



**Mid-term evaluation of an IUCN initiative: Sustainability and Inclusion Strategy for
Growth Corridors in Africa**

SUSTAIN

Final report

Ben Haagsma and Paul Sijssens, FSAS, The Netherlands

Peniel Uliwa and Edmond Ringo, MMA, Tanzania

8 June, 2017 (Received by IUCN 13 June 2017)

Executive Summary

IUCN has requested an independent mid-term evaluation or review (MTR) of its SUSTAIN project (2014-2018), assessing its contribution to Inclusive Green Growth in 2 growth corridors in Tanzania and Mozambique, based on the landscape approach. The key evaluation questions centered around 3 sets of questions: 1) to what extent is SUSTAIN delivering on its Theory of Change (TOC) and Theory of Action (TOA)? Are early markers of change confirming its TOC? Is the M&E system set up to produce the required information for learning and adaptive management? 2) What can be learnt from the way that SUSTAIN is structured? 3) Is the project on track to successfully meet the OECD criteria based on what was learned above? The lessons learnt of the implementation so far would feed into practical recommendations for the remainder of the project end of 2018, and possibly into a next phase.

This MTR was conducted by a joint team of Fair & Sustainable Advisory Services, the Netherlands, and Matchmakers Associates, Tanzania. The methodology consisted of a mix of desk review and interviews, both Key Informants Interviews and Focus Group Discussions. The evaluators followed a semi-structured interview format with open questions, with the aim to gather as much as possible in-depth information about the results on the ground and the underlying reasons for these changes. The evaluators applied a participatory approach with an active role of the staff of the 3 implementing partners - SNV, AWF and ADPP - wherever feasible. The responses received have all demonstrated a high level of consistency.

The MTR has noted the **diversity** of the selected landscapes (or clusters) in the two growth corridors, ranging from 1) fairly intensive resource use by big companies and established Value Chains with risks of resource depletion in the Ihemi & Kilombero cluster in SAGCOT (Tanzania), to 2) less intensively used landscapes in the Sumbawanga cluster with just an emerging private sector, to 3) rather extensively, more subsistence type of land use in Zambezi corridor in Mozambique. That diversity underlines the importance of learning and flexibility in the design and the application of the landscape approach.

Complexity of SUSTAIN: the SUSTAIN project is complex in two key aspects. Firstly, with regard to the **landscape approach** which connects various technical sectors - land, water, forest, business, policy - in an integrated manner in order to arrive at Inclusive Green Growth through nature based Value Chains, with the explicit objective to upscale this from local to corridor, national and global level. Secondly, with regard to the **SUSTAIN partnership** itself, comprising 8 partners, combining 3 different programmes at IUCN Secretariat (Water, Forests, and Business and Biodiversity), IUCN regional and national Coordinators in the regional and country offices and four implementing partners including IUCN Netherlands Committee (a separate organization and legal entity from IUCN) and 3 implementing organizations on the ground: AWF, SNV and ADPP/Micaia.

FINDINGS AND CONCLUSIONS

Alignment and ownership: bringing all these actors or units together and achieve a sufficient level of alignment and ownership for this landscape concept was the major investment in the initial stage. The MTR has concluded that a sufficient level of consensus existed in combination with a great sense of ownership, not only among the 8 SUSTAIN units, but also already among key external stakeholders that have become engaged with SUSTAIN. That in itself is a very significant achievement and it constitutes the best basis for future sustainability. This also fits well in a programme that has a clear long-term, 10 years, perspective.

Transformative change: that alignment also extended to what basically constitutes **nature based Value Chains**, a key change that SUSTAIN stands for: a VC that sustainably combines economic, social and environmental dimensions, carefully managing and conserving the resource basis; it provides income security to its land users, in a VC partnership with other private businesses higher-up in the

Value Chain; the VC is a partnership itself and it follows a market demand logic, including governance issues for crucial natural resources and policy issues that support sustained growth. This change description also implies that SUSTAIN follows a clear **intensification** approach for agricultural growth as opposed to the **expansion** approach which has the serious risk of encroachment on other land uses.

But the MTR has noted that this market demand may be less present in the case of **Non Timber Forest Products** (in Sumbawanga) and in the Zambezi corridor in general, because of the prevalence of more **subsistence oriented farming** with diverse sectors of farming, livestock and fisheries. SUSTAIN has not made a sufficient in-depth analysis of existing, often informal, markets, and based on such an analysis arriving at proper activities. At this moment SUSTAIN risks implementing ad-hoc activities with low rates of success. The lack of a sufficiently developed private sector must be better understood as part of such an analysis. Additionally, alternative livelihood opportunities may need more attention.

Partnerships: SUSTAIN has attracted attention of many stakeholders by its landscape approach and has effectively established partnerships with different types of stakeholders at its different implementation levels. It is likely that VC based partnerships - in already existing VC - have the biggest potential to contribute to SUSTAIN TOC because of its business rationale.

The collaboration with **corridor agencies** in Tanzania and Mozambique, SAGCOT and ADVZ respectively have been key for coordination and upscaling its landscape approach in the corridors. These corridor agencies may have limitations in terms of sufficiently assuring collaboration between different sectoral ministries that deal with natural resources.

Policy influencing: SUSTAIN has rightly singled out partnerships of key stakeholders as crucial platforms for policy influencing. Partnerships act as key dialogue spaces or round tables and may well serve as reputed bodies for policy influencing. This applies for cluster, corridor and national level partnerships. Policy influencing takes place in both directions: from cluster to national, and vice-versa.

The **Knowledge-to-Impact (K2I)** component of SUSTAIN has demonstrated its distinct added value with regard to the different constituting blocks. **Capacity building** for creating ownership and alignment has been effective. More technical capacity building will remain essential for implementation, as specific needs will continue to emerge. SUSTAIN has properly combined internal sources of information as well as external knowledge linkages for this capacity building and thematic support. VCD related capacity building has shortcomings in terms of using a proper market systems dimension.

Added value of SUSTAIN: is about applying the systemic VC development projects, which are also applied by various of its stakeholders, on a much higher integrated manner by using the landscape approach in a consistent manner, moving away from sectoral projects, carefully looking and managing the possible (negative) trade-offs at individual value chain level on the natural resource basis and adding the governance issue, in the VC and its natural resource basis. That is the key distinction with other development projects and actors.

Early markers of systemic change: in spite of the rather short real implementation period (between 24 and 6 months) the volume, diversity and extent of these early markers was impressive in all landscapes. The MTR has noted a wide range of partnerships at landscape level with local institutions, governments, businesses, at corridor and at higher national policy levels. Good and promising examples of IGG happened. In general, these early markers fully supported the TOC of SUSTAIN. The SUSTAIN project was also the key contributing factor for these early changes.

In **Mozambique** these early changes were more concentrated on national level. This was not surprising in view of the more complex land use situation on the ground (subsistence farming) and the security situation, but it will present a challenge for SUSTAIN how to best connect these higher level changes with the cluster level changes.

Fundraising is integral part of the project design, because IUCN agreed to the core funding model, meant to cover one third of the total programme envelope envisioned to achieve the desired objectives. Partners committed themselves to the search for other funding sources, which created some confusion. The MTR confirms that **resource mobilization** from other stakeholders as one aspect of early marker of change, demonstrating the commitment of such actors, is the most logical approach to tackle this fund raising. The confusion emerged where fundraising targets were set in an inappropriate manner not fully considering landscape differences and stakeholders' presence; and where implementing partners had difficulties integrating this fundraising target into their work planning and budgeting.

TOC and TOA: the current TOC describes the essence of SUSTAIN in an appropriate manner, visualizing the various broad goals it wishes to achieve at different levels, and its interconnections. The TOC is not a good management or learning tool, as it is usually intended, because it is too generic. Implementing partners do not have more detailed TOC at their level, adapted to their context, which also limits their learning and adaptive management. But the TOA shows an interesting feature of specifying the type of changes according to the 4 different strategic objectives. The MTR feels that the distinction between TOC and TOA is superfluous; an integration would be more logical. The TOC and TOA do not properly carry the key message of the landscape approach because they have **compartmentalized** the strategic objectives in 4 distinct, parallel work packages.

Sequencing and prioritizing: The most desired and logical enrichment of the TOC would be a learning effort to discuss the possibilities of sequencing and prioritizing the results so far, based on the early markers of change. That would lead to a better **hierarchy of results**, as a key element of transformative change and application of the landscape approach and IGG. At present no feedback on this dimension was received, but the MTR judges this as a good opportunity for further learning.

M&E system: IUCN has also much invested in the M&E system and it has demonstrated a clear evolutionary and learning path thus far. The number of outcome and impact indicators has been decreased step by step in order to make measurement manageable. But the implementing partners on the ground still see this M&E system as too complex, with too many outcome indicators and not easily applicable. Implementing partners mostly focus on output monitoring. The early markers of change that this MTR has observed may well be used as relevant inputs into a joint reflection on suitability of outcome indicators. In general, partners lacked practical coaching on the ground for M&E.

Learning questions: the M&E must provide information for answering the learning questions. That is not yet the case. Currently, agreement lacks on the content of indicators and key changes, and the necessary skills and resources to collect credible information in the field.

The MTR has not been able to assess all M&E tools in detail, but the key feature essential for the sound use of all these tools, is the consensus on the key changes (and its hierarchy, connecting the different pathways of change) that SUSTAIN wishes to see happening in reality. With the inputs of this MTR that discussion can take place and be used for improving the different M&E tools.

Unexpected changes: so far SUSTAIN does not pay systematic attention to unexpected changes, whether happening as contextual, external changes or as a direct result of SUSTAIN activities. This has limited the learning and adaptive management of SUSTAIN.

Structure of SUSTAIN looking at ownership establishment; coordination and management; and lessons learnt. As already argued before, SUSTAIN has done a remarkable effort in widely establishing a strong feeling of **ownership and commitment** to intended results among its implementing partners and external stakeholders. The style of management has stimulated this process in which all 8 units collaborated right from the start in the design and inception phases. The early identification and engagement of the 3 IPs was therefore a very favorable factor.

IUCN coordination and management has played a crucial role in bringing the different IUCN thematic programmes (Water, Forests and BBP), along with the implementing partners together in the initial stage. It also took care of the implementation of the third component, Knowledge to Impact - K2I. That comprised a series of different activities and multiple roles. The MTR learnt about staff limitations for proper implementation of that work component, but no information was available to conclude whether this has really affected quality of work and therefore the quality of results. Significant global level coordination and managing were necessary at the initial stage of SUSTAIN, leading to a somehow **top-heavy structure**. The MTR assesses the current moment as appropriate to review this top-heavy structure, making it more supportive and facilitative to bottom-up implementation.

IUCN NL as the key partner in the early approval process, combined two roles of 1) implementation (in 3 specific fields of expertise: assuring CSO voice; exploring links with Dutch private sector and connecting with Dutch knowledge institutions) and 2) management and coordination. IUCN NL experienced human resource problems during part of the implementation period. It would like to see a review of its role in line with the three focus areas with clear result commitments in each of them.

At **national coordinator level** the case is clearer that both coordinators implement too many activities, their work plans are too diverse, risking ad-hoc prioritizing, and not able to connect well with cluster levels in particular. They act too much as the funnel with a lot coming from IUCN global, but too little coming in the other end. That situation risks creating effectiveness and frustration.

At **implementing partner level**, the MTR has observed that all partners have strong and committed teams on the ground. With regard to actual implementation they tend to focus on the separate work packages under each strategic objective, risking to neglect the connections as embodied in the landscape approach. IUCN had made the proper choice of these partners in terms of their organizational profile and the selection of the project managers, as best able to play the neutral facilitation role which is so vital for sustained success in all the diverse partnerships set up by SUSTAIN.

Efficiency: the MTR has come across many examples of improved efficiency in implementation, including better use of budgets, on the basis of informal learning (outside the formal M&E framework) and reflection on the relevance and effectiveness of selected activities.

Summarizing

The project is indeed well on its track to successfully meet the OECD criteria of relevance, efficiency, effectiveness, impact and sustainability, based on what the MTR has learned during this evaluation. The level of engagement and ownership is high among all stakeholders; a fruitful discussion and reflection on the practical recommendations presented hereafter should be used to lead to further growth and evolution of its landscape concept for the remainder of the project, at the end of 2018 and possibly into a next phase.

RECOMMENDATIONS

TOC:

- Urgent need to jointly reflect on **sequencing and prioritizing**, developing a result hierarchy, during the next learning event; use the inputs of the early markers of change as the key ingredients for this reflection;
- The discussion and reflection on the TOC must also include a critical analysis of all activities with regard to their relevance and added value, including the cost-dimension
- Merge the TOA into the TOC, based on these early markers; the overall SUSTAIN TOC structure can remain as it is, but it will be enriched with more detailed level of changes;
- Discuss and agree on how the new **nature based VC** are also including the different key changes as described by the other SOs. This would then also respond to the key question

whether these changes have a **transformative** character fitting with the SUSTAIN landscape approach;

- Stimulate the development of more detailed, field based TOC per IP, based on their realities and context in the growth corridors; that will provide to them the basis for adaptive management;
- For **Mozambique**: thoroughly analyze the market systems of the various subsistence land use systems before designing possible interventions; include the possibilities of alternative livelihood options for income generation.

M&E:

- Make further adjustments in the M&E system by making explicit use of the inputs of the IPs; their experiences of early markers of change may be the best entry points for a next adjustment round.
- Focus first on the intermediate changes of outcomes as the best indicators of the relevance of the selected pathways of change. Collecting information on these changes must be the key ingredients of each M&E tool;
- Use the stories from the field in a more systematic manner, selecting beneficiaries to share their feedback
- More on the ground presence and practical M&E support and coaching by IUCN global and NC is needed to improve M&E and learning; that support would also include a closer collaboration with IP M&E staff to make use of their skills, insights and experiences; also making better use of the more informal and frequent learning on the ground;
- Include M&E of unexpected changes and context on a regular basis;
- Make better use of M&E systems of other stakeholders;
- Agree on the best way to integrate disaggregate information collection and analysis in order to track inclusiveness; decide on the specific categories of persons to be distinguished
- The IATI process which needs a clear result hierarchy, may be used to streamline the transition to a more simple and practical M&E; the support that AKVO will provide for this IATI compliance, will also help the proper formulation of indicators (see recommendations above)

Learning

- Joint partner meetings and learning events are the best opportunities to stimulate that approach and improve the facilitative management style of IUCN HQ.
- Learning must be further scaled down to the field (see M&E recommendations) to improve the learning inputs for the formal learning events

K2I component

- Make more use of cluster level experiences and lessons as inputs into support, coaching and capacity building activities; joint partner meetings are excellent events for this approach;
- Capacity building must be more tailor-made to the type of partnerships and stakeholders.
- VCD capacity building will need a stronger market systems orientation

Fundraising:

- Can be best pursued as an explicit resource mobilization approach - an intended intermediate change.
- Expectations of this mobilization must be tailored to the specific landscape or cluster context.

Ownership promotion:

- make explicit use of IP inputs for the M&E system
- enrich the SUSTAIN landscape and IGG concepts based on the practical results already achieved

Facilitation role of IPs:

- extend the learning dimension to the contents of the facilitation role of partnership and VC development:
- this will require more attention and guidance from IUCN Global and NC, including the necessary facilitation skills and capacities of the IPs

Partnerships establishment and policy influencing

- Continue working with key corridor agencies, but remain alert whether this type of stakeholders sufficiently assure inter-ministries collaboration as envisioned within the landscape approach, which may imply more direct collaboration with these ministries

Linking landscape results to higher levels

- Use the landscape level results with the higher levels contacts as an input for policy influence and adjustments. The behavioral responses from the diverse stakeholders will inform SUSTAIN on the contacts with greatest potential and/or priority.
- Pay specific attention to the private sector based contacts in VC development as strong cases for this result linkages and policy influencing

Coordination and management

- Jointly review the position of IUCN NL in the coordination of the SUSTAIN programme and agree on the three expected results of the three components IUCN NL is responsible for.
- Assigning a bigger responsibility to IPs and their cluster level activities with a stronger support and coaching role of IUCN NC and global

OECD criteria

- Give more attention to the bottom-up process of M&E and learning, reflect on the result hierarchy of TOC and jointly review the Mozambique work packages at cluster level in relation to the selected landscapes.

Table of Contents

Executive Summary	2
Table of Contents	8
List of abbreviations	10
1. INTRODUCTION TO PROGRAMME	12
2. PURPOSE OF THE EVALUATION	14
3. METHODOLOGY	16
4. SUMMARY OF IMPLEMENTATION STATUS	18
4.1 Tanzania: Selection process and the landscape situation	18
4.2 Mozambique Selection process and the landscape situation	27
4.3 Selection of partners.....	27
5. FINDINGS	28
5.1 TOC and TOA: to what extent is the project set up according to TOA.....	28
5.2 Early markers of progress	29
5.3 Reflection on TOC and TOA.....	36
5.3.1 General issues	36
5.3.2 Shared concepts	38
5.3.3 Knowledge-to-Impact (K2I) fit with TOC.....	39
5.3.4 Linking results at landscape level to higher levels.....	40
5.3.5 Added value of IUCN SUSTAIN vis-à-vis other programmes.....	41
5.4 The M&E system	42
5.4.1 Appropriateness of M&E system.....	43
5.4.2 Annual reports.....	45
5.4.3 set-up of the M&E system.....	45
Stories from the field.....	46
5.5 Structure of SUSTAIN	48
5.5.1 Ownership establishment	49
5.5.2 Coordination and management	49
5.5.3 Lessons learnt	52
5.6 is SUSTAIN on track meeting OECD criteria?	53
6. CONCLUSIONS.....	54
7. RECOMMENDATIONS.....	57
Annex 1 TOR.....	60
Annex 2 persons met and interviewed	65
Annex 3: sample interview format.....	67

Annex 4 Summary of implementation 72

List of abbreviations

ADPP	Ajuda de Desenvolvimento de Povo para Povo (Development Aid from People to People)
ADVZ	Agência de Desenvolvimento do Vale de Zambeze (Zambezi Valley Development Agency)
AMDT	Agriculture Markets Development Trust
ARA	Administração Regional das Águas (Regional Water Administration)
AWF	African Wildlife Foundation
BAGC	Beira Agricultural Growth Corridor
BRIDGE	Building River Dialogue and Governance
BTC	Belgium Technical Cooperation
CAMARTEC	Centre for Agricultural Mechanization and Rural Technology
CBFM	Community Based Forest Management
CEO	Chief Executive Officers
CEP	Conselho Empresarial Provincial (Provincial Business Council)
CFT	Catchment Facilitation Team - for participatory water resource management
CSA	Climate Smart Agriculture
CTA	Confederação das Associações Económicas de Moçambique (Confederation of Business Associations in Mozambique)
DC	District Council
DFID	Department for International Development - UK
DFT	District Facilitation Team - for participatory water resource management
EKN	Embassy of the Kingdom of the Netherlands
FAO	Food and Agriculture Organisation
FNDS	Fundo Nacional de Desenvolvimento Sustentável (National Sustainable Development Fund)
FGD	Focus Group Discussion
GIZ	Germany International Development Organisation
GMP	General Management Plans
IGG	Inclusive Green Growth
IKC	Ihemi Kilombero Cluster
IP	Implementing Partner
IWRM	Integrated Water Resource Management
IWRMDP	Integrated Water Resource Management Development Plan
KCCT	Kilombero Community Charitable Trust
KNR	Kilombero Nature Reserve
KPL	Kilombero Plantation Limited
KSC	Kilombero Sugar Company
KVTC	Kilombero Valley Teak Company Limited
LGA	Local Government Agency
LRBWB	Lake Rukwa Basin Water Board
LUD	Land Use Dialogue
LUP	Land Use Plan
MITADER	Ministério de Terra, Ambiente e Desenvolvimento Rural (Ministry of Land, Environment and Rural Development)
MOPRH	Ministério de Obras Públicas e Recursos Hídricos (Ministry of Public Works and Water Resources)
MP	Member of Parliament
MSP	Multi Stakeholder Platform
NC	National Coordinator
NGO	Non-Government Organisation
NTFP	Non timber forest products
PEOTT	Plano Especial de Ordenamento do Território da Província de Tete e parte da Bacia do Zambeze (Special Landuse Plan of Tete Province and the Zambezi Valley)

PES	Payment for Ecosystem Services
PNM	Parque Nacional de Mágoe (Magoe National Park)
PPP	Public Private Partnership
RAS	Regional Administrative Secretary
RBWO	Rufiji Basin Water Office
SAGCOT	Southern Agricultural Growth Corridor of Tanzania
SASS	Stream Assessment Scoring System
SDAE	Serviços Distritais de Actividades Económicas (District Services for Economic Activities)
SHF	Smallholder Farmer
SNV	Netherlands Development Organisation
SO	Strategic Objective
SRI	Systems of Rice Intensification
SUSTAIN	Sustainability and Inclusion Strategy for Growth Corridors in Africa Programme
TCCIA	Tanzania Chamber of Commerce Industry and Agriculture
TFCG	Tanzania Forest Conservation Group
TFRA	Tanzania Fertilizers Regulatory Authority
TFS	Tanzania Forest Service
TNC	The Nature Conservancy
TPRI	Tropical Pesticides Research Institute - Tanzania
TOC	Theory of Change
TOA	Theory of Action
UN	United Nations
USAID	United States Agency for International Development
VA	Verde Azul
VC	Value Chain
VCA	Value Chain Analysis
VCD	Value Chain Development
VLUMC	Village Land Use Management Committee
VLUP	Village Land Use Plan
VNRC	Village Natural Resource Committee
WB	World Bank
WCS	Wildlife Conservation Society
WUA	Water Users' Association
WWF	World Wildlife Fund

1. INTRODUCTION TO PROGRAMME

Context and description

In order to generate jobs, increase public revenue, expand social services and ultimately reduce poverty, African countries are focusing on and promoting investments in ‘growth corridors’ - areas where development of natural-resource based industries such as agriculture and mining are being prioritised because of their potential to catalyse rapid economic growth. At the same time, countries are looking to prevent degradation from quick-paced expansion and to achieve the ambitions of a climate-resilient, green economy. There is an urgent need for close partnerships and joint action among the public and private sectors and rural communities to ensure that investments flowing into growth corridors include solutions for the sustainability of water, land and ecosystems that are socially inclusive and that build resilience to climate change.

To address this need, a consortium of partners led by IUCN and IUCN NL in consultation with local and national governments have initiated the implementation of the SUSTAIN-Africa programme. SUSTAIN has started its operations in Tanzania and Mozambique, having so far selected three clusters across the two growth corridors to increase knowledge, skills and capacities among key stakeholders and stimulate water, land and ecosystem management while generating growth. The selected corridors are the Southern Agricultural Growth Corridor of Tanzania and the Beira/Zambezi Development Corridor in Mozambique. SUSTAIN-Africa will also provide a basis for policy innovation with the potential to upscale the sustainability and inclusiveness of growth corridors to other parts of Africa.

To fulfil this vision of a sustainable and socially inclusive green economy, SUSTAIN integrates water, land and ecosystem management with sustainable business to demonstrate inclusive green growth using the **landscape approach**.

The SUSTAIN project goal is:

“To find and implement solutions in African Growth Corridors that achieve the ambitions of a climate resilient, green and inclusive economy through building new partnerships and capacity among the public and private sector and rural communities at landscape level which address in an integrated manner economic, social, water, land and ecosystems management.”

To achieve this goal, SUSTAIN has formulated 4 **Strategic Objectives**, which are complementary and are the basis for implementation of the programme at cluster level.

