preceded by any other measure in the agricultural sector and related to the objective of the project. Since 2018, the ACCRA- and the TUNPR-projects make up a focal area of German Development Cooperation in the green sector. The TUPNR-project, which focused on improving implementation of SADC guidelines related to transboundary conservation of natural resources and related stakeholder groups in selected SADC member states, was implemented directly with SADC-FANR as partner. Parallel to the evaluation of ACCRA, the TUNPR-project is undergoing a central project evaluation.

4.2 Relevance

This section analyses and assesses the relevance of the project 'Adaptation to Climate Change in Rural Areas in Southern Africa' (ACCRA).

Summarising assessment and rating of relevance

Table 3. 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	20 out of 30 points
	Appropriateness of the design	10 out of 20 points
	Adaptability – response to change	15 out of 20 points
Relevance total score and rating		Score: **75 out of 100 points** Rating: Level 3: moderately successful

The project was highly relevant based on the alignment with donor, global, regional and national policies in the SADC region. Climate protection and adaptation are a core theme of German development policy. Being party of the United Nations Framework Convention on Climate Change, SADC member states have prioritised agriculture in their intended Nationally Determined Contributions. At regional level, this is reflected in the Revised Regional Indicative Strategic Development Plan of SADC, which provides guiding policy frameworks for its member states. The project was well aligned with the needs of regional organisations and with needs of stakeholder staff in member states to develop their competencies, much less with needs of member state institutions. The project combined knowledge management with capacity development and participatory research on climate proofing and resource mobilisation that make it unique. The design showed weaknesses due to its complexity and lack of precision and plausibility of the results model. A wealth of activities and measures were included, while the design and interventions in targeting stakeholders lacked a clear focus. **In total, the relevance of the project is rated as Level 3: moderately successful, with 75 out of 100 points.**

Analysis and assessment of relevance

Relevance dimension 1: Alignment with policies and priorities

The basis for assessing the alignment with strategic frameworks consists of key policy frameworks of the donor (BMZ), the 2030 Agenda (SDGs) representing global priorities, and policies and strategies of the political partner, the SADC-Secretariat.

Policies and strategic frameworks to which the project proposal is foreseen to contribute (GIZ, 2014) include and/or prioritise climate change and climate change related responses. Climate protection and adaptation are a core theme of German development policy (BMZ, 2018: BMZ 2030 reform strategy). BMZ's partnership initiative (BMZ, 2017: Marshall Plan with Africa) highlights adaptation and mitigation to climate change including the promotion of a climate-friendly agriculture in African partner countries for protecting natural resources in addressing obligations under the Paris climate agreement (UNFCCC, 2016). All SADC member states are party of UNFCCC and have prioritised agriculture as an important sector within their intended NDCs. However, climate change has been addressed only as a component of other agricultural activities and not

mainstreamed in all priority activities (GIZ/SADC, 2017: Baseline status 2015). The 2030 Agenda, in particular SDG 13 ‘Take urgent action to combat climate change and its impacts’ and the indicator 13.2 ‘Integrate climate change measures into national policies, strategies and planning’ have been incorporated in the planning and reporting framework of the project (GIZ, 2018: Progress Report 2017; Int_50).

SADC provides the guiding policy frameworks for its member states. The Regional Indicative Strategic Development Plan (RISDP) reflects the commitment of SADC Member States on a common strategic direction with respect to SADC programmes and activities, and to align the strategic objectives and priorities of SADC with the policies and strategies towards its long-term goals. During the revision of the RISDP (2015 – 2020) climate change and environment degradation were identified as a threat and adaptation and mitigation of climate change as an area requiring increased attention. This is expressed as well in a SADC Protocol on Environment, developed and approved in 2013 by Ministers from member states responsible for Environment and Natural Resources in order to promote equitable and sustainable utilisation of natural resources and environment, and effective management and response to impacts of climate change and variability (SADC, 2015a). National Agricultural Investment Plans (NAIP) of eight member states (Malawi, Madagascar, Mauritius, Seychelles, South Africa, Tanzania, Zambia and Zimbabwe) noted the importance of adaptation to climate change in the agriculture sector. Seven member states revealed to have policies and strategies which recognise climate change impacts and articulate proposed responses (GIZ/SADC, 2017: Baseline).

Also, the Regional Agricultural Policy (RAP) was developed (SADC, 2014), the main policy document of agreed objectives and measures to guide and promote and support actions at regional and at national levels in the agricultural sector. Addressing climate change, variability and related vulnerability is a key element of objective four ‘To reduce social and economic vulnerability of the population’, to which a high rank is given on SADC’s regional integration agenda (Int_21). This commitment is expressed by policy statement 20.1 ‘SADC shall support measures to improve the regions’ capacity to adapt and mitigate climate change and variability’. A Climate Change Strategy and Action Plan (CCSAP) was developed with GIZ support. It provides for sector analysis and approaches to adaptation and mitigation (SADC, 2015b).

The project aims to contribute directly to the outcomes of the CCSAP, the RAP and the RISDP (ACCRA, 2019b). The project objective ‘CCARDESA has increased the capacity of the SADC member states to integrate climate change aspects into agricultural programmes and investments’ and its design directly contribute to regional policy frameworks and plans, which are guiding respective national policies and development plans.

The case of contributions of ACCRA to the RAP were confirmed by key stakeholders in the region (Int_16, 21, 22, 25, 28) in the area of ‘Developing and implementing regional climate change response strategies and programmes’, ‘Promoting adaptive agriculture technologies and techniques’, ‘Increasing knowledge of regional and national policy makers and stakeholders on climate change mitigation and adaptation’, and ‘in enhancing institutional capacities for agricultural finance and investment’.

From today’s perspective, the continued relevance of the project in line with the basis defined as confirmed by the different stakeholder groups (Int_21, 22, 25, 29, 30, 31, 47, 48). The alignment with donors and global policy frameworks such as UNFCCC are evident. Results from analysis of documents by the project, by SADC and from other sources as well as results from interviews confirmed the high relevance of the project based on a high degree of alignment with donor, global, regional and national policies in the SADC region.

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

The basis of the assessment is a comparison of mainly the direct target groups of the project with their respective needs (defined in the proposal and other sources) and the degree to which these target groups were reached and whether measures were aligned to their needs.

The direct target group of the project consists of expert and management staff of regional, national and decentralised government authorities and other stakeholders in the SADC region. The project placed a specific focus on CCARDESA as key implementing partner. Indirect target group is the poor rural population whose livelihoods depend on agriculture and livestock and who are vulnerable to impacts of climate change.

The alignment of needs of the direct target group, the experts and management staff of regional, national and decentralised government authorities and agricultural extension services in the SADC region, national research institutes, private sector and civil society organisations, is analysed regarding CCARDESA, member states and regional organisations. Regarding regional knowledge management, there is a mismatch initially between what had been actually achieved in implementing the recommendations from prior two organisational assessments (Word Bank, 2014 and 2016), and the high expectations at the outset in establishing effective regional knowledge management and broader R&D coordination services at CCARDESA through the ACCRA project. Thus, preconditions were not there as CCARDESA did not have the institutional capacity needed to carry out its regional mandate and roles on knowledge management and R&D coordination (Int_22, 25, 27, 28, 31), confirmed by the first report (GIZ, 2016) and the Capacity Development Strategy of the project (ACCRA 2017b). Also, CCARDESA's network initially is limited to research institutions and universities and is much less developed and weaker in relation to extension services in the region (Int_29, 30, 40). However, the project adapted its approach to provide the necessary institutional support.

The project is aligned with the needs of different stakeholders regarding capacity development on climate change at technical level, strengthening ICKM and communication channels, access to tools and user-friendly and quality knowledge products for wider dissemination and mainstreaming climate change and gender into policies, strategies and programmes. This is confirmed by stakeholders across member states and regional stakeholder organisations (Int_25, 26, 28, 30, 31, 32). Except for a few examples, the project is much less aligned with the needs for strengthening institutional capacities of member state institutions with regards to the coordination of climate change-related responses. Also, while the information system at CCARDESA (SAAIKS) was developed based on requests of member states (ACCRA, 2017), internal structural problems of member states in providing as well as in digitalising information remained unchanged. Member states needed support in developing effective information services within their own institutions. Often low priority is given to information provision to others, lacking incentives and recognition within the MoA hierarchies, requiring the mobilisation of more commitment of decision makers in member states for ICKM (ACCRA, 2017: Capacity development strategy). Such support to member states was not at the centre of the project.

The project is aligned to the needs of research and extension organisations of selected member states regarding the climate proofing of key production systems in the region to some extent in developing the competencies especially of younger staff. Similarly, the project is aligned to the needs of member states related to capacity development on proposal development and resource mobilisation in addressing the competencies, often of younger individual staff (Int_26, 27, 29, 35). However, the needs of raising the awareness and understanding of climate change in stakeholder institutions, in particular at level of decision makers, is not adequately taken up, considering that awareness of climate change is still low, being looked at as an environmental issue and not as a nexus or cross-cutting issue (Int_25, 26, 31). With a few exceptions (Int_35, 36), higher-level decision makers, are not systematically addressed (Int_13, 26, 36, 37, 38, 40, 47).

On a positive side, the project is well aligned to the needs of national stakeholders in establishing regional linkages and collaboration to be able to come up with joint solutions and measures for addressing climate

change. Compared to other regions, the status of networking and cross-country collaboration was very low at the outset, SADC being the only region on the African continent, which did not have a network or alliance on CC/CSA (Int_25, 28, 29, 31).

Regarding the needs of regional organisations and implementing partners (Int_22, 25, 31, 33, 34, 38, 40, 42) as well as for the GCF Readiness Botswana (Int_33, 34, 42) the project appears fully aligned with regard to all aspects of the relevant interventions.

On the alignment of the project to the needs of the indirect target group, i.e. rural communities for increasing their climate resilience, which were defined as target group in the proposal (GIZ, 2014), different perspectives exist. Rural farming and herding communities are addressed as part of participatory piloting and on-farm research processes of climate proofing of production systems. Alignment with needs of farming and herding communities is mostly met according to stakeholders involved. In some cases, it is considered higher (Int_36, 40, 47) compared to others (Int_35, 37, 38), depending on the context (production system, socio-economic factors, external challenges) and process implementation. Based on the small sample of communities in Malawi the responses of representatives of rural communities to the process of on-farm research and piloting of CSA practices towards increasing the resilience of production systems are overwhelmingly positive (FGD_1-3). Women and young persons among the innovative farmers equally responded positively regarding the alignment with their needs. The alignment with needs of vulnerable beneficiaries among the indirect target group was rated lower compared to the alignment with lead farmers, and ACCRA could have done more by specifically addressing more vulnerable target groups like women and young persons pointed out in the joint self-assessment of project and partner staff (Int_50).

Overall, the project appears to be well aligned with needs of CCARDESA and of regional organisations as well as with needs of staff of stakeholder organisations and different departments of member states to competence development. This seems to be much less the case regarding the needs of institutional capacity development of member state institutions, especially weaker ones, to be able to make use of the increased regional capacity on knowledge management and of increased competence of national staff (Int_23, 25, 29, 31, 35, 36, 40).

Relevance dimension 2 – Alignment with the needs and capacities of the beneficiaries and stakeholders – scores **20 out of 30 points.**

Relevance dimension 3: Appropriateness of the design

The basis of the assessment is the entire Theory of Change (results model), reconstructed during the inception phase through interaction with the project (Int_1, 3, 44) with the underlying hypotheses to explain the cause-effect relationships along the result pathways from activities to outputs to outcome to aggregate longer-term impact. The objective of the project is to enable SADC member states to integrate climate change aspects into agricultural programmes and investments.

The project is mainly oriented at strengthening regional knowledge management through advisory support on CCARDESA's knowledge management system, development of user-friendly knowledge products on CSA practices, on developing and implementing training modules on climate proofing of policies, strategies and programmes, and on access to climate finance for the SADC region. This is in line with its set up as a regional programme with the SADC-Secretariat as political partner and CCARDESA as the main implementing partner.

The expectation that the capacities of SADC member states would be built to integrate climate change into strategies and programmes by CCARDESA taking a lead role as partner for implementing the entire project from the outset of the project was not realistic. The recommendations of organisational development of CCARDESA had not been implemented at the outset of the project (World Bank 2014 and 2016), which was confirmed by the first report and the Capacity Development Strategy of the project (ACCRA 2017b).

While the project proposal emphasised ‘capacity development of CCARDESA as the central starting point of the project’ (GIZ, 2014), this was not evident in the design of the project. Reflecting on the design, the objective should have been rather interpreted as ‘institutional capacities of CCARDESA and staff competences in member states to integrate climate change aspects into programmes and strategies in member states are strengthened’ or focused solely on ‘CCARDESA’s capacities are strengthened to provide effective ICKM services and research and coordination to member states to integrate climate change aspects into programmes and strategies’.

Overall, addressing at the same time all levels within the limited time frame of initially three years, collaborating with a wide range of national level stakeholders from a distance, and without a process of direct support to national institutions by the project (GIZ, 2014) appeared not realistic from today’s perspective, a perception which is shared as well by stakeholders (Int_21, 36, 40, 41, 50). However, initial interventions and work packages consisted of strengthening dissemination of knowledge on CSA at the regional level and climate proofing of agricultural VC – actually limited to key production systems) with a focus on only three countries and very few strategic partnerships (GIZ, 2014, GIZ/SADC 2015; ACCRA 2017).
Another challenge for the project is the all-encompassing definition of the targeted stakeholders, i.e. SADC member states being defined as organisations including planning and finance departments of MoA, other government agencies, research institutions, extension services, private sector and civil society organisations.

The complexity of the project approach, including the involvement of farmers and their role in a participatory climate proofing process and piloting CSA practices, is demonstrated as well by the fact that the innovative approach was partly not understood by other stakeholder staff and agencies (at national and at regional level), which were not directly involved in the project. Also, the approach and collaborative arrangements with different international and national organisations did not seem to have been sufficiently communicated to stakeholders in member states and to other actors beyond those directly participating in the implementation (Int_36, 40, 41).

The precision of the project design and its plausibility have to be looked at in two ways: (i) in terms of cause-effect relationships and (ii) regarding the attribution gap. There is no doubt that there is a significant attribution gap for a regional programme between focus areas on knowledge management and capacity development of stakeholders and actual implementation of climate proof strategies and programmes, which are expected to result in wide-scale adoption of CSA, ultimately leading to aggregate impact at regional level as postulated in the result model: increased climate resilience, food security and mitigation (ACCRA, 2019b). Other development interventions are directly contributing to changes at national and local levels. Thus, it was difficult from the outset to clearly delineate its contributions of regional knowledge management and training of stakeholder staff at outcome as well as at impact level on the ground (Int_21, 32, 36, 41, 58).

Also, the implicit equating of regional knowledge dissemination with the promotion of CSA of member states (GIZ, 2014, ACCRA, 2019b) appeared not plausible and valid. The implicit assumption that results of climate proofing research and providing access to CSA information at regional level will directly result in an effective dissemination and utilisation of concepts, and transformation into approaches etc. by member state organisations, does not appear plausible as various stakeholders confirmed during the evaluation (Int_21, 29, 31, 35, 36, 40, 41; GIZ/SADC, 2020: ACCRA Round Table). Transformation of knowledge and skills, which technical and management staff of stakeholder organisations acquired through various types of trainings offered by the project, require a favourable and supporting institutional and political environment in the member states in order to bear fruit. To ensure the effective utilisation of climate change-related information and knowledge, decision and policy makers had to be aware of the need to mainstream climate change into the sector. However, awareness-levels appeared limited at the outset of the project to facilitate transformation of knowledge into respective decision-making (policy development, formulation of programmes, resource allocation). Furthermore, the design did not create formal links with SADC member states, for example the MoA, to ensure embedding in and adoption of CSA approaches by stakeholder institutions. Thus, it remained unclear, how improved capacities to integrate climate change would be anchored in member states beyond

dissemination by ICKM focal points. However, such linkages seemed critical since policy and strategy changes and their implementation require long-term processes and continued support in each member state.

The project design of knowledge management and capacity development towards increasing resilience of rural population, food security and mitigation of climate change impact, links environmental aspects (conservation of natural resources) with the economic dimension (increased and sustainable production and income generation) and with the social dimension (addressing the poor rural population and promotion of gender equality). Engaging rural communities and local extension in a participatory research process and emphasising user-friendly knowledge products and tools aside from national level staff of extension, research, strategy and policy development and finance, makes up a truly holistic approach.

The innovative approach of the design of the regional project combining knowledge management with capacity development and a participatory research process on climate proofing of agricultural systems, implemented as a holistic approach at different levels from regional to national, to sub-national and local levels makes it a unique approach. However, the project design cannot be considered realistic, even with a duration of more than five years. Its complexity, its comprehensive claim to increase 'capacity of SADC member states to address climate change' and significant gaps in defining key elements of the results model and of interventions added to the weaknesses of the design. The lack of plausibility of cause-effect relationships did not provide the orientation needed for defining specific interventions to achieve increased capacity of member states for incorporating climate change into their programmes and strategies.

Relevance dimension 3 – Appropriateness of the design – scores **10 out of 20 points.**

Relevance dimension 4: Adaptability – response to change

The basis of the evaluation is the original project proposal and its subsequent modifications, including the results matrix (output structure, at outcome and output indicator levels) as well as strategy changes.

Project implementation recognised the technical as well as the institutional weaknesses and the specific institutional challenges of CCARDESA at the outset of the project. Despite the fact that organisational development was not part of the results matrix, the project widened the support to CCARDESA in strengthening the capacity of the key partner to enable the institution to implement its mandate and role as a regional organisation (GIZ, 2017/2018b, 2019a: Progress Reports; Int_3, 4, 22, 23, 28, 31, 32, 35, 44).

It appeared that the project responded to the expectations to involve a higher number of member states in project implementation by the partners. By broadening the initial focus of interventions (knowledge management, climate proofing) and selected stakeholders in the agriculture sector, in particular on extension and research, with selected member states and strategic partnerships (GIZ/SADC 2015a; ACCRA, 2017a CD Strategy; (GIZ, 2020a), the project increased the diversity of stakeholders without anchoring its interventions in member states, at the same time unnecessarily adding additional complexity to the regional project. By adding a separate intervention area on resource mobilisation and climate finance, the project was able to avail of an opportunity. However, the expansion and broadening interventions with SADC member state stakeholders, for example by including UNFCCC-related activities and by including a bilateral GCF readiness project with an additional implementing partner outside the agriculture sector (GIZ, 2019b) was not supported by respective linkages to the agriculture focus of the project objective.

The project took up prolongations and budget increase through several modification offers with BMZ, for example to utilise the opportunity to put greater emphasis on resource mobilisation and to take up a GCF readiness project with Botswana. It has to be noted that the GCF readiness project (outside the agricultural sector), contributes indirectly only to the achievement of the objective of the ACCRA project. The project also responded to challenges arising from the Covid-19 pandemic by proposing to BMZ and implementing additional

measures at the end of the project (Modification offers: GIZ 2018c (1)/2019b (2)/2019d (3)/2019e (4)/2020b (5)). However, the five modification offers as well as the progress reports to BMZ were utilised to a small extent only to correct the weaknesses in the project design, the results model (see section above) and the results matrix, except for adapting targets of two module and changing output indicators (GIZ, 2019d).
Relevance dimension 4 – Adaptability – response to change – scores **15 out of 20 points.**

Methodology for assessing relevance

Table 5: 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	BMZ: 2030 Reform Strategy (Climate Protection); Marshall Plan for Africa (2017); SADC: Regional Agricultural Policy (2014); Climate Change Strategy and Action Plan (2015); Regional Indicative Strategic Development Plan I/II (2015/2020); SDG 13 Combatting climate change and its impact	**Evaluation design:** Structured comparison of project concept with objectives and priorities of reference policies. **Empirical methods:** Content analysis of policy and project documents complemented by interviews with key informants to verify and update information.	Baseline and subsequent regional analysis reports by the project and SADC available, accessible and of good quality. Quality and reliability of data and interviews with regional level key informants was good and sufficient for triangulation. Access to perspectives of member states on policies and strategies was limited.
Alignment with the needs and capacities of the beneficiaries and stakeholders	Direct: Needs of technical and management staff of stakeholders: Output 1: CCARDESA and member state stakeholders; Output 2/3: Research and extension involved in climate proofing processes/ stakeholders involved in resource mobilisation. Indirect: CSA practices that increase the resilience of systems of rural communities as defined in the proposal.	**Evaluation design:** Structured comparison of project objective and activities with the needs of target organisations (CCARDESA, SADC stakeholders). **Empirical methods:** Content analysis of project documents complemented by interviews, workshops and focus groups with different stakeholder groups at regional, national and local levels.	Data on needs and capacities related to ICKM and institutional capacities of CCARDESA extensive (Output 1); data on SADC member states mostly confined to knowledge management and to CSA-related technical contents, based on document analysis; assessment of capacities largely involved CCARDESA, GIZ and representatives from Botswana and Lesotho only.
Appropriateness of the design*	Theory of Change (result model) of the entire project with the underlying hypotheses to explain cause-effect relationships (from activities to outcome to long-term impact)	**Evaluation design:** Analysis of proposed project design compared to GIZ standards (results model, contribution analysis) and to actual project implementation. **Empirical methods:** Review of documents, workshops with the project team and subsequent consultations with project management, interviews with partner organisations and other key informants.	Good availability of information/data for analysis of project documents and workshops yielded sufficient quality results for the assessment; subsequent interviews provided evidence for the triangulation of critical information.
Adaptability – response to change	Modification offers: 06/2018 (1), 05/2019 GCF (2), 09/2019 (3), 11/2019 (4), 06/2020 (5)	**Evaluation design:** Comparison of project design with changed occurred during project implementation.	Project documents complemented by interviews provided a good and sufficient data base for analysis; diversity of interventions at

		Empirical methods: Review of documents, justification of modified offers; interviews with project staff and stakeholders.	different levels and with a wide range of stakeholders limited the possibility to verify all aspects.

* The project design encompasses the project's objective and theory of change (GIZ results model, graphic illustration and narrative results hypotheses) with outputs, activities, instruments and results hypotheses as well as the implementation strategy (e.g. methodological approach, capacity development strategy, results hypotheses).