These 4 strategic objectives are:

1. **Water security** - Sustainable and climate-resilient supply of water for livelihoods, production, health and ecosystems, coupled with lower water-related risks
2. **Climate change adaptation and mitigation through land resource management** - Landscape management and restoration enhance climate change resilience using climate-smart agriculture, while supporting food security and low-carbon development through new value chains that link primary production with trading and enterprise opportunities
3. **New investment and business partnerships** - New business models and partnerships in growth corridors build long-term synergies between development and conservation and raise investment and lower risks for rural households, commercial enterprise and sustainable economic growth
4. **Policy, learning & evidence** - Improved public and private sector strategies for sustainable water, land and ecosystems and for climate change resilience are integrated into business planning and policies on economic growth.

SUSTAIN-Africa works at different levels: local, national and regional & continental levels, linking practice on the ground to policy change at corridor and Africa-wide levels. These solutions will both foster and rely on close partnerships among the public and private sectors and rural communities. The programme is core-funded by the Dutch Directorate-General for International Cooperation (DGIS) at a level of 10 million euro, with co-funding secured and being sought from a number of other sources towards a full envelope of 30 million euro. Global level coordination of the project is led by the IUCN's Global Water Programme (GWP), whilst regional coordination takes place from the ESARO regional office and programme offices in the target countries: Tanzania and Mozambique. The programme implementing partners include the IUCN Business and Biodiversity Programme (BBP), the IUCN Forest and Climate Change Programme (GFCCP), IUCN's East and South Africa Office (ESARO), the two IUCN country offices in Tanzania and Mozambique, and IUCN National Committee of the Netherlands. Implementing partners on the ground in a selected set of landscapes include AWF and SNV in Tanzania, and ADPP with The Micaia Foundation in Mozambique. The project started on January 1st, 2014 and will finish on December 31st, 2018, with the possibility of a follow-on phase between 2019 and 2023.

2. PURPOSE OF THE EVALUATION

IUCN has requested an independent mid-term evaluation to explore SUSTAIN's contribution to complex growth corridor systems by using the landscape approach, with the aim of providing guidance on how to improve project implementation and learning in its remaining timeframe. This evaluation also fulfills the requirement, stated in the contract with the Dutch Directorate-General for International Cooperation (DGIS) as well as in the IUCN Monitoring and Evaluation Policy, to conduct an independent mid-term evaluation (or "midterm review") for the purpose of learning and reflection on project management. This evaluation has both a learning and accountability dimension. The SUSTAIN Monitoring and Evaluation Framework written by the project team specifies that the midterm evaluation should be undertaken at programme and corridor level. In responding to the key evaluation questions below, the mid-term review has also addressed the OECD DAC criteria (relevance, efficiency, effectiveness, sustainability, impact). See for further information the TOR in annex 1.

Evaluation issues

The mid-term evaluation should explore SUSTAIN's contribution to complex growth corridor systems through the assessment of the progress, performance, achievements and lessons learnt to date. It is evident that the programme took a long time to start actual implementation in the two growth corridors. Actual implementation on the ground in the landscapes started in Ilemi-Kilombero Cluster 24 months ago, in Sumbawanga 11 months, and in Mozambique 5 months respectively. Therefore, it cannot be assumed that SUSTAIN has already produced significant results or changes at landscape level as described in its Theory of Change. It is simply too early.¹

Therefore, the focus of the evaluation is on the so-called early markers of systemic change, which align with the TOC, or better formulated with the different pathways of change. Do these early indications of change confirm the correctness or appropriateness of the identified pathway of change or should the programme adjust its TOC? In that sense the relative early timing of this evaluation, in view of the late start of implementation, will provide the necessary external inputs in the TOC for updating and adjusting it.

Evaluation questions

The key evaluation questions, and the sub-questions, for the mid-term review are:

1. To what extent is the project set up to deliver on its Theory of Change (ToC) and Theory of Action (ToA)?

1.1. What early markers of progress towards systemic changes are emerging in the project landscapes? How does the SUSTAIN TOC align with these changes? What contributions has SUSTAIN made so far? (*effectiveness*)

1.2. Is SUSTAIN gaining the ability to link results in landscapes to change at higher levels? What should be the priorities for increasing influence from SUSTAIN? (*impact*)

1.3. To what extent is the M&E system set up to (a) help answer the learning questions; (b) detect any needed programme implementation adjustments for better progress towards results; (c) provide annual data on specific indicators requested by DGIS; and (d) make use of geo-spatial data to address links between economic growth and ecological infrastructure? What

¹ To complete this picture: both National Coordinators started their work at national level roughly 2 years ago.

adjustments to the M&E system are recommended to help understand progress made through SUSTAIN?

1.4. Does the project have identifiable measures of impact and sustainability that are specific and measurable? (*impact and sustainability*)

2. What can we learn from the way that SUSTAIN is structured?

2.1. How effective has the programme been in establishing national/local ownership? (*sustainability*)

2.2. How should coordination and programme management be adjusted to strengthen delivery on the TOC/TOA? (*efficiency, effectiveness*)

2.3. SUSTAIN is the biggest collaborative programme in IUCN between different actors, including a national committee - what can we learn about working together (from the partnership and management perspective)? What recommendations can be made for improvement?

3. Is the project on track to successfully meet the OECD criteria based on what was learned above?

3.1. What recommendations are there for adjustments?

These evaluation questions were the key building blocks of the evaluation matrix (see TOR).

Focus of evaluation

Reflecting on the content and scope of these evaluation questions, it is clear that the evaluation has three key components; 1) early indications of change and its fit with the TOC, and its capacity to influence higher levels; 2) the quality and relevance of the M&E system for measuring progress and learning; 3) the structure of SUSTAIN and the quality of coordination and management as a partnership. Based on the information collected this evaluation will formulate practical and feasible recommendations and suggestions for improved performance of SUSTAIN. Firstly, these recommendations apply for the remaining period till end of 2018; secondly, they also serve as inputs for a future phase, 2019-2023.

Evaluation team and timing

The evaluation was jointly done by FSAS, the Netherlands, as the main contractor, and MMA, Tanzania as the sub-contractor. Ben Haagsma, FSAS, was the lead consultant, responsible for overall quality of the evaluation, and for coordination and communication with IUCN HQ. Paul Sijssens, FSAS, conducted the evaluation in Mozambique, covering Maputo and the Zambezi growth corridor. Peniel Uliwa and Edmond Ringo, both MMA, conducted the evaluation in the SAGCOT growth corridor, to the Ihemi & Kilombero and Sumbawanga cluster respectively. They also conducted the Dar level interviews. See for an overview of the interviews and the itinerary in Annex 2. The evaluation took place in the period April - May 2017.

3. METHODOLOGY

The evaluation has been carried out in conformity with the IUCN M&E policy and was based on the OECD & DAC criteria. In the inception stage, the evaluators commented on the key evaluation questions and added additional indicators.

The inception report provided the key methodologies and tools, the data collection and analysis steps. The key methodologies were the **Theory of Change** and **Theory of Action**, which present the intervention logic of the programme, and an adapted version of the **Most Significant Change**. Responding to the key question of the evaluation - *on the early markers of progress towards systemic change* - this second method, MSC, is particularly useful for beneficiaries to share their opinions on the **changes** they have observed at this stage in an open manner, not just in accordance with the TOC, but also beyond: this also includes the unintended changes as a result of SUSTAIN implementation.

Prior to the data collection in the field the evaluation team did a **desk review**, as a primary source of information. Reading of the documents was guided by the main evaluation questions with a focus on the indications of change, as described by the TOC and TOA. This desk review also provided extra inputs for the field stage. For this field data collection the evaluation used 2 tools: 1) **Key Informant Interviews (KII)** and 2) **Focus Group Discussions (FGD)**. KII served for interviewing the key stakeholders, staff and management of implementing partners and the IUCN staff at various levels. FGD served to meet and interview groups of final beneficiaries in the field. No separate FGD with men and women were organized, but the discussions were facilitated carefully, allowing all voices to be heard. In Mozambique FGD could not be organized due to time constraints and the fairly sudden visit of a high level official, which took all the attention of the necessary staff. For both types of interviews the evaluators used an open question format, inviting persons to share their responses in an open and clear manner (see sample interview format in Annex 3). The interviews had a semi-structured character. Making an explicit effort to dig beyond the first polite answers and understand the underlying reasons for change, or the absence of change, was part of the approach. As much as possible people were invited to provide clear examples to illustrate their answers. Where feasible respondents showed their project activities (e.g. Beehives corridor, sugarcane seedlings farm) to evaluators and discussions ensued on what has changed during SUSTAIN project period. The evaluators also made a brief, internal note describing the key concepts of SUSTAIN in a simple manner in order to align the evaluation team members.

For the purposes of **quality assurance** of findings and conclusions, the team applied **triangulation** in various ways: a) it followed an iterative process, using specific information from one interview and ask for feedback in a next interview; b) asking probing questions to respondents when they fail to answer the first questions in a concrete and clear manner, c) critically comparing contrasting answers that may emerge from different categories of persons in order to understand the underlying reasons for this diversity.

Though the evaluators were an independent team of persons without earlier involvement with the SUSTAIN programme, they have applied as much as possible a **participatory approach**, in particular during the field collection phase. This happened through 1) inception Meeting with IUCN national coordinator to discuss the key aspects of the evaluation; 2) inception meeting with staff & management of each implementing partner; 3) the participation of IP staff at FGD session, assisting them to recall some of the activities or issues that they were unable to remember during the discussion. The IP staff didn't conduct FGDs themselves but at least two of them accompanied the MTR team in all interviews/FGDs (in Sumbawanga and Kilombero); during Key Informant Interviews, the IP staff only made the introduction and thereafter they left. Finally, a joint feedback or validation session took place at end of stay in the field, with a selected group of attendants, invited by the IP. In this validation session in Sumbawanga the MTR used a series of discussion questions to facilitate this meeting and stimulate an open sharing of experiences and opinions. In IKC the evaluator presented

their findings to which participants responded to and thereafter, discussions questions were used to discuss the ways forward.

Selection of respondents: has been done in collaboration with IUCN Global, NC and IPs on the ground. The key criterion of sampling was **diversity**, aiming to get a maximum of different perspectives into consideration of the different key stakeholders involved in SUSTAIN at cluster, corridor and national level. In addition, the MTR interviewed representatives of all 8 implementing units of SUSTAIN. Only IUCN NL was interviewed just after the submission of the draft report, but their feedback has been included in the final report.

Limitations

In Tanzania the only limitation encountered was the impossibility to visit some activity sites due to heavy rains and poor roads. The MTR team had requested the persons from that cluster to travel to the central meeting place and be interviewed there. That worked out well. In Mozambique the FGD could not be organized due to the above mentioned obstacles. The MTR was not able to interview all persons suggested by IUCN global due to lack of time.

All in all these limitations were rather small. The MTR observed that between the different sources of information a high degree of consistency existed. No real differences of opinion emerged. Having noted this, the MTR is confident that the mentioned limitations have not influenced the quality of findings.

4. SUMMARY OF IMPLEMENTATION STATUS

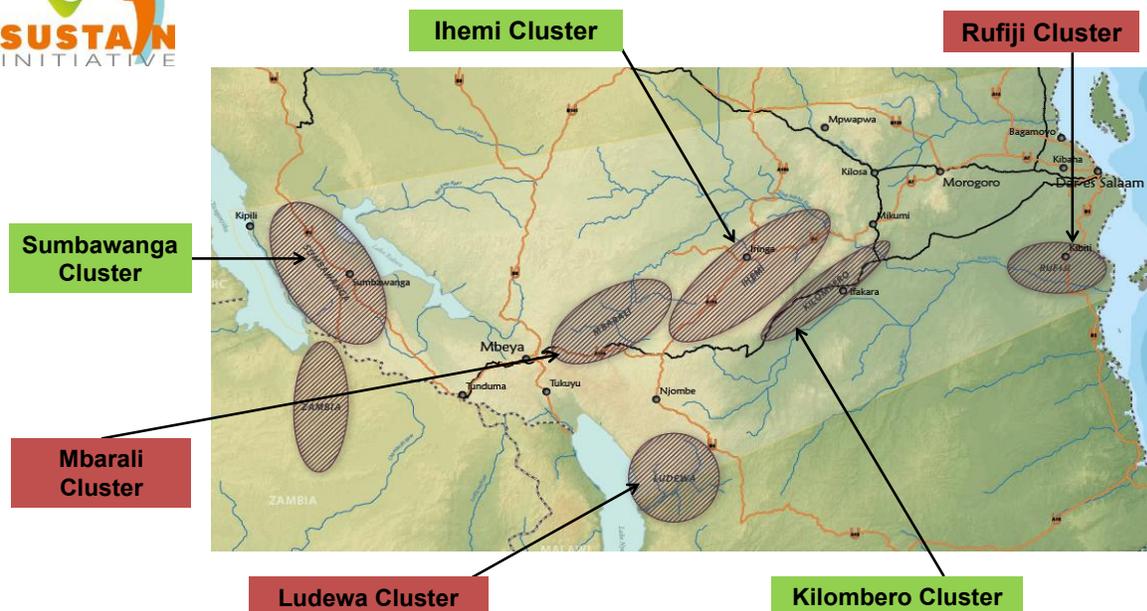
Implementation of SUSTAIN - Africa at landscape level was launched in May 2015 by African Wildlife Foundation (AWF) which is one of the two-implementing partners of the project in Tanzania, in the Ihemi Kilombero Cluster (IKC). The other implementing partner is SNV Netherlands Development Organisation who is implementing SUSTAIN project in Sumbawanga Cluster.

4.1 Tanzania: Selection process and the landscape situation

The landscape of Ihemi/Kilombero cluster (IKC) and Sumbawanga Cluster as a focus for SUSTAIN were chosen during design stages. The landscapes were selected within SAGCOT definition (clusters) whereas Ihemi Kilombero cluster (IKC) was earmarked as first SUSTAIN landscape and Sumbawanga cluster as the second SUSTAIN landscape. Key selection criteria were environmental and economic and based on resources at hand. SUSTAIN wanted to choose clusters that will create opportunity for learning through comparison. On the one hand, IKC landscape is already heavily invested (land management, sustainable agriculture and large scale businesses in Sugar and Rice); it is within Rufiji water basin and has dams for hydropower (land and water management). On the other hand, Sumbawanga landscape is different from IKC i.e. with a much greater presence of smallholder farmers and fewer big private sector companies. Both clusters suffer from different forms of resource degradation.



SAGCOT CLUSTERS



Implementing partner, AWF, in Ihemi & Kilombero cluster

SUSTAIN in IKC is now on the ground for less than 2 years, with most activities implemented for just about 1 year. The project has started initiatives in all 4 Strategic Objectives (SOs) of SUSTAIN project and they are at different stage of implementation. Seven Partners have been engaged by AWF to spearhead different activities in the various locations in the landscapes, namely Kilombero Sugar

Company (KSC), District Councils of Kilombero and Kilosa, Rufiji Basin Water Board (RBWB), Kilombero Nature Reserve (KNR), Tanzania Forest Conservation Group (TFCG) in support of Kilombero Plantation Limited, Kilombero Valley Teak Company (KVTC) in collaboration with Belgium Technical Cooperation (BTC), Udzungwa Forest Project/Reforest Africa covering different strategic objectives (SOs).

Table 1 (below): shows the status of each partnership as of May 2017 in the Ihemi-Kilombero cluster.

AWF got actively involved through a mapping study after launch of implementation to identify intervention areas along the Wildlife Corridor within the IKC where they would start project activities. The main criteria used were availability of business cases and partners willing to work on the challenges that SUSTAIN had identified at design stage.

Four landscapes were identified with the following justifications:

1. **Udzungwa/Selous landscape:** Kilombero Sugar Company with Cane Outgrowers, Relevant District Councils & Sugar Research Institute - (water security and productivity enhancement of outgrowers); Selous Game Reserve & Udzungwa Nature Reserve - (legislations on forest to game reserve status); Southern Tanzania Elephant - (protecting elephant routes from negative effects on farmers a and communities).
2. **Kilombero Valley landscape:** Kilombero Teak Company & Belgium Technical Cooperation and Ulanga District Council - (deforestation - sustainable forest management with communities)
3. **Mngeta Corridor:** Kilombero Plantations Ltd, Tanzania Forestry Conservation Group, RBWO and Killolo District Council - (degraded water quality and quantity upstream and downstream). Water for economic development, environmental protection +conservations &water governance.
4. **Lukosi landscape:** Forestry degradation - need for restoration &river health issue and need for governance. Not yet actively pursued.

Implementing partner, SNV, in Sumbawanga cluster

In Sumbawanga SNV got actively involved through a mapping study after launch of implementation to identify intervention areas along the Sumbawanga cluster where they would start project activities. The main criteria used were availability of business cases and partners willing to work on the challenges that SUSTAIN had identified at design stage.

Table 2 (below): shows the status of each partnership as of May 2017 in the Sumbawanga cluster.

The following choice of four landscapes and justifications were made:

1. **Sumbawanga Mtowisa landscape:** characterised by high deforestation rate from clearing of land for farming and high competition for water resource by the up- stream and downstream users.
2. **Kate Chala landscape (Nkasi DC):** migration of large number of cattle - creating conflicts between farmers and pastoralists as well as environmental degradation i.e. water and land resource mismanagement (River Mfui)
3. **Kassanga Matai landscape (Kalambo district, which lie in the Ufipa plateau, stretching to the Lake Tanganyika shore.** Challenged with fast growing population and heavy deforestation for charcoal making. Kassanga port provides gateway to neighboring countries, Democratic Republic of Congo and Burundi

4. **Mwese Mwamankulu landscape:** Sitalike Landscapes in Mpanda district, which stretches from the Mwese Highlands to the northern part of Katavi National Park. Deforestation, land degradation and unsustainable water resource management is rampant in this landscape causing negative effects in the ecosystem among them drying of hippo pools in the Katavi National Park.

Table 1: SUSTAIN IKC - Status of Partnerships & Strategic Collaborations - May 2017

Name of Partner	Main Activities of collaboration	Strategic Objective Reference	MOU or Agreement	Date of commencement	Number of beneficiaries reached to-date	Remarks from the Project Team
KSC/KCCT	Outgrower Scheme - Improved Seedlings & Capacity Building of Extension Staff	SO1, SO2 & SO3	MOU	Nov 2015	4,000 SHFs & 31 Ext Officers for Kilombero and Kilosa districts	Plan to expand to 3,500 SHF in the next 2 years.
District Councils (Kilombero & Kilosa) and Sugar Board of Tanzania	Out grower Scheme	SO3	Agreement	Feb 2016	59 association leaders (12 women) have been trained on good governance and business practices and serve 8,000 SHFs	SUSTAIN will support the government policy to transform cane out grower's associations to Cooperatives
RBWO	Implementation of IWRMDP covering 3 strategic areas: water for economic development; environmental protection and conservation; and water governance	SO1; SO3	MOU	Nov 2015	All the 3 strategic areas in IWRMDP for Rufiji Basin have been covered by 75%. Water quality assessment completed for 3 major rivers (Lukosi, Mngeta & Ruipa). 2 WUAs established in Mngeta, of which 14 villages are beneficiaries.	Plan to establish Mngeta & Kilombero sub catchment committees; continue capacitating three WUAs (Upper Mngeta, Lower Mngeta and Lukosi) on WLE and water monitoring in the next 20 months
KNR	Review KNR GMP and develop new subsidiary plans for fire management, invasive plants specie and business plan which includes ecotourism plan	SO2, SO3 & SO4	MOU	June 2016	General Management Plans (GMP) completed and submitted to TFS for approval and Business plan completed	Business plan will be presented in the next one month to TFS HQ for further review and approval
TFCG	Model payment for ecosystem services for water restoration in	SO1, SO2, SO3 & SO4	MOU	June 2016	2 out of 4 villages have been reached by programme on land use planning, IWRM and forest programme	In the next 20 months, the programme will complete the LUPs for the 4 villages (Project beneficiaries) and PES structure &

	Mngeta sub catchment.					benefit sharing model will be established
KVTC/BTC	Forest enterprises	SO2, SO3 & SO4	MOU	November 2016	Not started (6 communities are beneficiaries of this PPP)	The project has been significantly delayed due to royalties' exemption and the recent ban Ministry of Natural Resource and Tourism on movement of charcoal and timber across districts Appeal has been made by partners for this PPP to operate under a special permit.
UFP/Reforest Africa	Protection and Restoration of Magombera Forest Reserve	SO2; SO3	Agreement	December 2015	Secured fund for land compensation to KSC to surrender the forest land of Magombera to Tanzania Forest Service	Plans to set up the new organization for restoration in the cluster in the next one month and start restoration programme in Udzungwa Magombera landscape
SAGCOT Centre, 4 Ministries and other Conservation organizations	Policy influencing	SO4	MOUs	2015/16	Environmental Screening Tool, CEO Roundtable on "sustainability governance" and strategies for their enterprises (Green & Inclusive)	

Table 2: SUSTAIN Sumbawanga - Status of Partnerships & Strategic Collaborations - May 2017

Name of Partner	Main Activities of collaboration	Strategic Objective Reference	MOU or Agreement	Date of commencement	Number of beneficiaries/achievements reached to-date	Remarks from the project team
Lake Rukwa Basin Water Board	Implementation of Integrated Water Resources Management (IWRM) development plan for Lake Rukwa Basin covering 3 strategic areas: water for economic development; environmental protection and conservation; and water governance	SO1 and SO4	MoU	April 2016	<ul style="list-style-type: none"> - Facilitated formation of one catchment facilitation team- CFT/District facilitation team- DFT which is now providing the opportunity for create a common understanding of the two frameworks and supporting a more comprehensive approach to water resource management at the community level. -Enable to form WUA namely Mpanda WUA part of Katuma catchment. -Following successful lobbying and advocacy through use case study that lead to the demolition of 23 un improved/unregistered head works hence ensured sustainable flow of the river, solve water shortage to downstream communities (Katavi National Park, Kabage village and others). -The project together with LGAs and LRBWB has conducted awareness meetings in twenty (20) villages that form the Mpanda sub-catchment which drains into the Katuma River. 	2017 Plan to expand to Msaginya river for establishment of WUA after successful accomplishment of baseline survey.
Individual MoU District Councils	In facilitation of village land use	SO2 & SO4	MoU	Sept. 2016	- Kalambo & Sumbawanga DC have participated in the	SUSTAIN will provide support to respective

(Sumbawanga, Kalambo, Nkasi & Mpanda)	plans, establishment of participatory forest management approaches (PFM) through establishment of Village land forest reserves and village natural resources committees.				establishment of 10 villages to have their forest management plans and by-laws.	LGA officials in implementing of these interventions.
National Land Use Planning Commission (NLUPC)	In overseeing and leading the whole process of conducting village land use plan in Sumbawanga cluster. Including also mentoring to participating LGA staff and Village land use committees on the issue related to land conflict resolution, governance and rights	SO2 & SO4	MoU	April. 2017	-Participated in the whole process of establishing village land use plan for 2 villages from Kalambo DC (Kafukoka village) and Sumbawanga DC (Mkamba village)	Still on-going with approval stages for the 2 land uses as the emerged land conflict are being handled by District commissioners office as guided by law. The process of establishing new ones is already set for implementation in remaining quarter of 2017.
Tanzania Forest Service (TFS)	Collaborate in the coordination, implementation and facilitation of SUSTAIN activities which are geared towards forest management, Nature based enterprise and climate change adaptation and mitigation under SUSTAIN	SO2 & SO4	MoU	April, 2017	In all forest resource management interventions in Sumbawanga cluster that involves government owned forest reserves, nature based enterprises.	Finalized discussion for joint collaboration in the conservation of Kalambo river forest reserve (where Kalambo Falls is found)
Centre for	Introducing,	SO2 & SO4	MoU	Nov.2016	In:	Expected to start in

Agricultural Mechanization and Rural Technology (CAMARTEC)- Through Tanzania domestic Biogas Programme (TDBP)	promoting and scaling up the biogas and Bio slurry technologies under the SNV-SUSTAIN and CARMATEC-TDBP biogas partnership				Rukwa and Katavi regions of Southern Agriculture Growth Corridor of Tanzania (SAGCOT).	second half of 2017 in all aspect related to biogas and bio slurry technologies
EMPIEN company Limited	Cooperation and Partnership in the implementation of SUSTAIN activities for Business inclusion with smallholder farmers through the Village Based Contract Farming (VBCF) model.	SO3 & SO4	MoU	Nov.2016	Along Kate-Chala landscape in Sumbawanga cluster; Nkasi district, Rukwa region.	Involved crop being sunflower value chain.
RAS RUKWA OFFICE	In overseeing M&E and Learning activities in collaboration with SNV SUSTAIN project	SO4	Letter of Agreement	Feb.2017	All interventions in Rukwa region.	Team of 3 regional secretariat officials has been appointed by RAS Rukwa to participate in monitoring and quality assurance of interventions in Rukwa region.
Tanzania Chamber of Commerce, Industry and Agriculture (TCCIA) RUKWA	In joint collaboration on multi-stakeholders platforms/forum. As main hub for private sector in region.	SO4	Letter of Agreement	Sept.2016	-Already convened a MSP that involved P-P-P approach of members from SUSTAIN related sectors such as Agriculture, Natural resources, Water and Renewable energy in Rukwa region. -Due to special needs on water related sector; forum on water security was established and	Since TCCIA is a permanent member in the Regional Business Council as per national guideline for private sector/businesses. We hope towards end of 2017, to translate the agreement in more strategic way to ensure

					attracted other funders like Germany development aid (GiZ) Tanzania to commit convening proceeding forums.	sustainability.
--	--	--	--	--	--	-----------------

4.2 Mozambique Selection process and the landscape situation

The identification of a second corridor of SUSTAIN-Africa started during the inception phase, late 2014. A team of consultants conducted an analysis of 24 growth corridors in Eastern and Southern Africa. Based on these analyses, the Beira Agricultural Growth Corridor (BAGC) in Mozambique was shortlisted. Consultations in Mozambique with the Zambezi Valley Development Authority (ADVZ) and the BAGC Public-Private Partnership Secretariat confirmed these agencies' interest in collaborating with SUSTAIN. The area of overlap between ADVZ and BAGC was chosen as SUSTAIN's second corridor. During the inception phase for the 2nd corridor, launched in March 2015, the Beira Corridor was excluded, because the priority given to it by both the Government of Mozambique and Development Partners was downgraded. The focus for SUSTAIN was refined therefore to the geographic scope of the ADVZ.

A further clarification by IUCN: It is to be noted that the selection of the Zambezi Valley/Beira Corridor was based on (a) SUSTAIN being a Growth Corridor project and (b) the support extended by the Dutch Government to the Zambezi Valley Development Agency led the Embassy to also advise that it would be a good partnership to step into.

The inception of SUSTAIN in Mozambique benefited from lessons learned in 2014 in Tanzania. A detailed situational analysis was undertaken in two phases, led by Verde Azul, a Mozambican consultancy. First, the districts of Cabora Bassa, Marara and Magoé in Tete Province were selected as the implementing area selected for the Zambezi Corridor, based on a corridor-wide assessment of needs relative to water, land and ecosystem management, climate change adaptation and business operations and consultations with stakeholders and outreach. The three districts were selected because of their semi-arid nature and because the districts are underserved in terms of external support.

The MTR has noted that the decision for these 3 districts was less appropriate as a basis for nature based Value Chains, because of the prevailing land use types: **subsistence** farming, livestock and fisheries. The existing markets are more informal and they have not yet been properly analysed. The absence of (nearby) markets and private sector has affected the potential to achieve the intended results of SUSTAIN and following its vision of IGG.

4.3 Selection of partners

The selection of all implementing partners took place at an early stage of the programme. They were selected on basis of their response to a call for Expression of Interest. All selected partners had well established practices and experiences; they were reputed in the areas they worked and had good relations with other stakeholders. SNV, AWF, ADPP and Micaia foundation all had their specific and different technical background, expertise and focus, but SUSTAIN expected them to be able to develop and apply the landscape approach. Only Micaia was a relative new organization, and it was sub-contracted by ADPP.

5. FINDINGS

The findings have been organized according to the key evaluation questions. This presentation will make a clear distinction between the feedback registered from the different sources of information and our assessment as evaluators. The evaluators will also clearly indicate the issues or questions, where it was not possible to collect sufficient and credible information to arrive at firm statements. At some places this has led to suggestions or recommendations how to tackle these gaps.

5.1 TOC and TOA: to what extent is the project set up according to TOA

In general, the SUSTAIN programme has been set up in accordance to its TOC and TOA. At cluster level, the 4 work packages reflect all the different and complementary types of changes to be achieved. It has become evident that not all work packages or strategic objectives received the same attention during actual implementation. That is not strange or surprising given the experimental and innovative nature of the programme. It has a very learning oriented approach. Project staff often seized opportunities where they emerged. Certainly, the strategic objective 4, policy, was less articulated at this stage of project implementation, because policy influencing may require some time to build up the necessary evidence which is done through the other SOs.

Overall, the IPs in Tanzania managed to implement their work plans and spent their budgets to a high extent. The review that this MTR made with the project teams and verified through discussions with various stakeholders and field visits, and the consolidated achievements of tracking SUSTAIN progress from activities to outcomes, so far showed that most of the yearly planned activities have been achieved satisfactorily to over 80%. Summary of implementation of Work packages 1-4 for 2015 and 2016 is presented in Annex 4 for reference. But the MTR has not given further attention to this aspect of efficiency, as this was not the first focus of this MTR.

In Sumbawanga 2 different issues or complexities emerged, affecting the work packages: 1) the Village Land Use Plans took much more time as expected and still the process is not completed; 2) the private sector in Sumbawanga is limited and the number of investments by private sector companies is smaller than in IKC cluster.

In **Mozambique**, the ADPP activities have started to engage in three main 'value chains':

- **Agriculture:** mainly promoting conservation agriculture and horticulture, directed to producer groups around demonstration fields. Work is done via producer groups. It is similar to what ADPP has been doing in other provinces in Mozambique, only that the groups are now called "producer clubs" rather than "farmer clubs", indicating a shift towards a landscape approach. A few companies, like OLAM, work in cotton and they might be interested to develop outgrower farming, but the international market for organic cotton - if OLAM would be interested in it - is highly complex and restricted. Horticulture may be a relevant VC if it is well connected with a market (mining company), but its market scope is limited and production depends on availability of water.
- **Fisheries:** an initial assessment of the fish VC was made. This has resulted in ideas to sell improved fishing boats to fisher groups through a revolving fund and to construct a cool house, for collection and storage of fish. But the analysis missed the largely informal character and cross border dimensions.
- **Livestock:** upon request from provincial livestock services the project will support genetic improvement through larger bulls. ADPP is aware of the risks (similar activities failed in the past) and leaves implementation to the provincial livestock services. Also in this case a more in-depth market analysis is needed before selecting the best interventions.

- **NTFP:** In addition Micaia foundation is working on value chains for NTFP, but also here the market dimension needs more attention and better understanding. Usually, markets for NTFPs are new, restricted or distant, hence limiting the prospects of development for resource users.

Comment: In our view the fit with the TOC of SUSTAIN in Mozambique is more questionable, because of its disjointed character and the relevance and quality of these value chain operations. It is doubtful whether a nature based value chain development will work here in the absence of a clear market and private sector. If there is no private sector present, the key question is why that private sector is lacking at the moment? Is that because of a so far low or only distant market demand, or do other obstacles exist: lack of hard infrastructure - roads, market infrastructure, energy -; insecurity situation; market related policies? Not sufficiently understanding these obstacles, SUSTAIN may risk following a market supply instead of a market demand driven approach. Without understanding all key obstacles in these various sectors, the identified solutions seriously risk remaining isolated, ad-hoc solutions.

The work packages at IUCN NC and global level are in accordance with the programme block structure. The assessment by the MTR is presented in chapter 5.5.2.

5.2 Early markers of progress

The early markers of progress will be presented according to the different SUSTAIN levels, starting with the cluster and then moving upward. Each of these changes can easily be associated with the specific strategic objective, but these references have not been included here in order to stay focused on the content.

During MTR, various stakeholders were interviewed on the issue of early markers towards systemic changes arising from different SUSTAIN interventions so far. Table 2 summarizes what were pointed out and verified with diverse stakeholders as early markers of systemic changes been experienced at different levels in the course of SUSTAIN interventions. These early markers (from just a few areas where project is operating and not yet replicated over to other areas) have been essentially attributed to SUSTAIN interventions, for over 75% according to respondents.

Table 3: Summary of early markers of systemic changes discussed with different stakeholders

Level of Change	Early markers of systemic changes	Remarks of the evaluators
Farm & household	<p>IKC</p> <ul style="list-style-type: none"> • Signals of eagerness from smallholder sugarcane farmers to adopt CSA exhibited from Peer Farm Visits by Extension officers. • Skills adoption by beekeepers on how to increase occupancy rates / higher yields <p>Sumbawanga</p> <ul style="list-style-type: none"> • awareness is emerging in water resource protection • over 400 households are already practicing agroforestry (tree planting) and a mix blend of GAP • although training and demonstration plots on GAP are there it's too early to confirm adoption • Smallholders groups can now benefit from various existing government schemes and are linked to MVIWATA, the national umbrella 	<p>There are clear incentives to SHFs for change in that the expected benefits with adoption of CSA and improved seedling varieties is to save about 30% of current yield loss from vagaries of climate change.</p>

	<p>Mozambique</p> <ul style="list-style-type: none"> • Women show more confidence; their speaking out in meetings is getting more accepted. • Newly established producer clubs have been endorsed by district authorities 	
Landscape or land use	<p>IKC</p> <ul style="list-style-type: none"> • Too early to see visible changes, however there is growing interest among project partners towards restoration; some plans have been developed and some are under discussions with SUSTAIN. • Positive attitude across villagers and LGAs towards land use planning. • Acceptance by villagers to set aside land for CBFM in Mhanga village. <p>Sumbawanga</p> <ul style="list-style-type: none"> • Restoration of river flow of Katuma catchment after demolition of 23 illegally built head works and demarcation of 60 meters from the river • presence of bylaws on community forest protection and management (though with limited enforcement); some forests have been restored in Kafukoka, Kizombwa, Kasanga, Kapozwa, Ngorotwa villages; 2 VLUP are at approval stages • EMPIEN has engaged in outgrower scheme with 5 groups of smallholder sunflower farmers (Kate Chala landscape); GAFCO is initiating an outgrower scheme with 75 groups of smallholder beans and sunflower farmers (Sumbawanga Mtowasi landscape). • Successful Katuma Forum undertaken, SUSTAIN study was useful for policy influencing; communication outreach materials 	<p>Need for enforcement of by-laws is key towards sustaining these changes</p> <p>These 23 head works were illegally built to divert river flow for traditional rice irrigation schemes along Katuma River catchment; consequently there was less water flow along the river and the ecosystem downstream was affected including wildlife of Katavi National Park. This demolition was an attempt to restore ecosystem of the catchment</p>
Institutional: different forms of groups, associations, coops, and others	<p>IKC</p> <ul style="list-style-type: none"> • Knowledge adoption e.g. use of Mini SASS technology for water quality measurement and management by WUAs in Mngeta sub catchment - the 1st technology of its kind in Rufiji Basin. • WUAs capacity is increasing to oversee water resource management and act as pressure groups at village level. • Increased capacity and confidence of Extension Officers to offer services to outgrowers. <p>Sumbawanga</p> <ul style="list-style-type: none"> • WUAs along Katuma river are starting to take up their lead role in water user arrangement and awareness; LRBWB is starting to become more responsive in law enforcement in water resource management and development; DFTs/CFTs have proved to be instrumental in integration between LGAs and LRBWB in working together in IWRMD • Community based forest management (CBFM) in 6 	<p>Further capacity strengthening of Producer Associations and Extension services is key. Also, new regulation to transform all Sugarcane associations into Cooperative Unions would require follow up and support.</p> <p>People violating the by-laws of the WUA are fined by LRBWB; management of WUA is recognised by community and government.</p> <p>It may be relevant to assess</p>

	<p>villages have started to operate; VNRC and VLUMC have been formed albeit with limited functioning; some LGAs (Sumbawanga and Kalambo) are more proactive in land use conflict management</p> <ul style="list-style-type: none"> • There is emerging “loose” coalition of all NGOs in the cluster convened by TCCIA <p>Mozambique</p> <ul style="list-style-type: none"> • ADPP changed “farmer groups” to “producer groups” in response to the landscape approach. Producer groups show some understanding of landscape approach. 	<p>the particular VC of honey and bee wax (both NTFP) that would create the best incentive for CBFM</p> <p>This re-labeling may be cosmetic: the MTR has not been able to assess this further.</p>
<p>Business</p>	<p>IKC</p> <ul style="list-style-type: none"> • Increased communication and coordination between actors on joint action (PPP). • Increased interest from Private sector companies (KSC, KPL) to invest in win-win business relationships with outgrowers groups or communities • PES scheme pulling in interest for other partners to make it a success and replicate elsewhere (DFID, USAID) etc. • Having Corporate Businesses talk about sustainability (CEO Round Table) at national level • NMB/CRDB Banks ready to adopt lending policy towards CSA <p>Sumbawanga</p> <ul style="list-style-type: none"> • EMPIEN gave inputs (seeds) to some group of smallholder sunflower farmers; however, harvest season is not yet so it’s too early to predict the outcome of the contract farming arrangements • SUSTAIN is working with LRBWB to test monitoring tool for WUAs; LRBWB/Ministry of Water didn’t have any tool to monitor WUAs’ activities. Since LRBWB is working in 9 catchments, this tool will assist them in the monitoring • SUSTAIN is in various stages of screening with companies like such as MBASIRA, DEW DROP, IKUWO <p>Mozambique</p> <ul style="list-style-type: none"> • Work with NTFP shows people the value of forest. People will preserve the environment to collect honey. • ADVZ has understood conservation farming by their collaboration with PNM. They knew about agriculture, but never worked with conservation people. • Micaia’s work has increased demand for its work. There is interest from NTFP collectors to engage, at micro level. The attitude of district government is also shifting. 	<p>Enabling business environment for businesses to thrive is key, but more detailed information is needed on character of specific policy constraints; reference was made to taxation and over-regulation by Sugar Board.</p> <p>EMPIEN provided the seeds to the farmers themselves in a pre-funding arrangement as part of contractual arrangement with farmers & outgrowers. This testifies of the business case of this contract farming.</p> <p>The market demand dimension for NTFP has not yet been analyzed. This may endanger the viability of sustained harvesting of NTFP.</p>

Policy	<p>Tanzania</p> <ul style="list-style-type: none"> • Government acceptance to gazette Magombera Forest as a Nature Reserve and Mngeta Forest Corridor protection is under discussion • District Councils willing to mainstream NRM into their plans. • SAGCOT Centre appreciation to have environment issues higher on their agenda, possibly supported by the environmental screening tool introduced • A study made by Alterra, a knowledge institution in the Netherlands, on responsible pesticides use has been directed at SAGCOT level; follow-up steps have been formulated • MSPs and Forums are evolving but it's too early to see where are they going to be anchored and how are they going to be institutionalized <p>Mozambique</p> <ul style="list-style-type: none"> • IUCN NC has established contact with head of the Agriculture, Economics and Environmental Affairs Commission and his deputy who together have approached SUSTAIN to request a partnership to build capacity of MPs and other public and private sector leaders. • District authorities learned about environment and landscape approach through workshops with ADPP. • Cahora Bassa District made proposal to FAO to learn more about environment and landscape approach. • District enthusiastic to work on fisheries. That way they get access to fisher folk for (i) phytosanitation, (ii) tax collection and (iii) market regulation. • At national level the NC opened dialogue with various institutions for strategic partnerships, including co-financing: ADVZ, MITADER, WB, Confederation of Business in Mozambique (CTA) and in Tete Province (CEP) and ARA-Zambezi 	<p>SUSTAIN is the key contributor, as it has mobilized other development agencies (WWF, CARE, UN Bodies, BTC, etc.) who are now working in consortium with SUSTAIN.</p> <p>A conspicuous picture of policy changes at mostly national levels; good basis of collaboration and interest generation at Maputo level to build on.</p>
--------	---	--

Our assessment of these early markers

Experience shows that systemic changes often take time to be realized, but also its success really depends on whether the interventions are addressing the underlying causes and not only symptoms of the problems. Addressing systemic changes as SUSTAIN intends to do, require thorough diagnosis of the problems at the start and being flexible during implementation, and usually starting with pilot cases to be able to learn from it before scaling out. The MTR has observed that diagnostic studies were done, and several studies were conducted in the first year. Implementing partners went deeper during institutional landscaping to identify areas and specific issues to build partnership around them.

It is interesting to note that Mozambique has demonstrated more early markers at high policy level, which was likely the result of the earlier start of the NC (summer 2015). The MTR assesses it as relevant to further track how these national-level markers of progress will find a proper connection with the cluster level changes that may have more difficulties to materialize due to the more subsistence level of local farming. There may be a risk of a potential disconnect.

Quality of diagnosis: The MTR has not been able to fully verify the quality of these diagnosis studies in the various clusters. Or, more specifically, whether in the IKC cluster, which is generally thought to be more degraded, depleting its natural resource basis, the SUSTAIN programme is indeed addressing the root causes, factors and actors of this degradation. To show the significance of in-depth analysis, MTR was informed that the Vice President's Office had recently formed a high-level task force to analyze the Ruaha Basin environmental issues and water crisis and this task force is yet to offer its advice.

But in the case of Mozambique, the quality of the diagnostic study may have been too shallow for good project design. The actual situation on the ground was quite different from those in Tanzania; instead of more commercial farming as a basis for the local economy, resources users in Mozambique focus more on (subsistence) agriculture, livestock and fisheries.

As IUCN staff has stated several times, it is important to have a long term, **10 years perspective** on systemic changes to happen and sustain themselves. But these first indications of change certainly demonstrate the potential of such systemic changes. It is also clear that changes are taking place at different levels and in the different strategic objectives. They therefore demonstrate both the **systemic and landscape** character.

These early markers also show the **establishment of partnerships** and collaboration at landscape level. The SUSTAIN project is at initial phase of introducing innovative solutions to a number of systemic constraints such as PES, new seedling materials, Community Based Forest Management (CBFM), etc. MTR observed that in initiating such projects activities, Project level partners such as TFCG, UFP, etc. have started to collaborate with other projects and stakeholders in their area and essentially with Local Government Authorities.

Value Chain oriented businesses seem to be in particular interested to develop partnerships with local outgrowers. In our experiences, this demonstrates the clear **business rationale** (with win-win dimensions) to engage in partnerships with small farmers as outgrowers, because they need the farmers as reliable suppliers of raw produce. The Sugarcane outgrower scheme is a good example of the connection between the private company and the outgrowers, in which also LGA extension staff, the Sugar Board and other projects are involved. For the Udzungwa Forest Project there are also 3 partners who have entered into MOU towards restoration of Magombera Forest towards getting the Reserve status.

The MTR has also noted various examples of successful **resource mobilization** by SUSTAIN of other stakeholders and collaborators. The various inputs that private sector businesses provide in contract farming, is a good example of this mobilization. The PES is another case in point where at IKC landscape, different villages and groups will work together and private and public institutions will also work together in the same model and each partner contributing to it. PES has already attracted the following contributions towards the project budget of \$ 580,000 from different partners KPL \$ 150,000, TFCG \$ 115,000 and SUSTAIN \$ 315,000.

Fundraising issue: IUCN only had a core funding, covering one third of the SUSTAIN budget and it was expected that during implementation the implementing partners would look for other funds². Targets had been set for that fundraising purpose. Though compared with other programmes, this seemed to be a strange and risky situation especially for the IPs; it nevertheless had its logic. The above overview of early markers already demonstrated, even in this early stage, the interest and willingness of different stakeholders to contribute own resources (time, inputs, expertise and money) for the implementation.

² In this paragraph the MTR focuses on the specific role that IPs have and not on the fundraising by the IUCN global partners. The MTR received information about successful fund leverage by the IUCN global programmes, but these have not been further discussed.

In essence, this demonstrated the expected behavior change of ‘internal’ stakeholders as well as the potential copy or scaling-up effect to other external funding agencies. If we interpret this fundraising as a consistent effort to do **resource mobilization** by these stakeholders, then SUSTAIN has already demonstrated its strengths and attraction, both conceptually as well as through these early changes.

Though the IPs have committed themselves to this type of fundraising, the MTR learnt about two constraints in actual practice:

- 1) It is important to specify such fundraising or mobilization targets by carefully looking at the characteristics of partners in the different clusters. The private sector companies in the IKC cluster differ from those in the Sumbawanga cluster; in IKC big established companies operate with long existing business practices; in Sumbawanga, private sector consist more of SMEs at an earlier stage of development. Finally, in Mozambique, this fundraising at Zambezi level is facing the problem that hardly any other development project is operational in the selected landscapes and therefore the prospects of mobilizing other funds seriously restricted. That should be reflected in the fundraising targets. The MTR is not certain whether this has happened in a proper manner.
- 2) There needs to be a clear shared idea on the best approach to do this fundraising. The MTR observed that there may be a tendency to start fundraising independently of results achieved on the ground, so at a too early stage. According to the MTR this fundraising need not to become a separate activity, detached from the work plan, and consume scarce resources. IPs still struggle with the best approach how to go about this fundraising. Though SUSTAIN provided regular fundraising support since 2015, the cautious conclusion is that this support may not have been sufficiently clear for the IPs. The MTR has not been able to assess the possible shortcomings of this support at either side.

Unexpected changes

The MTR made an effort to assess and discuss unexpected changes caused by or as a result of SUSTAIN implementation. Basically, this effort served to assess whether the TOC has been properly constructed or whether it has overlooked some important changes taking place as a result of implementation. However, the feedback on this question demonstrated another, but relevant perspective in the form of two types of unexpected changes with different relations with the TOC. Firstly, it is about unexpected contextual changes, possibly hidden in the assumptions and potentially affecting the achievement of the intended results of SUSTAIN. When such changes happen, they usually require a response of SUSTAIN. To complete this assessment, this may also refer to an incomplete situation analysis, as demonstrated by the case of Mozambique. Secondly, it is about changes which are caused by SUSTAIN, but which were simply not directly foreseen or expected. They may both have positive and negative dimensions; they may lead to adjustments in the TOC. Hereunder, we describe the unexpected changes that were shared.

- **Contextual changes affecting SUSTAIN**

In the IKC cluster, the following 2 cases were noted:

1. In the Sugar Cane value chain, the government has recently decided and passed a policy and legislation that Sugar Cane Outgrower Associations all over the country, should deregister and be re-registered as Cooperative entities, starting with cooperative societies and later a Cooperative Union. This is a huge change in the governance structure of the associations and may destabilize or stall the ongoing efforts to strengthen outgrowers to which SUSTAIN is contributing. One of the main reasons for this move is to create a more efficient structure that could provide the critical mass of carrying out the value chain functions of harvesting, bulking and transport of the canes from farmers to the sugarcane factories. Another reason is to have larger body of representation between farmers and the company and regulatory authorities that is more inclusive, economical and viable. Currently there are 17 Associations with scattered membership and limited economies of scale for each association that Kilombero

Sugar Company to deal with, whilst it is envisioned that only 1 Cooperative Union with 3-5 Cooperative Societies may be needed. In this way, it could reduce the burden of the costs of maintaining so many (small) associations at the expense of farmers. This in principle it is a positive move, but it may require time and good management of the transition process to make it a success.