4.3 Coherence

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

Summarising assessment and rating of coherence

Table 4. Rating of OECD/DAC criterion: coherence

Criterion	Assessment dimension	Score and rating
Coherence	Internal Coherence	35 out of 50 points
	External Coherence	40 out of 50 points
Overall score and rating		Score: **75 out of 100 points** Rating: **Level 3: moderately successful**

Synergies of the regional project within German development cooperation were less than expected from the proposal. This is partly due to the fact that primary entry points with partners were at regional level. Collaboration and synergies at member state level have materialised to a much lesser extent than planned, for example with bilateral projects and global programmes such as the green innovation centres. While they were of lower significance with regard to outputs and project objective, they would have been critical for ensuring anchoring the knowledge of staff on climate change and its utilisation in member state institutions. The project was well interwoven with the regional organisations, in particular CCARDESA, and directly contributed to the implementation of their frameworks and programmes. While planning, implementation and monitoring were to a large extent a joint effort of CCARDESA and the project, there was limited interaction and coordination at regional level with SADC-FANR, the political partner which played a minimal role. While specific synergies were confirmed for regional programmes only, the project was considered as an important enabler for a number of donors and funding of regional programmes. While very few concrete collaborations with member states were realised, ACCRA partly benefited from well-established working relationships of implementing partners of the multi-country projects in selected member states.

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

Analysis and assessment of coherence

Coherence dimension 1: Internal Coherence

No specific evaluation design was applied to assess the internal coherence of the project. The assessment followed the analytical questions in the evaluation matrix. Content analysis of project documents (proposal, reports) and qualitative interviews/workshops with key informants and stakeholders were used as methods. With reference to the collaboration foreseen in the project proposal, the basis of the assessment has been defined as joint collaboration with German DC projects in four to five countries, contributing to joint development of knowledge products, sharing of knowledge and collaboration on climate proofing and piloting of specific adaptation measures, including linkages with financial cooperation.

ACCRA had been designed as regional project with focus on climate adaptation in agriculture to be implemented with CCARDESA, as subsidiary of SADC-FANR, with a mandate for coordination of research and development in the SADC region, complementary to other projects implemented in Malawi, Lesotho, Zambia and Zimbabwe as well as projects in the sector with SADC such as a Comprehensive Africa Agriculture Development Programme (CAADP)-XP4 Climate Project. All in view of collaboration for piloting concrete adaptation measures in SADC member states (GIZ, 2014). Based on the Progress Reports (GIZ 2019, 2020), among seven implemented collaborations, the project engaged with the Climate Finance Readiness project in joint support of building capacities of the Government of Botswana to access GCF and other climate finance (Int_3, 33, 42). Implemented collaborations included joint training of regional and national experts of a variety of stakeholder organisations; food loss analysis; and further refinement of the Rapid Loss Appraisal Tool (RLAT) and testing in South Africa and Tanzania in conjunction with the sector project Sustainable Agriculture (NAREN), an activity demanded by partners of the region (Int_6, 18, 22, 31) as well as the development of a GCF proposal with BEAF. The collaboration and joint training foreseen with CAADP-XP4, however, did not work out (GIZ, 2019a). From 2018 onwards, ACCRA was implemented along with the regional TUNPR project as one programme (Int_10, 46).

Collaborations and synergies with bilateral and global technical cooperation projects in the SADC member states did not play a noticeable role in project implementation (GIZ, 2016-2020). Linkages and synergies of ACCRA with financial cooperation was not foreseen (GIZ, 2014). The process of climate proofing of livestock systems/rangeland management resulted in collaboration on training at the South African Wildlife College, coinciding with other activities and the development of a curriculum for professional herders (Int_38). Through SAWC and links of climate adaptation to conservation, ACCRA contributed to the sustainability of the college infrastructure, which was improved through a KfW project (Int_58).

Synergies of the regional project within German development cooperation was suboptimal. This is partly due to the fact that entry points for collaboration and with partners were at regional level. Collaboration and synergies at member state level have materialised to a much lesser extent than planned, for example with bilateral projects and global programmes such as the green innovation centres. While they were of lower significance with regard to outputs and project objective, they would have been critical for ensuring anchoring the knowledge and increased staff capacities and their utilisation in member state institutions.

Coherence dimension 1 – Internal Coherence – scores **35 out of 50 points**.

Coherence dimension 2: External Coherence

No specific evaluation design was applied to assess the external coherence of the project. The assessment followed the analytical questions in the evaluation matrix. Content analysis of project documents (proposal, reports) and qualitative interviews/workshops with key informants and stakeholders were used as methods. The basis of the assessment has been defined as the complementarity of the project interventions with own efforts and objectives of the SADC-Secretariat and of CCARDESA, the coordination of the design and implementation with other donors, the utilisation of existing systems and structures for project implementation and the utilisation of common systems of monitoring, learning and accountability.

Evidence on the complementarity of the intervention and support of the partner's own efforts can be presented for CCARDESA as regional implementing partner. Planned contribution of ACCRA to support implementing SADC's regional policy frameworks like the RISDP, RAP and CCSAP as well as of SADC's Programme Regional Vulnerability Analysis and Assessment were confirmed by stakeholders (Int_16, 21, 59).

CCARDESA received targeted support in fulfilling its regional mandate and role, in particular on climate change in the region. ACCRA was anchored within the partner. It assisted CCARDESA to implement its thematic areas. Basically, every project output was part of and CCARDESA's long-term strategy (Int_1,3, 10, 21, 22, 31, 59). Due to the fact that CCARDESA and SADC-FANR performed their roles on their own and independently, the direct contribution to SADC's programmes were limited (Int_16, 45) per institutional set up. Though, there was limited interaction with SADC-FANR which served as political partner of the project (see below).

The project facilitated networking and collaboration of member state governments. However, ACCRA's contributions to member state efforts were limited. Nevertheless, synergies emerged for example in Lesotho by incorporating CSA into its extension strategy (Int_35), while synergies with government's own efforts in Malawi to anchor Conservation Agriculture/Climate-Smart Agriculture in its strategies and approaches and in implementing specific CSA programmes (ASWA or SAPP supported by IFAD) and with programmes of other development agents like Total Land Care benefited from the long-term standing working relationships of CIMMYT, a coincidence, which favoured project implementation (Int_29, 32, 36).

During the design phase of the project, the complementarity and collaboration was discussed with several donors. ACCRA was designed to work side by side with the Agricultural Productivity Program for Southern Africa (APPSA) of the World Bank, including support to national research institutes and to CCARDESA to coordinate a regional research programme. During implementation, collaboration mainly emerged through dissemination and promotion of APPSA supported research outcomes with CSA potential (knowledge products) through the ICKM system as well as collaboration on the ground for example in Malawi. The Multi-Donor-Trust Fund (MDTF), foreseen as a source of financing climate change programmes in the region with support of World Bank and EU (GIZ, 2014), did not become effective during project implementation (Int_26, 43, 45). The exploration of collaboration at the outset with FAO, which initially supported CCARDESA's ICKM system, for example through its CSA programme in Sub-Sahara Africa or its regional working group, did not turn into an explicit collaboration (GIZ, 2014). ACCRA was perceived by stakeholders across the region being complementary to other programmes and donors (Int_25, 28, 31, 38, 40, 41, 47). However, specific synergies (GIZ, 2020a) were confirmed by some stakeholders and for regional programmes only (Int_15, 22, 28). Also, ACCRA's strategy and implementation with member states was sometimes reported as not being fully understood by, evident or transparent to stakeholders including member states level (Int_21, 35, 40). Nevertheless, the completed ACCRA project is considered to have served as an important enabler for a number of donors of regional programmes (IFAD-funded CAADP XP4 programme implemented by CCARDESA and the GCCA+ implemented by SADC-FANR), for involvement of member states in regional programmes like APPSA, for donor support to the H4H programme (AFS, EU, World Bank etc.) and submissions of projects for climate change funding (Int_15, 25, 28, 31, 35, 38). Single activities were pursued to disseminate or to promote knowledge products through the ICKM system and regarding the development of

national CSA frameworks supported through the SADC Regional Vulnerability Analysis and Assessment (RVAA) Programme funded by the Foreign, Commonwealth & Development Office (FCDO), former DFID (GIZ, 2019a; Int_5, 31).

For the use of existing structures and systems, ACCRA placed a major focus on strengthening CCARDESA as a knowledge broker and coordinator of research and development in the region, in particular for integrating climate change aspects in regional and national agricultural programmes and investments, including the establishment of a capacity development strategy, taking the existing organizational capacity assessment of CCARDESA as starting point, and taking the low capacities at the CCARDESA Secretariat into consideration. During an institutionally challenging time 2016/2017, ACCRA provided an important back-up and underpinned CCARDESA, and brought credibility to it. Similarly, other established stakeholders in the region like FANRPAN and SACAU were considered building blocks by ACCRA (Progress reports: GIZ, 2017/2018b/2019a/2020a). This was echoed by different stakeholders including donors across the region (Int_22, 25, 27, 28, 31, 40, 41). Structures and systems were used for specific activities. Regional knowledge management was achieved by building on the existing SAAIKS system at CCARDESA, strengthening a Community of Practice including focal points from all SADC member states, and on the existing ICKM structures in MoA. This was considered important to develop user-oriented services and ownership among member states (Int_23, 27, 35, 36, 40). The project brought stakeholder staff from the region together to share, collaborate and strengthen networking among member states and other stakeholders in the region (Int_25, 28). Climate proofing of key production systems was addressed by engaging existing research and development actors and communities of selected member states in a participatory research and assessment process (livestock/ rangeland management in Botswana, Lesotho, Mozambique, Zambia and Zimbabwe; maize-legume system in Malawi, Zambia and Zimbabwe; Sorghum system in Botswana and Lesotho). Due to administrative challenges with member states, the management of these three multi-country projects were handled by CIMMYT, PPF/CI and RSDA/MoA in collaboration with national stakeholders (GIZ, 2020a; Int_5, 9, 12, 35, 36-38, 40, 47, 49). Similarly, established stakeholders in member states and from the region as well as CCARDESA were targeted by ACCRA for capacity building in collaboration with key international partners such as CCAFS (GIZ, 2020a; Int_26, 43). A specific arrangement was made for implementing the GCF readiness project with the Government of Botswana by supporting in the setting up of an NDA and related mechanisms, building on existing institutional capacities within the MFED and linkages to the MENT (National Climate Change Commission, NCCC).

Project monitoring at operational and technical level was implemented to a significant extent jointly with CCARDESA management and staff, the key implementing partner. This included updates on progress through quarterly review meetings, annual review and planning (ACCRA/CCARDESA, 2020; Int_3, 22, 45). Except for the monitoring built into the ICKM system at CCARDESA, indicator tracking required collection of documents and project specific analysis of largely qualitative information (GIZ, 2020a). Attempts by the project to strengthen involvement of SADC-FANR in monitoring and steering of the project started only in the second half of the project and remained a challenge until the end (Int_21, 45, 59). Monitoring and steering roles were not stated in the agreement (GIZ/SADC 2015 and 2020a). Possible fora of SADC (thematic working groups, technical committees) where used to a lesser extent compared with other projects (Int_59).

The project was well interwoven with the regional organisations, in particular CCARDESA, and directly contributed to the implementation of their frameworks and programmes. While planning, implementation and monitoring were to a large extent a joint effort of CCARDESA and the project, there was limited interaction and coordination at regional level with SADC-FANR, the political partner which played a minimal role. While specific synergies were confirmed for regional programmes only, the project was considered as an important enabler for a number of donors and funding of regional programmes. While very few concrete collaborations with member states were realised, ACCRA partly benefited from well-established working relationships of implementing partners of the multi-country projects in selected member states.

Coherence dimension 2 – External Coherence – scores **40 out of 50 points.**

Methodology for assessing coherence

Table 5: Methodology for assessing OECD/DAC criterion: coherence

Coherence: assessment dimensions	Basis for assessment	Evaluation design and empirical methods	Data quality and limitations
Internal coherence	Cooperation and synergies with German development cooperation (SADC, sector): bilateral, cross-regional, global) projects in 4-5 countries/region foreseen (Malawi, Lesotho, Zambia, Zimbabwe, possibly Namibia); CAADP Climate Project on implementation of specific measures and Climate finance readiness programme (GIZ, 2014: Proposal) Linkages with Financial Cooperation etc.	**Evaluation design:** No specific evaluation design was applied to compare planned with actual collaboration or synergies with German Development Cooperation. **Empirical methods:** Content analysis of project documents (proposal, reports) and qualitative interviews/workshops with key informants.	Immediate data sources limited to results from documents and interviews with key project stakeholders. Limited access to collaborators on the ground across the 16 member states. Limited capacity to validate/triangulate collaboration on diversity of activities across the region (incl. collaborations active during a limited period of time or of projects which ended more than three years back).
External coherence	Partner's own efforts: SADC/CCARDESA Coordination of design and implementation with other donors in the region Utilisation of existing systems/structures to implement by design (knowledge management, CSA climate proofing, resource mobilisation) Use of common systems for monitoring, learning accountability	**Evaluation design:** No specific evaluation design was applied to compare planned versus actual implementation linked with other donors. **Empirical methods:** Content analysis of project documents (proposal, reports) and qualitative interviews/workshops with key informants and stakeholders.	Immediate data sources largely limited to results from documents and interviews with key informants at regional level, project stakeholders and partners. Limited capacity to validate/triangulate collaboration across the region (incl. collaborations during a limited period of time or of projects which ended more than three years back).

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 1).

Summarising assessment and rating of effectiveness

Table 6. Rating of OECD/DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	Achievement of the (intended) objectives	24 out of 30 points
	Contribution to achievement of objectives	26 out of 30 points
	Quality of implementation	15 out of 20 points
	Unintended results	18 out of 20 points
Overall score and rating		Score: **83 out of 100 points** Rating: Level 2: successful

The project reported a high level of achievement reaching beyond indicator targets. While recognising the reported achievement, the overall achievement was assessed lower due to marked weaknesses of the indicators in meeting the SMART criteria and in providing meaningful information on the achievement of the project objective. A fifth indicator added to measure the linkages between training of staff and the uptake of climate change-related knowledge by stakeholder organisations. The main and notable achievement of the project is the improvement of regional knowledge management related to climate change. This includes strengthened information, communication and knowledge management services through a user-friendly multi-functional platform at CCARDESA owned by member states, an active Community of Practice with member states, networking and partnerships in the region. At the same time, institutional strengthening made CCARDESA a regional knowledge broker with increased visibility and recognition by stakeholders. Contribution of the project to increased capacity of member states through regional knowledge management were plausible and confirmed, whereas hypotheses related participatory climate proofing and resource mobilisation processes were partly confirmed only. This was mostly related to the limited plausibility of contributions due to the missing links between training of individual staff and the stakeholder organisations involved. The project was planned, implemented and monitored in close collaboration with the regional implementing partner CCARDESA. An implementation strategy of the regional project though was not explicit and not actively communicated among the wide range of stakeholders from member states and other actors in the region. Thus, the project was partly not understood by actors not directly involved in implementation.

In total, the effectiveness of the project is rated Level 2: successful, with 83 out of 100 points.

Analysis and assessment of effectiveness

The criterion effectiveness is assessed along three evaluation dimensions: (1) Achievement of the intended objectives; (2) Contribution of achievement of objectives; (3) Quality of implementation; and (4) Unintended results.

Effectiveness dimension 1: Achievement of the (intended) objectives

The first evaluation dimension addresses the question whether the project has achieved its objective in accordance with the four objective indicators as defined in the justification in the fourth proposal modification (GIZ, 2019e). The basis for this assessment is the set of revised indicators to be reached, based on the analytical questions in the evaluation matrix, subsequent to a 'SMART' assessment of the indicators, and by an additional indicator suggested by the evaluation. Achievement of the project objective towards increased capacity of SADC member states to integrate climate change aspects into agricultural programmes and investments is measured by (Table 7): Indicator 1 related to the mobilisation of financial resources based on successful proposal submissions; indicator 2 measures the promotion of women based on proposal submissions; indicator 3 captures agricultural programmes of SADC member states contributing to agriculturally relevant targets defined in national NDCs, aligned with respective elements of the RAP; and indicator 4 measures the utilisation of knowledge on CSA practices through advisory strategies for agricultural producers by national agricultural extension services.

The analysis of the indicator achievement requires a prior consideration of the quality of the indicators (Table 7). It has to be noted that the indicators measure capacity increases of SADC member states. While the indicators reflect the utilisation and transformation of climate change related know-how by SADC member states which is intended (and which in this respect can be considered relevant), the achievement of the selected indicators is far beyond the influence of the project as it is illustrated and discussed in section 2.2 (results model). Considering that the main stay of the regional project is the development of regional knowledge management and services by developing CCARDESA's capacity (not reflected in the results model) and through training offers for professionals and management staff from national and regional stakeholders, (1) an indicator to measure the increased capacity and role of CCARDESA, and, (2) an indicator at member state level to measure the transfer of competencies and knowledge on climate change acquired by individual staff to

or the adoption or utilisation by the respective stakeholder organisations, could have been more fitting and appropriate to measure the objective achievement (Table 7).

Review of indicators: looking at the **specificity of the indicators**, a general aspect is noted on the indicators 1-3: the definition of 'SADC member states' as defined in the results matrix is very general and all-inclusive. It may refer to government ministries (MoA), government agencies, research institutions, extension services, private sector and / or civil society organisations. This covers stakeholder organisations and units with a broad range of mandates from field level extension and applied research to national policy, programme development and finance. For indicators 1 and 2, the project's interpretation of the term 'SADC member states' to include regional and international organisations further reduced the specificity with implications for other SMART criteria. Thus, proposals qualified if countries in the SADC region were addressed and/or stakeholders from member states did not develop and submit a proposal but participated in a technical role in proposals led by international and regional organisations. Overall, indicators 1 to 3 are considered not sufficiently specific. **Measurability of the indicators** requires access to information at the level of member state governments, institutions and other stakeholders. For a regional project, like ACCRA whose primary partners (SADC-FANR, CCARDESA) are regional institutions and who is operating at some distance without firm agreements with stakeholders in member states, monitoring is depending on the willingness of member state institutions to freely provide and openly share such information either directly or through SADC-FANR or CCARDESA. Access to current policies, strategies, programme development, proposals, and project implementation requires specific efforts to actively query and collect various types of information. This is then subject to qualitative analysis. Consequently, standardisation of indicator monitoring was not possible and measuring actual achievements required continuous action by the project. How analysis to be done and would enter the results matrix had not been specified in the monitoring notes of the project (ACCRA/CCARDESA, 2020).

Achievability of all indicators was foreseen in the 2019 report (GIZ, 2019e). While the achievability was realistic if the interpretation as practiced by the project widened the term 'SADC member states' as defined in the results matrix (cf. specificity) to include regional and international organisations. However, the indicator was not achievable if applied in the strict sense of the term to proposals developed and submitted by SADC member states. Also, achievability was increased as modifications of the indicators and targets reduced achievement levels of indicators 1 and 2, by replacing for example 'successful attraction of funding" with 'successful submission of investment proposals' (GIZ, 2019d). At the same time the duration of the project, which was initially approved for three years, was extended three times (to 12/2019, 12/2020, and 06/2021).

The **relevance of the indicators** as discussed above can be questioned to some extent. Whereas results of the regional project were expected to translate into results and impact at the level of the SADC member states, main entry points of the project were with CCARDESA and other regional institutions like FANRPAN as well as cross-country or regional level training and interventions, which comprised main fields of intervention. Regarding member state level, there were no direct linkages or agreements between member state institutions and the project, with very few exceptions, to plausibly connect for example training activities with the translation of climate change-related knowledge into respective responses by stakeholder organisations. As a consequence, the indicators 1 to 3 are not meeting the relevance criterion for measuring the respective capacities of stakeholder staff from member states which was increased by project interventions.

Table 7: Assessed and adapted objective indicators for specific modules (outcome level)

Project's objective indicator according to (last change) offer	Assessment according to SMART* criteria	Comments
1. SADC member states have successfully submitted investment proposals for the dissemination of climate-smart practices in VC amounting to EUR 30 million. Fourth modification 12/2019 Base value (2016): EUR 0 Target value (12.2020): EUR 30 million Current value (03.2021): EUR 112.2 million **Achievement in %: 100**% (374%) Source: Documentation of submitted investment proposals and minutes of meetings with donors by partners.	Specific: partly** (see cell to right) Measurable: partly; no proper baseline; ***measurement requires access to proposals of member states, active collection and analysis by the project; this is not specified in the monitoring notes (ACCRA CCARDESA 2020). Achievable: partly, after adjustment of indicator from **'**successfully attracted additional financial resources' to 'successfully submitted investment proposals'. Relevant: partly Time-bound: not explicitly	** 'SADC member states': government, research, extension, private sector and civil society. It is not specified whether all or a selection of countries is consistently included in indicators, and, if a selection is included, on what base countries are selected (GIZ, 2014). To reflect the purpose of member state investments of scaling and transferring CSA knowledge to farmers and to distinguish knowledge dissemination, 'dissemination' is replaced by 'promotion' in indicator 1 and 2.
2. All investments submitted through SADC member states for the dissemination of climate-smart practices in VC are planned for project proposals that contain measures for the improved participation of women in value creation. Base value (2016): 0 Target value (12.2020): 100% Current value (03.2021): 100% **Achievement in %: 50%** Source: Analysis of investment proposals or appraisal missions on value creation for women.	Specific: partly** (see above); Measurable: partly; (see above***); list of 'tangible benefits' for women ranging from increased knowledge to increased income appears random; what/how proposals are analysed by the criteria is not clear (ACCRA/ CCARDESA, 2020) Achievable: yes Relevant: partly Time-bound: not explicitly	Indicator formulation: 'dissemination' of …' is replaced by 'promotion' in the indicator, since the application of the knowledge and skills by stakeholders is meant to promote the adoption of climate-smart agricultural practices
3. Three SADC member states implement agriculture programmes to contribute towards the relevant targets defined in their NDCs and are aligned with the climate change-related elements of the SADC Regional Agricultural Policy (RAP). Base value (2016): 0 Target value (12.2020): 3 Current value (03.2021): 6 (BW, LS, MW, MZ, ZA, ZW) **Achievement in %: 75%** (200%) Source: Analysis of programme documents on the consideration of agriculture-relevant NDC targets and climate change-related elements.	Specific: yes, indicator well deconstructed; (see above**) Measurable: yes, but requires access to current policy, programme and project documents of SADC and member states and specific efforts to analyse qualitative information; (see also above***) Achievable: yes Relevant: partly Time-bound: not explicitly	<u>Indicator 5 (</u>suggested by evaluators) to assess the achievement of the project at level of member state stakeholders: - CSA knowledge and skills acquired by training participants are institutionalised (i.e. enter organisational and/or national processes) of SADC member states or the respective stakeholder organisations).
4. The national agricultural extension services apply priority climate smart practices in their advisory strategy for agricultural producers, provided by CCARDESA or national agricultural research institutions. Baseline value: 0 Target value: 3 Current value: 3 (LS, ZA, ZW) **Achievement in %: 100%** Source: Analysis of training materials and guidelines of national agricultural extension services.	Specific: yes; **/**** (see cell to right) Measurable: yes; baseline information was sourced from CCARDESA and national agricultural research institutions in member states; see above*** Achievable: yes Relevant: (yes) Time-bound: not explicitly	**** 'National agricultural extension services' in SADC member states are defined as 'public, private and civil society service providers', also including parastatals (ACCRA/ CCARDESA, 2017)
* SMART criteria: specific, measurable, achievable, relevant and time-bound		

Also, the project's contribution was not understood and recognised by others who were not directly involved in project activities, including higher ranks in MoA (Int_21, 29, 36, 40, 41).

Are the indicators **time-bound**? The monitoring notes of the project provided a detailed description of the indicators including their deconstruction. Targets of all indicators were intended to be achieved at the end of the project. The results matrix did not contain fast-track indicators, which were measured continuously (ACCRA/CCARDESA, 2020). In this regard adjustments of targets were not systematically made along with budget increases and the extensions of the project duration through the project modification offers 2018-2020. The measurement of the indicator achievement appeared most meaningful at the end of the project duration.

In concluding the **analysis of the objective indicators**, each of the indicators showed at least two weaknesses, including relevance. This considerably limits the informative value of the indicators and their measurement. For this reason an additional indicator 5 was formulated which captures the institutionalisation of the competences (knowledge, skills) acquired by individuals who participated in trainings into the organisational planning, programme and strategy development of stakeholder organisations: CSA knowledge and skills acquired by training participants are institutionalised (i.e. are taken up by organisational and / or national processes in the countries or are adopted by the respective stakeholder organisations).

Achievement level (Table 7)**:** Indicator 1: The project reports (Draft dated 24/03/2021) 17 submitted investment proposals adding up to 112.2 million EUR, which corresponds to almost four times the target (374 %). Out of these, eight proposals were reported to be approved amounting to 16.7 million. The indicator is fully achieved, provided that proposals by international/regional organisations and development agencies, which comprised the vast majority, were counted (cf. indicator assessment). Member states were limited in their roles by providing technical inputs, whereas international organisations mainly research centres, international NGOs, CCARDESA or GIZ took the lead in proposal development and are responsible for implementation. Based on the SMART criteria analysis the achievement level is assessed at 100%.

Indicator 2: The project reports (Draft dated 24/03/2021) a 100 % match of the actual value with the indicator target, claiming that all proposal submissions include measures for improved participation of women. The analysis of selected proposals revealed that women were explicitly identified in 13 of 15 proposals (Greencroft, 2020). However, 6 of 15 proposals only explained to various degrees how results would empower women, even less provided measurable indicator targets relating to women. Overall, an average of 6 out of the maximum score of 21, varying from 0 to 10, was reached by the 15 proposals in the presented gender analysis. This illustrates the 'scope for improvement', which was noted in the project report. It was concluded that the actual achievement level of indicator 2 was not more than 50 %, as assessed by the evaluators.

Indicator 3: The project reports that six agricultural programmes are actually implemented by SADC member states, in particular Botswana, Lesotho, Malawi, Mozambique, Zambia and Zimbabwe. While Malawi, Zambia and Zimbabwe had been supported in developing their national CSA policy frameworks and additional requests by Botswana and Lesotho were taken up, actual implementation of the respective programmes was not evident from the report (03/2021), the reported achievement appeared to be too optimistic and rather be at 75%.

Indicator 4: The project reports that three countries actually apply priority CSA practices in their advisory strategy for agricultural producers: Lesotho, Zambia and Zimbabwe. Concrete evidence was provided for Lesotho which was supported in developing its extension strategy. Considering the wide dissemination of a training package and the range of trainings of extension agents provided, the indicator has been fully achieved. This evidence was supported by responses from participants of trainings supported by the project.

Indicator 5: To complement the analysis of the achievement levels of the four set objective indicators, the additional indicator suggested by the evaluation is analysed here, asking to which extent the CSA knowledge

and skills acquired by individual training participants are actually being institutionalised by or enter organisational and/or national processes of SADC member states or are adopted stakeholder organisations.

The project did not have well established and coordinated entry points and direct working relationships at national level, except for Lesotho where the relationship was structured through a national core group and coordinated by the MoA. For implementing project activities on the ground across the region – following initial attempts of direct implementation of climate proofing of key value chains – the project largely depended on implementing partners, except for the implementation of the GCF readiness project in Botswana. The established working relationships and / or specific collaborative arrangements of the partners for implementing the multi-country projects in Botswana, Lesotho, Malawi, Mozambique, Zambia, and Zimbabwe (CIMMYT, PPF/CI, RSDA Lesotho) were key and mostly at working/local levels with development, extension or research agents (Int_9, 12, 36, 38, 40, 47, 48). In Malawi, the climate proofing process benefited from a long-standing well performing partnership of CIMMYT with the country (Int_9, 36, 40, 47).

Since ACCRA did not establish and maintain throughout project implementation firm arrangements with the SADC member states and largely did not provide targeted institutional support to institutions in SADC member states to incorporate CSA into strategies, policy or programme formulation (GIZ, 2016-2019: progress reports), there were mostly no systematic linkages between the extensive training of individuals from the member states (GIZ, 2018c: ‘people have participated in capacity development activities’) to institutional capacity development, which become evident from interviews with representatives of various member states (Int_1, 13, 35). Decision makers of member states were only involved in the very beginning of the project when member state governments were sensitised and trained in domesticating climate change-related aspects from SADC level within their own policies, strategies and programmes (GIZ, 2016).

Considering the substantial effort of the programme in training stakeholder staff from member states on climate change-related aspects, possible linkages of the 59 capacity development events in total including varying participation from up to 13 member states, adding up to more than 7,000 training participants, were analysed (ACCRA, 2020) . When interviewing 15 technical and management staff of member state institutions who participated to various degrees in capacity development and training activities with ACCRA (Botswana, Eswatini, Lesotho, Malawi, Mozambique, Zambia, Zimbabwe), few were able to name firm linkages with the project and to relate the substantial exchange on climate change and the training contents to knowledge dissemination within the member states, including by the ICKM Focal Points (Int_23, 27, 32). This also points to the transfer of climate change-related knowledge within institutions. While improved access to CSA-related information was highly appreciated at different levels, several gaps were reported by interviewees from member states in transferring or passing on knowledge and information related to the project and CSA integration, in particular from lower levels to management in ministries (Int_29, 36, 40).

While the project did not establish firm collaborative relationships with member states and did not systematically provide process support incorporating climate change related aspects, some linkages of the project appeared to function to some extent for three of the six countries that were more intensely involved, in particular Lesotho, Malawi and Zimbabwe. However, there was not much evidence in project documentation and interviews on linkages between training of individuals and the institutionalisation of climate change-related know-how. Thus, achievement of this indicator for a transfer of climate change-related know-how from individuals participating in project activities to member state stakeholders is rated at 50 %.

The project reported a high level of achievement reaching beyond the agreed indicators targets. While recognising the reported achievement, the actual achievement was rated lower, because marked weaknesses of the indicators in meeting the SMART criteria were observed as well as in providing meaningful information on the achievement of the project objective. As a result, the achievement levels were reviewed including the addition of a fifth indicator by the evaluators. The closer look to the criteria in fulfilment of the gender indicator 2 as well as the lack of systematic linkages between know-how acquired by individuals and the uptake by the

stakeholder organisations for indicators 1 and 3 led to lowering the assessment. Thus, it is concluded that the achievement of project objective of increased capacity to incorporate climate change aspects into the programmes of SADC member state organisations, based on the objective indicators, was not fully met.

Effectiveness dimension 1 – Achievement of the (intended) objectives – scores **24 out of 30 points.**

Effectiveness dimension 2: Contribution to achievement of objectives

At activity to output to outcome level three hypothesis were selected from the Theory of Change, which emerged from the reconstructed results model of the project (Chapter 2.2). The three hypotheses were selected because they represent essential elements of cause-effect pathways covering the three output areas: knowledge management, climate proofing and resource mobilisation. Also, it appeared feasible that the hypotheses could be examined by analysing project documentation and by establishing evidence through data collection during the evaluation mission. These hypotheses are used as basis to assess member states' capacity to incorporate climate change-related aspects.

How did the project contribute to increased capacity of SADC member states on Climate Smart Agriculture (CSA) through improved knowledge management? Strengthening and expansion of CCARDESA's knowledge management system, which was the key entry point for the capacity development support (GIZ, 2014; ACCRA, 2017), started from a comprehensive baseline (GIZ/SADC, 2015) and continued throughout the project (GIZ, 2016, 2017, 2018c, 2019e). A specialised international consulting was contracted to support and guide CCARDESA in this process, including the development of an ICKM strategy (ACCRA/CCARDESA, 2018).

Effective and user-oriented services are a key element, which have been upgraded and expanded. This included technical system improvements, institutionalising operations of content mobilisation and social media communication and the installation of a tool to monitor the use and access to the ICKM system (google analytics), and invitation to stakeholders and users to provide feedback and obtain buy-in for further development of the system. Technical improvements of the system were accompanied by staff training and the development of ICKM manuals for system operators. Improvements of ICKM-system and services included a built-in monitoring, which contributed to improved access and utilisation of the system.

The ICKM system brings different services into one online platform, providing tri-lingual and open-access services through different information channels, including a website and knowledge hub for download, moderated discussion groups (technical), newsletters, social media, including a mobile app on CSA for extension services and print media. It was unanimously confirmed by a broad range of national and regional stakeholders that the system works well, being considered a major achievement of the project including a significant, rich knowledge source on climate change and climate-smart agriculture with many quality knowledge products (Int_23, 25-28, 30, 31, 41). The services are made user-friendly as services and information are aligned to the needs and capacities of stakeholders, as they are targeted and are suitable for different audiences like farmers' extension, research, ministerial and policy levels (Int_25, 30, 32).

The system enhancement entails another dimension, which relates to involving Member State (MS) governments. Here, 25 national ICKM focal points were formed into an active Community of Practice (COP) coordinated by CCARDESA. The COP was expanded by adding a group of media specialists (Int_22). The COP contributes to improving the overall system and strategy and provides regular contributions to knowledge products and information to CCARDESA, which are curated and disseminated through the system (Int_4, 10, 23, 27, 32, 45). Activities included several capacity building activities with ICKM focal points on information sharing, climate change and CSA, annual meetings with CCARDESA on the ICKM strategy development, support to ICKM focal points in member states and joint implementation of ICKM activities, and in a few cases supporting the build-up of a ICKM network with the country (Int_23, 32, 35).

The active COP facilitated the evolvement of regional exchange, networking and collaboration among member states for sharing of knowledge and information and for promoting the ICKM platform in the region. This made the system known among the member states. At the same time CCARDESA became much more visible as its was recognised as knowledge broker for research and development and on climate change-related aspects in agriculture in particular (Int_22, 23, 26, 41). The cascade of interventions created a substantial ownership among member states for regional knowledge management and the ICKM system. Both, the user-friendly and effective platform and services and the active COP involving the member states contributed to the fact that 'SADC member states possess an improved knowledge management for promoting CSA' (output 1).

This output contributes to a significant extent to increased capacity of SADC member states to integrate climate change into agricultural programmes through improved access to the system, services provided and knowledge products disseminated and through the appreciation by stakeholders who accessed the system, services and products. CCARDESA and ACCRA stated that the access of its website significantly increased since the launch of the improved website (Int_4, 22). This applies to different services(ICKM monitoring based on google statistics) , while the number of page views decreased, social media followers significantly increased over time. The intensity of the access varies by type of use and location, being highest in Botswana followed by South Africa, Zambia, Zimbabwe and Malawi. The high share of Botswana could be due to the seat of SADC and organisations operating in the region. Six of the 16 countries showed no to little access to services of the system. The high share of users from outside the SADC region, in particular for the sessions and discussion groups, could be an indication of the recognition of performance and quality of the ICKM system.

The high value of knowledge products and high level of appreciation strengthened dissemination through the ICKM system and services including the development and sharing of quality knowledge products noted by CCARDESA and ACCRA (11 of 16 member states) was unanimously echoed by stakeholders from extension and research (Int_27, 29, 30-32, 35, 36, 40, 49) in addition to the ICKM focal points (Int_23) as well as by regional and international actors (Int_9, 12, 25, 26, 31, 38, 41, 47, 48).

The high level of appreciation is also expressed by the fact that stakeholders confirm that the system is well received and used and that knowledge products disseminated by CCARDESA are being used as references by stakeholders, noting as well the efforts of packaging knowledge and of strengthening information channels. Also, information and knowledge products are taken up and shared further through other platforms (Int_28, 30, 41). This is attributed to the curation of the products and the enhanced regional knowledge sharing and regional collaboration (Int_4, 22, 23, 25-28, 30-32, 41). It was noted that ACCRA supported interventions contributing to improved awareness and understanding of stakeholders of the complex issue of climate change and related concepts, such as how and why climate-smart agriculture works for farmers to facilitate transformation towards increased climate resilience (Int_25, 26, 27, 30, 31, 36, 40, 41).

There are limitations regarding the dissemination of information by the ICKM focal points. Their information role and recognition in several member states appeared weak. They are able to disseminate information to policy makers, to extension and farmers if they have respectively assigned roles, for example to feed knowledge into extension material in local languages or into weekly radio programmes. However, access of farmers to information on the platform was not considered a realistic scenario (Int_21, 27, 32). Linkages of knowledge management to agriculture colleges and universities had not been addressed by the project. ICKM in member states, in addition, is challenged by limited technical facilities and internet connectivity.

In conclusion, hypothesis I with regard to regional knowledge management is largely confirmed, due to the evidence on plausible contributions of the comprehensive activities to output 1 and of output 1 to the achievement of the objective (outcome), which could be confirmed by the evaluation.

Table 8: Selected results hypotheses for effectiveness - 'regional knowledge management' (output 1)

Hypothesis I (activity – output – outcome)	Improving ICKM technologies and services, staff competence and processes (→10) results in an effective, user-oriented ICKM system of CCARDESA. Establishing a Community of Practice (COP) of active ICKM focal points of MS, promoting knowledge sharing and learning, (→15) lead to regional networking and partnerships. As a result, (→ 16) visibility and recognition of the ICKM platform among stakeholders are increased. Expanded services (→ 18) and increased visibility of CCARDESA as knowledge broker (→ 19) result in improved knowledge management, which is owned by SADC member states (output 1). Stakeholder groups of member states utilise the ICKM services and access user-friendly and quality knowledge products on CSA (→ 80), which contribute to increased capacity for integrating climate change aspects into agricultural programmes and investments (objective).
Main assumptions	SADC MS and the SADC-Secretariat provide essential political backing and view CCARDESA as a useful knowledge broker. By end of the project, CCARDESA will have mobilised the resources required to maintain and run its information, communication and knowledge system.
Risks/unintended results	CCARDESA, established in 2011, had still weak capacities at the outset and was not yet a consolidated and sustainable institution, it faced risks of being overloaded as key implementing partner of the regional project.
Alternative explanation	Strong emphasis of the project on CCARDESA raised its visibility and credibility as knowledge broker and lead institution on CSA in the region. Act alliance and FAO (regional working group) are cited as contributors as well.
Confirmed/partly confirmed/not confirmed	The hypothesis is largely confirmed

The aim of 'climate proofing of agricultural VC is to increase the capacities of SADC member states (government agencies and institutions, private sector and civil society organisations) to promote climate-smart practices and strategies for key agricultural systems. It is designed as a participatory, science-based technical process to develop credible business cases by establishing the conceptual and technical knowledge among stakeholders for scaling climate-smart practices in key production systems.

The process consisted of multiple implementation steps and collaboration of stakeholders at various levels (regional, national and decentralised), increasing capacities of technical staff, managers of different institutions and (implementing) partners. The multi-level approach was implemented with ACCRA's financial support through three multi-country projects, each focusing on a system (maize-legume, sorghum, livestock/rangeland management). The three projects operated in different settings, managed by different partner organisations with various collaborative arrangements. The results were expected to enable member states to implement agricultural programmes which have integrated climate change-related aspects (GIZ, 2014; GIZ, 2017). The results link to knowledge management through the development of knowledge products (output 1) and to proposal development and resource mobilisation (output 3).

Capacity development of the partners and their personnel rather relates to the entire process and not to particular technical steps. While being multi-faceted, the projects also deviated in processes, steps that they implemented and in their collaborative arrangements. The analysis here addresses a) the value of the participatory research process for capacity development; b) the value of the collaborative project model for the partner organisations; and c) the linkage of competence development of individuals with decision making and planning processes in the countries in relation to the contribution to the output(s) and to the outcome.

A comprehensive process of developing a business case for scaling CSA through the participatory climate proofing process included a vulnerability assessment (hazards, climate risks, adaption strategies), establishment of on-farm research or pilot sites, prioritisation of best practices, elaboration of a feasibility study,

discussion and sharing of results and lessons with farmers, extension and others, and institutionalising results and experiences, development of investment proposal (Reports: CIMMYT, 2018; PPF/CI, 2020).

The participatory research processes, which followed a common framework for each of the multi-country projects, involved decentralised structures and local organisations, local communities, as well as national and international technical experts or scientists. The process was reported to open the eyes of the research teams, facilitating interfaces between community/farmer level, extension and research institutions, increasing the awareness and understanding of climate change-related challenges and solutions (Int_35, 38, 40). The value of engaging farmers/communities in the process and its bottom-up character was highly valued by a range of stakeholders (Int_23, 25, 27, 29, 31, 35, 37, 38, 40). This applies in particular to community participation in the assessments, prioritisation exercises and the analysis of the results from the process, whereas a shortened research process limited the participation of farmers. This is not considered critical as multi-country projects partly built on proven concepts and /or long-term established experiences in the region. The short duration of the climate proofing projects, however, was not sufficient to actually pilot practices and technologies that would have taken some five years. The processes provided experiences, immediate learnings and in some cases initial scaling opportunities through extension and development organisations, similarly national scientists benefited substantially from the on-the-job training by going through this process (Int_23, 27, 35-38, 40).
The reports given by a small sample of farmers interviewed who participated in the process from three different districts in Southern Malawi (15f/12m) showed that about one third to one half of the interviewed farmers served as multipliers, about half of them reported that the wider community benefited from the improved practices, all of them practiced climate-smart agricultural technologies for several seasons and understood well their function, some of the interviewees reported that they had learned the practices from other farmers.

The climate proofing process resulted in a number of tangible technical knowledge products, which were published and/or widely shared among stakeholders (vulnerability studies, feasibility studies, concept notes). An important aspect cited is the development of common understanding on climate change issues and evolving guidelines for extension, which contributed to build confidence of the stakeholders in the processes.

Linkages between competence development and learnings of individual staff from the climate proofing processes and their institutions like national research institutes, extension services and MoA, which were required to anchor the increased capacities at stakeholder level, were evident in a few cases only. For Lesotho, the relationship was well structured through a national core group and coordinated by the MoA (Int_13, 35, 49). The capacities developed beyond the stakeholders directly involved in the research process varies. While there are examples cited from Lesotho (agricultural extension strategy, NAIP, improved coordination of work on climate change involving research, extension and other ministry players) and from Botswana (national implementation plan related to H4H), linking the research processes with the policy level appeared to be rather difficult and was mostly not sufficient. In a number of cases, the senior government officials retreated and did not take ownership of the process and the results, including concept notes. The reasons given related to the fact that the research processes involved mostly young officials who had little decision-making powers to facilitate the mainstreaming and institutionalisation of experiences and to embed the acquired competences of staff on the CSA approaches and practices in their organisations. Often linkages with director levels and above could not be made and it became a challenge to lobby with policy makers for CSA. This is perceived by the partners as a negative result of the project. Also, the context in member states other initiatives (FAO, IFAD, UNDP, World Bank etc.) that were active on the ground in the same countries were prevailing and had a stronger presence (Int_36, 38, 40, 41). Therefore, it appeared difficult to attribute increased awareness of climate change and improved understanding of related issues in the member states to the ACCRA project.
Overall, the experiences from the collaboration at local, national and at regional levels appeared to be overwhelming. The partners benefited significantly in widening their experiences and learnings through reflection and exchange. This allowed countries like Lesotho learning from experiences from other SADC member states through regional linkages. Stakeholders were able to build with project support partnerships, expanding their networks with other programmes across the region in order to jointly develop solutions for

regional problems. The processes were perceived as a learning experience of establishing regional collaboration with other SADC member states, which laid the foundation for the acquisition and implementation of future and bigger programmes, in particular for regional organisations.

Table 9: Selected results hypotheses for effectiveness – pathway 'climate proofing' (output 2)

Hypothesis II (activity – output – outcome)	Suitable CSA technologies and practices for key VC are jointly prioritised by stakeholders, as a result from (→35/37) participatory science-based vulnerability (climate risk) assessment/on-farm pilots managed by stakeholders (→36). These practices and technologies and other results from the climate proofing process are used for (→ 38) exploring the scaling of approaches, which are shared with decision makers for adoption by extension. Also, they enter (→ 39) feasibility studies on design and benefits of CSA investments. This contributes to output 1 through quality knowledge products (→6), whereas increased knowledge and conceptual capacity including gender result in the development of investment proposals for CSA scaling (→41). This links to output 3 (→60) and the formation of strategic partnerships (→64). The climate proofing process results in (→42) improved capacities of SADC member states to promote CSA practices and strategies. (→81) SADC member states utilise their increased capacity to integrate climate change aspects into agricultural programmes and investments.
Main assumptions	Government department acknowledge the value of climate smart investments and are committed to support the formulation of investment proposals.
Risks/unintended results	Multi-country approaches require political support in member states. Lack of support to implement regional projects could result in reduced benefits and motivation, hampering interest in regional exchange and collaboration.
Alternative explanation	Other regional, global and bilateral programmes independently support member states in strengthening their capacity to promote CSA/CA like FAO, IFAD, UNDP, World Bank, NGOs and Green Innovation Centres (BMZ/GIZ).
Confirmed/partly confirmed/not confirmed	The hypotheses contributing to outputs and outcome is partly confirmed.