2. Another unexpected change was that some of the standing provisions or classifications of the Land Use Planning (LUP) received strong farmer's resistance when it came to implementation. There is no classification in the land use planning protocols of settlements and forests, and what is there in the protocol is classification of settlements and crop farming. Hence farmers, who settled close or in a forest area before LUP exercise, did not accept that they were on the wrong land use, during the VLUP exercise, much as they saw the merits and the importance of VLUP. It hence needed more time than planned for consultations to conclude the VLUP and hence project delivery delays.

In the Sumbawanga cluster, it was about

3. Ng'ongo village land and forest conflict has made it difficult for SUSTAIN to complete VLUP exercise. This was about an external factor, impacting on the VLUP process and triggering more conflict between neighboring villages because during VLUP, all boundaries need to be defined again. A similar conflict has emerged between Kafukoka and Samazi villages on Maziembele village forest and this has stalled SUSTAIN to complete VLUP exercise at Kafukoka

In the Zambezi corridor, Mozambique, it was about

4. Choice of landscape: it is a semi-arid area with little agricultural activity. The economy is dominated by large industries: hydro-electric and mining.
5. The country is in economic crisis and they have enough problems to listen to IUCN;
6. The project is mainly dealing with subsistence agriculture. Given the fact that the private sector is hard to reach or virtually absent, it implies that as stated by one respondent: "the stakeholders for whom the project was designed are not there". Within the Multi-Stakeholder approach of SUSTAIN, private sector plays a crucial role and in their absence, other solutions are needed.
7. The local economy has a large, informal fishing and livestock sector, and ditto marketing systems.

- **Changes directly caused by SUSTAIN**

In the same Sumbawanga cluster, the MTR received the following feedback on these unexpected changes, which were positive changes and came as a surprise

- GIZ interest to work more with SUSTAIN on MSPs and conservation work in Katuma catchment (SO1, SO2 & SO4); one example of successful fund raising.
- SUSTAIN/SNV & TFS are developing joint proposal on Tanzania Zambia transboundary conservation project; another example of successful fundraising.
- TFS is undertaking conservation of Kalambo Falls and promoting ecotourism.

The emergence of these unexpected changes is affecting SUSTAIN. For this MTR it is not possible to assess the precise extent of these types of changes, but it is certainly necessary to keep track of these changes, whether part of 1) context tracking and 2) regular M&E, but beyond the identified outcome indicators. This type of tracking does not happen currently, but it has to be given attention as part of broader learning.

In the case of Mozambique the contextual situation is quite different from Tanzania. The current SUSTAIN design does not seem to fit well with that situation; there is a risk of a significant mismatch in that regard.

Contribution of SUSTAIN to these changes

Looking at the initial nature of these early changes, it is safe to assume that SUSTAIN has significantly contributed to these changes, even though the MTR has not established that causal relation for each and every change. The fact that this MTR also took place at an early stage of implementation makes it very likely that it has described and identified the first responses and behavioral changes that took place immediately after implementing the various work packages at landscape level.

Assessment of inclusiveness

The MTR was not extensive enough and it was too early to assess the extent and quality of inclusiveness of all the ongoing partnerships at landscape level; or how these early markers of change were distributed among farmers and/or land users. However, the issue of inclusiveness is at the center of every business case. The project is assisting SHFs and Communities to be able to participate and gain equitably from their participation. In the sugarcane outgrower schemes, the interventions are aimed at reducing the 30% loss in yield that SHFs are facing at the moment. In the PES scheme, SHFs will be rewarded for their conservation efforts. So looking at the type of changes so far, the kind of business engagements that are happening, there are no direct risks of unequal benefit distribution within the participating farmer groups and/or communities. Nevertheless, the M&E system should play a key role in capturing in a consistent manner the disaggregated data and information to be able to better assess issues of inclusiveness. The MTR has noted that the current efforts are inconsistent; the staff struggles with the best ways to practice it within the existing indicators.

The bigger issue of inclusiveness is posed by those landscapes characterized by more subsistence farming and absent private sector. If that reduces the prospects of green and inclusive growth, then SUSTAIN may need to adjust its basis design and turn to a more livelihood oriented approach where land users gain access to incomes in other ways and without compromising on the conservation dimension.

5.3 Reflection on TOC and TOA

5.3.1 General issues

The TOC is describing and presenting the concept, the intended changes and the overall vision of the programme. The current TOC has a very generic character and serves well to visualize in a nutshell what SUSTAIN intends to achieve as its final impact and at the various levels, where it operates. The TOC is also in essence a management and M&E tool. The TOC is the key tool against which progress towards stated intended changes or objectives are measured. That analysis of results achieved would then lead to adjustments in the TOC, if and when needed. In view of the fact that the current TOC is rather generic, such adjustments will not be very likely at the overall SUSTAIN level. But adjustments would be more likely if the Implementing Partners would be using more detailed TOC for their implementation.

Added value of TOA?

In our view the distinction between TOC and TOA is superfluous and confusing. Surprisingly, the bottom part of the TOA shows a reasonable picture of the more detailed changes at cluster level landscapes that SUSTAIN intends to achieve. In our view the TOA can better be seen as an **integral part of the**

TOC. That integration would also remove the possible external confusion by distinguishing these two tools in this way.

A hierarchy of results?

What the TOA, as part of TOC, does not show is the possible **hierarchy of results** at cluster level as a result of the implementation of the four distinct work packages. It remains hidden whether there may be a certain **sequence or priority** of the expected changes within the 4 strategic objectives. The MTR has not been able to discuss this sequencing or prioritizing of changes, because at this point in time relevant feedback was not generated.

The MTR has also noted that thus far no adjustments of the TOC and TOA have taken place. Usually, such TOC adjustments should be on-going, especially if it concerns a highly experimental and complex character of a programme, like SUSTAIN. Such adjustments would also be the critical marker of learning actually taking place and necessary for adaptive management. Though at this early stage of SUSTAIN it is certainly not possible to talk about real adjustments as such, the MTR feels that the current experiences of IPs on the early markers of change may constitute a very relevant basis for learning and discussion, in particular with regard to the better **sequencing and prioritizing** of the intended changes at **cluster level** by looking at the 4 different Strategic Objectives and their work packages.

This would for example concern questions like:

- Which change is more likely to be preferred and needed by intended beneficiaries?
- Which changes (at which level?³) do we need first before embarking on other categories of changes?
- Which (mix of) work package has more likely contributed to these results in the field, also considering contextual factors;
- Which activities were absolutely necessary?
- Which activities were redundant?
- Which activities were neglected?
- Which activities were cost-effective? The MTR has noted that certain activities are very expensive (example of VLUP) without much immediate change

All the IPs do not have detailed TOCs, which are adapted to their local situation⁴.

Corridor and National level changes would then build on or (perhaps) also trigger these cluster level changes.

Early markers of systemic changes, as were described above in chapter 5.2, are in our view the best type of information to support and confirm the TOC of SUSTAIN or suggesting adjustments. In essence, these early markers also illustrate the **effectiveness** and (potential) **impact** that these early markers may lead to. Looking at these early markers the MTR makes a clear distinction between intermediate outcomes and final outcomes. It has been a good decision of SUSTAIN in strengthening its M&E framework with a stronger focus on behavioral change, as these illustrate well these intermediate changes. It can safely be assumed that these first early markers are indeed good examples of the intended intermediate changes, as a (direct!) result of SUSTAIN interventions implemented by the IPs. If that is the case, then the **contribution** question that SUSTAIN is facing, is also automatically answered. Because if it is certain that the SUSTAIN action has led to specific intermediate outcomes, as

³ It is imaginable that changes at higher levels are first needed in order to create favorable conditions for change at cluster level

⁴ To avoid confusion: a detailed **TOC** is different from a detailed **M&E plan**.

validated by different sources of information, then this causal link stands. The role of SUSTAIN is then to monitor whether this first intermediate outcome leads to the next outcome level or whether an additional action is still needed, requiring a flexibility in the work plan and budget use. That does not seem to happen thus far, but that may need some deeper questioning, as work plans may already have been adapted in a more hidden manner.

5.3.2 Shared concepts

At various moments, the MTR has discussed and assessed to what extent the different key implementing partners within the SUSTAIN partnership share the key concepts and the key change that SUSTAIN wants to achieve within the TOC. Overall the MTR has found that there exists a significant common understanding both at levels of IUCN HQ and at IP level. This was due to a lengthy design and inception phase (see also chapter 5.5 on structure).

In the same vein, talking about the big, **transformative changes**, as we would like to label it, there is a significant shared understanding by the different respondents, even though the precise wordings may vary:

Nature based and profitable VC:

Which is **green and inclusive**, that increases income and food security, makes best and sustained use of the available natural resource basis - on and off-field - , and combines economic, social and ecological dimensions. Such a VC also includes the partnerships dimensions, because of collaboration between all primary VC actors and the governance dimension of VC, including the natural resources. Such an inclusive, green VC should also have a further systemic effect by copying effects to other farmers; and towards different policy levels, ranging from local authorities, extension services to provincial, growth corridors relevant departments, and their relations; and, finally the scaling-up to other projects and funding agencies. If that happens, it would illustrate a proper and natural overlap between all 4 work packages.

Comment:

Generally, it is assumed that the market demand is there. That may be true for the selected or targeted bulk crops, like rice or sugarcane, also because established businesses operate in these value chains and markets. For nature based products from the forests (like honey or other NTFP) that situation may be quite different; often the market demand is very limited and the number of farmers (or collectors) reduced too, limiting the potential for scaling-up.

That restriction will even more apply for the Mozambique subsistence farming situation. In addition, the livestock and fishery sector are new and unknown territories for the partners. What exactly constitutes the SUSTAIN nature based VC is unknown and needs more studying and reflection. That will also imply explicit attention of previous development experiences in those different sectors.

The MTR feels that there is **sufficient alignment** in this sense among the key partners. Looking at this from our VC experiences, this already demonstrates the potential entry points for sequencing or prioritizing of work packages or change dimensions. Very importantly, this alignment also seems to internalize the critical issue of agricultural growth through an **intensification approach** and not by means of **expansion**, which implies encroaching on other land use types, whether forest, wetlands or other type of areas. Intensification then also embraces the application of **Good Agricultural Practices**

(GAP) which confirms the above transformational description of IGG. This has also been the lens through which the evaluation team has looked in order to assess the progress and results of SUSTAIN.

5.3.3 Knowledge-to-Impact (K2I) fit with TOC

K2I is the third component of SUSTAIN at overall programme level, including Africa. K2I is composed of 5 different blocks of activities, essential for the overall performance: programme management, capacity building, business engagement, M&E and learning, and, finally, policy and communication. This paragraph deals with these blocks except for programme management (and coordination) which are dealt with in chapter 5.5.2; and M&E and learning which are covered by chapter 5.4. The MTR has not covered K2I with the same level of detail as the cluster level activities, components 1 and 2. But the MTR has noted that many early markers of change link with K2I were already covered in table 3.

In this initial stage of SUSTAIN the challenge has been to plan and budget these different blocks in such a way that they best help to achieve the TOC on the ground in terms of which activities, how many, when, for whom and at which level? Do they all logically and consistently contribute to the achievements of the goal of SUSTAIN? Do they all help to best ‘connecting the dots in the landscape’? The challenges encountered in terms of available human resources will be mentioned in chapter 5.5.2. Hereunder the MTR looks at capacity building and business engagement.

- **Capacity building**

In this initial phase of SUSTAIN the biggest focus of capacity building has been on the broad understanding of the landscape approach and concepts as such. The impressive progress made at that level will be briefly elaborated in chapter 5.5.1. The MTR has also learnt that as the landscape approach got further implemented more needs and questions emerged for extra capacity building of diverse partners at all different levels with regard to the many practical and integrated aspects of the landscape approach. The capacity building and technical support agenda therefore tended to expand. The MTR supports the strategy of using own internal knowledge resources of the SUSTAIN partners as well as inputs from specific knowledge and specialized institutions. Various such external linkages have already been established. Technical support by IUCN global programmes goes both to IPs as well as NC.

The MTR has not assessed these capacity building efforts in detail, but it raises the following points of attention for SUSTAIN to assure the continued quality, relevance and effectiveness of ongoing capacity building:

- 1) Design the content of specific capacity building based on a proper analysis of the existing capacities. A needs based approach, such as often applied at farmer (organization) level only, does not suffice.
- 2) Pay attention to M&E of the adoption of new knowledge by the receiving stakeholder, agreeing on key result areas.
- 3) VCD related capacity building for farmers may need extra attention beyond their technical training in accessing markets and VCD, like Micaia is doing in Mozambique. Such training may easily remain an isolated activity, if further VC facilitation within the value chains does not take place.

- **Business engagement & policy influencing**

Whereas at cluster level the IPs play the crucial role to engage private sector companies into nature based VC, at higher levels the NC and IUCN global play a more strategic role. This division of roles to engage businesses is appropriate. At strategic level SUSTAIN has created dialogue spaces for companies in both countries, bringing them to the table, often organized at sector level to discuss matters of sustainability. At the same time these dialogue spaces or round tables (see CEO RT in Tanzania) are a sound and reputed body for policy influencing. Though the cases of policy influencing may as yet be

modest, this is a sound lobby strategy. Moreover, focusing on industry bodies or associations is also a more effective strategy than approaching individual companies; the same holds for the collaboration with SAGCOT. The MTR supports that this national lobby strategy is complementary to the lobby strategy at cluster level, dealing with more VC and/or landscape specific issues. It assures a two-way process of policy influencing by evidence creation at both levels.

The view of SUSTAIN was that (tri-partite) **partnerships with companies** were often more difficult to establish than ordinary partnerships, because it was argued that making the case for businesses is a bigger challenge. The MTR sees this different at least when it focuses on VC related partnerships where private companies have a direct business interest to engage, to invest and to sustain the partnership. This applies even when this includes sustained management of natural resources, though the scope of the resource basis may be a point of debate and learning.

The **partnerships** in which different **sectoral ministries** dealing with water and natural resources may often present more challenges for sustained collaboration; for example, water may be under several ministries - agriculture, energy, drinking water, energy, wetlands - each having its own view and paradigms. The MTR has not heard about specific issues of SUSTAIN in this regard, but considers this partnership as a bigger challenge than the business partnerships.

5.3.4 Linking results at landscape level to higher levels

The MTR has looked at and assessed the type of contacts established at higher levels - corridor and national - with different stakeholders, such as government departments, corridor institutions or businesses; looking for examples of collaboration; and assessing the contacts with greatest potential and priority.

At IKC level SUSTAIN has established working contacts with all relevant departments of LGAs especially the Agriculture and Natural Resources. At the national level SUSTAIN has partnership with SAGCOT Centre - Green Reference Group; Ministry of Water - Water Resources Management and Water Basin Boards; Ministry of Natural Resources and Tourism; Ministry of Agriculture - CSA and Vice Presidents Office - Environment department. Also at national level SUSTAIN is networked with other like-minded organizations such as The Nature Conservancy (TNC); WWF; Water Resource Group 2030; Agricultural Markets Development Trust, CARE International, etc. Most of the early signals of systemic changes are a result of these concerted efforts of like-minded organizations and Ministries. SUSTAIN is also advised by a Board represented by these organizations.

From discussions with national coordinator, the contacts with greatest potential and priority are those with Local Government Authorities and Cluster level and with SAGCOT Centre at corridor level in order to mainstream the conservation agenda.

Table 1 and 2 above have also shown in detail the status of these collaborations.

The MTR has noted that at this stage most contacts at this higher corridor and national level are with government and NGOs, whereas at cluster and landscape level the contacts and partnerships are with a variety of private sector actors and civil society organisations. The many examples of business contacts and partnerships at cluster level confirm in our view the direct business logic or rationale to engage with and co-invest in farmers or outgrowers in a Value Chain setting, because that collaboration potentially quickly improves their VC operations and profitability. At national level this seems to be less the case; the collaboration of corporate, big businesses in the CEO Roundtable, discussing sustainability issues, may well be a precursor for changing investment policies as intended by SUSTAIN.

Position of SAGCOT Centre

Overall the central position of SAGCOT has been positively acknowledged. The fact that SUSTAIN targeted them as a central institution steering economic investments instead of approaching individual companies has been appropriate. The NC assisted SAGCOT with an environmental screening tool,

because it was seen that SAGCOT focuses too much on the volume of investments and too little on the quality of investments. According to SNV, SAGCOT has played a useful role in various learning events organized by them and provided useful, technical linkages with for example, East African Grain Council. SAGCOT will also facilitate the setup of PPP in Sumbawanga, making use of their experiences in other clusters. Critical observations were also raised. Firstly, SAGCOT demonstrates a lack of integration of their interventions and strategies into other sector ministries. This implies that SUSTAIN should not limit itself to SAGCOT Center only, but also find ways to work directly with other ministries. Secondly, SAGCOT is a heavy institution on which SUSTAIN may have limited leverage. The MTR confirms both observations and stresses the importance of good communications with them on the one hand, and carefully monitoring the effects of SUSTAIN interventions (example of environmental screening tool) on the other hand.

ADVZ, Mozambique

The main agent at corridor level is ADVZ and the logical entry point for SUSTAIN. It promotes socio-economic development in the four provinces of the Zambezi valley. It has a large support from the Dutch government. There is good contact between ADPP and ADVZ. ADVZ has focal person for SUSTAIN. Partnership through MoU. ADVZ approved the choice by SUSTAIN to work in the semi-arid part of Tete Province. ADVZ sees the advantage of SUSTAIN, as it is also interested in promoting sustainable agriculture. ADVZ participates in monitoring missions and received reports from SUSTAIN. The managing director of ADVZ has shown interest in SUSTAIN and is ready to give financial support to it for studies, e.g. a VCA for fish, or a feasibility study for small dams.

SUSTAIN is involved in the development of the Plano Especial de Ordenamento do Território da Província de Tete e parte da Bacia do Zambeze (PEOTT). The PEOTT is the guide for the sustainable development of the Zambezi valley and as such also the guide for SUSTAIN in Mozambique.

Work with the large mining and electricity companies will take much time, because they have other interests; they do not operate in specific value chains, like in Tanzania, where direct win-win partnerships are the logical entry point for collaboration

Overlap with WWF's activities in the Zambezi landscape as part of its freshwater programme, which focuses on the conservation of the biodiversity of Lake Niassa and the lower Zambezi basin, including the Delta. Like SUSTAIN, the programme is financed by the government of the Netherlands. The two programmes share some of the stakeholders and have a geographical overlap in the Magoé NP. IUCN and WWF coordinate to avoid overlap and aim to speak the same language to stakeholders. They exchange information and invite each other to events.

At national level IUCN works with parliament and MITADER. IUCN is submitting a proposal for the Zambezi Valley together with MITADER/FNDS to the Green Climate Fund.

5.3.5 Added value of IUCN SUSTAIN vis-à-vis other programmes

The MTR briefly wishes to add its reflection on the added value of SUSTAIN. Looking at the description of this transformative change, makes it very comparable with programmes that implement integrated Value Chain Development (VCD) or Market Systems Development (MSD) programmes. On the outside differences may be small and modest. The typical and well-designed MSD projects would look for the same type of changes at field level, combining economic, social and ecological dimensions, and partnerships and policy change ultimately aiming for systemic changes.

It is therefore important to keep the crucial differences in mind. Based on the various discussions held, the MTR recognizes and confirms that the key differences are the following:

- The **landscape approach** if well and consistently implemented, carrying natural resource management a level higher than the (perhaps) more 'focused' VCD or MSD projects.

- Linking or connecting natural resource management and/or critical conservation issues (biodiversity) from wider spatial landscape units than the more field based water, soil and fertility management in the context of VCD or MSD
- This refers to both upslope-downslope and upstream/downstream connections.
- Broader policy processes than VC focused policy and legislative issues; also extending to the promotion of wider collaboration between key government departments that currently may often clash with each other: case of water resources (energy, drinking water, irrigation); or the conflicts between conservation and agriculture (use of wetlands!).
- Overall, most other projects & programmes are much more thematic or sectoral, as also seen in the overview below.

The MTR has come across a great number of relevant other programmes in the growth corridors; with many of them SUSTAIN have already established strategic partnerships; they are complementary to SUSTAIN and may well serve to scale up the key SUSTAIN message. Hereunder, we present a short overview for the 2 clusters in Tanzania

In IKC cluster:

- EU funded project on Irrigation at Msolwa Station also focused on Sugar Cane Value Chain
- **USAID NAFKA** Project on Rice VC - System of Rice Intensification (SRI)- still ongoing
- **Udzungwa Forest Project** - still ongoing
- **Forest Conservation Project** by BTC - In Ramsar Sites - convention to conserve Wetlands
- **CARITAS** project on Irrigation
- **TECHNOSERVE** Project on Cocoa Value chain
- **UFP and BTC:** an agreement for protection and conservation of Magombera Forest reserve

in Sumbawanga Cluster

- **SNV (Comic Relief);** Empowering women smallholder farmers in rice value chain (2014 - 2017) to Rafa group as buyer
- **AGRA** - Integrated project to increase agriculture productivity for maize, rice and beans
- **SNV - OYE** (until August 2018)
- **WCS** - Southern Highlands Conservation Programme - beekeeping, forest fire management, management of elephant human conflicts (Kalambo DC since 2000)
- **SNV (AMDT)** - Inclusive business in sunflower development - Rukwa, Mbeya, Songwe and Katavi regions (inception 2017)
- **IUCN NL/KAESO:** Shared Resources Joint Solutions (2016 - 2020)
- **GIZ** - Water partnership Katuma River

5.4 The M&E system

The MTR was able to collect useful and relevant information from the ground by means of the Implementing Partners, complementing it with information from the different IUCN global level partners. Assuming that the key data gathering and analysis must take place at field level in order to feed into higher sense and decision making processes, this emphasis on IPs is justified. Nevertheless, the MTR also received adequate and sufficient information on the various M&E efforts and concerns that took place and were raised so far at IUCN global level. But the MTR did not have sufficient time to reflect in-depth on the entire M&E system. That would have required more time. The MTR analysis of the M&E system has a more external view, combining with practical recommendations for improvements. The connection with TOC plays a central role in this assessment. In this presentation we do not make a distinction between M&E or M&EL.

Objectives and tools

The objectives of the SUSTAIN M&E system are both geared towards own, **internal learning** (in combination with knowledge exchange, sense making and adaptive management) and **external accountability**. That learning is based on the measurement by M&E of changes happening in the field, at different levels, as a result of SUSTAIN implementation. For both type of objectives, the **transparency** about data collection, analysis, leading to lessons learnt and subsequent and decision making must be integral components. An additional M&E objective is fundraising, which at first seemed to be an anomaly, but at further discussion and reflection can be considered as a specific example of intended changes, in the form of resource mobilization and multiplier effects of other stakeholders and funding agencies, attracted by the SUSTAIN concept and performance.

M&E evolution and learning

Since the start of SUSTAIN much has been invested at IUCN HQ level in developing the M&E system, distinguishing different tools and elements. The M&E system is still in its infancy stage, but sound progress has been made. Central piece of this M&E system was the M&E framework, which initially identified a big number of indicators, more than 200, according to the four different Strategic Objectives, distinguishing outcome and impact results at different levels (local, landscape, cluster, national and international). It was quickly realized that this list was too big to manage and collect reliable information on. In various steps it was brought down to smaller numbers, currently 101, but that is not yet the final situation. The latest indicator assessment suggested 60 indicators. So, critical efforts are ongoing till present, looking at all different elements of M&E, and looking at it with a flexible mind. The other important change that took place in this evolutionary process was the shift from general outcome indicators to ‘smaller’ outcome indicators, or intermediate outcomes, which illustrated the specific behavioral changes of stakeholders. The MTR endorses that change as a very strong step in particular because the SUSTAIN approach is so much about focusing on establishing partnerships with other stakeholders at all different levels.