The broad range of trainings (thematic trainings, training of trainers, write workshops, webinars) offered by the project across the intervention areas represented a major contribution of the project to the development of capacities of technical and management staff of stakeholders. More than 800 stakeholder staff across all member states (about 40 % females) were reached by the project with a total of more than 7,000 participants in 59 training events including on-the-job training (Int_3, 22, 44, 45; ACCRA, 2020). Activities included topics such as CSA practices and approaches, concept development, resource mobilisation, addressing a wide range of stakeholders from ICKM focal points, extension agents, scientists and policy/planning officers.

The project itself stated that it could have done better in addressing gender and youth as beneficiaries (Int_5, 43-45). Despite the explicit interest of stakeholders in raising gender equality (Int_9, 35), analysis of a dozen concept notes showed that except for the identification of women as a target group, there has been little evidence of a systematic involvement of women in proposal development, role of women in programme delivery, specific targeting of women and vulnerable groups, empowerment of women, do-no-harm/non-discrimination or identification of realistic measurable targets (Greencroft Economics, 2020a-c; Int_22, 26).

In conclusion, hypothesis II is partly confirmed with regard to increasing the capacity of SADC member states through climate proofing processes. Despite the evidences on plausible contributions of the comprehensive activities to output 2, the contributions of the project were limited due to several reasons, which also affected the plausibility of its contribution to achieving of the objective (outcome).

The assessment of hypothesis III is difficult to separate from hypothesis II, since capacity building on conceptual know-how for proposal development and for resource mobilisation were covered to a significant extent under participatory processes of climate proofing, and initially considered as one single output. In

addition, to the specific activities on resource mobilisation, stakeholder staff who participated in the trainings and processes on proposal development thus benefited in a way which is comparable to the participatory climate proofing processes in acquiring knowledge and skill for resource mobilisation. Similar to the acquisition of conceptual know-how on climate change, the processes were perceived as a learning experience to resource mobilisation, aimed at laying a foundation for the resource mobilisation and implementation of future and bigger programmes. There was limited evidence in interviews for the utilisation of the increased conceptual and process knowledge by member state organisations (Int_29, 35, 38, 40).

As a result, member states participated in a technical expert role in proposal development and submissions by a few international and development actors. However, member states did not reach a stage where they could pursue proposals and submissions on their own to advance the scaling of CSA. Regional organisations like CCARDESA and FANRPAN now appear to possess the capacity to advance in resource mobilisation. Therefore, by providing comprehensive training opportunities for member states' stakeholders, ACCRA was considered as an enabler to mobilise further resources and project funding to continue and scale from pilot sites (Int_25, 26 36, 38).
In conclusion, hypothesis III is partly confirmed with regard to increasing the capacity of SADC member states on mobilising resources for addressing climate change. Despite the evidences on plausible contributions of the activities to output 2, contributions of the project to increased capacities of member states were limited due to several reasons, which also reduced the plausibility of its contribution to achieving of the objective (outcome).

Table 10: Selected results hypotheses for effectiveness – pathway 'resource mobilisation'

Hypothesis III (activity – output – outcome)	Stakeholders from member states develop proposals aligned to NDCs as a result of training on CSA proposal development (→62). A project pipeline is set up (→66) to orient processes of project development including gender equity and search for funding opportunities. Identifying suitable funding opportunities (→ 65), liaised stakeholders in workable consortia arrangements develop full proposals. Promising ideas and proposals by member states and CCARDESA → 68 are shared with development actors and financiers, followed by submission of full proposals (→70). This is an indicator of the increased capacity of member states for financing climate-smart practices for agricultural production systems. The experience of going through an exemplary process of proposal development for financing climate-smart practices (→82) contributes to resource mobilisation for agricultural programmes and investments to promote CSA.
Main assumptions	MS acknowledge the value of climate-smart investments, allocate resources for the development of investment proposals and support their submission.
Risks/unintended results	Availability and access to climate finance could be constrained, for example the prospect of the SADC Agricultural Development Fund (ADF) was unclear known as were requirements for accessing GCF. Access to finance was considered essential for the buy-in of the SADC MS to implement the RAP.
Alternative explanation	Climate change-related impacts urge SADC MS to take up climate change-related aspects, reorienting sector strategies, programmes and budgets.
Confirmed/partly confirmed/not confirmed	The hypotheses contributing to outputs and outcome is partly confirmed only.

Based on three hypotheses which cover the main result pathways, the expected contributions of activities and outputs to outcome were analysed. Contributions of the project to increased capacity of member states through regional knowledge management were significant and plausible, and are widely recognised. Contributions through climate proofing and resource mobilisation processes through staff training are comprehensive. However, increased competences were not systematically anchored and taken up by member states, to result in action by decision makers to integrated climate change into programmes and investments.

Effectiveness dimension 2 – Contribution to achievement of objectives – scores **26 out of 30 points.**

Effectiveness dimension 3: Quality of implementation

The assessment of implementation quality is based on the following criteria: Quality of steering including results-oriented monitoring used for evidence-based and timely decision making, pursuing a strategy agreed with partners, cooperation with relevant actors, transparency of the steering, and anchoring of processes in the partner system.

For obtaining steering support, the online results monitor tool of GIZ based on ACCRA's results model, which was initially used for Results-Oriented Monitoring (ROM), was replaced 2019 by processes of report writing (bi-annual reports to SADC, annual reports to BMZ), ICKM monitoring, by regular project meetings as well as by meetings with CCARDESA. However, it was emphasised that the main partner was not involved in decision making on project activities and allocation of budget (ACCRA/CCARDESA, 2020, Int_22, 45).

A capacity development strategy (ACCRA, 2017b) was developed involving project staff, CCARDESA and partner representatives from Botswana and Lesotho (Sorghum VC). It provided a focused analysis of the needs as well as orientation for the intended capacity development on knowledge management and climate proofing processes including the development of investment proposals, at the level of CCARDESA and of member states (MoA). However, this strategy remained an internal project document, which appeared not being utilised further and not to influence implementation at member state level. An important aspect with regard to the quality of cooperation and communication with stakeholders is the fact that the project's strategy was not made explicit and communicated to regional and to member state partners. Overall, interventions were not transparent and partly not understood by actors and stakeholder staff who were not directly involved in project implementation (Int_21, 29, 36, 40, 41). This affected a wider recognition of the project.

Cooperation arrangements with partners were important. The implementation gap of the regional project without direct relation to activities implemented on national and decentralised level is considered a typical challenge of regional measures. However, the assumption of the project that the multi-level approach was an adequate answer in the SADC context (GIZ,2014) is challenged by the evaluators. As collaborative arrangements with governments could not be administered, the project entered into contracts with research organisations and programmes like CIMMYT, CCAFS as well as PPF/ CI as implementing partners with a long-term presence, experience and established working relationships in the region and on the ground in member states (Int_3, 9, 12). As a consequence, the project had limited direct links to member state institutions to reach cross-fertilisation between intervention areas at a higher level in member states.

Steering of ACCRA remained with GIZ for a large part of the project, whereas SADC-FANR as the political partner was not involved for the major part of the project duration. While an advocacy role of the SADC-Secretariat within its regional structures and towards the member states was defined in the proposal (GIZ, 2014) though not utilised purposefully to engage member states, a steering mechanism was not foreseen in the proposal as well as in the implementation agreement (GIZ/SADC 2015a). Unresolved roles and expectations negatively affected the partner relations for some time (Int_3, 10, 21, 45, 59). However, the involvement of SADC-FANR was intensified and perceived as moving in the right direction towards the end of the project. While partners were not involved in the steering of the project, the CD strategy had foreseen the development of appropriate cross-border steering structures for each climate proofing project (ACCRA, 2017b). In case of the Maize-Legume Project, implementation could rely on an established regional steering structure of CIMMYT with local/national partners in Malawi, Zambia and Zimbabwe. In the case of Lesotho (Sorghum), the project could rely on a national core group which was established by RSDA with the MoA. It consisted of key stakeholders to coordinate at their end the implementation of activities with ACCRA (Int_9, 13, 35, 36, 40).

Anchoring of processes in the partner system worked out well for knowledge management on CSA and the development of the regional ICKM platform, both at the level of CCARDESA and by involving member states through an active COP. The project was implemented side-by-side with CCARDESA as implementing partner,

including the infusion of GIZ's project planning model into CCARDESA's way of doing business. This resulted in a close working relationship of GIZ and CCARDESA, which enriched the management culture of CCARDESA and was positively echoed by stakeholders (Int_3, 22, 25, 26, 31).

Regarding the participatory processes of climate proofing and proposal development, links of the project to member states were largely through implementing partners and through staff who participated in trainings. A systematic anchoring and linkages of these processes with mechanisms, structures or decision makers in member states could not be observed, Lesotho being one of the very few exceptions (Int_27, 29, 30, 32, 36, 40). The GCF readiness project has to be considered a special case as it comprised a country-specific collaboration, anchored in the MFED and the NCCC in Botswana (8, 33, 34, 42, 43).

In conclusion, the project was implemented and monitored in close collaboration with CCARDESA, in particular on regional knowledge management. The key implementing partner was closely involved project planning and implementation, whereas the political partner, SADC-FANR was not involved in steering the project for the large part of the project duration. The regional project largely relied on linkages and working relationships of the contracted implementing partners with the member states. As a consequence of the delegation of climate proofing to implementing partners, the project had limited direct links to member states. In addition, the quality of cooperation and communication with stakeholders appeared to be affected since the implementation strategy of the project was not made explicit and communicated to member states and other actors in the region, thus was partly not understood by actors who were not directly involved in the project.

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

Effectiveness dimension 4: Unintended results

Monitoring of unintended results by the project and relationships of the main partner CCARDESA with SADC-FANR as well as with the member states are used as a basis for this assessment. These are touched upon in the risks stated in the project proposal and annual progress reports (ACCRA, 2019). These relationships are central areas for the project. When asked, the project and its implementing partners based on their own assessment largely stated that no unintended positive and/or negative results were observed in relation to the achievement of the project objective (Int_47-50). However, unintended results had not been monitored.

The relationship of the project with its key implementing partner CCARDESA of the overall project was rated and recognised positively by CCARDESA and SADC-FANR, by regional and international stakeholders as well as by member states. The institutional development of CCARDESA, which was not identified as a key result in the project's result structure (result of indicator level), constitutes a major positive result of the project. As a result, CCARDESA is now taking on an active role as R&D institution, standing out as a regional institution that facilitates the discourse on climate change. ACCRA underpinned the mandate of CCARDESA, providing the necessary strategic orientation (institutional strategy, MTOP), and facilitating enhanced collaboration and linkages of CCARDESA with stakeholders in the region including extension, a development which was recognised by stakeholders (Int_21, 22, 25, 26, 28, 31, 35).

SADC-FANR as the political partner had been not systematically involved in the project including the steering of the project, except for the initial quarterly and later biannual progress reports (see above in dimension 3). The low level of recognition of the young institution CCARDESA, subordinate to SADC-FANR, and its role as responsible implementing partner of the regional project initially negatively affected effective working relationships related to the project. During project implementation, however, the involvement of SADC-FANR was intensified and perceived as moving in the right direction towards the end of the project.

A main intended result is that know-how acquired by training participants is taken up by member state institutions. Focusing training of technical and management staff of lower rank in member states (cf. above)

without responding feedback from higher ranks in stakeholder institutions has affected the ownership of member states and the adoption of results to some extent. While this may not be considered per se a negative result, the weak anchoring of project activities in member states and the turning away of higher ranks from project activities at least contributed to reduced preparedness of MoA in member states to take on results towards integrating climate change into policies, strategies and programmes, which is the opposite of what was actually intended (Int_22, 23, 36, 40).

In conclusion, unintended results had not been observed by the project during the evaluation process, though an explicit monitoring of unexpected results had not been made by the project. However, a few negative effects were noted on relationships of the project and the key implementing partner CCARDESA regarding the roles of SADC as well as of decision makers in member states in promoting the adoption of CSA, which slightly reduced the scoring.

Effectiveness dimension 4 – Unintended results – scores **18 out of 20 points.**

Photo 1: Risk mapping undertaken by Eretsha community, Botswana (source: Jacques v. Rooyen)

Methodology for assessing effectiveness

Table 11: 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	Set of revised target indicators to be reached by regional project (GIZ, 2029e). SMART* criteria of the indicators are partly met (table 7 above), being relevant, time-bound and largely achievable. Specificity is limited (broad definition of 'SADC member states') as is measuring of results in member states due to capacity changes; one indicator was added to link regional level capacity development with stakeholder organisations in member states.	**Evaluation design:** Comparison of the actual indicator achievement with the set targets of the outcome indicators. **Empirical methods:** Semi-structured interviews and workshops/focus groups with project, implementing partners, different stakeholder groups incl. member states, regional, national and local levels and other actors in the region; self-assessments by the overall project and by the climate proofing projects.	Project data (technical aspects) of good but of lower quality on process-related information. Access to project, partner, ICKM/COP (MS) and regional actors adequate; access to extension and research stakeholders (MS) lower; MS staff on policy/planning/finance not responsive. Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual interaction Possibility to triangulate data and overall evidence strength reduced.
Contribution to achievement of objectives	Hypotheses (cf. Chapter 2.2) used as basis to assess member states' capacity to incorporate climate change: knowledge management, climate proofing and proposal submission. Risks and assumptions build on the project proposal (GIZ, 2014) and initial progress reports (GIZ, 2016/2017).	**Evaluation design:** Contribution analysis applied on contributions of activities to outputs and to outcomes, focusing on cause-effect relationships along selected pathways. **Empirical methods:** Interviews, focus groups and workshops (different levels and stakeholder groups).	See above; in addition, a high level of complexity of the regional project on knowledge management and capacity development at all levels at the same time, with a wide range of stakeholders at regional level and with SADC member states result in a low strength of evidence.
Quality of implementation	Quality of steering (results-oriented monitoring used for decision making, pursuing a strategy agreed with partners, cooperation with relevant actors, transparency of steering, processes anchored in partner system	**Evaluation design:** No particular evaluation design applied, following questions of the evaluation matrix (Annex 1). **Empirical methods:** Interviews with regional partners, member states and project staff.	Data at project and partner level available. Access to project and key partners adequate, but limited access to SADC MS, especially higher level. Possibility of triangulation, evidence strength at regional level is good.
Unintended results	Monitoring of unintended results and risks stated in the project proposal and annual progress reports, and the gender and youth analysis report (ACCRA, 2019).	**Evaluation design:** No particular evaluation design was applied. **Empirical methods:** Interviews, self-assessments, focus group discussions, workshops (different levels and stakeholder groups) to reflect/identify possible unintended (positive and/or negative) results at output level.	See above (achievement of intended objective and contribution analysis).

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

4.5 Impact

This section analyses and assesses the impact of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

Summarising assessment and rating of impact

Table 12. Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development changes/results	18 out of 30 points
	Contribution to higher-level (intended) development results/changes	25 out of 40 points
	Contribution to higher-level (unintended) development results/changes	30 out of 30 points
Impact score and rating		Score: **73 out of 100 points** Rating: Level 3: moderately successful

Various changes at policy level are on the way, regarding national plans and climate change strategies across member states. On the ground, wide-scale implementation of CSA programmes up to now has been very limited. ACCRA made plausible contributions to intermediate impact through knowledge management, various training activities and the climate proofing processes, while creating a potential for longer-term impact. It takes a much greater and continued effort for several years to achieve wide-scale impact and to advance much beyond the early stages of mobilising additional resources to finance CSA programmes and to achieve higher-level changes and long-term impact of regional climate resilience, food security and mitigation on a wide scale, which potentially exists. Up to now, the project largely contributed to intermediate results and medium-term impact. There is little indication of unintended negative and positive results due to the project interventions.

In total, the impact of the project is rated Level 3: moderately successful, with 68 out of 100 points.

Analysis and assessment of impact

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

A current scientific report of 2021 (Komarek et al., 2021) analyses how the adaptive capacity of production systems to climate stress has been significantly improved through CSA practices such as crop diversification (legume rotation), soil coverage or drought tolerant crop varieties. Such practices reduced negative effects of heat stress on the production of the overall cropping system. This study analysed data sets of on-farm research from 2005 to 2019 (14 seasons) from 10 communities across six districts in Central and Southern Region of Malawi. Based on this research, countries like Malawi, Zambia and Zimbabwe are considered to benefit most from CSA. However, adoption rates of adaptive production systems remained low averaging 2.5% (Bossuet and Thierfelder, 2019; Int_29-30). Scaling of CSA practices through national programmes has been initiated in a few countries like Zambia and Malawi and recently in Zimbabwe through ‘Pfumvudza’, a huge public programme, which intends to reach 1.8 million smallholders with a CSA approach (Int_9, 29, 30). A key challenge to CSA adoption in drought-prone Southern Africa are trade-offs related to uses of crop residues as ground cover versus uses as fodder or building material. Dis-adoption due to labour-requirements for weeding and lack of functional markets and enabling policies are cited as challenges as well. Also, research indicates a limited, non-significant potential contribution of CSA to mitigation by increasing soil-carbon (Bossuet and Thierfelder, 2019).

Results of this evaluation indicate a large potential for adoption based on the climate proofing processes (Int_36, 40). Adoption rates estimated for pilot sites ranged from 10 to 50%. At sites where farmers did not want to take risks they did not adopt. Often immediate economic gains or social benefits (labour savings) determine farmer-decision making. For Malawi, adoption of CSA on about 200,000 hectares has been estimated by FAO (Int_9, 36). Reliable data is very rare. Therefore, it is difficult to project adoption of CSA on a wider scale. Dry spells and droughts accelerated adoption as significant benefits from CSA became evident. The high potential of CSA practices for farming systems to increase food, nutrition and income security due to the significant economic, social, environmental and economic benefits as shown by adaptation-related research, has not been realised yet as stakeholder confirm for several countries (In_47, 49). Climate adaptation of current farming systems will depend to a large extent on continued donor support and on an enabling environment for scaling climate smart interventions (Int_47).

Stakeholders unanimously confirmed reports by the project (Int_3-5, 43, 50) that there is a much-increased awareness among stakeholders including farmers now on climate change adaptation and mitigation. Efforts to address climate change-related effects and to achieve impact on the ground have substantially grown (Int_22, 26, 27, 31, 31, 36, 38, 40-42). However, as stakeholder indicated, there is still need for much more to be done. An active landscape of organisations on agriculture and climate change emerged (internationally, regionally). At global level, African negotiators became more recognised in the climate change arena, aiming to achieve food security.

A conducive global policy environment for addressing climate change related to rural development has developed. This led since 2016 to an enhanced visibility of agricultural topics in the political debate. At regional level, climate change is now being acknowledged by the revision of regional policies and strategies (RISDP II) (Int_50). Triggered by the 2015/2016 El Niño and subsequent droughts in 2019, most member state governments acknowledge the need of climate change-related action in the agriculture sector. A lot of dialogue activities have been going on, which resulted in responses, often through policy changes. Individual countries update their policies and strategies to include climate change and CSA. Some seven member states developed a cautious approach to CSA (Int_41). CSA investment plans in Southern Africa are reported for Lesotho, Zambia and Zimbabwe frameworks by World Bank (2021). CSA Frameworks are reported on Malawi, Zambia and Zimbabwe (GIZ, 2021), some countries report national or regional CSA programmes like Namibia and Tanzania or ongoing revision of agricultural policies (Botswana, Eswatini, Mozambique) (CCARDESA, 2020), Increasingly, adaption and mitigation targets were mentioned in the NDCs of SADC member states and all member states are addressing climate change (Int_50).

Actual policy changes, however, take a long time. In Botswana for example, a Draft Climate Change Policy was developed in 2017/2018, which has not been approved to date by parliament. This step is required to be able to develop and implement a NAP (Int_41). In Botswana, the agriculture sector is considered the forerunner on climate change among the sectors with the capacity it has acquired. Here, the MoA participated early on in international negotiations and it was involved in a successful submission of a CSA project to GCF (Int_42).

Overall, various changes are on the way at policy level, regarding the development of national plans and climate change strategies across member states and by the SADC Secretariat (RISDP 2021-2030). On the ground, the implementation of CSA programmes on a wide scale up to now has been very limited. The high potentials but low adoption rates are taken into consideration in assessing the development changes towards increased climate resilience, food security and mitigation in the region. The assessment is based on the measures and achievements foreseen by the SADC Climate Change Strategy and Action Plan of 2015, its strategic interventions in relevant action areas and the expected immediate outcomes of the RAP to which a direct contribution of the project is intended.

Impact dimension 1 – Higher-level (intended) development changes/results – scores **18 out of 30 points.**

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

For analysing the project's contribution to increased regional resilience, food security and mitigation through increased capacity of SADC member states to integrate climate change-related aspects into programmes, the following two hypotheses were selected to underpin two pathways:

The first (hypothesis IV) relates to agricultural extension, which represents a key transformation wheel for promoting and introducing CSA among the rural population. Extension and development agents in all SADC member states directly interact with farming communities through various means, providing necessary advisory support, facilitating demonstration of practices as well as exposure and learning opportunities among farmers. The second (hypothesis V) relates to the management and leadership of stakeholder organisations, in particular in MoA, who play an important role in anchoring climate change related aspects in policies, strategies and programmes in SADC member states. Their support is essential to ensure institutional commitment, prioritisation as well as the financial and human resources for developing and implementing programmes on a wide scale and to facilitate the necessary collaboration among different stakeholders.

Both hypothesis analyse plausible cause-effect relationships to highlight the contributions of the project to higher-level impact: Agricultural extension services are a major target of improved knowledge management and training efforts of the project who are enabled in promote CSA among farmers, since government and other stakeholders increasingly prioritise CSA principles in their strategies (hypothesis VI); similarly, knowledge and skills for concept formulation linked with know-how for resource mobilisation acquired through participatory climate proofing processes, training and specific support enable stakeholders in member states to contribute to adoption of CSA on a wide-scale by farmers through accelerated programme implementation (hypothesis V).