Need for local inputs

Though, logically, the setting up of the M&E system has been mostly undertaken by IUCN global, the next step in order to further the quality and relevance of the M&E system and its tools evolution must be more bottom-up. The MTR has noted that IPs are facing problems with regard to the current M&E framework, see hereunder. In that respect it is very relevant to look at the early markers of change and use these as inputs in a renewed reflection, both for the adjustment of the TOC (as earlier argued) and as inputs in re-definition of indicators. That attention for the early markers has not yet happened and it would generate inputs for a bottom-up process as opposed to, or better complementary to the heavy design process that has characterized this M&E development thus far. In that regard, partners agree that such M&E and learning at local level is essential to achieve results at impact level.

Apart from this 1) M&E framework, the SUSTAIN programme uses 4 other elements: 2) annual review reports; 3) learning questions; 4) stories from the field and 5) Land Use Dialogues.

5.4.1 Appropriateness of M&E system

Hereunder, the MTR will look at the SUSTAIN M&E system, but will also consider its match with the M&E systems of the IPs in particular. All IPs have their established practices, which may be instrumental for the M&E of SUSTAIN.

M&E functions of IPs

By and large the IP only did M&E of their activities and outputs. In this early stage only very few outcome indicators have been monitored, especially investment flows of public and private actors that meet IGG criteria.

- AWF:** The discussion with AWF is not yet conclusive on indicators and approval of AWF M&E Plan has not yet been granted by IUCN. In February 2017, revised indicators were shared with Project implementation team and the team is working on aligning them with the Overall Project Plan and the yearly plans and reporting structures. Indicators for some strategic objectives one and two, which often interface require further discussions. Top up baseline report according to the team still requires finalization.

AWF has also not chosen to have full time staff on the ground on M&E. The team, which is essentially the Project Manager and Project Assistant, are backstopped by M&E expert from their head office in Nairobi. AWF considers the number of indicators as too many to track and new ones have been added implying the need for more resources to manage M&E functions. Therefore, AWF has inadequate capacity on the ground to properly deal with all these indicators and reporting frequency.
- SNV:** has tackled the organization of the M&E function differently. There is one internal M&E officer on the ground, who is the overall responsible for data collection and analysis, but the entire team actually collects data. The M&E tasks have been allocated according to the different work packages or SOs. The M&E Officer is responsible for SO4 and the other team members are collecting data for the other three, more technical, SOs. SNV considers the learning question, part of the M&E system, as fully applicable for the Sumbawanga situation. They judged the number of indicators as too many and they have some difficulties with the reporting requirements.

SNV assigned service providers, who provided short term specific activities with M&E task of outputs, using the data collection template that was provided by SNV M&E Officer. That template counted outputs such as seedlings distributed or persons trained. In addition, SNV took care of quality assurance of these services by field visits. In that way SNV also improved their engagement with these service providers.

In general, the SUSTAIN and SNV M&E systems are quite similar, looking at those SOs where SNV already has experiences with (SO2 - Renewable Energy - and SO3 - Agriculture, which are some of their thematic focus areas); with regard to the other SOs (Integrated Water Resource Management and Natural Resources Management), there are some divergences. However, SNV does not feel the need for urgent improvements.

- ADPP:** the MTR has not looked at the internal M&E expertise of ADPP. But it is relevant to note the experiences of Verde Azul, a Mozambican consultancy company. Early 2017 Verde Azul, contracted by IUCN, did the baseline data collection, using 34 priority indicators for the SUSTAIN-Africa programme in the Zambezi corridor. Of the 34 indicators VA was able to collect data for 22 only. For the remaining 12 indicators VA couldn't gather data. The level of reported data for each of the 22 indicators was not the same⁵.

VA concluded from the field work that the stakeholders interviewed have some kind of green growth (climate, gender balance and integration, social integration and inclusive growth) concepts incorporated in their plans and modus operandi, but the indicators might not be the same as those selected by SUSTAIN. They also concluded that some big companies, of whom data were found on the internet, also have these concepts incorporated, but this could not be said of the companies (large, medium and smaller) they could contact in Tete. Only 11 companies answered the survey and the representatives of large companies contacted in Tete were not aware of SUSTAIN Africa or the concepts of inclusive green growth. Their main recommendations in the baseline data collection report were:

⁵ Source: Verde Azul: SUSTAIN -Africa Baseline Collection Study Mozambique. Final baseline data report. May 2017

- Reinforce the dialogue with the institutions that are coordinating the governmental major plans to the Zambezi Valley region (ADVZ and MOPRH), to be able to strengthen the practice of IGG in activities they intent to implement;
- Reinforce ADPP's dialogue with public and private sectors at cluster level to a regular updating of the SUSTAIN M&E framework; and to deepen dialogue with stakeholders from private and public sectors in those districts;
- Reinforce the dialogue with business operators reviewing SUSTAIN approach to companies, and conducting fieldwork with qualitative methods and in-depth documental and database review and analysis.
- Micaia reports weekly to ADPP which is too heavy

Support by SUSTAIN for the tasks of M&E with its partners and stakeholders has been limited. It has lacked a practical angle - assessing IPs experiences and skills on the ground - and early coaching⁶. For the tasks of (broader) learning the global SUSTAIN team has organized meaningful learning events in which IPs attended and/or played an active role as host. Characteristically for this early stage of implementation, the learning focused on the endorsement of the landscape approach used by the different IPs. And about healthy crossbreeding of experiences among different implementing partners.

5.4.2 Annual reports

The Annual reports are well written and understood. Information collection (quantitative & qualitative) is based on reports of project level implementing organizations, seem to track realization of annual plans and not so much the overall SUSTAIN project logic of outcomes and impact. Data is being aggregated for Annual report writing. During MTR, attempt was made with the team to compile a cumulative report of the last two-years (2015-2016) tracking activities to the outcome level and it was not so easy as some indicators were still been developed and aligned as indicated above.

5.4.3 Set-up of the M&E system

a) Answer the learning questions

If SUSTAIN aims to use the M&E system for answering the learning questions, then it must first and foremost all collect the right, relevant information from the different implementation levels. For that purpose agreement must exist on the changes it intends to generate and the indicators to measure these changes. That is not yet the case. The indicator list is still under development; they are not clear in terms of easy measurement, open for individual interpretation because the understanding of the SUSTAIN concepts vary; what is sustainable management of wetlands: is this yes/no question?

The MTR has observed that there is a growing management support for the learning dimension or angle of SUSTAIN as such. Learning in the remaining period of 18 months is more and more seen as crucial. In our view this is extremely important and positive. But in order to make that learning effective and successful, SUSTAIN must tackle the following M&E related issues as the best basis for that learning:

- Operational or organizational questions not yet answered; who, how often, sample, what, when. Need for guidance in this respect, but then we need first a common understanding;
- Fit with M&E system of IPs;

⁶ Coaching has been planned in second half of 2017, once the indicators have been tested and finalized, but the MTR stresses an earlier coaching component to better understand current practices and obstacles.

- Existing M&E resources and capacities of IPs; SNV has own M&E officer; AWF part-time from HQ; and ADPP?
- Ability of SUSTAIN to coach and support the IPs; this not just about the operational M&E aspects, but foremost about the shared understanding of the key concepts, as the basis for quality M&E; correct reading and interpretation of indicators. That is not yet the case.
- Lack of on-the-ground presence of SUSTAIN M&E person; (key because of its complex and experimental character)
- Critical are data collection skills, capturing the right information; soft skills and attitudes; ability to conduct open interviews
- Lack of M&E attention at IUCN global level: the SUSTAIN M&E officer only works for 20% of his time for SUSTAIN. In our view that is insufficient, even though he receives other M&E support of IUCN coordination team and at times extra M&E inputs on a temporary basis.

Stories from the field

The three stories in the field that the MTR had access to, illustrated the project still in its design stage, highlighting the difficulties of translating SUSTAIN concepts into practical action, especially the linkage between conservation and farming business. They also properly illustrated the different points of view with regard to how to merge conservation and the type of agricultural development: expansion or intensification. In order to become strong stories for M&E purposes, these stories should indeed be from the field and be less from IUCN global staff. Just like this MTR assessed the early markers of systemic changes, the future stories from the field should have the same focus. In our view it would be appropriate to collect such stories from key beneficiaries or stakeholders⁷.

Land use dialogues

The land use dialogue is at the top of the M&E and Learning ‘pyramid’⁸ where the partners meet and reflect on the key contents of the landscape approach, the best approaches to achieve the intended results of the landscape approach in the form of sustained use of the resource basis, and bring in their practical experiences to enrich the theoretical concepts. Based on the ‘pyramid’, the LUD assumes that at lower level, all the different M&E tools, including case stories, learning questions, reporting, have produced sufficient reliable and well analysed information to reflect on. In essence, such LUD also serve very well to mobilize the more informal information that project staff and other stakeholders have collected, but often remains not documented.

b) Does the M&E detect any needed programme implementation adjustments for better progress towards results?

In our view the M&E system has the potential to detect the needed adjustments. By and large various issues have already been raised in the previous chapters. Summarizing it needs extra attention beyond the identified outcome indicators in order to enrich or improve these adjustments:

- **for unexpected outcomes**, with an open eye for those changes that were not foreseen and that may confirm or reject the TOC
- **For contextual changes**: an explicit dimension of context monitoring, looking for factors that will affect SUSTAIN operations or achievement of results. This also links with M&E of assumptions
- **Connecting the work packages or SOs; looking at result hierarchy**: looking at the current interventions and the presence and/or absence of first early markers of change. As earlier mentioned, that assessment includes the issue of prioritizing and sequencing of activities;

⁷ SNV mentioned a series of other stories from the field, which the MTR has not seen, but which apparently already confirm the key message about these stories

⁸ See slide 6 in MEL PowerPoint 18th November, 2016, which arranges the M&E blocks in a kind of hierarchy.

learning from and reflecting on questions like, quality and relevance of these interventions; choice of activities: where all interventions really needed or were some redundant? Did SUSTAIN identified all necessary activities? Were the IPs able to properly implement these activities? This has much to do with the mobilizing of IPs experiences in the field into the M&E debate

- **Finally, the practical coaching and joint learning:** on M&E on the ground by the IPs.

c) Does the M&E provide annual data on specific indicators requested by DGIS?

As stated before the operationalization of the M&E framework still poses problems for the staff of IPs in terms of number of indicators, their precise formulation and measurability. But the MTR assessment of the early markers of systemic change clearly demonstrated the emergence of relevant (intermediate) outcomes in the form of crucial behavioral changes of key stakeholders at all levels. If SUSTAIN is able to improve the current M&E framework and its indicators by better using the inputs of the IPs, and focusing on these intermediate outcomes, then this will in our view also answer the needs for information that DGIS has on the results of SUSTAIN. These early markers of change are the key inputs for final outcomes and impact in near future.

d) Does M&E make use of geo-spatial data to address links between economic growth and ecological infrastructure?

The MTR has not obtained information on this evaluation question as such. Stakeholders met did not refer to specific issues concerning satellite information to address these links. Nevertheless, a partial answer to this question can be obtained by looking at the use of external data sources and partnerships for its own M&E purposes. In Tanzania the MTR has noted that SUSTAIN makes good use various external information sources (reports, studies) from many stakeholders such as Rufiji Basin Water Authority, Researchers from Universities, Local Government authorities, Ecological Monitoring Centre, Tanzania Wildlife Research Institute etc. Some geo-data are publicly available and used to indicate protected areas, village boundaries, water catchments, wildlife population distribution, outgrower farms locations/ zones, etc. the MTR observed that the quality of village land use data may be doubtful / unreliable if it would be left to the WUAs without resources allocated to continue developing the capacities of WUAs and regular quality assessments from River Basins.

SUSTAIN stakeholders have also accessed other data sources: RBWB uses Nile Basin Decision Support System data for water resources management, and technical data e.g. hydrological data within SO1. SNV has signed agreements to use/exchange data with TFS, NLUPC, WCS and CAMARTEC to support SO2. And SUSTAIN use RAS offices Agricultural Routine Data System (ARDS) - a system that JICA is supporting.

So SUSTAIN made various efforts in this regard, but it seems that thus far the use of these data served more for planning purposes, including the baseline situation, and only secondly for learning. There is less explicit reference to use of it for measuring outcome level changes or for specific learning of these issues of growth and ecological infrastructure. As stated before, the MTR has not been able to collect the necessary information.

The MTR wishes to make two observations:

- 1) It may be argued that this type of geo-spatial information is more oriented to the higher outcome and impact level of changes as shown in the TOC. That type of change cannot be expected to occur at this stage and it therefore becomes a less relevant issue to tackle in the current M&E.
- 2) More attention to be given to the quality of that type of information and how to best adapt it to the own landscape context. This may require additional thoughts and capacity building. This

applies, for example, to the data system developed by the Nile basin, which is technically complicated and therefore will present challenge of turning this into a useful system for the river basins in the SAGCOT corridor.

- 3) Ground 'truthing' remains a real issue: what satellite imagery is presenting must be validated on the ground. In view of the type of impact indicators used this is still a real challenge.

e) Is SUSTAIN ready for IATI compliance?

In its contract with DGIS IUCN has committed itself to become compliant to the IATI standard, which corresponded with its drive to become transparent. SUSTAIN is the IUCN programme that pilots this standard. Though the IATI standard is firstly meant to look at financial transparency and flows within the project, it is also developing efforts to become more result oriented, linked to these funds. As a consequence, that orientation would also be helpful to increase its understanding of the value-for-money dimension. How cost-effective has SUSTAIN been; or at a longer term, what return on investments is SUSTAIN yielding?

IUCN had started working with AKVO, the Netherlands, early 2016 as part of the DGID own IATI pilot. For the SUSTAIN programme IUCN contracted AKVO late 2016. Actual support started 2 months ago. Its support is geared towards developing the result hierarchy, as the key tool for this compliance. This result orientation links it directly with the TOC. The support of AKVO has therefore also a direct relation with the quality of M&E framework, choice and definition of indicators, making them fit for sound and reliable measurement, and moving away from multi-interpretable descriptions. They also agree with the on-going efforts to simplify the M&E indicators.

AKVOs advice and support is on the M&E framework, working with IUCN global staff only. It intends to make it first workable at that level, before IUCN would start rolling it out to implementation levels.

In our view the focus of AKVO on this results hierarchy (and TOC) is correct and appropriate. This attention also includes the quality of data gathering in the field by IP staff, asking the right questions, asking probing questions to understand underlying reasons for change. In order to agree on this result hierarchy, the direct involvement of IP staff is urgently needed. Without this involvement, IUCN may run the risk of imposing other, more tools on their partners.

f) Does the project have identifiable measures of impact and sustainability that are specific and measurable?

The early markers of systemic change in the form of concrete behavioral changes are in our view also identifiable, specific and measurable. If SUSTAIN uses its M&E to monitor and learn from how these behavioral changes further develop and grow into concrete projects, fund allocations, investments, strategies and policies, then such higher level changes directly testify of impact and sustainability. It has also become clear that not all current impact indicators are specific and easily measurable. Again future SUSTAIN learning events would be the best platform to discuss this dimension and agree on more specific and measurable indicators.

5.5 Structure of SUSTAIN

In this chapter the MTR has looked at three dimensions of this structure: 1) the effectiveness of the ownership that SUSTAIN has tried to establish; 2) the quality of the coordination and management of the programme, and how that should be improved to strengthen delivery on the TOC; and 3) lessons learnt about this partnership and management.

5.5.1 Ownership establishment

In general the SUSTAIN top management programme has done a good effort to stimulate ownership. The lengthy and thorough design and inception stage witness of these efforts. That included also the alignment of the key concepts and landscape approach. Even though differences in understanding and applying the key concepts may still exist, also depending on the organizational or departmental original focus or strength, the overall ownership dimension has grown. That includes the IUCN partners as well as the Implementing partners. The IPs in Tanzania and Mozambique were already identified in a very early stage and they fully participated in the inception stage; guided by IUCN on the key SUSTAIN concepts and approaches, they developed their work plans and budgets. The commitment to the fund-raising aspect also testified of this ownership. The participatory dimension was thorough in this initial stage, which has laid a good foundation for the ownership and commitment. The feedback received by the MTR was very consistent in this regard.

The **style of management** stimulated that ownership creation; it was rather **facilitative** rather than **top-down**, as often is seen elsewhere in these kinds of complex partnerships with different levels of implementation. Admittedly, the management was top-heavy and, perhaps, the M&E system is the best example. Based on all feedback received during this MTR the M&E system proved to be the clearest example of a too complex instrument, not fully owned and understood by partners. Even though much effort has been gone in simplifying it and reducing numbers of indicators, it still was perceived by practically all respondents as too complex. Fortunately at IUCN level this M&E evolution was considered as a learning process and it refrained from being too prescriptive. But next steps in this M&E evolution must now first consider M&E inputs from partners to build that part of ownership too. Their participation in learning events is positive and also represents an excellent platform for discussion the early markers of change. More use should be made of this opportunity to improve M&E and learning.

Apart from the ownership felt by the IPs, also all other stakeholders at multiple levels, in both Tanzania clusters and in Mozambique indicated that they fully own the project processes and results. That was already shown by the various early markers of change, as presented in chapter 5.2. That ownership feeling was also demonstrated by the fact that various stakeholders already made different contributions in cash and kind. The same holds for the concepts promoted by IUCN/SUSTAIN, because most of the respondents who are professionals in their field were versatile with concepts and did not see confusion in applying them. That was more than this MTR expected. In this way, the ownership felt by these different partners, at different levels, has already created a strong basis of sustainability, even at this early stage.

5.5.2 Coordination and management

The basic coordination and management of SUSTAIN is done by the three global programmes of IUCN, supported by IUCN NL and NC. They have been assessed hereunder.

IUCN HQ

The staff at HQ had multiple roles, right from the beginning of SUSTAIN by developing the overall landscape approach, bringing the different IUCN programmes together - that now form the partnership at that level - making the design in accordance with the basic idea behind SUSTAIN, gaining acceptance for it at IUCN level; explaining it to the IPs on the ground; meetings with other stakeholders; and then working on the K2I components. The role during implementation also covers multiple aspects: management meetings, advisory and support missions abroad, facilitation of meetings, technical support on the ground, coordinating fund raising. Various HQ staff faced strong time constraints to properly implement all these tasks; only recently some extra HR support has been allocated. The MTR has not been able to properly judge whether this understaffing has affected the achievement of results of SUSTAIN.

At various instances the MTR learnt that the SUSTAIN structure at global level was characterized as **top-heavy**, possibly implying that the global level spent too much time and resources in its different concepts, tools, frameworks, procedures and the like. The MTR has not been able to assess that situation in sufficient detail, but the MTR confirms that especially in such a crucial initial stage of a highly complex and ambitious programme, the necessary investments at that level are crucial, whether this refers to ownership creation, explanation of key concepts and approaches, M&E systems and tool develop, etc. But the MTR has also noted that this top-heavy aspect has affected the proper performance at NC level and IPs (case of M&E in particular). Striking the right balance between allocating resources to partners and IUCN has been a challenge, but keeping coordination costs down must be distinguished from the direct costs of activities such as facilitation, support, guiding, etc. which likely comprised the main part of the IUCN staff. Based on the findings of the many early markers the MTR observes that it is now the appropriate moment to turn this more top-heavy orientation into a more bottom-up process, as already stated before.

IUCN Netherlands

IUCN NL played a pivotal role in getting the SUSTAIN proposal enriched and approved by DGIS. IUCN NL considers itself an implementing partner, besides SNV, AWF and ADPP, but is also part of the project management group. IUCN NL committed itself to 3 key components of the programme: 1) assuring the CSO voice, 2) exploring links with Private Sector in Netherlands and 3) connecting with Dutch knowledge institutions. Because of internal human resource obstacles, IUCN could not sufficiently deliver on these components. IUCN felt itself also too much drawn into the management and coordination of the programme. They would like to see a review of their position in the programme. The MTR finds this a logical topic of discussion taking the original design of the coordination, the quality of coordination and the expected results based on the added value of IUCN NL as points of departure.

National Coordinators

In Tanzania and Mozambique the NC had multiple tasks too, both coordinating and implementing. The NC was overseeing the national level partnerships and they liaised with the project offices on the ground. At least twice a year the national coordinator visited the clusters and offers technical advice on the ground. Their work plans were very heavy and diverse. The MTR has noted that both persons - just working as single persons - are grossly overburdened. They had to implement too many activities without clear sequencing or priority setting - necessary for purposes of effectively working on intended results, leading to ad-hoc selecting opportunities for implementation. The national coordinators of the SUSTAIN programme tended to act like a funnel, through which all IUCN HQ decisions, suggestions, plans, targets, frameworks, were being pushed downward. Looking at this total work load, it was impossible to properly implement these tasks and it may have seriously reduced the effectiveness. The NC lacks a backup structure or team for proper implementation.

IPs: they established their fields teams for the SUSTAIN programme with a project manager and assistant; additionally they avail technical expertise, either as integral members of the field team (SNV) or at the head office (AWF) who then backstop the field team. The field teams implement their different work packages. The MTR has noted the tendency to see these packages as separate silos with distinct objectives, risking losing sight of the integrated character of the programme. It was made clear to the MTR that the use of the different work packages according to the 4 strategic objectives was based on an effort to simplify the organization of the activities, also for partners, even though the need for integration was constantly reiterated by IUCN global. Apparently, the recognition of this integration may not yet fully exist on the ground and the tendency to stick to these silos or compartments is still real. In our view the TOC & TOA tend to confirm this separation in silos. A better hierarchy or sequencing may be an answer to improve the integrated character again; or reduce the risk of working separately.

Skills and expertise of IPs: in the context of this integrated programme, requiring different technical skills in order to achieve the intended results, it is also important to look at how to implement the programme. Do IPs **implement all activities** themselves using their own technical capacities and skills, or do they **facilitate implementation**. The MTR has noted an important progress with regard to the content of facilitation. There two most important aspects of this facilitation approach are:

- 1) The **capacity to identify, access and mobilize specific technical expertise**, required for proper implementation. The IPs do not need to have all technical expertise in their own team, but they need to know where to get the necessary expertise. This requires relation building with knowledge institutes, specialized services, etc. A good example has been AWF who accessed technical expertise on sugar cane from other sources instead of developing its own expertise.
- 2) The **capacity to properly facilitate partnerships**, availing of softer skills in order to foster relations whether in a VC context, or intra-government departments set-up, learning platform, community based organizations, etc. Apparently, SUSTAIN took this dimension already in consideration during IP identification: the project managers have these necessary skills, are accepted as **neutral facilitator** by other stakeholders, and are politically sensitive and knowledgeable.

According to the MTR SUSTAIN has therefore set the right steps with regard to its focus on the facilitation role during implementation. The MTR also wishes to emphasize that the development of this facilitation will require long-term attention. Establishing a partnership may often be a relatively easy step at the start, but maintaining and assuring its growth and continued commitment to the intended outcomes and impact of SUSTAIN is often a bigger challenge. But further attention, coaching and guidance for this facilitation role is needed. Looking at the currently available human resources at IUCN national and global level, there is a risk of not availing of the necessary human resources. Based on experiences elsewhere the MTR has noted that such facilitation guidance and support often go under-budgeted.