ACCRA has significantly raised the awareness of different stakeholders at all levels and contributed to an improved understanding of climate-change related effects and of how and when CSA practices and technologies work. While ACCRA built on initiatives by institutions like FAO (Int_41, 50), a strong contribution on this was confirmed by all national, regional and international stakeholders. This was attributed to the substantial contributions to the dissemination of high-quality knowledge products, vulnerability assessments and training tools as well as by providing actual trainings on various topics (Int_12, 23, 25-27, 29, 30, 31, 32, 35, 36, 40). However, it was not possible to clearly attribute to the changes the effects of the wide-ranging training capacity development measures, which reached more than 800 technical and management staff of different types of stakeholder organisations from up to 13 different member states. Overall, there are challenges of attributing any of the foreseen changes to interventions by ACCRA. Main entry points were at regional level with a focus on knowledge management and on offering capacity development of technical and management staff of regional and national organisations (government, private sector, civil society). Very little direct support to stakeholder organisations in SADC member states was provided. Also, the project was not designed to orient and advise national and decentralised planning and implementation processes.

ACCRA was largely perceived as a catalyst, setting the base for a wider promotion of CSA in the member states and across the SADC region. The project is recognised for providing reference points for CSA implementation in the region. At policy and strategy level, the project provided direct and indirect support to CSA framework development (Malawi, Zambia), supported the development of Lesotho's extension strategy, reviewed and commented on agricultural strategies of other member states to integrate climate change and gender in agriculture policies, gender policies in agriculture. The actual transformation of CSA knowledge disseminated by the project and by capacitated multipliers into the implementation extension approaches and programmes remained uncertain, except of the few cases stated above (Int_21, 23, 24, 29, 40, 41, 47).

A stronger impetus of ACCRA's interventions in member states was achieved in a few countries only, where ACCRA placed a stronger focus on and/or provided a range of different kind of support over time, such as in Botswana, Lesotho and Zimbabwe. A strong push from ACCRA to take up CSA came through developing and

strengthening regional cooperation, which provided exposures to experiences in other countries, stimulating the adoption of CSA practices for example in Zimbabwe (Int_30).

In some cases, stakeholders indicated that ACCRA tried to lobby on CSA and gender, though experienced difficulties in getting organisations and people to respond (Int_50). This corresponds to the finding that ACCRA lacked systematic and/or formal linkages between its individual capacity building, awareness raising activities and the higher-level decision makers in member state governments. While participatory climate proofing processes were acknowledged, low levels of actual involvement of member state governments with the project turned into weak linkages between the results and their exploitation. Also, the support provided was not sufficient to increase transformation of the capacities built through ACCRA on the ground (Int_26, 29, 36, 40, 48).
A stronger direct involvement of ACCRA through implementing partners was realised at decentralised and local levels with the participatory climate proofing processes. Farmers and extension officers and researchers who participated in the project gained considerable new knowledge about CSA practices. Climate proofing of key systems through a participatory research process facilitated substantial awareness raising of farmers through the extension service (Int_27, 36, 40). This was confirmed by farmers who participated in this process (FGD_1-3). Achievements of these processes were limited due the short time frame of about one year. In some cases, project interventions were not able to realise demonstrable changes at community level, but promising climate proofing provided a starting point for stakeholder organisations (Int_47-49). Good practices such as the 'herding for health' take 3-5 years to become embedded in communities before scaling initiatives can start (Int_36, 38). Due to the long-term experiences of CIMMYT in the region, the piloting of practices in the maize-legume systems in Malawi, Zambia and Zimbabwe laid the foundation for stakeholders to promote wide-scale adoption. For this, however, many years and substantial support are required.

ACCRA contributed significantly to mainstreaming climate change at CCARDESA where it became a focal area. CCARDESA became recognised in climate change issues far beyond the member states, triggering interest by people from all over Africa wanting to participate in climate change training (Int_50). Some stakeholders considered the strengthening of knowledge management and of the role of CCARDESA as a knowledge broker as the main contribution of ACCRA. However, what ACCRA contributed in the member states was not always understood and contributions were not transparent to other actors (Int_21, 29, 41). This is related to ACCRA's mode of implementation partly through other well recognised international partners such as CIMMYT, PPF/CI, CCAFS/ILRI, and FANRPAN. As such, these contributions could not be distinguished and recognised as ACCRA support.

In conclusion, taking the medium-term impact into account, while much effort will be needed to realise the potential of longer-term impact in the future, the hypothesis was partly confirmed.

Table 13: Selected results hypotheses for impact

Results Hypothesis IV (outcome – impact)	The utilisation of quality services and access to knowledge on CSA from improved regional knowledge management (output 1 → 80) and increased conceptual and process knowledge of stakeholder staff from participatory climate proofing (output 2 → 81) translates into programmes and investments that have effectively integrated climate change aspects. → 84 Extension strategies are implemented by member states that widely promote CSA practices and technologies among VC actors. This is the case, because MoA and other stakeholder organisations in SADC member states prioritise CSA principles in their strategies and policies and train management, trainers and field staff on CSA. Farmers exposed to CSA adopt practices and technologies, which results in increased productivity and reduced vulnerability to climate change, thus contributing climate resilience.
Main assumption	(not formulated in the proposals and the reports); policies and priorities of SADC member states remain committed to climate change-related responses; increased awareness of decision makers turns into attitude changes and increased budget allocation to promote CSA on a wide scale.
Risks	(not formulated in the proposals and the reports); decision making by rural communities could be overruled by other external or internal factors, which keep them from adopting or to continue practicing CSA.
Alternative explanation	(other donor interventions in member states like FAO, ACT Alliance)
Confirmed/partly confirmed/not confirmed	The hypothesis of outcome contributing to potential impact is partly confirmed.

The intervention on resource mobilisation yielded some successful results towards the end of the project, e.g. Botswana's first GCF project with PPF/CI worth EUR 84 million. ACCRA contributed substantially to the development of quality concept notes (utilisation of business cases) and to several submissions of investment proposals. The potential impact cannot be foreseen but is expected in about five years. The potential impacts could increase in the long-term if member state governments increase their engagement and intensify their initiatives. For now, the process and training on concept note development contributed to a good conceptual understanding of CSA and resulted in project concepts. Carrying these results forward at national level, however, was reported to be rather difficult for the member state stakeholders. Going through the participatory processes of proposal development, member states have not gone much further towards mobilising resources based on the project proposals (Int_23, 26, 40).

The project prepared member states for future resource mobilisation. However, there is a continued need for more capacity building to service providers including gender responsive approaches to be able to succeed with upscaling. Financial support to CSA networks is not considered adequate and programmes, projects have often been fragmented and existing opportunities for scaling up have not been fully utilised. While ACCRA contributed substantially to instil a new way of thinking about climate change away from a 'silo' mentality (Int_25, 26, 31), this thinking is still reported as weak. This situation is exacerbated by suboptimal research-extension linkages and lack of coordination in order to effectively disseminate CSA technologies on a broad scale (CCARDESA, 2020).

GCF achieved its objective in Botswana, though access to finance appeared to remain still a challenge. Most projects were reported to still be quite small. Botswana is considered to be just at the beginning with developing policy, action plan and projects. At the end of the project, signs were there for first submissions to GCF through the NDA. Overall, the capacity of Botswana to develop proposals is still considered weak (Int_42). For some activities, despite requests by the partners, the direct contribution to the impact pathway towards increased implementation of agricultural CSA programmes was not evident. One example was the ACCRA supported a meeting of SADC focal points to UNFCCC as a common SADC position (GIZ/SADC 2019 report; Int_50). It could not be confirmed that this activity contributed to an enhanced visibility of the agriculture sector in the climate change context.

In conclusion, taking into account the intermediate results and early stages of mobilising additional resources related to climate financing, the hypothesis of was partly confirmed only.

Table 14: Selected results hypotheses for impact

Results Hypothesis V (outcome – impact)	Increased conceptual and process knowledge of stakeholder staff for promoting CSA practices and strategies from participatory climate proofing along with knowledge and skills for formulating concepts and proposals for scaling CSA (output 2 → 81) and linked with support to develop full investment proposals and exposure to funding mechanisms and financiers (output 3 → 82) translates into programmes and investments that have effectively integrated climate change aspects. (→ 85) SADC member state stakeholders are implementing investment programmes, which are aligned to climate change-related targets of plans and policies at national and regional levels (NDC, RAP). This is possible, because decision makers are committed to prioritise climate change responses and to allocate staff and financial resources to proposal development and submission. As a result of programme implementation, the promotion of CSA in SADC member states is accelerated. This is expected to lead to widespread adoption of CSA practices and technologies by rural (farming and herding) communities. Reduced vulnerability to climate change, increased productivity and diversity of crops, and improved sustainability of agroecosystems and rangeland result in increased climate resilience and food security across the SADC region.
Main assumption	(not formulated in the proposals and the reports); policies and priorities of SADC member states remain; increased awareness turns into attitude change and increased budget allocation to promote CSA.
Risks	(not formulated in the proposals and the reports); decision making by rural communities could be overruled by external and by internal factors, which keep them from adopting or to continue practicing CSA.
Alternative explanation	(other donor interventions in the member states)
Confirmed/partly confirmed/not confirmed	The hypothesis of outcome contributing to potential impact was partly confirmed only.

Overall, ACCRA made plausible contributions to intermediate impact through knowledge management, various training activities and the climate proofing processes, while creating a potential for longer-term impact. It takes a much greater and continued effort for several years to achieve wide-scale impact and to advance much beyond the early stages of mobilising additional resources to finance CSA programmes and to achieve higher-level changes of regional climate resilience, food security and mitigation on a wide scale. Thus, the two hypotheses were partly confirmed.

Impact dimension 2 – Contribution to higher-level (intended) development results/changes – scores **25 out of 40 points**.

Photo 2: Soil moisture retention, practiced by farmers in Malawi (FGD_1-3) (source: Christian Thierfelder)

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

ACCRA and its implementing partners could provide little indication of unintended negative and positive results. Also, related to the risks stated above noteworthy unintended results cannot be given. Throughout the project evaluation process, there were very small indications at impact level related to the risks stated above, which were used as a base for the assessment. It has to be noted that significant achievements, which were not explicitly anchored in the Theory of Change of the project, relate to gains by member states through regional exchange, collaboration and development of proposals for jointly addressing climate change as a problem across the region. These gains were highlighted across different stakeholder groups and member states (Int_23, 25, 27, 31, 36, 42, 48).

A challenge related to the intervention on resource mobilisation and the GCF readiness project, which was noted, related to transfer of the responsibility of the NDA from the Ministry of Environment to the MFED, after the proposal had already been developed under the Ministry of Environment, while access to climate finance activities at MFED had earlier been conducted with other support prior to activities supported by ACCRA. Taking a meta perspective at the end of the project, these effects were sufficiently addressed and appeared minimal compared to the overall achievements in this area.

In conclusion, there is little indication of unintended negative and positive results due to the project interventions.

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

Methodology for assessing impact

Table 15: 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	SADC Climate Change Strategy and Action Plan of 2015 and its strategic interventions in relevant action areas; immediate outcomes of the Regional Agricultural Policy of SADC (direct contribution of project intended). Intended impact of project: contribution to increased climate resilience, food security and mitigation in the region.	**Evaluation design:** Comparison of intended project impacts with actual development changes, following the analytical questions of the evaluation matrix (see Annex 1) **Empirical methods:** Self-assessment of project team and partners (workshops), triangulated with interviews from different stakeholders who provide expert opinions on changes at impact level and field visits.	No data by project and overall limited availability of factual data on changes at beneficiary level in member states and across the region. Access to project, partner, ICKM/COP (MS) and regional actors adequate; access to extension and research stakeholders (MS) lower; MS staff on policy/planning/finance not responsive, markably reduced evidence strength.
Contribution to higher-level (intended) development results/changes	Two hypotheses, consistent with relevant targets of the SADC Climate Change Strategy and Action Plan of 2015 and its strategic interventions and immediate outcomes of the RAP (see dimension 1).	**Evaluation design:** Follows minimum standard of contribution analysis, i.e. contributions of project outputs to outcomes to impact). **Empirical methods:** Qualitative interviews with extension/research of member states and key resource persons, focus groups with farmers, and self-assessments by project and partners. Triangulation by drawing on different tools and perspectives beyond those who implemented.	See above and continued from above: Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual interaction Possibility to triangulate data and overall evidence strength reduced.
Contribution to higher-level (unintended) development results/changes	Risks stated in proposal and progress reports, context studies (gender, youth) by project and conclusions from observations from self-assessments and interviews).	**Evaluation design:** No particular evaluation design applied. Standardised questions in the Evaluation Matrix. **Empirical methods:** Additional qualitative questions asked and observations made during semi-structured interviews.	See above; very limited access to stakeholders and other sources in member states to study contributions to higher-level unintended development results; see above

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 1).

Summarising assessment and rating of efficiency

Table 16. Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	Production efficiency (Resources/Outputs)	55 out of 70 points
	Allocation efficiency (Resources/Outcome)	15 out of 30 points
Efficiency score and rating		Score: **70 out of 100 points** Rating: **Level 3: moderately successful**

Cost/benefit ratios were favourable at output level. Overall, building the capacity of regional knowledge management and institutional capacity at CCARDESA, a key achievement of the project, has been achieved reasonably cost-efficient. Benefits from the climate proofing projects could have been fully capitalised and by reaching a higher quality of achievement by extending the short duration of the multi-country projects with little additional efforts, by making interventions more strategic and targeted, by connecting different trainings offered and other capacity development activities and by embedding interventions much more systematically within member state institutions or national processes. A higher quality of achievement would have shown in a greater ownership of member states to advance concept notes and proposals.

Recognising the achievements of an improved understanding of climate change-related issues, of increased awareness on the importance of climate change and of concept development and resource mobilisation among the stakeholders who participated in project activities must be put into relation to the efforts, which aimed at increasing the capacity of stakeholder institutions. Except in very few cases, evidence could not be found, resulting in a much lower cost/benefit ration compared with to outputs. The project could have chosen a much more strategic approach in addressing selected stakeholders with targeted activities at lower cost or by anchoring its inventions in the targeted SADC member states to ensure a transfer of competences acquired through participation in project activities to respective action by the stakeholder organisations.

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

Analysis and assessment of efficiency

Efficiency dimension 1: Production efficiency

Appropriateness of the relationship of costs to outputs is analysed based on the ratio of achievement of outputs in relation to the costs, taking into account approaches and instruments, shifts of resources among outputs, and contributions of partners. The ‘Follow-the-money approach‘ (Level-1 method) and indicators (Level-2 method) provides the design for analysing standard evaluation questions by using the GIZ efficiency tool.

Table 17. Distribution of project costs among outputs and overarching costs (GIZ, 2020d and e).

Outputs	Output 1	Output 2	Output 3	
	SADC member states have improved knowledge management for disseminating climate-smart agriculture.	SADC member states have increased their capacities for disseminating CSA practices in agricultural VC.	SADC member states have increased their capacities for financing CSA practices in agric. production systems.	Overarching costs of project
Costs	EUR 2,385,753	EUR 1,841,151	EUR 1,207,675	EUR 810,652
Partner inputs	EUR 45,000	EUR 3,750	EUR 3,750	EUR 22,500
Total costs	EUR 2,430,753	EUR 1,844,901	EUR 1,211,425	EUR 833,152
Total costs in %	38%	29%	19%	13%
Residual	EUR 394,897	EUR 394,897	EUR 406,864	-

The project approach was structured in regional knowledge management linked to CCARDESA addressing the entire region, i.e. all SADC member states (output 1), capacity development and on-the-job training of staff from six selected member states through participatory climate proofing (output 2) and strengthening access to climate finance of some 10 member states (output 3) (GIZ, 2018c; Int_1, 3-5, 43).

The largest share of costs was by output 1 (38 %), followed by output 2 (29 %) and output 3 (19 %), whereas overarching costs made up 13 % (Table 17). Costs are largely composed of personnel, financing and material. Cost of national personnel is almost equally distributed among outputs. International staff costs are highest for output 1 (47%), followed by output 2 (33%) and output 3 (20%). Financing costs were highest for output 2 (43%), followed by output 1 (35%) and by output 3 (16%). Material costs constituted a relatively small share and were highest for output 1 (43%), followed by output 3 (27%) and output 2 (24%). Partner contributions were highest to outputs (60%), following by overarching costs (30%), and outputs 2 and 3 (5% each).

Markable achievements were reported for all three outputs. CCARDESA, all member states, regional level stakeholders as well as other actors directly benefited from output 1 on knowledge management (services provided through CCARDESA), whereas six member states directly benefited from output 2 on climate proofing processes and some 10 countries benefited directly from output 3 on resource mobilisation.

Taking into account that ACCRA was designed as a regional project with CCARDESA as the key implementing partner and considering the significant achievements there, the large investment into regional knowledge management (output 1), being a main stay of the project was properly justified. The amount of funds was well utilised for the institutional strengthening of CCARDESA, which was very weak at the start of the project, as knowledge broker and coordinator of R&D for the entire SADC region, as well as by improving knowledge management through a multi-functional platform and resource on climate change benefitting a wide range of stakeholders (Int_3, 25, 26, 31, 45). Also, it was reasonable that activity areas related to the improvement of the ICKM system and services and the related institutional strengthening of CCARDESA were implemented through a financial agreement with a specialised consultancy (Int_4, 22, 23, 41). An important element of regional knowledge management is the strengthening of the cooperation with the member states through a Community of Practice (COP), networking and partnership development. More results could have been achieved with the same resources by combining the technical training of the ICKM focal points in member states with financial and material support to close the gaps at national level. This would have complemented very well the support at regional level to CCARDESA and increased the effectiveness of ICKM focal points by strengthening their capacity and role within their national context as nuclei for dissemination within the MoA

and as effective members of the regional Community of Practice (Int_29, 36, 40, 47). Also, this could have served as a means of increasing the number of knowledge products on climate change with limited costs by focusing at regional level on the curation and quality control of products uploaded to the platform, while capitalising on the internationally recognised resource centres, such as CGIAR institutions and the related CCAFS programme, which brought strong technical competence and high quality knowledge products to the regional platform. Considering that overall costs for material and equipment were relatively low, a shifting of a limited part of the budget to materials and equipment for member states would have been required.

Separating an assessment of the efficiency of output 2 and 3, except for the GCF readiness project, is difficult, as increasing the capacity of SADC member states for disseminating climate-smart practices (output 2) and in financing climate-smart practices (output 3) were initially addressed by one output, through similar participatory processes and linked to each other (GIZ Progress reports 2016-2018/2019).

Participatory climate proofing processes were addressed by three multi-country projects on maize-legume (Malawi, Zambia, Zimbabwe), on sorghum (Botswana, Lesotho) and on livestock/rangeland management systems (Botswana, Lesotho, Mozambique, Zambia, Zimbabwe) (GIZ, 2019e) resulting in selected knowledge products (such as feasibility studies and risk assessments), in the development of a number of concept notes and in increased competence of individuals who participated in the processes as well as in specific training activities. At first site, the investments in climate proofing processes (output 2), which were implemented through financial and grant agreements, appeared to be highly cost-efficient.

However, agreements had a very short duration (12 to 18 months) with little consistent and direct links to other interventions by the project, except to climate finance (output 3), and largely without being embedded in stakeholder organisations or at national level in member states (cf. chapter 4.4 above). Also, climate proofing processes were based on a limited number of small pilots in each country, involving few extension and research staff and communities on the ground. While specific training activities addressed to a large extent output 2 and 3 in addition to on-the-job trainings (participatory processes), they reached a total of more than 7,000 participants (cf. chapter 4.4). Again, these activities were not well connected with other interventions and did not represent a targeted capacity development of stakeholder organisations. The approach of addressing a wide range of individuals from field extension, research and national MoA including extension, programming/planning, finance and policy is considered not a very efficient approach.

Efficiency for increasing the capacity of SADC member states on climate proofing and finance could have been to a significant extent by linking different activities such as the capacity development on design and implementation of training modules and other training activities such as workshops on climate proofing of policies, strategies, programmes and investments and by integrating them under output 2 and 3. With the same level of resources the efficiency could have been also increased by a systematic embedding of training individual extension staff, researchers and planning/policy officers in national stakeholder organisations and targeting selected stakeholders with tailored training offers could have substantially. At the same time, facilitation of linkages between capacity building activities, climate proofing and national processes and planning could have increase the quality of the results by a much stronger commitment and ownership of stakeholder organisations to take up the results of the project.
Similarly, achievements from capacity development on resource mobilisation could have further increased with a similar level of resources by a clearer focus and targeting of the capacity development and support activities on proposal development for country specific contexts and mechanisms as well as with regard to orienting proposals towards specific funding tracks. Thereby the level and quality of involvement of member states in investment proposals, which were submitted mostly by regional and international organisations, could have been elevated as well as their ownership and commitment to advance proposal development (Int_25, 26, 47).

A lot of support has been provided by the project, in particular by training technical and management staff from a significant number of member states on a range of topics related to climate change, CSA and proposal

development. Overall, building the capacity of regional knowledge management and institutional capacity at CCARDESA, a key achievement of the project (output 1), has been achieved reasonably cost-efficient. More could have been achieved with shifts of limited resources by capacitating ICKM focal points in their national contexts and thereby strengthening their roles. Investments in climate proofing processes (output 2) and climate financing (output 3), however, were lower, and not considered sufficiently cost-efficient. Benefits from the climate proofing projects could have been fully capitalised and by reaching a higher quality of achievement by extending the short duration of the multi-country projects with little additional efforts, by making interventions more strategic and targeted, by well connecting the different trainings offered and other capacity development activities and by embedding interventions much more systematically within member state institutions or national processes. A higher quality of achievement would have shown in a greater ownership of member states to advance concept notes and proposals.

Efficiency dimension 1 – Production efficiency – scores **50 out of 70 points**.

Efficiency dimension 2: Allocation efficiency

Appropriateness of the relationship of costs to outcome (achievement) is assessed based on the ratio of inputs to the achievement at outcome level, taking into account the approaches, instruments, ownership of partners and their involvement in steering as well as alternative approaches. The analysis follows the standard evaluation questions of the evaluation matrix.

The overall costs related to the project including a GCF readiness project in Botswana and measures related to Covid-19 add up to about EUR 8 million. Comparing the significant overall achievements of the outputs in relation to the costs involved with the achievement at outcome level, the latter showed a much lower cost/benefit ratio, especially when taking the evaluators' assessment of the achievement of objective indicators and the additional indicator introduced into consideration (Table 18). In order to translate increased capacity of SADC member states' stakeholders into agricultural programmes and investments which have integrated climate change-related aspects requires that the increased competences acquired by technical and management staff from participating in project activities are taken up and translated into decision making by the stakeholder organisations. Most of the concepts and proposals developed and submitted due to project support / training

recorded by the objective indicators with member state participation in a technical role. Member state organisations were still far from a level where they could pursue proposal development on their own (cf. chapters 4.5 and 4.5).

A main achievement found by the evaluation was an increased and deepened understanding of the climate change nexus an issue affecting all sectors, being not just an environmental issue. Raising awareness for example of leaders and decision makers in member states could have been achieved with very few selected knowledge products and well selected strategic and well targeted activities at much lower cost. This could have included an active engagement by SADC-FANR in actively promoting CSA among member states. The analysis of the effectiveness criterion (chapter 4.4) had shown that an increased utilisation and transformation of the knowledge and skills to promote CSA on a broad scale by the stakeholder organisations, in particular the MoA in the member states, so far has started in a few countries only like Malawi and Zimbabwe (Int_23, 27, 29, 30, 36, 40). Most member states had not reached a stage yet where increased awareness and understand would translate in respective programme development, budget allocation and / or mobilisation of additional resources for such investments.

Table 18. Level of achievement of outcome indicators and costs attributed to outputs (GIZ, 2020e)

	Module objective indicators and percentage of the achievement			
1 SADC member states have successfully submitted investment proposals for the dissemination of CS practices in VC amounting to EUR 30 million.	2 All investments submitted through SADC member states for the dissemination of CS practices in VC are planned for project proposals that contain measures for the improved participation of women in value creation.	3 Three SADC member states implement agric. programmes that contribute towards the agriculturally relevant targets defined in their NDCs and are aligned with the climate change-related elements of the SADC RAP.	4 Three national agricultural extension services apply priority climate-smart practices in their advisory strategy for agricultural producers, provided by CCARDESA or national agricultural research institutions.	5 CSA knowledge and skills acquired by training participants are institutionalised, i.e. enter organisational and/or national processes of SADC member states or the respective stakeholder organisations.
100%* (374%)	50%* (100%)	75%* (200%)	100%* (100%)	50%*
* Achievement as assessed by the evaluators				

It seems that a strategic approach with very few selected countries targeting specific stakeholders like agricultural extension and applied research could have served as a model for decision and policy makers for SADC and other member states for the promotion of CSA in the region. Anchoring such a strategic approach at regional and at national level could have ensured the ownership of decision makers and leaders in the key stakeholder institutions of member states (cf. chapters 4.4 and 4.5). In case of Lesotho, where national partners (RSDA, MoA) took the initiative of forming an active national core group in the country to coordinate activities with ACCRA among themselves (players at MoA, research, extension, field level and RSDA), this worked well (Int_5, 13, 35, 49). In a number of cases, where activities were not well anchored within member states they did not receive the required support by higher level management staff and decision makers in the MoA (Int_23, 29, 36, 40). For such an approach, the project would have required a defined implementation strategy, which could have been widely communicated among SADC member states and other actors.

A specific field for a strategic approach, which the project would have allowed to maximise the outcome in building the capacity of SADC member states, could have been the adaptation of extension strategies by targeting decision makers and extension leaders for the integration of climate change-related aspects.

However, the project spread its resources thinly by addressing a wide range of stakeholders at different levels from field level extension to research, to programming, planning and finance in MoA with a total of 95 capacity development and other activities including a total of more than 9,000 participants from all 16 member states, though most member states participated in at least four activities (Int_3, 22, 44, 45; ACCRA, 2020).

Recognising the achievements of an improved understanding of climate change-related issues, of increased awareness on the importance of climate change and of concept development and resource mobilisation among the stakeholders who participated in project activities must be put into relation to the efforts, which aimed at increasing the capacity of stakeholder institutions. Except in very few cases, evidence could not be found, resulting in a much lower cost/benefit ration compared with to outputs. The project could have chosen a much more strategic approach in addressing selected stakeholders with targeted activities at lower cost or by anchoring its inventions in the targeted SADC member states to ensure a transfer of competences acquired through participation in project activities to respective action by the stakeholder organisations.

Efficiency dimension 2 – Allocation efficiency – **scores 15 out of 30 points**.

Methodology for assessing efficiency

Table 19: 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)	Evaluation criteria: Achievements of outputs in relation to the applied approaches, activities and TC instruments (personnel, financing/grant agreements, equipment); potential shifts of resources among outputs; processes applied to resource utilisation; contribution of partners.	**Evaluation design:** Analysis along the questions of the evaluation matrix with the 'Follow-the-money approach' (Level-1 method) and indicators (Level-2 method. **Empirical methods:** Use of GIZ efficiency tool to assign costs to outputs; review of data with project, self-assessment of project and implementing partners; semi-structured interviews with project, partners, regional and national stakeholders for triangulation.	Financial data were accessible and largely attributable to costs; depth and differentiation of analysis limited due to large number and diversity of capacity development activities at regional and national levels incl. mixed representation of stakeholders, partly cutting across the outputs. Access to stakeholders in SADC states limited; ministry staff on policy, planning and finance not responsive, resulting a lower evidence strength.
Allocation efficiency (Resources/Outcome)	Evaluation criteria: Alternative designs: cooperation models at regional and national (member state) levels; relation of inputs (approaches, activities, TC instruments incl. personnel, financing/grant agreements, equipment; processes applied to resource utilisation; reflection of input-outcome relation; contributions of partners, ownership of partners and involvement in steering	**Evaluation design:** Analysis along questions of the evaluation matrix: To what extent could the results have been attained more cost-effectively? To what extent could the results have been increased using the existing resources? **Empirical methods:** Self-assessment of project and implementing partners; semi-structured interviews with project, partners, regional and national stakeholders for triangulation.	Continued from above: Reduced coverage and quality of data (no on-site examination, interaction quality, connectivity) due to virtual interaction. This limited evidence strength as well. See limitations of production efficiency above.

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 1).

Summarising assessment and rating of sustainability

Table 20. Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
Sustainability	Capacities of the beneficiaries and stakeholders	15 out of 20 points
	Contribution to supporting sustainable capacities	22 out of 30 points
	Durability of results over time	32 out of 50 points
Sustainability score and rating		Score: **69 out of 100 points** Rating: Level 3: moderately successful

Regional knowledge management has been well anchored at CCARDESA with improved services and strengthened institutional capacity. This includes an active Community of Practice, anchored in member states' MoA through national focal points who acquired competences and network linkages, though limited by national-level resources. CCARDESA is well recognised and visible as a regional knowledge broker including climate change. Capacities of regional organisations to take up climate change-related concepts through programmes and to promote the integration of climate change in the sector as well as to mobilise additional resources are well developed and anchored in their strategies. They are now able to take a much more active role in mobilising their constituencies. A dynamic among member states has emerged due to an increased awareness of SADC member states on climate change and policy change. Overall, climate change has not been sufficiently institutionalised and is far from translating policy changes into programmes for promoting CSA practices on a broad scale to farmers. Correspondingly, project support resulted in a significant level of sustainability with regional institutions. Capacities of member states to integrate climate change through investments and resource mobilisation has been least developed and anchored to become sustainable.

In total, the sustainability of the project is rated Level 3: moderately successful, with 69 out of 100 points.

Analysis and assessment of sustainability

Sustainability dimension 1: Capacities of the beneficiaries and stakeholders

The extent to which stakeholder organisations have the institutional, human and financial resources and the willingness (ownership) to sustain the positive results over time, is being assessed based on the capacities of CCARDESA and of member states regarding knowledge management, with regards to the existence of mechanisms to institutionalise wide-scale CSA promotion, and regarding the commitment of MoA and other stakeholders to allocate budget and/or to mobilise additional financial resources for CSA implementation.

CCARDESA has emerged as a recognised knowledge broker, visible and known beyond the SADC region with a focus on climate change-related issues (Int_25, 26, 31, 41). This includes a strengthened ICKM Community of Practice (COP), built on national focal points. Focal points have acquired increased staff competence, for example for effectively packaging information for different target audiences, regional linkages and networking for exchange and learning and taking part in regional knowledge management. At the same time, focal points

have significant limitations due to their national contexts and the resources provided, limitations in internet connectivity and in equipment like computers (GIZ, 2020e; Int_23, 27, 32). The up-to-date, comprehensive ICKM services, which include a rich resource base on CSA, are underpinned by CCARDESA's 10-year strategy and a 5-year mid-term plan. CCARDESA has been capacitated to the point of taking charge of implementing the CAADP XP4 Programme on behalf of IFAD/EU DeSIRA and to implement the agriculture-relevant elements of the EU GCCA+ programme of SADC FANR (CCARDESA, 2020; GIZ, 2020e; Int_23).
To what extent do mechanisms exist in member states to institutionalise the promotion of CSA on a wide scale? Some seven countries are perceived as currently implementing a sensible approach to CSA and conservation agriculture (Int_41). A substantial listing of CSA programmes, strategies and policies of Botswana, Eswatini, Mozambique, Namibia, Tanzania and Zimbabwe is included in the launch of the CAADP XP4 Programme (CCARDESA, 2020). Zambia and Zimbabwe are known for their scaling efforts with completed CSA frameworks and Malawi having adopted a CSA strategy. Thus, a dynamic has emerged across member states to review policies on climate change, as the agriculture sector becomes part of climate change discussions (Int_25, 31, 41). This shows that several member states started to systematically integrate CSA into programmes and investments and institutionalising the promotion of CSA (adaptation, mitigation). In Zimbabwe, the Shona name of the well-known programme 'Pfumvudza' now turned into a term describing a 'climate-proof farming concept' that ensures food and nutrition security at household level (Int_27). There are few indications in member states such as in Lesotho where mainstreaming of climate change into programmes and policies has been institutionalised through a coordination mechanism which facilitates consultation and decision making by bringing extension, research and other MoA players together to coordinate work related to climate change. In other member states partners struggled in lobbying with the policy decision makers and higher ranks in ministries to promote CSA as a package (Int_35, 36, 40). Overall, policy changes are yet far from transforming into broad scale adoption rates of CSA practices by farmers, which await to gain momentum (Int_9, 29, 40).

At regional level, changes are much more concrete: Regional organisations, including CCARDESA, are taking a much more active role now for the region on climate change, based on their strategies. SACAU and FANRPAN, for example, came together to form the Southern African Alliance for Climate Change (SAAFF), mobilising their respective constituencies (Int_22, 25, 31).

There has been a significant increase in the awareness and understanding of climate change-related issues and CSA in SADC member states and the region at large (Int_26, 27, 41). This has led in a few cases (in others not) to a change in policy and programming, backed by ownership at policy level for introducing changes. As a result, national budget allocations for climate change action have been institutionalised in these cases, which had not been the case in the past. Member states, however, did not acquire the capacity and do now have the ownership yet to pursue resource mobilization of additional projects through climate financing on their own. They have the technical capacity to participate in regional projects led by regional or international organisations, though they did not succeed so far in further pursuing specific project proposals on their own (Int_26, 27, 29, 40).

CCARDESA has the capacities and commitment to maintain and continue the regional knowledge management services, a main stay of the project. The active participation of member states (Community of practice) will be limited by the resources and their national contexts. The regional organisations have the capacities and ownership to continue concept development and resource mobilisation on their own. Member states have started to review policies and partly established frameworks. Overall, climate change has not yet been sufficiently institutionalised and is far from promoting CSA to farmers on a wide scale through programmes and investments. In a few cases, SADC member states were able to allocate budget related to climate change responses, whereas the majority of member states did not reach the capacity level and commitment to advance resource mobilisation for climate finance on their own.

Sustainability dimension 1 – Capacities of the beneficiaries and stakeholders – scores **15 out of 20 points.**

Sustainability dimension 2: Contribution to supporting sustainable capacities

The extent to which the project contributed to sustainable capacities of stakeholders is being assessed as well based on the capacities of CCARDESA and of member states regarding knowledge management, with regards to the existence of mechanisms to institutionalise wide-scale CSA promotion, and regarding the commitment of MoA and other stakeholders to allocate budget and/or to mobilise financial resources.

Strengthening the regional knowledge management at CCARDESA has been a mainstay throughout the project. The capacity to maintain and to further develop ICKM services at CCARDESA can predominantly be attributed to the comprehensive support by the ACCRA project, which extended far beyond knowledge management. It included strategic orientation and institutional strengthening of different aspects of organisational development (Int_4, 21-23, 25, 27, 31, 32, 41). The increased capacity, recognition and credibility of the organisation resulted in CCARDESA becoming the implementing organisation of the CAADP XP 4 programme on behalf of IFAD/EU DeSIRA and of the agriculture-relevant elements of the EU GCCA+ programme of SADC FANR. These programmes as well as the new project C-NRM (Climate Resilience and Natural Resource Management) implemented by GIZ and SADC will continue to accompany CCARDESA in consolidating its services and its role as coordinator of research and development for the SADC region. The contribution to the capacities of member states in knowledge management, however, is largely limited to increased competencies of ICKM focal points and to the establishment of regional partnerships and networks, whereas the context and conditions for the national agricultural information services are largely unchanged.

The project can be definitely credited for contributions to individual policy documents, for example the policy frameworks of Zambia and Zimbabwe, to the agriculture policy of Botswana, to the development of the extension strategy of Lesotho – a country which made use of the project to get started on addressing climate change - and possibly to strengthening the CSA strategy in Malawi. There are very few cases where the project interventions could be directly linked to anchoring CSA at national level mechanisms like in Lesotho with RSDA/MoA through a national core group on integrating climate change (Int_13, 35, 49) and in Botswana in the NDA and NCCC through the GCF readiness project at ministry level (MFED) (Int_33, 34, 42, 43).

Despite the massive training activities on a range of topics and through various formats (ACCRA, 2020), evidence is rather limited how know-how and experiences acquired by individual participants of CSA training and participatory research processes (climate proofing, resource mobilisation) actually strengthened the capacities of extension and research services, that CSA enters the programming of the institutions and that concepts and proposals are taken up or owned by policy/decision makers (Int_29, 36, 40). Links of the project/climate proofing processes to national decision makers and the MoA have been rather weak to be able to contribute to anchoring the benefits and capacities in organisations and national systems. Also, project interventions in member states were partly not owned by decision makers, not well understood by stakeholder staff and actors other than those directly involved in their implementation. Efforts of ACCRA in member states in relation to other donors and country projects appeared to be less noticed (Int_21, 29, 36, 38, 40, 41). Also, it seemed that focal points on climate change in MoA were not systematically involved in the project (Int_29).

Actual contributions of the participatory climate proofing processes in the selected member states (Botswana, Lesotho, Malawi, Mozambique, Zambia, Zimbabwe) often remained quite confined to the study pilots and the stakeholders, in particular scientists, involved in the processes on the ground (Int_9, 36, 37, 40, 47). However, the emerging impact potential of the pilots is notable and impressive to the involved stakeholders. This was convincingly confirmed by farmers who participated in the pilots, many of whom are serving as multipliers to other farmers or community members (FGD_1-3). This can be attributed to the climate proofing research approach of the project that linked with extension services, farmers and communities in the six selected member states, an approach which is considered unique by stakeholders (Int_27, 31, 35, 36, 49).

The area of resource mobilisation was particularly successful for the project by giving regional organisations like FANRPAN and SACAU as well as CCARDESA a significant impetus in internalising the concepts and in building the capacities to trigger their engagement in resource mobilisation and to enhance their lobby activities (Int_25, 31, 42). The approach of the GCF readiness process with the Government of Botswana, which became part of the resource mobilisation intervention, was per se anchored at national level by building the capacity of the NDA at the MFED, by making the NCCC functional and supporting the development of a national GCF programme (Int_8, 33, 34, 42, 43), though this activity did not have a direct contribution to project objective related to the agricultural sector.

There are mixed signs that the participatory processes of concept and proposal submissions and individual training activities with participants across member states have been sufficiently anchored in member states. In general, member state governments (MoA) actually still needed significant time and further support to establish internal mechanisms for resource mobilisation. Development of institutional capacities to pursue effective proposal development would have required a much bigger effort to enable member states to take up the mobilisation of additional resources on their own. Thus, member states so far took up a limited role contributing in their technical capacity to proposals for climate finance, which were developed and submitted under the leadership of international or regional organisations.

As a result of project support, regional knowledge management was successfully enhanced whereby CCARDESA has become recognised as knowledge broker and relevant institution. The future participation of the national ICKM focal points, which has been built as an integral part of the system with project support, will depend on the resources provided by member states or by CCARDESA through project funding. CCARDESA and other regional organisations were able to effectively transform project support related to climate change into capacities of promising sustainability and resilience including resource mobilisation. At member state-level, translation of conceptual and expert-level competences acquired by individual staff into strategies/programmes and their implementation by stakeholder organisations will depend on the favourable development of policy changes and decision making. The capacities acquired with regards to proposal development have not reached a level that enables member states to pursue resource mobilisation on their own.

Sustainability dimension 2 – Contribution to supporting sustainable capacities – scores **22 out of 30 points**.

Sustainability dimension 3: Durability of results over time

The extent to which the positive results due to the project are durable is being assessed based on the functioning of regional knowledge management, benefits and services at the level of regional organisations as well as benefits and services at the level of member state stakeholder organisations.

The SADC region is considered one of the most politically stable regions in Africa, one of the weakest aspects of regional integration being the area of infrastructure, whereas coordination is functioning relatively well (Lipper and Benton, 2020). The durability of the functioning of regional knowledge management set-up at CCARDESA is promising, considering that ongoing programmes managed by CCARDESA carry on the ICKM system services enhanced by ACCRA (Int_10, 21, 28, 41, 50). However, the active participation of ICKM focal points will depend on the facilitation and financial support of regional collaboration by CCARDESA and by the member states themselves. Also, it will significantly depend on whether the functioning ICKM work within MoA/national governments is further improved. It appears currently to be constrained among others by inadequate resources and facilities (Int_23).

The durability and resilience of other results at level of regional organisations appear quite promising and likely (Int_21, 22, 25, 26, 31). During the implementation of ACCRA side by side with CCARDESA, the organisation has been strategically oriented and become quite stable. CCARDESA is being increasingly recognised to take a lead for coordinating research and development in the region. It is being charged with project implementation

(see above) and other regional programmes such as C-NRM, a project following ACCRA and TUNPR, are foreseen to support and enhance some of the results from ACCRA (GIZ, 2020d; Int_3, 10, 22, 28, 59). FANRPAN and SACAU are well established, stable and strategically oriented and active. Results of the project have been anchored within their own strategies and lobby initiatives, which match quite well with the objective of the project (Int_25, 26, 31). This is also appreciated by member states' stakeholders (Int_27, 29, 30).
At member state level, competences acquired by individual staff have not been institutionalised by stakeholder organisations with few exceptions. Thus, there is a significant risk that competencies, acquired by participants of trainings and participatory processes/on-the-job training are being lost due to staff rotation, if knowledge and skills are not being transformed within a foreseeable time period into policy, strategy and programme formulation and implementation. Mobilising additional resources from climate funds continues to remain a challenge. Unless substantial follow-up support is provided, it is likely that capacities are being lost. While the quality of project concepts was significantly improved by ACCRA, member states on their own are not vigorously following up concept notes or taking up new submissions due to lack of institutional capacities and initial frustrations of processes which did not succeed (Int_26, 31). Building adequate capacity across member states for mobilising, at least of internal resources, would have required a much more substantial, longer-term effort (Int_26, 31, 42). This will depend also on the political priority setting that could change to priorities such as Covid-19 which are overriding climate change as a priority (Int_50).

Photo 3: Mobile predator proof Bomas for collective herding by communities (source: Jacques v. Rooyen)

Comprehensive services and benefits related to knowledge management and institutional development of CCARDESA are expected to be durable as well as results or benefits achieved at the level of regional organisations. Initial competences and skills of technical and management staff of stakeholders in SADC member states, built through processes on climate proofing and resource mobilisation as well as a range of training activities, were not sufficiently long and intensive to reach durability, as they are not profoundly anchored in institutions.

Sustainability dimension 3 – Durability of results over time – scores **32 out of 50 points**.

Methodology for assessing sustainability

Table 21: 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	Regional knowledge management Mechanisms at regional and member state level to institutionalise wide-scale promotion of CSA Commitment of MoA and other stakeholders to allocate budget and/or to mobilise additional funding for CSA implementation	**Evaluation design:** Analysis follows the analytical questions from the evaluation matrix (see Annex 1); no specific evaluation design was applied. **Empirical methods:** See dimension below.	Project data (technical aspects) of good but of lower quality on process-related information. Access to project, partner, ICKM/COP (MS) and regional actors adequate; access to extension and research stakeholders (MS) lower; MS staff on policy/planning/finance not responsive resulting in reduced evidence strength
Contribution to supporting sustainable capacities	ACCRA's contribution to: Regional knowledge management Member state capacity to institutionalise for wide-scale promotion of CSA based on climate proofing Capacity of regional and national organisations, including commitment to allocate mobilise funding for CSA implementation	**Evaluation design:** See dimension above. **Empirical methods:** Self-assessment of project an implementing partners, semi-structured interviews with national and regional stakeholders.	Continued from above: Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual interaction Possibility to triangulate data and overall evidence strength reduced.
Durability of results over time	Regional knowledge management (CCARDESA with a COP) Benefits/services at the level of regional organisations and at the level of member state stakeholder organisations	**Evaluation design:** See dimension above. **Empirical methods:** See dimension above.	See above.

4.8 Key results and overall rating

The regional project ACCRA was quite successful in strengthening regional knowledge management and in developing the institutional capacities of CCARDESA as regional knowledge broker. This included a Community of Practice of national focal points whose national contexts on knowledge management, however, remained largely unchanged. Regional institutions including CCARDESA fully benefited from capacity development both regarding conceptual development and resource mobilisation from climate finance.

Strengthening the capacities of member states institutions through improved knowledge and skills acquired by technical and management staff for integrating climate change aspects into national strategies and programmes was much less evident and pronounced compared with knowledge management.