A particular finding that the MTR wishes to mention is the following. During the validation meeting in IKC cluster the project staff and the key stakeholders suggested several detailed ideas how to improve the SUSTAIN programme; see the table below. According to the MTR these suggestions demonstrated relevant lessons: 1) they are committed and own the project as they look for possibilities to improve it; 2) they tend to formulate these lessons according to the distinct work packages, and hence (may) ignore the interconnections in the landscape; 3) they also confirm a basis understanding of their facilitation role. The consequence of such a list of suggestions is that IUCN NC (or global) must make use of this capacity in order to sustain their interest and commitment. The MTR has not included such detailed suggestions in its own recommendations, as they all need further reflection, but it has received information that these suggestions may well be made part of two future Water Partnerships Programmes in Tanzania that SUSTAIN could link with.

Suggestions of AWF staff to improve Water Security in IKC

- SUSTAIN to consider capacitating more WUAs to have tools for water quantity assessment next to water quality assessment
- Support restoration and conservation / demarcation of key water sources
- Assist RBWB to process its database into information packages for dissemination to different users (Gov't, private sector, etc.)
- Facilitate more research opportunities on land cover, type of vegetation in relation to water flows.
- Support Reforestation efforts through promoting nurseries of relevant trees by WUA;
- Capacity strengthening of WUA to use their resources to invest in conservation projects; e.g. expose them through learning visits to progressive WUAs in the basin.
- Promote more social solutions to water conservation along Rufiji /Lukosi Rivers in collaboration

Efficiency

The MTR has not paid explicit attention to this efficiency, where it relates to the extent of realization of work plans and spending of budgets. That focus would contribute little to learning. But the MTR has looked for (small or modest) examples of changes that SUSTAIN partners made during implementation with regard to the choice or mix of activities within a work package; or a change in approach; or selection of other partners. For the MTR such types of changes may illustrate the quality of internal learning and management within SUSTAIN. If the management feels that a specific activity does not lead to achieving the intended results or behavioral change, then it is better to remove this activity, even though it was planned and budgeted for.

Even though it may be argued that in this early stage of implementation, such cases may be rare, the MTR has come across the interesting example of AWF. The AWF Management removed the Food Security & Nutrition component as distinct activities, realizing its complexity and the reduced relevance; it adjusted the working approach of AWF by developing the facilitation role: accessing technical expertise from other agencies; and it added new partners that were not included in earlier project design such as such as TFCG. The MTR collected similar examples of efficiency in other interviews, though this topic did not get as much consistent attention as the questions with regard to early markers of change.

The key message is clear: learning already took place during implementation even though it is not backed by a formal M&E framework.

5.5.3 Lessons learnt

- A lengthy and thorough design and inception process are crucial investments for creating ownership in such a complex programme; that has included the need for
 - The alignment about the key concepts and approach of SUSTAIN between all 8 implementing units from the very beginning,
 - The early identification of the true implementing partners and involving them in that process, and
 - Extending this ownership to other external stakeholders.
- A facilitative management style is crucial in this kind of complex programme with partners working at different levels; a top-down management style would have jeopardized that ownership establishment
- The development of a proper M&E system must be dealt with in a flexible, evolutionary and learning oriented manner. The next step of development needs a bottom-up inputs from the implementing partners at cluster level
- The proper implementation of SUSTAIN activities requires a more solid human resource basis. In view of the complexity and the need for coordination between the different levels of the programme, SUSTAIN had not allocated sufficient human resources in particular to the national and global coordination level.
- The separation in 4 work packages has been detrimental for developing the true integrated character at the IP level. More efforts to assure the ‘landscape based’ integration are needed.

- The quality of the project teams of the IPs and their organizational profile has been appropriate for implementation. The emphasis on the facilitation role of their work has been correct and in line with this type of programme that expects so much of partnerships for sustained results.
- Constant informal learning on the best quality of implementation is already taking place and this improves overall efficiency.
- A too early emphasis on fundraising may have negative effects on proper management and implementation of the work packages. Successful fundraising or resource mobilization requires a longer term approach, based on true results and commitment on the ground of stakeholders.

5.6 is SUSTAIN on track meeting OECD criteria?

Based on what the MTR has learned during this evaluation the project is indeed well on track to successfully meet the OECD criteria of relevance, efficiency, effectiveness, impact and sustainability. The level of engagement and ownership is high among all stakeholders, assuring a high level of understanding of the key concepts by direct SUSTAIN partners and its diverse stakeholders, thus underpinning the relevance of SUSTAIN. The early markers of systemic change properly illustrated this situation even in this relatively short span of time of implementation (effectiveness and sustainability). The art and challenge is now to build on these early markers and agree on the next steps and strategies. A more bottom-up oriented process is needed in which IUCN global and NC will play a more supportive and coaching role. The joint learning and reflection on the practical recommendations presented hereafter should be used to stimulate the further growth and evolution of its landscape concept for the remainder of the project, at the end of 2018 and possibly into a next phase.

6. CONCLUSIONS

TOC assessment

SUSTAIN has been successful in achieving **sufficient alignment and common understanding** of its key concepts, like the landscape approach, the IGG and the interconnectedness of natural resources. Though partners may not all use the same wording, the consensus on these concepts is remarkable.

That consensus also testified of the **proper investments** (time, resources and skills) the initiators of SUSTAIN made right from the beginning, achieving this alignment firstly, at IUCN HQ and NL level, and secondly, at IP level. That latter dimension has been of utmost importance, turning also the implementing partners into committed partners, prepared to assure their contribution to achieve the intended changes. SUSTAIN has created a sufficient level of **ownership**. Also external stakeholders have largely accepted the landscape approach and are prepared to contribute.

There is a growing recognition of the importance of the **value chain approach as the key driver of change** in the growth corridors for farmers and land users on the ground, and the critical role of the private sector in those VCs. The business rationale was already evident before the start of SUSTAIN; it was confirmed again. This VC approach and rationale for transformative change must then be taken as the entry points for social and ecological progress, assuring the sustained use of the resource base. This fits with the logic of the **intensification** approach towards agricultural growth, contrary to the **expansion** approach, which creates the risk of encroaching on other land uses and depleting the resource basis. The relevance of this VC approach is confirmed in both Tanzanian clusters, only their pace of growth may vary because of other type of partnerships and the size of VCs.

In **subsistence farming context in Mozambique** this VC approach is not yet well developed and analysed in the case of NTFP and the different sectors like agriculture, livestock and fisheries. The VC approach has restrictions in the case of subsistence type of land use or livelihoods, especially because of lack of markets and private sector stakeholders. The Mozambique situation also differed from Tanzania in terms of the presence of established companies in the growth corridors with direct business interests in working with farmers. The Mozambique context needs a review to make it better fit with the TOC and achieve results.

The **TOC has been generic thus far**, presenting a sound overall picture of the vision of SUSTAIN, but it has not been sufficiently used for management and learning purpose. The **TOA was a superfluous extension** of the TOC. Fortunately, this TOA contained relevant information with which the current generic TOC can be complemented or enriched. The opportunity to improve the quality and relevance of the TOC by discussing the possibility of **sequencing and prioritizing** the intended results, leading to a clearer **result hierarchy**, has not yet been seized; that also applies for the work package of the NC. There are no detailed TOCs at IP level.

The implementation has demonstrated a tendency towards **compartmentalization**, because of its structure of the different work packages or strategic objectives under which activities are arranged. Most emphasis has been on the achievement of outputs. That situation limits the connecting or integrated approach of the landscape. That applies for all clusters.

In spite of these implementation shortcomings, the **early markers of systemic change**, linked to the various Strategic Objectives and supporting the overall TOC, are impressive in this short span of time. They therefore also illustrate the effectiveness and (potential) impact of SUSTAIN. SUSTAIN has attracted attention of many stakeholders by its landscape approach and has effectively established **partnerships** with different types of stakeholders at its different implementation levels. It is likely that VC based partnerships - in already existing VC - have the biggest potential to contribute to SUSTAIN TOC because of its business rationale.

The collaboration with **corridor agencies** in Tanzania and Mozambique, SAGCOT and ADVZ respectively have been key for coordination and upscaling its landscape approach in the corridors. It is important to remain aware of the leverage dimension of SUSTAIN on these key corridor institutions. These corridor agencies may have limitations in terms of sufficiently assuring collaboration between different sectoral ministries that deal with natural resources.

Policy influencing: SUSTAIN has rightly singled out partnerships of key stakeholders as crucial platforms for policy influencing. Partnerships act as key dialogue spaces or round tables and may well serve as reputed bodies for policy influencing. This applies for cluster, corridor and national level partnerships. Policy influencing takes place in both directions: from cluster to national, and vice-versa.

The **Knowledge-to-Impact (K2I)** component of SUSTAIN has demonstrated its distinct added value with regard to the different constituting blocks. **Capacity building** for creating ownership and alignment has been effective. More technical capacity building will remain essential for implementation, as specific needs will continue to emerge. SUSTAIN has properly combined internal sources of information as well as external knowledge linkages for this capacity building and thematic support. VCD related capacity building has shortcomings in terms of using a proper market systems dimension.

Added value: SUSTAIN is highly complementary to other ongoing programmes, and is recognized for its distinct added value.

Fundraising is best seen as the approach to mobilize resources from other stakeholders, where these early markers directly illustrate their engagement.

M&E system

The evolution of the M&E system and its tools has been significant, but in general partners still perceived it as too complex, certainly looking at the number of indicators and their lack of focus. The shift from general outcome indicators to ‘smaller’ outcome indicators, or intermediate outcomes, which illustrated specific behavioral changes of stakeholders has been a good step. Though this M&E evolution at global level may well be seen as a logical start of the growth process, it is now time to change the direction of the process. According to the MTR this evolution has lacked systematic field-based inputs from the project teams and the early markers of change offer a good opportunity to use these inputs for adjusting and improving the M&E system and its tools.

Learning is too much restricted to formal learning only - M&E and learning events. Though this learning is effective as such, project staff expresses the need for more opportunities for frequent, more informal learning, capturing interesting lessons from the field. That would also be in line with the experimental character of the SUSTAIN programme. Learning must not only embrace planned results, but also unintended results and context.

IPs have (access to) basic M&E skills and experiences, but they lack practical guidance and coaching in the complex M&E task. On the ground they do not have enough M&E capacity. The M&E support from IUCN national and global has not yet been sufficient.

For answering the **learning questions** the M&E must provide clear and reliable information about the (intermediate) outcomes.

Working towards **IATI compliance** of SUSTAIN is appropriate if it moves away from a strict focus on financial transparency. The choice that SUSTAIN made for becoming more transparent on its result - another dimension of IATI compliancy - is supported. This requires a better and shared result hierarchy. This aligns with the earlier mentioned weakness of the current TOC.

Structure

At **IUCN global** the programme has been well conceived, involving the crucial internal departments. The style of management has largely been facilitative, which aligned with ownership establishment. The global coordination had multiple roles that were however not fully aligned with the necessary human resources. More was requested of the global coordination and management level than they were able to deliver. Experimental programmes like SUSTAIN need more human resources in the initial implementation stages and they must avoid top heavy bureaucracy and reporting requirements.

IUCN NL was the key partner in the approval and design process of SUSTAIN. Though they are part of the management structure, they were also assigned implementation tasks in line with their position and expertise. This implementation role received insufficient attention, also because of internal human resources obstacles. As this situation has improved again, they would to discuss their position in and contribution to the programme, based on clearly agreed upon added value and result commitments.

The **IUCN national coordinators** are good programme managers, but their resources are too restricted. Their work plans are very wide and scattered, without clear direction or priority setting. Their position is too much like a funnel, through which IUCN global sends their inputs, ideas, formats, etc. This weakens their position. They do not always have the proper technical knowledge in the various fields covered by SUSTAIN in order to meaningfully play their roles in high level technical meetings or be able to advice IPs.

Implementing partners have been well selected and at an early enough stage to fully engage them. Their organizational profile and expertise generally fitted well with the SUSTAIN programme. Overall, their key staff, project managers in particular, is highly skilled and competent. The key **facilitation role** that IPs must play is fairly well recognised by the IPs, even though continued support and guidance is needed. The project teams have gained more experiences, which may not be fully acknowledged.

Efficiency: the MTR has come across many examples of improved efficiency in implementation, including better use of budgets, on the basis of informal learning (outside the formal M&E framework) and reflection on the relevance and effectiveness of selected activities.

Summary statement of MTR:

The project is indeed well on its track to successfully meet the OECD criteria of relevance, efficiency, effectiveness, impact and sustainability, based on what the MTR has learned during this evaluation. The level of engagement and ownership is high among all stakeholders; a fruitful discussion and reflection on the practical recommendations presented hereafter, should be used to lead to further growth and evolution of its landscape concept for the remainder of the project, at the end of 2018 and possibly into a next phase.

7. RECOMMENDATIONS

These recommendations have been limited to those with a general character, which can be discussed and agreed upon rather directly. The MTR has also formulated one specific recommendation for Mozambique that needs urgent attention. The MTR has clearly noted that at cluster level project staff has many detailed suggestions for improvement, but we wish to recommend that these be discussed much more in detail with the partners concerned.

TOC:

- Based on first early markers of change in the field, reflect on **sequencing and prioritizing** of lower, intermediate outcomes in the TOC, arriving at a clear result (or outcome) hierarchy and adjust the TOC accordingly. That could best be done at the next learning event.
- Use the change suggestions as already formulated in the current TOA also as inputs in that reflection; and then merge TOA with TOC;
- The overall SUSTAIN TOC structure can remain as it is, but it will be enriched with more detailed level of changes;
- Discuss and agree on how the new **nature based VC** are also including the different key changes as described by the other SOs. This would then also respond to the key question whether these changes have a **transformative** character fitting with the SUSTAIN vision;
- Stimulate the development of more detailed, field based TOC per IP, based on their realities and context in the growth corridors; that will provide to them the basis for adaptive management;
- The discussion and reflection on the TOC must also include a critical analysis of all activities with regard to their relevance and added value, including the cost-dimension;
- **Mozambique:** take time to reflect on and analyse the existing livelihood or subsistence sectors, including the lessons from other projects; thoroughly update the situational analysis

M&E:

- Put working on the current M&E indicators framework on a hold and first engage with the IPs, using their inputs by making explicit use of the first early markers of change to identify better, more suitable (outcome) indicators. That should also lead to shared understanding of the content of each indicator avoiding multiple interpretations;
- Focus on intermediate changes or outcomes first, because they are best markers of suitability of pathways of change SUSTAIN stands for towards final impact. A bigger focus on clearly defined intermediate outcomes may also be helpful to establish baseline values and targets
- Review and establish SUSTAIN indicators that can be easily found from its key stakeholders' reports and have the required quality
- More on the ground presence and practical M&E support and learning by IUCN NC and HQ is crucial to revert the tendency of prescribing M&E tools; that support would also include a closer collaboration with IP M&E staff to make use of their skills, insights and experiences; that would also strengthen more informal and frequent learning on the ground;
- Agree on the best way to collect and analyse disaggregated data and information in order to assess the quality of inclusiveness; decide on the specific categories of persons to be distinguished;
- Include M&E on unexpected changes and context changes on a regular basis
- Use the stories from the field in a more systematic manner, selecting beneficiaries to share their feedback
- The IATI process which needs a clear result hierarchy, may be used to streamline the transition to a more simple and practical M&E; the support that AKVO will provide for this IATI compliance, will also help the proper formulation of indicators (see recommendations above)

Learning

- Joint partner meetings and learning events are the best opportunities to stimulate that approach and improve the facilitative management style of IUCN HQ.
- Learning must be further scaled down to the field (see M&E recommendations) to improve the learning inputs for the formal learning events

Fundraising

- Can be best pursued as an explicit and broad **resource mobilization** approach, with a longer term perspective in mind. Consider this resource mobilization as one of the explicitly expected (and negotiated) behavioral changes;
- Fundraising ‘targets’ must be contextualized, taking into account the nature of all three clusters and the types of actors active in and around those clusters.

Ownership promotion

- Make use of current insights on early markers of change by IPs, as inputs into 1) the M&E framework and, parallel, to 2) give the broad SUSTAIN concepts a practical angle. Both steps will improve the local ownership, because direct use will be made of their experiences on the ground

Facilitation role of IPs

- Having agreed on the crucial dimensions and importance of this facilitation role for sustained results, discuss, agree and monitor the different specific components of this role;
- More attention is needed for guidance from IUCN HQ and learning about this facilitation role at least till end of current phase; that also includes the necessary facilitation skills and capacities the IPs;

K2I component

- In general, give more attention to cluster level experiences and lessons as inputs into the support, coaching, capacity building activities.
- Capacity building of diverse stakeholders on the ground need to have a more tailor-made character, based on a shared view on what better performance of these actors implies
- VCD capacity building will need a stronger market systems orientation

Partnerships establishment and policy influencing

- Continue working with key corridor agencies, but remain alert whether this type of stakeholders sufficiently assure inter-ministries collaboration as envisioned within the landscape approach, which may imply more direct collaboration with these ministries

Linking landscape results to higher levels

- Use the landscape level results with the higher levels contacts as an input for policy influence and adjustments. The practical and behavioral responses from the diverse stakeholders it collaborates with, will inform SUSTAIN on the contacts with greatest potential and/or priority.
- Pay specific attention to the private sector based contacts in VC development as strong cases for this result linkages and policy influencing

Coordination and management

- Jointly review the position of IUCN NL in the coordination of the SUSTAIN programme and agree on the three expected results of the three components IUCN is responsible for.
- Assigning a bigger responsibility to IPs and their cluster level activities with a stronger support and coaching role of IUCN NC and global

OECD criteria

- Confirming that SUSTAIN is well on its way to meet OECD criteria, the relevant recommendation is to give more attention to the bottom-up process of M&E and learning, reflect on the result hierarchy of TOC and jointly review the Mozambique work packages at cluster level in relation to the selected landscapes.

Annex 1 TOR

Terms of reference for the mid-term evaluation of IUCN's initiative: Sustainability and Inclusion Strategy for Growth Corridors in Africa (SUSTAIN-Africa)

31 January 2017

An independent mid-term evaluation is requested to explore SUSTAIN's contribution to complex growth corridor systems through the landscape approach, with the aim of providing guidance on how to improve project implementation and learning in its remaining timeframe. The SUSTAIN project goal is:

“To find and implement solutions in African Growth Corridors that achieve the ambitions of a climate resilient, green and inclusive economy through building new partnerships and capacity among the public and private sector and rural communities at landscape level which address in an integrated manner economic, social, water, land and ecosystems management.”

Context for the Evaluation

The International Union for Conservation of Nature (IUCN), founded in 1948, is the world's oldest and largest environmental organisation. Conserving biodiversity is central to the mission of IUCN. The goal of the organisation is to demonstrate how biodiversity is fundamental to addressing some of the world's greatest challenges such as climate change, sustainable development and food security. IUCN works toward its mission by developing hundreds of conservation projects all over the world from the local level to those involving several countries, all aimed at the sustainable management of biodiversity and natural resources.

To fulfil a shared vision of a sustainable and socially inclusive green economy, SUSTAIN aims at facilitating greening of growth that is inclusive and climate-resilient. **SUSTAIN integrates water, land and ecosystem management with sustainable business to demonstrate inclusive green growth using the landscape approach.**

The Strategic Objectives are:

1. **Water security** - Sustainable and climate-resilient supply of water for livelihoods, production, health and ecosystems, coupled with lower water-related risks
2. **Climate change adaptation and mitigation through land resource management** – Landscape management and restoration enhance climate change resilience using climate-smart agriculture, while supporting food security and low-carbon development through new value chains that link primary production with trading and enterprise opportunities
3. **New investment and business partnerships** - New business models and partnerships in growth corridors build long-term synergies between development and conservation and raise investment and lower risks for rural households, commercial enterprise and sustainable economic growth
4. **Policy, learning & evidence** - Improved public and private sector strategies for sustainable water, land and ecosystems and for climate change resilience are integrated into business planning and policies on economic growth.

SUSTAIN-Africa works at the local, national and continental levels, linking practice on the ground to policy change at corridor and Africa-wide levels. These solutions will both foster and rely on close partnerships among the public and private sectors and rural communities. The two chosen corridors for SUSTAIN Africa are the Southern Agriculture Growth Corridor of Tanzania (SAGCOT) and the Zambeze growth corridor in Mozambique.

The programme is core-funded by the Dutch Directorate-General for International Cooperation (DGIS) at a level of Euro 10 million, with co-funding secured and being sought from a number of other sources towards a full envelope of Euro 30 million. Global level coordination of the project is led by the IUCN's

Global Water Programme (GWP), whilst regional coordination takes place from ESARO regional office and in the target countries: Tanzania and Mozambique. The programme implementing partners include the IUCN Business and Biodiversity Programme (BBP), the IUCN Forest and Climate Change Programme (GFCCP), IUCN's East and South Africa Office (ESARO), the two IUCN country offices in Tanzania and Mozambique, and IUCN National Committee of the Netherlands. Implementing partners on the ground in a selected set of landscapes include AWF and SNV in Tanzania, and ADPP with The Micaia Foundation in Mozambique. The project started on January 1, 2014 and will finish on December 31, 2018, with the possibility of a follow-on phase between 2019 and 2023.

Rationale for the mid-term review

This evaluation fulfills the requirement, stated in the contract with the Dutch Directorate-General for International Cooperation (DGIS) as well as in the IUCN Monitoring and Evaluation Policy, to conduct an independent mid-term evaluation ("midterm review") for the purpose of learning and reflection on project management. The SUSTAIN Monitoring and Evaluation Framework written by the project team specifies that the midterm evaluation should be undertaken at programme and corridor level.

Objectives of the mid-term review

The mid-term evaluation should explore SUSTAIN's contribution to complex growth corridor systems through the landscape approach, with the aim of providing guidance on how to improve project implementation and learning in its remaining timeframe. Through the assessment of the progress, performance, achievements and lessons learnt to date the review will contribute to both learning and accountability.

In responding to the key evaluation questions below, the mid-term review should specifically address OECD DAC criteria (relevance, efficiency, effectiveness, sustainability, impact).

The key evaluation questions for the mid-term review are:

1. To what extent is the project set up to deliver on its Theory of Change (ToC) and Theory of Action (ToA)?
 - 1.1. What early markers of progress towards systemic changes are emerging in the project landscapes? How does the SUSTAIN ToC align with these changes? What contributions has SUSTAIN made so far? (*effectiveness*)
 - 1.2. Is SUSTAIN gaining the ability to link results in landscapes to change at higher levels? What should be the priorities for increasing influence from SUSTAIN? (*impact*)
 - 1.3. To what extent is the M&E system set up to (a) help answer the learning questions; (b) detect any needed programme implementation adjustments for better progress towards results; (c) provide annual data on specific indicators requested by DGIS; and (d) make use of geo-spatial data to address links between economic growth and ecological infrastructure? What adjustments to the M&E system are recommended to help understand progress made through SUSTAIN?
 - 1.4. Does the project have identifiable measures of impact and sustainability that are specific and measurable? (*impact and sustainability*)
2. What can we learn from the way that SUSTAIN is structured?
 - 2.1. How effective has the programme been in establishing national/local ownership? (*sustainability*)
 - 2.2. How should coordination and programme management be adjusted to strengthen delivery on the ToC/ToA? (*efficiency, effectiveness*)
 - 2.3. SUSTAIN is the biggest collaborative programme in IUCN between different actors, including a national committee - what can we learn about working together (from the partnership and management perspective)? What recommendations can be made for improvement?

3. Is the project on track to successfully meet the OECD criteria based on what was learned above?
3.1. What recommendations are there for adjustments?

Audience for the review

The primary audiences for the mid-term evaluation are DGIS, IUCN's Global Water Programme, Global Programme on Forests and Climate Change, Global Business and Biodiversity Programme, staff from the IUCN Eastern and Southern Africa Regional Office (ESARO) and from the IUCN Tanzania and Mozambique Programme offices involved in the project. The four implementing partners, AWF, SNV, ADPP and The Micaia Foundation are also expected to use the mid-term evaluation and potentially also other landscape programmes funded by DGIS and other potential donors interested to contribute to the SUSTAIN efforts. Not including DGIS, the rest of these primary audiences are also accountable for the achievement of the objectives specifically defined at the outset of the project.

More specifically, the intended users and uses of the evaluation are:

- The SUSTAIN Project Coordinators and Managers in IUCN's global and regional programmes, for the purpose of managing the project, and in particular, for making adjustments to improve delivery of outcomes and reporting on results;
- The Coordinators and Monitoring and Learning team, for the purpose of improving the SUSTAIN monitoring and learning approach;
- The implementing partners, for the purpose of improving the effectiveness and efficiency of their field activities and their reporting on results;
- The Global Directors at IUCN, for the purpose of gathering lessons to inform future project design and implementation of other Inclusive Green Growth projects and large-scale collaborative projects at IUCN.

Evaluation Stakeholders

In addition to the project funders and implementers listed above, the intended project beneficiaries and therefore key evaluation stakeholders are local communities in each of the two selected corridors, local authorities, community based organisations (CBOs), non-governmental organisations (NGOs) and local research institutes, as well as corridor level institutions such as the SAGCOT Centre limited and the Zambeze Valley Development Agency (ADVZ), and national level authorities involved in business investment, water, land and ecosystems management, as well as business operating at landscape, corridor levels.

Methodology

This mid-term evaluation will be carried out in conformity with the IUCN Monitoring and Evaluation Policy (2013)¹, which sets out IUCN's institutional commitment to evaluation, and the criteria and standards for the evaluation and evaluation of its projects, programmes and organizational units. IUCN's evaluation standards and criteria are based on the widely accepted OECD DAC Evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability.

The mid-term evaluation consultant is expected to develop the evaluation indicators and may comment on the suggested key evaluation questions and objectives above. An inception report will be prepared as the first deliverable of the evaluation and will provide a framework for the key issues to be addressed and the data sources that will be used in the mid-term evaluation. Adequately addressing the key evaluation questions will be the basis for IUCN to sign off on the completeness of the mid-term evaluation report.

All data collection tools are to be included as annexes to the final mid-term evaluation report. The link between evaluation questions, data collection, findings, analysis and conclusions must be clearly made and set out in a transparent manner in the presentation of the mid-term evaluation findings.

The mid-term evaluation will seek the views of the range of stakeholders who have been engaged in the process to date – see above. As per the SUSTAIN learning framework, it should include a midterm review

workshop or focus group discussion in each corridor (Tanzania and Mozambique) with external stakeholders, including local organisational structures such as farmer organisations and water committees, to conclude whether the programme is on track and expected to realise its set objectives.

The mid-term evaluation is expected to use mixed methods, including:

- Review of relevant documentation from the project (see list in Annex 1);
- At least 10 interviews of key stakeholders (list to be provided at inception);
- Field visits to project countries: Tanzania and Mozambique; including a 1 day workshop with stakeholders in each country.
- Other methods may be proposed as needed and as programme resources allow, e.g. surveys or focus group discussions.

Qualifications of the Evaluators

IUCN requires an evaluation consultant with experience in assessing change in complex systems, the landscape approach, agronomy, land, water and ecosystems management, or social science, or a combination thereof, applied to sustainable development policy and practice.

The consultant shall have:

- At least 10 years' experience as an evaluator with excellent quantitative and qualitative data collection and analysis skills;
- Complete independence from IUCN;
- Experience evaluating complex projects and dealing with complexity;
- Familiarity with the landscape approach and with systems approaches;
- English language fluency. Fluency in Swahili and / or Portuguese would be an added advantage;
- An asset but not required: A PhD or equivalent in international development or natural resource management.

Schedule and deliverables

The evaluation will run from March to early June 2017. The expected outputs are:

1. Inception report including refined key evaluation questions, indicators for these, and data sources; approach to sampling stakeholders and field activities, work plan and schedule.
2. A draft 20-30 page mid-term evaluation report.
3. A final 20-30 page mid-term evaluation report.

The 20-30 page mid-term evaluation report is expected to follow the format below:

- A. Title page including project identification details
- B. Executive Summary (including at a minimum the summarized methodology, findings and recommendations)
- C. Table of Contents
- D. List of Abbreviations and Acronyms
- E. A short introduction to project/programme – context and description
- F. Purpose of the Mid-term Evaluation
- G. Evaluation Issues and Questions
- H. Methodology (including approach to data analysis)
- I. Findings - organized according to the key evaluation questions
 - a. Visual aids such as timelines or other will be used as appropriate to clearly convey key messages.

- J. Conclusions and lessons learned
- K. Recommendations – clearly linked to findings and lessons
- L. Appendices (not included in page count)

Appendices must include: Mid-term Evaluation Terms of Reference; Data collection instruments; Evaluation schedule/timetable (including field visits); List of people met/interviewed; Documents consulted.

Milestone / deliverable	Indicative completion date
Recruitment of Mid-term Evaluation consultant	February 2017
Start date and evaluator appointed	20 March 2017
Inception note including final evaluation matrix	27 March 2017
Data collection and analysis	March - April 2017
Draft report	22 May 2017
Final Report	7 June 2017

Annex 2 persons met and interviewed

At Ithemi-Kilombero cluster

Persons	Organization and function
Mr. Geoffrey Kirenga	CEO - SAGCOT Centre Ltd
Mr. John Banda	Environment - SAGCOT Centre Ltd
Mr. Michael Kwame Nkonu	Coordinator- SUSTAIN Africa Programme
Mr. Pastor Magingi	Project Manager - AWF SUSTAIN Project
Mr. Alexander Mpwaga	Project Assistant - AWF SUSTAIN Project
Mr. Joseph Mgana	District Land & Natural Resources Officer - Kilombero LGA
Mr. Dismas Amri	District Crops Officer - Kilombero
Mr. Francis Mkumbi	Project Manager - TFCG
Herman Lyatuu	Project Coordinator - Udzungwa Forest Project (UFP)
KII with Mr. Job Zahoro -& Maurice Samzugi -& Mr. Joseph Kitali -	Outgrower Operations Manager & Cane Supply Manager & Sugar Board Local Area Officer at Kilombero Sugar Company
Mr. Sebastian Kulinga- & David Nunmyala	Ruaha Water Basin Board - Hydrogeologist based in Kilomber sub office & Hydrologist based in Iringa Office Hqs
FGD with 5 Male & @ Female	Njokomoni Honey Producer Group
FGD with 10M & % Female + 2 Extension Officers	Sanje Sugarcane Producer Group
FGD with 5 Male &3 Female + 1 staff from RBWB	Juwamange Water User Association

At Sumbawanga Cluster:

Mr. John Banda	Environment - SAGCOT Centre Ltd
Mr. Novati Kessy	Project Manager - SNV SUSTAIN Project
Mr. Peter D Lorri	Project M & E Officer - SNV SUSTAIN Project
Mr. Japhet Laizer	Project Agriculture Advisor - SNV SUSTAIN Project
Mr. Kasukura Nyamaka	Project Renewable Energy Advisor - SNV SUSTAIN Project
Mr. Samuel Mdavire	Project Finance Officer - SNV SUSTAIN Project
Mr. Chande A Juma	District Land and Natural Resources Officer - Sumbawanga District Council
Mr. Charles Silvester	Project Manager - IUCN NL Joint Resources KAESO
Mr. Israel A Kiani	District Forest Officer - Sumbawanga District Council
Mr. Gido A Mpina	Director RODI - SNV SUSTAIN service provider
Ms. Faustina Vallery	Programme Manager RODI - SNV SUSTAIN service provider
Mr. Yusufu Mukhandy	Land and Natural Resources Officer - Mpanda District Council
Mr. Ndensari Lema	Natural Resources Officer - Mpanda District Council
Ms. Parminder R Lall	Director EMPIEN Sumbawanga
FGD 1 with 13 Male &5 Female	Kafukoka Village Kalambo District - village in process of VLUP
RAS Rukwa Region	Mr. Hamza Mvano (AAS EPSS) and Schola Mbalila (Agriculture Officer); Misasi Marco (Agriculture Officer); Ocran B Chengula (Agriculture Officer) and Nicholas Mchome (Lands & Natural Resources Officer)
Lake Rukwa Basin Water Board	Mr. Mkanjilwa Watson (Community Development Officer - CDO); Ms. Happy Hebron (Accountant); Mr. Thadeus Ndesayo (CDO/PR); Ms. Nasra Nassoro (Hydrologist)

FGD 2 - JUWABOKI WUA	Mr. Gerald A Majula - Chair Person JUWABOKI; Ms. Tatu Abdallah - Board Member LRBWB Mpanda District Council
FGD 3 - Mpanda WUA	5 Male and 2 Female - Mpanda District Council

In Mozambique, Zambezi cluster

Date	Activity	People met
Monday 15 May 2017	Arrival in Maputo	
	Briefing at IUCN office	Isabel Ramos, IUCN Programme Coordinator Sergio Muchanga, ADPP Grant Administrator
	Meeting with Parliamentarian	Prof. José Mateus Kathupa, Member of Parliament
	Meeting with VerdeAzul	Kemal Vaz, Director General Ana Bernard da Costa, Researcher (by Skype) Alima Taju, Researcher (by Skype)
	Meeting with WWF	Hermínio Mulungo, Project Executant
Tuesday 16 May 2017	Meeting with EKN	Ernesto Sechene, Programme Officer Célia Jordão, , Programme Officer
	Meeting with MITADER	Dr. Tania Paco, Fundo Nacional de Desenvolvimento Sustentável
	Meeting with IUCN	Isabel Ramos, IUCN Programme Coordinator
Wednesday 17 May 2017	Travel to Tete	
	Meeting with ADPP	José Chiburre, Project Coordinator
	Meeting with ADVZ	Bernardo Filipe, SUSTAIN Focal Person
	Meeting with PNM	Luis dos Santos Namanha, Park Administrator
Thursday 18 May	Travel to Chitima	
	Meeting with SDAE Marara	Bernardo Júlio Marizane, District Director
	Meeting with ADPP Chitima	Terence Makumbe, Project Leader
	Meeting with SDAE Cahora Bassa	Nelton Dino Moura, District Director
	Visit two producer club and demonstration fields	
Friday 19 May	Travel to Tete	
	Departure Mozambique	
Monday 22 May	Interview with Micaia (by Skype)	Milagre Nuvunga, Executive Director Andrew Kingman, Managing Director Eco-Micaia

Other persons interviewed

Name	function	Organization
Mark Smith	Director Global Water Programme, SUSTAIN director	IUCN HQ
Isabelle Fauconnier	SUSTAIN coordinator	IUCN HQ
Chris Buss	Deputy Director GPFSC,	IUCN HQ
Maria Ana Borges	Project officer GPBB	IUCN HQ
Jules Colomer,	M&E Officer, IUCN HQ	IUCN HQ
Annabelle Poelert,	IATI project officer	AKVO
Mark van der Wal, Romie Goedicke JanWillem den Besten	Senior Ecologist SUSTAIN project coordinator	IUCN NL

Annex 3: sample interview format

MTE of IUCN SUSTAIN programme

Interview format for implementing partner staff & management

Date of interview:

Place and country:

Name and functions of person(s) met:

Names of interviewer(s):

Introduction and explanation of interview

	QUESTIONS	ANSWERS
	Introduction questions	
1	Please explain to us shortly the history of your involvement in SUSTAIN programme. When did it start? Which has been your role in the programme? Did your role change since this start? Why?	
2	Selection process: How was this landscape selected as your intervention area? How were the farmers and communities selected as the participants of this SUSTAIN programme? Why were they selected?	
3	Landscape situation: in your view which was the most urgent problem you wanted SUSTAIN to tackle and demonstrate solutions? Refer to: natural resources - access and use of land, water, forest, wetlands; environmental degradation; local institutions;	
4	Selection of Value Chain: which were the specific reasons for selecting these value chains? Why and how did they fit within the strategic objectives (SO) of SUSTAIN programme? For which SOs in particular?	
5	Other programmes: Have other NRM, water and/or value chain programmes taken place in your landscape or intervention area (or nearby) over last 2-4 years? How do you compare these programmes with the SUSTAIN programme? Positive, negative; examples?	
	Early markers of systemic change, inclusion and contribution (effectiveness);	
	Overall questions: comparing the situation in the selected landscape(s) at the start of the SUSTAIN intervention and now, what have you seen as the first (visible, practical, concrete)	

	<p>indications of changes? Which change(s) do you consider most significant? Why do you consider them as systemic? Examples of copiers?</p> <p>This question includes the aspect of contribution: Who and what caused or contributed to these changes? How do you think that the SUSTAIN programme contributed to these changes? In your opinion, which SUSTAIN activities contributed most to these changes? Why?</p> <p>ATTENTION; we may not get answers to all sub-questions about change, but it is meant to be the widest possible inventory of changes, without implying that changes are expected to have happened at all different levels.</p>	
6	<p>At farm and household level: check for changes; food (in)security; incomes; occurrence and risks with regard to water shortages or floods; more climate smart, sustainable farming practices; diversification into 'nature based' income sources; new business initiatives by farmers (groups); access to 'green' loan facilities or MFIs; farmers copying better practices;</p> <p>Inclusion: do you think these changes have benefitted everyone or certain groups or people only? Can you explain and give examples, or reasons?</p> <p>NB: Look at gender and youth.</p>	
7	<p>At landscape level: check for changes in land use patterns; intrusion in wetlands; forest restoration & cutting; surface under sustainable management of specific land uses; presence of key vegetation species;</p>	
8	<p>At institutional level: check for Water Use Associations; producer groups, cooperatives; other landscape level groups; their key roles; level of collaboration, meeting each other, consultation; incidences of National Resources conflicts or illegal use; regulations to monitor, regulate and settle conflicts; (gender-related) composition of households in these groups; effective measures to reduce conflicts;</p>	
9	<p>At business level: number of private companies engaged in value chain development; investments in services, training, inputs, etc.; (formal or informal) partnerships with farmers (groups); VC</p>	

	governance quality; specific investments, business models or market mechanisms in climate smart and nature based VC; more efficient use of available natural resources; access to new loan or financing facilities;	
10	At policy level: check for integrated policies, resolutions promoting inclusive green growth; (expressed commitment to) public investments in IGG and/or climate smart VC; strategies and plans across different sectors (land uses); expressed and/or demonstrated interests of government officials and departments; initiatives of these officials to upscale, share these results with other colleagues?	
11	Unexpected or unintended changes: did you observe any unintended positive and negative changes, which surprised you or caused you concern? How and why did that happen? Any consequence for the implementation of the SUSTAIN programme?	
12	Linkages to levels beyond landscapes: can you share with us any concrete experience how these above landscape changes affected higher level changes at corridor, national or regional levels? Any illustration of linkages between landscape (cluster) and higher levels institutions? What was the content of these linkages? Are you involved in those linkages? How?	
Monitoring and Evaluation System; learning		
13	Role and task: Which is your role and task in M&E? Distinguish between data collection; data analysis and learning. What is easy and what is difficult? And why?	
14	M&E Resources: how do you assess the available resources for M&E of SUSTAIN: looking at time in the work plan, budget, and skills? Any constraints experienced thus far? How do you assess the support provided by SUSTAIN for the task of M&E and learning?	
15	SUSTAIN M&E system: how does the SUSTAIN M&E system fit with your own M&E systems and experiences in your organization? Which are striking differences? What is your assessment of the SUSTAIN M&E system: strong and weak points? Which is your feedback on type and number of impact & outcome indicators at your cluster level?	

	Why? Any suggestion for urgent improvement?	
16	External data: from which externally generated data and sources do you make use for your M&E and learning? How and why? How do you assess the quality of these data; strong and weak aspects? Check also for geo-spatial data (quantitative and qualitative).	
17	SUSTAIN M&E and Learning: How have you been involved in the overall SUSTAIN learning process at higher levels? How did you contribute to this learning? What do you consider as strong and weak points of this learning process?	
M&E and Theory of Change		
18	Updating the TOC: looking back at your experiences thus far, do you see the need to review or update the TOC? Why? Did any TOC review or update already took place during the implementation period so far? If yes, what changes do you remember most? Why were these changes suggested? How was this update done? How do you appreciate these changes of the TOC?	
19	Assumptions: has M&E ever checked the assumptions underlying the TOC? Why? Why not? Have assumptions been adjusted? How?	
20	Efficiency: Which important changes occurred during its implementation: approach, choice of activities, budget allocations, choice of target groups, choice of VC stakeholders, choice of partners, other? Why did this happen? Provide examples.	
Programme management and partnerships		
21	Key stakeholders: Which are your key external stakeholders for collaboration and implementation in your landscapes or cluster? How do you involve these stakeholders in your implementation, M&E and learning? How do you describe their added value for the SUSTAIN programme? Any specific stakeholder that you feel is missing at this moment? Why?	
22	Relation implementing partner - IUCN partners: With which departments or levels of IUCN, including Mozambique programme, do you collaborate? Which were main areas of collaboration? How do you assess this collaboration: strong and weak points? why?	

	Which are your suggestions for improvement?	
23	Government collaboration: which were your main government collaborators? Content and frequency of collaboration? How do you assess this collaboration: strong and weak points? why? Which are your suggestions for improvement?	
24	Ownership: how do you assess the level and quality of ownership of the key stakeholders?? How did the current management of SUSTAIN affect this ownership? Strong and weak points? Why? What should be done to improve this ownership?	
Final questions		
25	Sustainability: looking at the improvements that you experienced so far for the different stakeholders at different levels, which of them are likely to continue in the future even if SUSTAIN would stop its support? For who? For who not? Why? Why not?	
26	Recommendations; What are your main suggestions for improvement: which challenges to tackle first, which opportunities to seize.	
27	Any final comment or question that you wish to share with us?	

Annex 4 Summary of implementation

for Sumbawanga cluster

Strategic objective	Strategic Result	Main activities	Supporting Activities
Water security			
<p>Strategic Objective.1 Sustainable and climate-resilient supply of water for livelihoods, production, health and ecosystems, coupled with lower water-related risks</p>	<p>Strategic Result 1.1 : Institutional frameworks for water, land and ecosystem management and processes better enabling resilient, sustainable and equitable investments across the SAGCOT Corridor</p>	<p>Establish and strengthen gender responsive water resources institutions for Katuma catchment, through support and facilitation of processes led by the Lake Rukwa Basin Water Office (LRBWO) according to priorities set in the Basin IWRM Development Plan and the mechanisms of the Water Sector Development Programme (WSDP).</p>	<ol style="list-style-type: none"> 1: Facilitates formation of Water Users Association for the Msaginya river (in the Mwese-Mwamkulu-Kavuu landscape) 2: Conduct baseline and mapping to the catchment where the WUA is to be formed for social economic data 3: Conduct awareness to village s where WUA is to be formed 4: Conduct social and Environment Assessments (PRA tools). At this stage Action plan and draft of constitution will be developed as an output 5:Conduct feedback meetings for Work plan and drafted constitution in WUA's villages 6: Conduct meeting to consolidates and incorporates comments to the constitution 7: Facilitates the approval of WUA's constitution, election of management committee 8:Registration and inauguration of WUA 9: Demarcation of the catchment and vulnerable water sources for conservation and sustainable uses (Linked to 2.1 on village land use plans). 10:Identification and mapping of relevant stakeholders 11: Design/ accustomize training manual and facilitate to the existing WUAs, Village Natural Resources Committees (VNRC) and other community based natural resources management institutions on Good governance (Accountability, Transparency, rule of laws etc.), gender and financial management (Linked to 2.1). 12: Conduct refresher training courses to LRBWB Staffs, and environmental officers at respective LGAs and WUAs on in-situ water quality assessment using participatory, low technology bio-monitoring system for water quality.

<p>Strategic Result 1.2 Improved integration of ecosystem services and natural infrastructure, as well as climate change assessments, in the development and use of water systems</p>	<p>Implementation of priority actions in IWRM Development Plan for rivers which are linked to Lake Rukwa watershed to support LRWBO-led activities under the WSDP</p>	<p>1: Improve water resources monitoring system for Lake Rukwa basin water board through use of available low cost ICT Mobile water resources Technologies, Imomo, AKVO etc. 2: Facilitates learning visit to LRBWB Technical staffs to explore the availability of ICT technology in other water basins (Rufiji, Pangani, Lake Victoria and Wami Ruvu) 3: Update LRWB Database and re-categorization of data/information based on users need i.e. Water quality (Beverage and water companies, domestic water users and water supply authorities, Nature? Quantity i.e. Irrigations, civil contractors, nature? etc. 4:Facilites exchange of data and information across sectors and within different users 5: Support hydrological data collection, processing and analysis to inform LRBWB on decision making with regards to water allocation and issuing of water users permit.</p>	
<p>Strategic Result 1.3 The development and implementation of water quality (WQ) management approaches reduces water pollution and its economic costs as well as negative effects on the health of people and biodiversity</p>	<p>Support Lake Rukwa in the implementation of national water quality and pollution control strategy</p>	<p>1: Review wastewater and Pollution management framework/strategy for Lake Rukwa Basin- strategies and options drawn from National water quality strategy 2:Update /Prepare Water quality Monitoring Plan for Lake Rukwa 3:Undertake community awareness program through COWSOs and WUAs and youth clubs on Community Led Total Sanitation (CLTS) as a means to reduce fecal pollutions associated as a result of Open defecations</p>	
<p>Climate change, Land resources and food security</p>			
<p>Strategic Objective:2 Ecosystem management and restoration in productive landscapes, supporting climate-smart agriculture, enhance food security and climate resilience while enabling new value chains linking primary production with trading and</p>	<p>Strategic Result 2.1: Stakeholders actively implementing sustainable landscape-level management to adapt to climate change, enhance carbon stocks and increase the sustainability of forest, farm and wetland production systems</p>	<p>Facilitate development of 6 village land use plans, 2 for Kassanga-Matai, 2 for Kate-Chala and 2 for Mwese-Mwamkulu landscapes (Linked to 1.2 on IWRM, demarcation and identification of vulnerable water sources)</p>	<p>1: Conduct training to LGAs and local NGOs, CBOs on the land use planning basic principles and practices 2: Training session for the village leaders, village natural resources committee and village land use planning committees (Linked to 1.1) 3:Conduct Participatory natural resources assessment 4:Develop and support development of the village bylaws Production of the village land use plan map</p>

enterprise opportunities			
		Facilitate the establishment of Community forests in 5 villages	<p>1: Conduct rapid assessment of the 5 villages selected for the community forest programme (Linked to rapid assessment 2.1)</p> <p>2:Capacity building for the local NGOs for the implementation of the community forest initiative</p> <p>3:Provide mentorship to VNRC and village leaders and elders on the legal procedures for establishment of community forests (Community village forest management action plan as an output)</p> <p>4:Training session for the village leaders, village natural resources committee, religious and political leaders (<i>linked to S.R 1.1</i>) on natural resources management (water resources and forest resources)</p> <p>5:Demarcation of the boundaries for the established community forests and other vulnerable natural resources (i.e. 60 meters for water sources)...linked to 1.2</p> <p>6:Support the facilitation of Participatory Rural Assessment in linkage to forest governance</p> <p>7:Integrate agro forestry practices into the existing farmers groups and agriculture association available in the landscapes</p>
		Support the adoption Renewable energy (RE) technologies (i.e. biogas-bio-slurry and ICS technologies) in 8 selected villages in SUSTAIN landscapes.	<p>1:Mobilise artisans and youths (>18yrs) to form biogas/ICS groups per landscape</p> <p>2:Conduct training to the groups on the entrepreneurship, business skills and good governance principles</p> <p>3:Facilitate development of constitutions and the legal registration of the groups</p> <p>4:Conduct training to the local NGOs on the SUSTAIN and SNV theory of change regarding a RE technology</p> <p>5:Facilitate construction of biogas DEMO PLOTS to the selected agro pastoralist farmers</p>
		Pilot sustainable charcoal production into 1 village selected village related to Kassanga -Matai landscape	<p>1:Support the establishment of community charcoal group</p> <p>2:Capacity building of the group, local NGOs and TFS on the sustainable charcoal production</p> <p>3:Facilitate development of sustainable harvesting plan for Kafukoka village community forest</p>
	Strategic Result 2.2: Sustainability and climate resilience of farming systems across the corridor enhanced for local food security	Conduct training for farmers and extension agents on CSA practices and related GAP in two landscape	<p>1:Strengthen innovation on GAP and CSA practices to smallholder farmers</p> <p>2:Capacity building of selected LCBs to demonstrate CSA</p> <p>3:Conduct training for farmers and extension agents on CSA practices and related GAP in three remaining landscape</p> <p>4:Produce training materials on climate smart agriculture and distribution in the cluster</p> <p>5:Training agro-dealers in the region to creating awareness on adverse effects of pesticide to fauna</p>

and ecosystem health		and flora for biodiversity protection
	Access progress implementation of climate smart practices through SRI Demonstrations plots	1: Capacity building of lead farmers to develop, manage and supervise demonstration plots 2: Conduct farmer field days to facilitate learning and knowledge exchange in order to speed-up adoption
	Training on sustainable post-harvest handling practices and promote proto-type storage practices to reduce post-harvest losses	1: Assess post-harvest challenges and management strategies for priority value chains 2: Conduct quick survey on different prototypes for storage practices for efficient and sustainable post-harvest management practices. 3: Training on postharvest handling to farmers groups to improve crops storage practices at household level
	Capacity building on agro-biodiversity to improve household (HH) food and nutrition security in the landscapes	1: Assess other areas that enable improvement of food security and nutrition to vulnerable farmers 2: Promote crop diversification in smallholder farmer production systems for food and nutrition security 3: Train farmers on improved production of micronutrient rich food crops and small livestock (poultry, fish, rabbits, etc.) for entrepreneurship linked with SR 2.3 4: Promote nature-based enterprise and investments for climate change adaptation for improved food and nutrition security enhancement.
Strategic Result:2.3 Small scale farmers and other community groups engaging in new and diversified nature-based enterprises and climate-resilient value chains	Strengthen the existing sustainable honey production and facilitates market linkages in 6 village, 2 per landscape Kassanga-Matai, Kate-Chala and Mwese-Mwamkulu	1: Capacity building to the local NGOs on the honey production and the SUSTAIN theory of change 2: Formation of 6 beekeeping groups and provide the necessary support to these groups 3: Support formalization of the groups by facilitating group constitutions 4: Developing action plan for the groups and supporting the implementing of these plans