In view of the continued climate change-related impact on food security and the natural resource base of the SADC region, the project remained highly relevant to the region for enhancing capacity of and to mobilise stakeholders in addressing climate change related action in the agricultural sector. While being well aligned with needs of regional organisations and needs of national stakeholder staff to develop their competencies, the project was much less aligned with the needs of stakeholder institutions in member states. The uniqueness of the project was made up by the combination of knowledge management and capacity development through

participatory processes on climate proofing of agricultural systems and resource mobilisation. The complexity and lack of precision of the results model revealed significant challenges in implementing the project.

Anchoring of the regional project in member states benefited to a rather small extent from collaboration and synergies with bilateral and global programmes, especially to provide complementary support for institutionalising the knowledge for integrating climate change-related aspects in programmes and to facilitate transformation of knowledge into strategies and programmes. This applies as well to SADC the political partner. ACCRA, however, partly benefited from well-established working relationships of implementing partners of climate proofing projects in selected member states and from existing partner networks.

The achievement of objectives was clearest and most comprehensible on regional knowledge management, exchange and networking, and the institutional strengthening of CCARDESA. This was less the case regarding the increase of conceptual know-how on proposal development and on resource mobilisation in member states because the transfer of know-how and competencies acquired by individual staff to stakeholder organisations in member states was not supported. Also, project interventions did not have systematic linkages with member states to ensure the transfer and the institutionalisation of the knowledge. The fact that the implementation strategy of the project was not explicit and not actively communicated to actors not directly involved in implementation posed a notable disadvantage in facilitating the transfer of knowledge.

Despite initial changes at policy level, wide-scale implementation of CSA programmes on the ground is very limited up to now. While ACCRA made plausible contributions through improved knowledge management and capacity development through training of professionals, participatory climate proofing, member states still need to translate increased awareness into political will and financial commitments to advance beyond early stages of transforming knowledge into strategies and programmes. Benefiting the rural population and achieving wide-scale impact towards regional climate resilience, food security and mitigation takes much greater and longer term efforts at member state level. It is not realistic to attribute such future changes to ACCRA, which operated with distance at regional level compared with programmes implemented directly with member states.

Services and benefits related to regional knowledge management and the development of CCARDESA as recognised knowledge broker are expected to be durable as well as other results achieved, because the regional project addressed its needs was implemented in close collaboration. Similarly, regional organisations were prepared to effectively transform support into capacities of promising sustainability and resilience. Development of capacities on climate change of member states including capacities to pursue resources mobilisation on their own was not sufficient to reach durability. Also the acquired competences were largely not anchored in national institutions. Strengthening resource mobilisation therefore have to be continued under the successor project C-NRM.

Table 22. 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	**75**	Level 3: moderately successful
	Alignment with the needs and capacities of the beneficiaries and stakeholders	30	20		
	Appropriateness of the design*	20	10		
	Adaptability – response to change	20	15		
Coherence	Internal Coherence	50	35	**75**	Level 3: moderately successful
	External Coherence	50	40		
Effectiveness	Achievement of the (intended) objectives	30	24	**83**	Level 2: successful
	Contribution to achievement of objectives	30	26		
	Quality of implementation	20	15		
	Unintended results	20	18		
Impact	Higher-level (intended) development changes/results	30	18	**73**	Level 3: moderately successful
	Contribution to higher-level (intended) development results/changes	40	25		
	Contribution to higher-level (unintended) development results/changes	30	30		
Efficiency	Production efficiency	70	55	**70**	Level 3: moderately successful
	Allocation efficiency	30	15		
Sustainability	Capacities of the beneficiaries and stakeholders	20	15	**69**	Level 3: moderately successful
	Contribution to supporting sustainable capacities	30	22		
	Durability of results over time	50	32		
Mean score and overall rating		100	**74**		**Level 3: moderately successful ***

* the knock-out criterion *effectiveness/impact/sustainability* is rated level 4 or lower, therefore, the overall rating is level 4 although the mean score may be higher.

Table 23: 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.	

5 Conclusions and recommendations

5.1 Key findings and factors of success/failure

This section presents conclusions with regard to the factors that enhanced the success of the project and factors that provide reasons of failure or that impaired the success of the project.

- Climate change-related extreme events and their impact demonstrated to stakeholders including policy makers the continued urgency and need for addressing adaptation and mitigation to climate change to increase resilience of agriculture/land use across the SADC region.
- CCARDESA's overall knowledge management capacity and in particular services related to climate change were raised to a current and high professional standard. This is widely appreciated and referenced across the SADC region.
- By embedding the ICKM services and platform into a Community of Practice, the sustainability and ownership of ICKM services in the SADC member states has increased. The overall capacity of agricultural information and communication services in member states, however, largely remained unchanged.
- CCARDESA was able to take advantage of the comprehensive support by ACCRA resulting in increased institutional capacity and stability. It is now recognised as a credible partner making its way for programme funding that is prepared to further strengthen the implementation of its mandate for the SADC region.
- The project is valued for its approach of building conceptual knowledge and skills of stakeholder personnel for addressing climate change related issues to key production systems through participatory learning processes including farmers and by engaging stakeholders on climate change across the region from extension, research and policy/planning side-by-side with farmers and communities in an exemplary way.

- Regional exchange and networking of stakeholder staff across SADC region provided an added value for stakeholder staff in increasing their understanding and the conceptual know-how of climate change.
- The know-how acquired by individual stakeholder staff on climate-change, strategy/programme development and resource mobilisation did not fully translate into respective institutional decision making in member states. This was the case because the knowledge, which was accessed and acquired by stakeholders was not systematically institutionalised and resulted in limited uptake by decision makers.
- This would have required firm collaborative arrangements and prior agreements with the member states. Also, the absence of strong and strategic linkages of the project and its interventions with member state governments and their decision makers prevented the member states from fully exploiting the outputs on knowledge management, climate proofing and resource mobilisation, thus reducing cost efficiency.
- More substantive and longer-term capacity building support for the MoA in member states is required to build resource mobilisation capacity of member states to access climate finance beyond a technical participation in programmes managed by regional and international actors. Despite increased awareness of climate change of SADC member states and policy makers on climate change, results did not translate into the necessary political will across member states and in financing of programmes to promote large scale transformation of CSA knowledge at community level through extension.
- The absence of an explicit implementation strategy which is communicated across the region with stakeholders from local to national to regional levels and development actors resulted in friction losses and reduced the contributions of the outputs to outcome, thus, reduced efficiency. Thus, ACCRA and its interventions were not fully carried, owned and advocated by the member states, which resulted in reduced radiance and impact potential of ACCRA;

Photo 4: Two legumes intercropped and in rotation with maize (source: Christian Thierfelder)

- A regional programme like ACCRA is prone to lose its penetrating power when it foregoes pursuit of an intended focus (development and dissemination of regional knowledge management and capacity development at regional level and on capacity development of selected SADC member states in order to promote the integration of climate-smart agricultural practices into agricultural extension) for potential benefits arising from of a wider range of activities.
- A regional programme like ACCRA is constrained in its implementation if steering roles between GIZ and the SADC-Secretariat are not well defined to ensure a high level of ownership and support and active advocacy in implementing its capacity development objective towards the SADC member states.

Findings regarding 2030 Agenda

Universality, shared responsibility and accountability

- The project is expected to contribute in the long-term to the achievement of the SDGs through reduced vulnerability to climate change, increased productivity, diverse and sustainable production systems, and improved sustainability of agro-ecosystems and rangeland across the SADC region. As a result, the region will benefit from increased regional climate resilience (SDG 13) and food security (SDG 1, 2, 15) [see "impact" criterion].
- Realising the impact potential requires that knowledge acquired by individuals about climate change is being institutionalised, adopted by decision-makers and subsequently translated into financed programmes that are implemented on a large scale. Aggregate development impact in member states will require continued support and development financing of programmes at member states level over the coming 5 to 7 years, which promote CSA to farming communities on a large scale, based on experiences from pilots .
- In the medium-term, contributions of the project will become mainly effective through strengthened regional organisations that promote the use of the knowledge in advocacy, policy formulation and proposal development related to climate change, which contribute to national policy and programme development.
- The utilisation of existing structures and systems at regional level as entry point has been effective in strengthening knowledge management in the SADC region and the institutional capacity of CCARDESA as a facilitator for R&D, in particular on climate change-related issues [see "coherence" criterion].
- At the level of CCARDESA, planning and monitoring have been embedded into the institution’s culture and systems. ACCRA has to be considered as an enabler regarding CCARDESA’s institutional sustainability and further funding from other donors, for example from the EU [see coherence criterion].

Interplay of economic, environmental and social development

- In the long-term, CSA-related knowledge and capacities built by the project, which by design link environmental, economic (increased and sustainable production, income generation) and social aspects (poor rural, gender equality), can contribute towards increasing resilience of rural population, food security and mitigation of climate change, provided this knowledge is adopted by decision makers in member states and translated into CSA promotion on the ground and results in wide-scale transformation of knowledge into CSA practice by farmers [see "relevance" criterion].
- The project particularly contributed to the development of an in-depth understanding of stakeholders in the SADC region about climate change as a cross-cutting multi-dimensional nexus issue that has to be addressed across the different sectors developing [see "impact" criterion]

Inclusiveness/leave no one behind

- In targeting staff of stakeholder organisations, the project included the need of rural beneficiaries in strengthening their production systems in climate change related trainings; the involvement of women and young people was applied as criterion in the development of concept notes. Farmers directly participated in climate proofing processes of key production/land use systems [see coherence/relevance criteria]
- The translation of acquired knowledge and skills related to gender equality and youth by the stakeholders in CSA strategy and programme development, while being important elements of the capacity development activities, did not result in notable conceptual changes [see the criteria "effectiveness" and "impact".]

Findings regarding follow-on project

- Linking environmental, economic and social aspects is an effective means of addressing climate change related to rural development.
- The institutional capacities of CCARDESA are well developed and stable, however not sufficient to provide on its own services, at the same time playing a role to facilitate coordination of R&D for the SADC region.
- CCARDESA requires institutional backing by the SADC-Secretariat as well as by a strong commitment and support by the SADC member states to become financially sustainable [see "relevance" criterion]?

5.2 Recommendations

It is recommended that …

- CCARDESA further strengthens its role as knowledge broker and coordinator for climate change research and development for the SADC region. The focus should remain on facilitation of exchange, networking and coordination of the SADC member states as implementing actors of CSA.
- CCARDESA's board of directors should continue to build on the results of support by the ACCRA project to ensure that CCARDESA further enhances its institutional and technical resource capacity and, in particular, stabilises its financial sustainability and resilience.
- SADC-FANR should make use of its subsidiarity organisations such as CCARDESA to increase the commitment of SADC member states to implementing their national CSA frameworks and agricultural extension strategies on a broad scale in addressing climate change.
- SADC-FANR should take up an active role to enhance regional collaboration as a model for strengthening investments and harnessing climate financing resources as a means of regional integration in addressing climate change as a threat to the rural population across the region.
- Regional programmes under SADC-FANR that aim to deliver benefits to its involved member states should keep a strategic orientation and focus in targeting specific stakeholder organisations in member states for the effective implementation of their objectives.
- GIZ country office and/or the project responsibles and the SADC-Secretariat i.e. FANR must at the very outset of a regional programme, jointly define and agree on steering roles and responsibilities of the parties and regularly monitor the implementation of their roles.
- A regional programme under SADC-FANR, which targets its interventions at developing the capacity of member states must establish a firm relationship with the respective countries by way of instruments such as MOUs.
- A regional programme under SADC-FANR that is targeting member states must have an explicit strategy which is communicated and made transparent to member states, other stakeholders and development actors.

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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 intervention's design to adapt to a change in circumstances. "Relevance" is assessed in relation to 1) the **time of the intervention design**[1] and 2) from **today's perspective**[2]

Assessment dimensions	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assess-ment
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?	·Orientation at BMZ country strategies and BMZ sector concepts ·Strategic reference framework for the proj (e.g. national strategies incl implem. strategy for Agenda 2030, regional & intern. & sectoral/cross-sectoral strategies, in bilateral proj especially partner strategies, internal analytical framework e.g. safeguards & gender[4] ·Orientation of proj design at the (national) object. of Agenda 2030 ·Proj contribution to certain SDGs ·Explanation of a hierarchy of different policies, priorities (especially in case of contradictions)	BMZ 2030 reform strategy with regards to the focal area 'climate protection' & 'environment and biodiversity'; and 'Marshall Plan for Africa' (2017). Region: SADC Regional Agricultural Policy (SADC, 2014); RISDP II 2020 – 2030 (SADC, 2020a); SADC Climate Change Strategy and Action Plan (CCSAP) (SADC, 2015b); SDG 13 (combatting climate change and its impact); also, project's contribution to the Comprehensive Africa Agriculture Development Programme (CAADP) under the Africa Union; and in relation to Germany's commitments to the UNFCCC; primary orientation at SADC policies, member states are subordinate	Structured comparison of the project concept with objectives and priorities of reference policies, document analysis, interviews, FGD.	Policy & project documents; plus interviews, also for triangulation (and to verify & update information on strategies & priorities): interviews with representatives of German DC, partner institutions at regional and at member state level; other key informants will be conducted to verify and update information on relevant strategies and priorities.	Baseline on climate change-related member state policies available; access to regional partner policies, strategies & respective updates good: member state policies and strategies are less accessible; regarding BMZ access is good. (Gathering data/ inform. on changes of member state policies is limited in relation to the interviews)	good
Alignment with the needs and capacities of the beneficiaries and stakeholders	To what extent are the intervention's objectives aligned with the development needs and capacities of the beneficiaries and stakeholders involved (individuals, groups and organisations)?	·Also: consideration of stakeholders such as civil society and private sector in the design of the measure	Target group: technical & management staff of stakeholder organisations: regional, member states: government agencies, extension services, research, private sector & civil society organ.; Output 1: CCARDESA and stakeholders responsible for information & knowledge dissemination in member states (ICKM Community of Practice). Output 2/3: research and extension services involved in climate-proofing and resource mobilization; in addition Output 3: Botswana MFED for Green Climate Fund (GCF) readiness project (NDA).	A structured comparison of proj objective & activities with the needs of target organisations (CCARDESA, partners / stakeholders of ACCRA in the SADC region) Methods: FGD with peer groups selected from among different stakeholder groups, interviews, FGD; document analysis	Interviews/FGD with stakeholders of different degree of involvement in implementation at local/ national/regional levels, selected from proj data base; groups: admin./planning; extension, research; semi-structured & in-depth interviews;proposals, progress & monitoring reports, 'products'	Data on needs & capacities related to ICKM & CCARDESA are extensive (output 1); data on member states mostly confined to knowledge management and to CSA-related technical content, based on document analysis; capacity assessment involved largely CCARDESA, GIZ and representatives of Botswana & Lesotho only.	mode-rate
	To what extent are the intervention's objectives geared to the needs & capacities of particularly disadvantaged & vulnerable beneficiaries and stakeholders (individuals, groups, organ.)? With respect to groups, a differentiation can be made by age, income, gender, ethnicity etc.?	·Reaching particularly disadvantaged groups (in terms of Leave No One Behind, LNOB) ·Consideration of potential for human rights and gender aspects ·Consideration of identified risks		see above;	see above;	Tools applied depended on possibility to conduct field visits; access to communities / farmers & local extension be limited due to COVID-19; farmer perspective, in this case, is limited to document analysis and addit. interviews w/ local extension agents	mode-rate

Appropriateness of the design[3]	To what extent is the intervention's design appropriate and realistic (in terms of technical, organisational and financial aspects)?	· Realistic project goal from today's perspective and in view of the available resources (time, finances, partner capacities) · Consideration of potential changes in the framework conditions · Dealing with the complexity of framework conditions and strategic reference frameworks and with possible overloading · Strategic focusing	The basis for the assessment is the entire Theory of Change (results model) with underlying hypotheses that explain cause-effect relationships along the result pathways from activities – intermediate results - outputs – outcome – utilisation of outcome – longer term impact.	Analysis of proposed design compared to GIZ Standards (result model; contribution analysis) & actual implementation. Method: review of project documents, workshops with project, consultations with proj. management, interviews with partner organisations and other key informants.	workshop(s) w/ project team (review of result model) and subsequent consultations with project management and interviews with partner organisations and other key informants.	Good availability of information / data for analysis of project documents and workshops (project team, key partner) yielded quality results for the assessment; subsequent interviews provided evidence for triangulation of critical information.	good
	To what extent is the intervention's design sufficiently precise and plausible (in terms of the verifiability und traceability of the system of objectives and the underlying assumptions)?	Assessment of results model & hypotheses (Theory of Change) of actual project logic: · Adequacy of activ., instruments & outputs in rel. to project objective to be achieved · Plausibility of the underlying hypotheses · Clear definition & plausibility of system boundary (sphere of responsibility) · Appropriate consid. of potential influences of other donors/ organisations outside the project's sphere of responsibility · completeness and plausibility of assumptions & risks for the project results · How well is co-financing integrated into overall project concept & what added value could be generated for the project design?	see above	see above	see above	see above; traceability and verifiability at regional level (SADC/CCARDESA) is given; regarding the increased capacity of MS and its utilisation, evaluation depends largely on the project monitoring data and information provided by MS representatives during interviews, as well as on information by implementing partners of the project.	moderate
	To what extent is the interven-tion's design based on a holistic approach to sustainable development (interaction of the social, environmental and economic dimensions of sustainability)?	· Presentation of interactions (synergies/ trade- offs) of the intervention with other sectors in the project design - also with regard to the sustainability dimensions in terms of Agenda 2030 (economic, ecological and social development)	see above	see above	see above	see line above	moderate
Adaptability – response to change	To what extent has the intervention responded to changes in the environment over time (risks and potentials)?	· Reaction to changes during project including change offers (e.g. local, national, international, sectoral changes, including state-of-the-art sectoral know-how)	The evaluation base is the original proj proposal & its subsequent modifications. This incl changes in the output structure, at outcome & output indicator levels as well as in strategy changes.	The evaluation design consists of a comparison of the project design with changes that occurred during project implementation.	Method of data collection is a review of project documents including the justifications for modifying the project proposal and interviews with project partners and staff	Proj. documents complemented by interviews of proj. team & stakeholders provided a good data base for analysis; diversity of interventions at different levels & with a wide range of stakeholders made it difficult to verify all aspects.	good

(1) The 'time of the intervention design' is the point in time when the offer/most recent modification offer was approved.
(2) In relation to the current standards, knowledge and framework conditions.
(3) The design of an intervention is usually assessed by evaluating its intervention logic. The intervention logic depicts the system of objectives used by an intervention. It maps out the systematic relationships between the individual results levels. At the time an intervention is designed, the intervention logic, in the form of a logical model, is described in the offer for the intervention both as a narrative and generally also on the basis of a results framework. The model is reviewed at the start of an evaluation and adjusted to reflect current knowledge. Comprehensive (re)constructed intervention logics are also known as "theories of change". In GIZ the 'project design' encompasses project objective (outcome) and the respective theory of change (ToC) with outputs, activities, TC-instruments and especially the results hypotheses as well as the implementation strategy (e.g. methodological approach, Capacity Development (CD) strategy). In GIZ the Theory of Change is described by the GIZ results model as graphic illustration and the narrative results hypotheses.
(4) In the GIZ Safeguards and Gender system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in seperate checks.
(5) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behavior. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.
(6) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behavior. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.
(7) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective.

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 complementarity, harmonisation and coordination with the interventions of other partners, donors and international organisations. The "coherence" criterion relates both to the intervention's design as well as to the results it achieves.

Assessment dimensions	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assess-ment
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?	Also analysis of whether the project takes the necessary steps to fully realize synergies within German development cooperation	(GIZ, 2014): Expected outcome due to joint collaboration & synergies with GDC projects in 4-5 countries / SADC region, foreseen especially with Malawi, Lesotho, Zambia, Zimbabwe & possibly Namibia (bilateral and/or regional). The initial proposa did not assess potential collab. potential coord & coop w/ projects in detail; general idea: joint development of knowledge projects and sharing of products; climate proofing and CSA piloting (w/ GIAE); more efficient agric water use;; CAADP "Climate Project" (e.g. implem of concrete adaptation measures).	No particular design applied to compare planned (project concept) and actual implementation: content analysis of project documents (proposals, reports) and qualitative interviews / workshops with key informants	Offer (2014), progress reports (2017-2019; result matrix 2020), interviews with GIZ and key informants on German DC and SADC	Immediate data sources limited to results from documents & interviews with key project stakeholders. Limited access to collaborators on the ground across the 16 member states. Limited capacity to validate triangulate collaboration on diversity of activities across the region. (incl. collaborations active during a limited period of time or of projects which ended more than three years back).	mode-rate
	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?	if applicable, also take into account projects of different German ressorts/ministries	Linkages and complementarities with KfW and BMUB	see above	Offer (2014) and progress reports (2018, 2019)	see above	
	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)?		(LNOB ???; human rights?)				
External coherence	To what extent does the intervention complement and support the partner's own efforts (principle of subsidiarity)?		Complementarity and support of programmes and strategy of SADC and CCARDESA	No particular design applied to compare planned (project concept) and actual implementation: content	Offer (2014), progress reports (2018 and 2019),	Immediate data sources largely limited to results from documents & interviews w/ key informants at regional level, proj. stakeholders &	mode-rate

				analysis of project documents (proposals, reports) and qualitative interviews / workshops with key informants and stakeholders	interviews with GIZ and key informants on German DC	partners. Limited capacity to validate triang. collab. across the region (incl collaboration during a limited period of time or of projects which ended more than three years back).	
	To what extent has the intervention's design and implementation been coordinated with other donors' activities?	Also: To what extent could synergies be achieved through co-financing (where available) with other bilateral and multilateral donors and organizations and how did co-financing contribute to improved donor coordination?	Coordination of design and implementation of ACCRA with other donors in the region (SADC/CCARDESA and ms level)	see above	Proposal (GIZ, 2014); Progress Reports (GIZ, 2017-2020)	The planned collab.w/ FAO for support of CCARDESA ICKM system & development of a CSA knowledge product could not be implem. due to lack of resources on FAO side. Engagmt. 2016 w/ SASSCAL had shown limited synergies; but inform. Exchange ongoing (GIZ, 2018b);	
	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 systems and structures used?	Also analysis of whether the project is taking the necessary steps to fully realize synergies with interventions of other donors at the impact level	Implementation by design to use existing systems/structures at regional (SADC/CCARDESA etc.) and national (ms) level (to implement knowledge management, climate proofing, resource mobilisation, promoting CSA)	see above	Proposal (GIZ, 2014); Progress Reports (GIZ, 2017-2020)		
	To what extent are common systems (together with partners/other donors/international organisations) used for M&E, learning and accountability?		CSA (including conservation agriculture) alliances and networks in Africa and Southern Africa; SADC (thematic groups / CCARDESA (focal points, groups, ICKM system) based monitoring systems and fora	see above	Proposal (GIZ, 2014); Progress Reports (GIZ, 2017-2020); GIZ/SADC (2015a) Agreement; ACCRA/CCARDESA (2020 (Monitoring Notes)		

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	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assess-ment
Achievement of the (intended) objectives[1]	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)?	·Assessment based on the project objective indicators (agreed with BMZ) ·Check whether more specific or additional indicators are needed to adequately reflect the project objective	Set of revised indicators to be reached, subsequent to a 'SMART' analysis of indicators. Additional indicator formulated: CSA knowledge and skills acquired by training participants enter organisational and / or national processes of member states or respective stakeholder organisations	Comparison of the actual indicator achievement with the target and analysis of the evidence of linkages of project activities to organisational development of stakeholders; semi-structured interviews, workshops, and focus groups	Project proposal (GIZ, 2014); fourth modification offer (GIZ, 2019d); Progress reports 2016-2020; Semi-structured interviews and workshops with project staff, implementing partners, different stakeholder groups incl. member states national/ local levels as well as regional and other actors in the region; self-assessments by the overall project and the climate-proofing projects.	Project data regarding technical aspects of good quality while process-related data were of lower quality. Access to project, partner, ICKM/COP (MS) & regional actors adequate; access to national extension & research less; staff on policy/planning/finance not responsive. Reduced diversity & quality of data (no on-site examination, interaction quality, connectivity) due to nee to interact virtually. Possibility to triangulate data and overall evidence strength reduced.	mode-rate
Contribution to achievement of objectives	*To what extent have the intervention's outputs been delivered as originally planned (or as modified to cater for changes in the environment)?*		Hypotheses (cf. section 2.2) to assess member states' capacity to incorporate climate change: knowledge management, climate proofing, and proposal submission. Risks and assumption build on project proposal (GIZ, 2014) and initial progress reports (GIZ, 2016 / 2017).	Contribution analysis applied to contributions of activities to outputs and to outcomes achieved, focusing on cause-effect relationships along selected pathways. Document analysis: project proposal (GIZ, 2014); project reports to BMZ; interviews, focus groups (different levels and types stakeholder groups)	Project proposal (GIZ, 2014); fourth modification offer (GIZ, 2019d); Progress reports 2016-2020; interviews with project staff, implementing partners, different stakeholder groups of project from member states, regional, national and local levels & other actors in the region; self-assessments by overall project & climate proofing projects.	See above; In addition, a high level of complexity involved in a regional project focusing on knowledge management and capacity development at all levels (regional and individual member states), at the same time and with a wide range of stakeholders, resulted in a low strength of evidence.	weak
	To what extent have the delivered outputs & increased capacities been used and equal access (e.g. in terms of physical, non-discriminatory and affordable access) guaranteed?						
	To what extent has the intervention contributed to the achievement of objectives?	·Assessment based on the activities, TC-instruments and outputs of the project (contribution-analysis as focus of this assessment dimension and minimum standard, see annotatted reports) ·What would have happened without the project?					
	To what extent has the inter-vention contributed to the achievement of objectives at the level of the intended beneficiaries?						
	To what extent has the inter-vention 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.)						

	Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended objectives?	.Internal factors = within the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s).					
	Which external factors were decisive for achievement/non-achievem. of the intervention's intended objectives (taking into account) the anticipated risks)?	.External factors = outside the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s).					
Quality of implementation	What assessment can be made of the quality of steering and implementation of the intervention in terms of the achievement of objectives? What assessment can be made of the quality of steering and implementation of, and participation in, the intervention by the partner/executing agency?	Capacity Works considerations: **Results-oriented monitoring** (RoM / WoM) is establ. & used, e.g. for evidence-based decisions, risk management. Data disaggregated by gender & marginalized groups. unintended positive & negative results monitored. Conflict-sensitive monitoring and explicit risk-safety monitoring are particularly important for projects in fragile contexts. A bindingly **communicated strategy** agreed with the partners is pursued Involvement and **cooperation** of all relevant actors (incl partners, civil society, private sector) **Steering**: decisions influencing project results are made in time & evidence-informed. Decision processes transparent. **Processes**: Relevant change processes are anchored in the cooperation system; project-internal processes are establ.,regularly reflected & optimised. **Learning** and innovation: There is a learning and innovation-friendly work culture that promotes the	Quality of steering (results-oriented monitoring used for decision-making, pursuing a strategy agreed with partners, cooperation with relevant actors, transparency of steering, processes anchored in the partner system(s).	No particular evaluation design applied, following the evaluation questions (left column) Qualitative interviews, self-assessments	Project proposal (GIZ, 2014); fourth modification offer (GIZ, 2019d); Progress reports 2016-2020; interviews with project team, implementing partners, member states; self-assessments by the over all project and the climate proofing projects.	Data at level of project and of implementing partners available. Access to proejct and key partners adequate; limited access to SADC MS, especially at higher level; possibility of triangulation, evidence strength at regional level good.	mode-rate
Unintended results	To what extent can unintended positive/negative direct results (social, economic, environmental and among vulnerable beneficiary groups) be observed/anticipated?	. The focus is on the outcome level, but for the analysis the unintended effects can also be included on the output level	Assumptions & risks stated in the proj.proposal (risks: access to financial resources not given, 10 m actual acquisition highly ambitious, availab. of SADC AgDevFund uncertain); (assumption: CCARDESA=young institution, continuous support by other donors essential, SADC ms view CCARDESA as useful knowledge broker; MS agencies to recognise benefits of CS investments & support proposals); gender & youth analysis report (dimensions: CCARDESA; Output level); syst. monitoring of unintended results not done & unintended results were not identified during inception	No particular design is applied. Document analysis; empirical tools: Open questions included in interviews, FGD and workshops at different levels with different stakeholder groups to reflect and identify unintended positive or negative results.	Progress reports, proposal, GIZ/SADC 2020 (Round Table); self-assessment of the project and implementing partners of the climat proofing projects	Access to data through information & interviewees at regional / cross- region as well as on knowledge management (incl. ICKM COP); access to inviewees from stakeholder groups in ms beyond immediate partners in implementation was difficult; in addition, the remote mode of the evaluation limited the interaction and quality of interaction with stakeholders and did not allow on-site visits; this limited, reduced the possibility to validate and triangulate the information.	weak
	What potential benefits/risks arise from the positive/negative unintended results? What assessment can be made of them?	also check whether the risks were already mentioned and monitored in the design phase	see above	see above	see above		
	How has the intervention responded to the potential benefits/risks of the positive/ negative unintended results?	.Check if positive results at the outcome level have been monitored and set in value	see above	see above	see above		
	How has the intervention responded to the potential benefits/risks of the positive/negative unintended results?	.Check if positive results at the outcome level have been monitored and set in value	see above	see above	see above		

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	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assess-ment
Higher-level (intended) development changes1	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)? (Specify time frame where possible.)	· Consider module proposal for suggested impact and program objective indicators (program proposal), if it is not an individual measure · Potential basis for assessment: program objective indicators, identifiers, connection to the national strategy for implementing 2030 Agenda connection to SDGs	SADC Climate Change Strategy and Action Plan 2015 and ist strategic interventions in relevant action acreas; immediate outcomes of the Regional Agricultural Policy of SADC (direct contribution of the project intended). Intended impact of the project: contribution to increased climate resilience, food security and mitigation of climate change in the region	Comparison of intended project impacts with actual development changes following the evaluation questions (left). Document analysis, workshops, self-assessments of project and partners; triangulated with interviews	project and implementing partners; interviews different stakeholders who provide expert opinions on changes at impact level in the region; field visits	No impact data by project; overall limited availability of factual data on changes at beneficiary level in member states and across region. Access to project, partner ICKM / COP (MS) and regional actors adequate; access to extension and research stakeholders (MS) lower; MS staff on policy / planning / finance including MoA not responsive.	weak
	To what extent can the higher-level development changes (social, economic, environmental dimensions and the interactions between them) be identified/ foreseen at the level of the intended beneficiaries? (Specify time frame where possible.)		see above	see above	see above	Continued from above: Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual interactions. Possibility to triangulate and overall evidence strength reduced.	
	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.)		see above	see above	see above		
Contribution to higher-level (intended) development changes	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?	· Contribution analysis (evaluation design) as minimum standard and focus of this assessment dimension, further approaches are possible and welcome, see also annotated reports · Evaluation of the project's contribution to impacts based on an analysis of the results hypotheses from outcome to impact level	Two hypotheses, consistent with relevant targets of the SADC Climate Change Strategy and Action Plan 2015 and ist strategic interventions and immediate ouputs of the RAP (see dimension 1)	Follows minimum standard of contribution analysis, i.e. contributions of project outputs to outcome to (higher-level) development impact. Document analysis, qualitative interviews, FGD. Triangulation by drawing on different tools and perspectives beyond stakeholders involved in implementation	project and implementing partners; extension, research staff of member states, farmers; resource persons who were not involved in implementation	No impact data by project and overall limited availability of factual data on changes at beneficiary level in member states and across the region. Access to project, partner ICKM / COP (MS) and regional actors adequate; access to extension and research stakeholders (MS) lower; MS staff on policy / planning / finance including MoA not responsive.	moderate
	To what extent has the intervention achieved its intended (original and, where applicable, revised) development objectives?	· This question can already be assessed in Dimension 1 Question 1, the contribution to impact is assessed in Dimension 2, Question 1	see above	see above	see above	Continued from above: Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual interactions. Possibility to triangulate and overall evidence	moderate
	To what extent has the intervention achieved its (original and, where applicable, revised) development objectives at the level of the intended beneficiaries?		see above	see above	see above	see above	moderate

	To what extent has the intervention contributed to higher-level develop-ment 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, etc.		see above	see above	see above	see above	moderate
Contribution to higher-level (unintended) development changes	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.)		Risks states in project proposal and progress reports, context studies (gender, youth) by project and conclusions from observationns from self-assessments and interviews	No particular evaluation design applied. Standardised evaluation questions (left). Document analysis; additional qualitative questions asked and observations made during semi-structured interviews.	project and implementing partners; extension, research staff of member states, farmers; resource persons who were not involved in implementation	No impact data by project and overall limited availability of factual data on changes at beneficiary level in member states and across the region. Access to project, partner ICKM / COP (MS) and regional actors adequate; access to extension and research stakeholders (MS) lower; MS staff on policy / planning / finance including MoA not responsive.	weak
	To what extent has the intervention brought about foreseeable/identifiable unintended (positive and/or negative) higher-level development results?	. Analyse whether the risks were already known in the design phase . Check how the assessment of risks in connection with (unintended) negative or (not formally agreed) positive results at impact level in the monitoring system has been carried out (e.g. use of 'compass') . measures taken to avoid or counteract risks/ negative effects/ trade-offs3 . Determine relevant framework conditions for negative results and the project's reaction to them . Examine to what extent potential (not formally agreed) positive results and synergies between the ecological, economic and social development dimensions have been monitored and exploited	see above	see above	see above	Continued from above: Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual interactions. Possibility to triangulate and overall evidence strength reduced.	weak
	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.)		see above	see above	see above	see above	weak

(1) The first and second assessment dimensions are interrelated: If the project's contribution to achieving the objective is small (2nd assessment dimension), this must also be taken into account when evaluating the first assessment dimension.
(2) See GIZ 2016 'Guidelines on scaling-up for programme managers (AV) and planning officers'
(3) Risks, negative effects and trade-offs are separate aspects that should be discussed individually at this point.

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 to the appropriateness of the relationship between the inputs and the results achieved (project/development objective; outcome/impact level) by the intervention. The "efficiency" criterion relates both to the intervention's design and implementation and to the results it achieves.

Assessment dimensions	Evaluation questions	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assess-ment
Production efficiency	*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.)?*	Description of the data: Costs per output, type of costs, agreed and provided partner contributions Description of the deviations between original planned costs and actual costs (with comprehensible justification, changes are certainly desirable for increased efficiency)	*Annotation: see also explanations on the left and in the methodological tables in the annotated reports* Financial data allocated by output and summarised by the GIZ efficiency tool	No particular design applied. Application of GIZ tool, review of project data with project and finance manager, self-assessment of project and implementing partners; qualitative and semi-structured interviews; interviews with national and regional stakeholders for triangulation.	Project proposal, modification offers, progress reports; budget data; cost data reports; sheets assigning human resources to outputs; project including staff, implementing partners; regional and national stakeholders.	Depth and differentiation of analysis limited due to large number & diverstiy of CD activities at regional and national levels incl. mixed represenation of stakeholders, partly cutting across outputs	mode-rate
	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.	Use of 'Efficiency tool' incl. instructions and use of the follow- the-money approach as evaluation design (may be combined with other high-quality approaches) Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment)1 compared to possible alternatives with a focus on the minimum principle (use of comparative data if available) The project is oriented on internal or external benchmarks in order to achieve its effects economically Regular reflection of the resources used by the project with focus on economically use of resources and cost risks Overarching costs of the proj. are in appropriate proportion to costs of outputs	Achievement of outputs in relation to the applied approaches, activities and TC instruments (personnel, financing / grant agreements, equipment); potential shifts of resources among outputs; processes applied to resource utilisation; contribution of partners.	No particular design applied. Application of GIZ tool, review of project data with project and finance manager, self-assessment of project and implementing partners; qualitative and semi-structured interviews; interviews with national and regional stakeholders for triangulation.	Project proposal, modification offers, progress reports; budget data; cost data reports; sheets assigning human resources to outputs; project including staff, implementing partners; regional and national stakeholders.	Continued from above: Access to stakeholders in SADC member states limited: ministry staff on policy, planning and finance not responsive. Reduced coverage and quality of data (no no- site examination, interaction quality, conncectivity) due to virtual interactions.	mode-rate
	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	Use of 'Efficiency tool' including instructions and use of the follow- the-money approach as evaluation design (may be combined with other high-quality approaches) Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment)1 compared to possible alternatives with focus on output maximization (use of comparative data if available) Analysis of alternative options for allocating resources and shifts between outputs for output maximisation saved resources can and should be used to maximise outputs Reflection of the resources during the design phase and regularly during the implementation of the project with focus on output maximisation (with comprehensible justification, changes are certainly desirable for increased efficiency) 'maximising outputs' means with the same resources, under the same conditions and with the same or better quality	Achievement of outputs in relation to the applied approaches, activities and TC instruments (personnel, financing / grant agreements, equipment); potential shifts of resources among outputs; processes applied to resource utilisation; contribution of partners.	No particular design applied. Application of GIZ tool, review of project data with project and finance manager, self-assessment of project and implementing partners; qualitative and semi-structured interviews; interviews with national and regional stakeholders for triangulation.	Project proposal, modification offers, progress reports; budget data; cost data reports; sheets assigning human resources to outputs; project including staff, implementing partners; regional and national stakeholders.	see above	
	Were the outputs (products, investment goods and services) produced on time and within the planned time frame?		see above	see above	see above	see above	

Allocation efficiency	*By what other means and at what cost could the results achieved (higher-level project objective) have been attained?*			Analysis along the questions (to the left)			
	To what extent – compared with alternative designs for the intervention – could the results have been attained more cost-effectively?	- Outcome level: Analysis of approaches and activities as well as TC- instruments in comparison to possible alternatives with focus on minimum principle (use of comparative data if available) - Regular reflection in the project of the input-outcome relation and alternatives as well as cost risks - The partner contributions are proportionate to the costs for the outcome of the project	Alternative designs: cooperation models at regional and national (member state) levels; relation of inputs (approaches, activities and TC instruments) / outputs and outcome achievement; processes applied to resource utilisation; reflection of input-outcome relation; contribution of partners; ownership of partners and involvement in steering.	Analysis along the question to the left, taking alternative designs into consideration.	Project proposal, modification offers, progress reports; budget data; cost data reports; sheets assigning human resources to outputs; project including staff, implementing partners; regional and national stakeholders.	Depth and differentiation of analysis limited due to large number & diverstiy of CD activities at regional and national levels incl. mixed represenation of stakeholders, partly cutting across outputs	mode-rate
	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	- Outcome level: Analysis of applied approaches and activities as well as TC-instruments compared to possible alternatives with focus on maximizing the outcome (real comparison if available) - The project manages its resources between the outputs in such a way that the maximum effects in terms of the module objective are achieved - Regular reflection in the project of the input-outcome relation and alternatives - Reflection and realization of possibilities for scaling-up - If additional funds (e.g. co-financing) have been raised: Effects on input-outcome ratio (e.g. via economies of scale) and the ratio of administrative costs to total costs - Losses in efficiency due to insufficient coordination and complementarity within German DC are sufficiently avoided	Alternative designs: cooperation models at regional and national (member state) levels; relation of inputs (approaches, activities and TC instruments) / outputs and outcome achievement; processes applied to resource utilisation; reflection of input-outcome relation; contribution of partners; ownership of partners and involvement in steering.	Analysis along the question to the left, taking alternative designs into consideration.	Project proposal, modification offers, progress reports; budget data; cost data reports; sheets assigning human resources to outputs; project including staff, implementing partners; regional and national stakeholders.	Continued from above: Access to stakeholders in SADC member states limited: ministry staff on policy, planning and finance not responsive. Reduced coverage and quality of data (no no- site examination, interaction quality, conncectivity) due to virtual interactions.	mode-rate

(1) see GIZ 2015: 'Integration of TC Instruments – Key Elements', based on BMZ 2014: Handbuch der bilateralen TZ Verfahrensinformation Nr. VI0362014 'Eckpunkte zur Instrumentenintegration'

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	Clarifications	Basis for Assessment / Evaluation indicators	Evaluation Design and empirical methods	Data sources	Data Quality and limitations	Data Quality Assess-ment
Capacities of the beneficiaries and stakeholders	To what extent do the beneficiaries and stakeholders (individuals, groups & organisations, partners & executing agencies) have the institutional, human & 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)?	· Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises and recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in the inception phase of the evaluation).	Criteria set in 3 areas (focused on stakeholder organisations): -Regional knowledge management incl. CCARDESA and member states (COP with ICKM focal points) -Mechanisms at regional & ms level exist that institutionalise wide-scale promotion of CSA (adaptation, mitigation) -Commitment of MoA & other stakeholders to allocate	Analysis follows the analytical questions (see left); no specific design applied; Self-assessment of the project and the implementing partners, semi-structured interviews mainly with national and regional stakeholders.	Policy & project documents; interviews with implementing partners, different types of stakeholder organisations at regional and at member state level; interviews with other key informants for triangulation	Project data (especially technical aspects) of good but of lower quality regarding process-related information; access to project, implementing partners and regional organisations adequate; access to extension and research stakeholders (MS) lower; MS on policy / planning / finance not responsive	mode-rate
	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?		Resilience related to the three criteria above			Continued from above: Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual mode; Possibility to triangulate data and overall evidence strength reduced.	
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?	· Analysis of the preparation and documentation of learning experiences · Description of the anchoring of contents, approaches, methods & concepts in the partner system · Reference to exit strategy of the project · If there is a follow-on project, check to what extent the results of the evaluated project are taken up; anchoring of effects in the partner's organisation should be pursued independently of a follow-on project, since sustainability should be achieved even without donor funds · Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises & recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in inception phase of the eval.).	ACCRA's contribution to: -Regional knowledge management incl. CCARDESA and member states (COP with ICKM focal points) -Mechanisms at regional & ms level exist that institutionalise wide-scale promotion of CSA (adaptation, mitigation) -Commitment of MoA and other stakeholders to allocate budget and / or to mobilise additional funding for CSA implementation	Analysis follows the analytical questions (see left); no specific design applied Self-assessment of the project and the implementing partners, semi-structured interviews with national and regional stakeholders.	Policy & project documents; interviews with implementing partners, different types of stakeholder organisations at regional and at member state level; interviews with other key informants for triangulation	Project data (especially technical aspects) of good but of lower quality regarding process-related information; access to project, implementing partners and regional organisations adequate; access to extension and research stakeholders (MS) lower; MS on policy / planning / finance not responsive; Continued from above: Reduced diversity and quality of data (no on-site examination, interaction quality, connectivity) due to virtual mode; Possibility to triangulate data and overall evidence strength reduced".	mode-rate

	To what extent has the intervention contributed to strengthening the resilience of the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies)?		ACCRA's contribution to resilience of stakeholder organisations / criteria above				
	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.)		The project focused on stakeholder organisations and climate change in general.				
Durability of results over time	*How stable is the context in which the intervention operates?*						
	To what extent is the durability of the intervention's positive results influenced by the context?	· Consideration of risks and potentials for the long-term stability of the results and description of the reaction of the project to these					
	To what extent can the positive (and any negative) results of the intervention be deemed durable?	· Consideration of the extent to which continued use of the results by partners and beneficiaries can be foreseen · Reference to conditions and their influence on the durability, longevity and resilience of the effects (outcome and impact) · In the case of projects in the field of Transitional Development Assistance (TDA), at least the continuity of the measure must be examined: To what extent will services or results be continued in future projects (of GIZ or other donors/organizations) or their sustainability ensured? (Clarification in the inception phase)	regional knowledge management Benefits / Services at regional level Benefits / Services at member state level	Analysis follows the analytical questions (see left); no specific design applied Self-assessment of the project and the implementing partners, semi-structured interviews with national and regional stakeholders.	Policy & project documents; interviews with implementing partners, different types of stakeholder organisations at regional and at member state level; interviews with other key informants for triangulation	Project data (especially technical aspects) of good but of lower quality regarding process-related information; access to project, implementing partners & regional organisations adequate; access to extension & research stakeholders (MS) lower; MS on policy / planning / finance not responsive. Reduced diversity & quality of data (no on-site examination, interaction quality, connectivity) due to virtual mode	mode-rate

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