New investment and partnership engagement

<p>Strategic Objective 3: New business models and partnerships in growth corridors build long-term synergies for conservation and raise investment and lower risks for farmers, enterprise and sustainable economic growth</p>	<p>Strategic Result 3.1: New partnership are formed among multiple stakeholders that are jointly financing and implementing ecosystem management to strengthen application of sustainable solutions for climate resilience and for water and food security in the agricultural and related sectors.</p>	<p>Establish partnership and strengthen business linkages on wheat value chain</p>	<p>1:Conduct needs assessment to improve wheat production and productivity to farmers groups in the cluster 2:Facilitate necessary business linkages and trainings to farmers groups on wheat value chain in liaison with Kijani Investment, JUNGARU and other actors involved 3:Collaborate with private sector and other actors to scale-up and promote wheat production in the cluster</p>
	<p>Strategic Result 3.2 :New investment packages and market based mechanisms promoted as incentives for environmentally sustainable and socially equitable agriculture</p>	<p>Broker partnerships with 2 large investors and SHF to develop and implement new sustainable and inclusive business models in the two landscapes.</p>	<p>1:Access progress of implementation of village based contract farming (VBCF) for commercial agricultural investor to incentivises SHF 2:Conduct farmers field days on established demonstration plots (Linked to SR 4) 3:Supporting out growers to establish proper governance structures and impart business skills to support management of their organizations</p>
	<p>Strategic result 3.3: Business Development partnerships are supporting expanded participation of small-scale producers and processors in small enterprise opportunities created through diversification of landscapes and</p>	<p>Support for smallholder farmers, other community groups including women’s groups, and small and medium-sized enterprises, on entrepreneur skills development and business plan development</p>	<p>1:Training conducted on entrepreneurship, business skills, financial management and business development 2:Support development four business plans to smallholder farmers groups and SME’s groups 3:Facilitate market linkages to microcredit facility</p>

	agricultural systems.		
Policy, Learning & Communication			
Improved public and private sector strategies for sustainable water, land and ecosystems and for climate change resilience are integrated into policies on economic growth	Strategic Result 4.1 : Monitoring data, including maps and assessments of distributional and gender equity, is in active use as evidence for strengthening policy influencing and communications	Periodic update and review of M&E framework for Sumbawanga cluster level that is articulated with SUSTAIN programme-level M&E framework and relevant indicators, including participatory monitoring and learning	1: Train & mentor LCB/partners on M&E related issues such as data quality, data collection techniques, analysis, visualization and reporting
		In collaboration with AWF and IUCN formulate and implement a knowledge development and management strategy, including	1: Collect, harmonise and share information for the SO1, SO2 and SO3 relevant indicators), including data on gender, environment and distributional equity. 2: Establish a cluster-level database and information system for use by investors, stakeholders and partners in SAGCOT 3: Consolidate the existing geo-spatial cluster-level data and design of thematic digital maps to be incorporated into the above shared information system 4: Collection of case studies, lessons learnt and stories through participatory techniques such as the Most Significant Change Methodology, KAP survey techniques.
	Strategic Result 4.2 : National and corridor-level policies and strategies influenced, supported by enhanced skills, technical know-how and awareness across stakeholders at	Convening of Multi Stakeholders Platform forums (linked with 3.1) at cluster level.	1: Facilitate 3 technical discussions with potential experts, institutions and agencies on their roles and modality of engagement in the MSP events based upon given theme of interest stakeholders; SUSTAIN project and governments (4 Win-Win). 2: Conduct policy review and analysis at cluster level and agree on actionable way forward in addressing them.

multiple levels		
	Document and disseminate knowledge and best practices from demonstration and other landscape level activities	1: Production of policy brief documents on best practice and demonstrations from other landscapes
	Organize learning events for representatives of other clusters and SAGCOT Centre on sustainable water and food security, and land management practices in Sumbawanga cluster	Learning events for representatives of other clusters and SAGCOT Centre on sustainable water and food security, and land management practices
Strategic Result 4.3: Project management is enabling implementation with IUCN members, business, knowledge institutes and civil society partners and stakeholders at all levels		<ol style="list-style-type: none"> 1: Timely and accurate M&E for technical information 2: Supervise data collection 3: Design and Review survey and data collection tools upon needs 4: Quality assurance field visit 5: Produce Semi-annual Technical 6: Produce Annual Technical 7: Timely and accurate financial reporting

Summary of Implementation of the Work packages 1-4 for 2015 to 2016 for Ihemi-Kilombero Cluster.

Tracking SUSTAIN progress, from activities to outcomes



Work package/ Strategic Objectives	Strategic Results May 2015 – April 2017 Work package 1-4	Suggested Indicators to report against	Activities	Cumulative Outputs and % achieved to 2016	Progress towards desired SO framework outcomes	Comments on Constraints, successes, Lessons learnt
Programme level impact		#9. Number of relevant integrated policies, resolutions, decrees, legislative proposals, investment plans, at village or provincial level (within the cluster) promoting inclusive green growth	Survey	100% completed	Three proposals/investment plans designed to meet the IGG	PES scheme in Mngeta corridor, forestry enterprises in Kilombero valley and Magombera initiatives are among of investment plans promoting IGG
		#10. Number of large companies at cluster level with corporate practices & policies that support inclusive green growth	Survey	100% completed	3 large companies found from top up baseline survey with corporate practices and policies that support IGG	KPL, KVTC and KSC are among of major three companies in IKC with corporate & policies that support IGG
		#11. Number, type and size of partnerships formed with private sector entities fostering inclusive green growth at cluster level	Establishing partnerships	100% completed	3 partnership were established	

		#16. Number of hectares of land and forests under sustainable management	Develop LUPs/GMP	100% completed	135,306 ha under improved sustainable mgt.	One GMP for KNR was reviewed to improve management of zones and one LUP was developed for Mhanga village
		#17. Greenhouse Gas emissions reduced or avoided from land use, deforestation, forest degradation and through sustainable forest management and conservation and enhancement of forest carbon stocks	Estimates carbon emissions by avoided deforestation/degradation	100% completed	183,636t CO2/yr Greenhouse gas emissions reduced or avoided	The carbon estimation of 216,161ha of SUSTAIN demo sites was calculated using USAID Forest carbon calculator.
		#18. Number of hectares where deforestation, degradation and illegal logging have been avoided		100% completed	300ha of Magombera forest saved from cultivation	The farmer was evicted from the encroached area of forest
1. Water Security	SR 1.1 Institutions working at local to transboundary levels are integrating water, land and ecosystem management and enabling participation, joint action and cooperation needed to strengthen rights, resilience and investment	#Number of water institutions established and functional	Establish WUA in IKC.	5 Institutions planned (WUAs & Sub Catchment +Catchment Committee) 40% achieved	1 st WUA in Upstream Mngeta sub catchment completed in Nov 2016 & the 2 nd WUA in lower Mngeta inaugurated in Feb 2017.	RBWO is the one with mandate to establish WUA. In the 1 st WUA, AWF participation was in TA & funding, whilst with the 2 nd AWF only provided TA & RBWO funded it.
		#29. % of water resources user groups engaging in dialogue and collaborative planning with local governments and investors (across	Facilitating dialogue and joint action among key actors	N/A	Lukosi Joint Action established (restoration of 60 meters' buffer zone of Lukosi River) In Mngeta, water protection areas have	Application of 60 m buffer zone within main river and tributaries affects SHFs differently. Rivers keeps changing cause. SHFs /Local Investors are likely not to cooperate when

		multiple sectors)			been identified and beacons.	they are likely to be evicted from the buffer zones.
		#Number of people trained in water resources management and water monitoring	Build capacity on water quantity and quality data and decision making for water managers	160 target by 2018 112 by 2016 (70%)	112 people M.../F...) from Ihemi were trained in water resources management & Water Monitoring	For Water Monitoring the tool is now in use (to be aggregated at Rufiji Basin Decision Supporting System (RBDSS), but for IWRM more follow is needed to assist to internalise the use of the tools.
		#28. % of women in decision-making structures of water resources user groups			21 out of 54 members of 2 WUAs are women (38.8%) and some in leadership positions.	Baseline not yet available.
		#31. Number of cross-sectoral strategies/ plans for natural resources management at the cluster level	Facilitate Cross Sectoral Planning (TA + Funding)	3 plans targeted 1 plan achieved (33%)	1 plan developed for Mngeta Sub Catchment. PES scheme in collaboration with TFCG and Kilolo DC	Time consuming to come up with common understanding and willingness to share resources among different parties especially Dc during implementation.
		#32. Number of reported incidents of illegal water use (BWO data)				Not done yet.
	SR 1.2 Implementation of integrated water resources management and application of ecosystem services as natural infrastructure is making water infrastructure more sustainable, improving cost and water-use efficiencies and strengthening climate and disaster resilience	#30. Number of functional WUAs implementing water allocation and bio monitoring of water technology	Train one WUA on the use of miniSASS technology	2 WUAs to be trained. 100% achieved m/f members of upper Mngeta WUA and Lower Mngeta have been trained and are now using the technology	Though still a new technology and other partners such as NEMC and SNV (Rukwa basin) want to adopt it in their areas. RBWO have endorsed to use the technology towards other 34 WUAs in the basin. AWF under MARCATA project is Mbeta is also

						disseminating the technology to WUA.
		#37. Number and type of local level development plans endorsed by all stakeholder groups and under implementation in the cluster	Facilitate partners and other relevant stakeholders to develop & endorse IWRM Plans (Mngeta) and Restoration Action Plans for Lukosi)	3 plans endorsed by 2018 2 plans achieved (66%)	1 water resources management plan for Mngeta sub catchment was approved by RBWA, and 1 restoration action plans for Lukosi river were reviewed and endorsed by stakeholders	
		#40. Number and type of investment plans that include water-related risk assessments and risk-reducing solutions at cluster level	Facilitate and Fund Dev Plans	3 dev plans targeted in Mngeta, Lukosi and Sugar Cane VC	Plans in Mngeta and in Sugar Cane VC accomplished and at different levels of implementation	
	SR 1.3. Waste water management is reducing the ecosystem, health and economic costs of water pollution	#41. Number and type of priority actions that are adopted and implemented at cluster level (e.g. restoration and protection of water sources; improved use of appropriate technology to reduce water pollution etc.)	Complete a water quality data audit in 2015.	2 out of 3 plans addresses waste management and sedimentation	In 2 plans i.e. Mngeta Sub Catchment and Lukosi have included recommendations from Water quality Assessment report	Ruipa site is still to be taken up.

		#44. % of Water User Associations accessing water quality data	Training of WUA Annual surveys to assess how WUA are using data they collect for decision making	2 WUA trained to collect water quality data by March 2017.		First annual survey to be done at the end of 2017.
		Number of farmers trained in agricultural management practices and alternative livelihood activities to reduce soil erosion	Covered under SO2: 2.2			
		Number of farmers trained that adopt better agricultural management practices and practice alternative livelihood activities to reduce soil erosion	Covered under SO2- 2.2			
2. Climate Change, Land Resources and Food Security (SO2)	SR 2.1. Landscape-level management and restoration of ecosystems is diversifying and improving the sustainability of farm, forest and wetland production systems.	#47. Number and type of new or improved type of landscape and restoration plans	Support partners to develop restoration plans	3 restoration plans at Magombera, Mngeta and Lukosi by 2018	2 restoration plans already accomplished by April 2017 (66%).	Restoration Plan still to be developed for Mngeta. IUCN would wish that the tool (Restoration Opportunities Assessment Methodology (ROAM) which has already been applied in Rwanda & Mozambique be applied at the whole cluster level but it is very resource intensive and funds have not been secured yet.

			Develop TOR & facilitate a viability study	Conducted viability study of Udzungwa/ Selous wildlife corridor (2015) by Southern Tz Elephant Project + other consortium members		Implementation of the findings and recommendations of the Study awaits fund raising activities. AWF has started approaching potential funders (World Land Trust) Working with USAID PROTECT Project whereby they are updating information on all wildlife corridors and possible interventions in Tanzania and also facilitating development relevant Wildlife corridor regulations.
		#48. Number and type of multi stakeholder landscape management agreements to diversify and improve the sustainability of farm, forest and wetland production systems	Establish Multi stakeholder platforms for each specific value chain	For each VC to have a MSP (Rice, Cane, Timber) So far 1 MSP is in place since Feb 2016	1 multi stakeholder platform involved the cane farmers, Kilombero District council, Kibaha Sugarcane Research Institute, KCCT and agreed on adopting to CSA, protecting water sources by not cultivating in water sources and not clearing the forest for farm expansion;	Funding of meetings: KSC provides venue, AWF pays for OG+Ext Officers participation. Issues of sustainability of MSP are still critical and needs to be tackled. E.g. What role could Sugar Board in ensuring that OGs schemes do not lose focus of conservation agenda which SUSTAIN wants to achieve.

		#49. % of total investment plans developed and amended at cluster level that aim to better integrate landscape management and restoration, climate resilience		3 planned and 2 achieved (see above) 75% of total investment plans were developed and amended	1 plan amended on PES scheme, 1 plan amended on forestry enterprises and 1 plan developed for restoration of Lukosi river	PES structure, benefit sharing model planned to be put in place in 2017.
		#50. Number & type of supportive by-laws (supporting the effective implementation of landscape management and restoration plans) formulated and endorsed within the targeted cluster	Develop by-laws to support LUPs and for protection of water sources	Target 5 plans by 2018. 2 done: Mngeta Muhanga village & Katurukila village (40% done).	2 by-laws were developed and approved at cluster level. 1 by-law was developed and approved to support the LUP for Mhanga village; 1 by law was endorsed to govern water resources management in upper Mngeta sub catchment:	1 farmer has been evicted from Forest Reserve using this by law.
SR 2.2. Ecosystem management is improved to include measures specifically targeted at strengthening food security		Number of people trained in climate-smart agricultural practices and other climate change adaptation measures	Train the cane farmers on CSA	Target to reach 8,000 SHFs Trained 1,685 SFH (674 W) by Feb 2017 on CSA	Farmers were trained in agricultural management practices and CSA.	SUSTAIN does not pay farmers to attend training as it is used to be done by previous + current projects. This affects willingness for SHFs attendance (Risk for systemic change facilitation). Attendance is also incentivised by availability of clean planting materials (trusted sources of which the KSC could be one of them).

		Expected to conduct a value chain analysis for selected products	The Project reviewed the existing value chains on sugarcane, and rice. The reports listed gaps and recommendation for further analysis and intervention.			The food security & nutrition component was shelved since it was not foreseen to have direct contribution to project main objective & focus.
	SR 2.3. New or existing value chains are linking investments in ecosystems and natural resources and diversified primary production with economic development strategies	#55. % of relevant agricultural, energy, and extractive value chains in the cluster in which the public and private sector invests in climate smart and sustainable nature based practices				No baseline yet and agreement on how to work this indicator.
		#56. Type of new investments in climate smart and sustainable nature based value chains by the public and private sector at cluster level		Target is 3 companies: Achieved: 2 private companies have invested in climate smart agriculture and 1 local project in nature based enterprises	KSC and KPL have invested on sugarcane and rice using Climate Smart Agriculture techniques; and STEP have invested on honey production	Additional Value Chain activities expected to be initiated in Cocoa.
3. New Investments and Business Partnerships			Engage the target businesses in dialogues to understand and explore linkages between business operations and ecosystem functions	AWF met with KSC, KVTC, KPL, BTC and TFCG on different occasions to introduce SUSTAIN programme and explore linkages to their work and investments. On sugar value chain, AWF signed MOU with KCCT. KVTC was engaged in AWF discussion since 2015, and developed 3 years' programme on collaborative forest management program with business model, but still not yet taken off. AWF has also engaged KPL & TFCG on water restoration program and agreed to establish PES scheme in Mngeta catchment. Kakao Kamili discussions still at the due diligence process.		

SR 3.1. New partnerships (*) match business and social investors with communities or land and water institutions to build long-term synergies between development and conservation	#64. Number and type of partnerships at cluster resulting in sustainable and inclusive business models	Engage the target businesses in dialogues to understand and explore linkages between business operations and ecosystem functions	3 partnership established as targeted	Partnerships on PES scheme, forestry enterprises in Kilombero valley and cane production have been established	Agreements takes time to accomplish, needs time to build trust and incentives
	#65. Number & type of new partnerships at cluster level that induce bussines enterprises to operate sustainably and inclusive	Assessment	In progress		PES just about to be rolled out. Sugar cane improved planting material verities still at nursery stage. Too early to assess the indicator.
	#66. Number & type of private sector strategies for mitigation of risk from natural capital loss, including water-related risk, and reduction of social and environmental impacts (at cluster level)	Survey		2 private companies (KSC and KPL) have strategies to address Water, Land and Ecosystem risks. Both companies have strategies in place to address water related risks and social and environmental challenges.	Study to assess social & environmental impact yet to be done.
SR 3.2. Public and private investment in ecosystem services, using tested investment facilities or market-based mechanisms, are providing new financing streams for households, communities, land and water institutions or enterprises	#71. Number and type of new market-based mechanisms (PES, REDD, Carbon markets) and other economic instruments that involve businesses	Explore new partnerships using market-based mechanisms	100% completed	1 market-based mechanism programme was mapped and established resulting in PES scheme for Mngeta upper stream to be launched as a package.	PES is still under development.
	#72. Number & type of				Documents not yet

		policy documents/briefs/ recommendations issued for integrating market-based mechanisms and other economic instruments as new financing streams for WLE management (at cluster level)				produced.
	SR 3.3. Business development partnerships are supporting expanded participation of small-scale producers and processors in small enterprise opportunities created through diversification of landscapes	#75. Number and type of business development /innovation initiatives for diversified and nature-based income generating activities at cluster level	Assessment of conservation enterprises	3 conservation enterprises were identified and 1 conservation enterprise (Beekeeping) is under discussion to be supported by SUSTAIN.		The initial assessment was done in 2015 and identified potential conservation enterprises which are beekeeping, ecotourism and cocoa of which the last two are still to be taken up.
		#78. Number of new nature based enterprises created	Establish/support nature based enterprises	1 beekeeping project was established in two villages of Mkula and Msolwa & 1 Business plan for Eco-Tourism for Kilombero NR developed for fund raising		Instead of developing Tourism Circuit Plans it was decided to focus on Eco-Tourism B/Plan in Kilombero NR for effectiveness sake.
4. Policy, Learning and Communication	SR 4.1. Monitoring and learning data, including maps and assessments of distributional and gender equity, is in active use as		Convene the inception workshop and meeting with core partners	The inception meeting was held in Morogoro Hotel on 29th May 2015.	Inception report developed	

	evidence for strengthening policy influencing and communications		Collate and review existing information, identify gaps and carried out the needed assessment to establish IKC specific M& E framework	1 st Baseline report and IKC framework developed Baseline survey of IKC Socio economic completed (Nov 2015) and Indicators reviewed within SUSTAIN M &E framework (May 2016) and still ongoing.		New Indicators still to be fitted in the overall plans and reporting framework in the project document.
		#87. Number and type of cluster - level policy and/or business leaders that are informed, sensitised & trained on inclusive green growth strategies through SUSTAIN	Not yet in the plan	2 policies (water and forest) are on implementation and the relevant stakeholders have been sensitized on IGG	The water sector policy has been on implementation since the launch of PES programme and both the communities and key stakeholders have been sensitized on the initial planning stage in Mngeta sub catchment; and the forest sector through PFM programme- the ministry, district authority of Ulanga, and other key players have participated on the signing of forestry enterprises programme in Kilombero valley	

SR 4.2. National and Corridor-level policies and strategies influenced and supported by enhanced skills, technical know-how and awareness across stakeholders at multiple levels	#93. Number and type of community and professional organisation at cluster level that are informed, sensitised & trained to influence inclusive green growth strategies through SUSTAIN		2 meetings	2 communities of upper and lower mngeta and professional organization (i.e. RBWO, TFCG, KPL and two District Council were sensitized and trained on integrated land Water Ecosystem and business management to influence IGG strategies. The sensitization was part of two WUAs formation in upper and lower Mngeta.	
	#94. Number and type of dialogue events at cluster level involving community and professional organisations		Conducted one dialogue on restoration of Lukosi river	Conducted one dialogue for restoration of Lukosi river. The platform involved local CSOs, community leaders, WUA, farmers, Kilolo district council and SAGCOT Ihemi. The joint actions were developed for 2017 implementation	
		Establishing the IKC specific M&E framework	100% completed	Revised Logical framework, and developed monitoring plan at IKC level.	M& E will be finalised after incorporating top up baseline information.
SR 4.3. Project Management is enabling implementation with IUCN members, business, knowledge institutes and civil society partners and stakeholders at all levels					

