Exit and sustainability of Swiss development cooperation

Ex-post analysis of 14 projects in South Africa and India

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Key facts

Switzerland has been actively engaged in international development cooperation for decades. This cooperation takes place within the framework of bilateral and multilateral commitments in selected countries. The federal funds made available for this purpose totalled approximately 2.8 billion Swiss francs in 2012. With a budget of 1.65 billion Swiss francs, the Swiss Agency for Development and Cooperation (SDC) accounted for most of this amount. The SDC is the international cooperation agency of the Federal Department of Foreign Affairs.

The primary objective of the present evaluation was to examine the current development state of former SDC supported projects on the basis of a selection of 14 projects in South Africa and India completed many years ago. In the process, the development of the completed projects and the achievement of their objectives were traced back, taking particular account of Switzerland's exit scenarios as donor country. Moreover, the current situation was assessed through onsite visits.

Investigating sustainable aspects of development cooperation is complex

For many years now, international development cooperation has been advocating the long-term continuation of benefits and effects achieved by a programme or project, also after its completion. Consequently, ex-post evaluations are becoming increasingly important for assessing the sustainability of effects. However, only few studies taking place years after a project has ended or the donor country has withdrawn its support, have been conducted so far. This is mainly because the measurement of sustainable aspects still remains a complex and difficult undertaking.

Against this backdrop, the sustainability results of this study need to be apprehended with above limitation in mind. These results are primarily assessments by the people interviewed and by the project team, based on the limited snapshots gained during the onsite visits.

Measuring the goal achievement in development cooperation has many limitations

Many objectives of the projects examined were formulated in a very general manner and frequently relevant target values and parameters were missing. Therefore a precise examination of the objectives achievement based on the available project documentation and interviewees' statements was difficult. Thus, the judgments in this study rely heavily on interpretations. To complicate matters further, many objectives cannot be clearly classified in terms of their definition and formulation. It is unclear, whether they are output, outcome or impact objectives. As the name indicates, output objectives refer to verifiable results of activities or project achievements. Outcome objectives refer to direct effects on the target groups, while impact goals generally seek to achieve broader effects in the long run. The latter objectives in particular, which are of strategic and long-term nature, are generally difficult to achieve. Their measurement also requires much effort and frequently identified effects can only be partially linked back to the project measures. An additional difficulty arises through the fact that the relevance of these different objectives varies across projects. Adequate indicators and monitoring systems that provide essential data and information are still not used systematically.

According to the Paris Declaration on Aid Effectiveness (2005), to ensure best possible effects, project objectives should be clearly defined, operationalized and have concrete target values that

allow their measurement. The SFAO supports these requirements, as effectiveness and sustainability are becoming increasingly important as key success factors for development cooperation projects and programmes.

Numerous "project footprints" can still be found years after their completion

It can generally be noted that, at present, numerous "footprints" could still be found in all of the projects audited. These take different forms, however, in terms of quality and quantity. They are dependent on the project's nature and objectives and therefore can be observed and grasped more or less directly. Particularly objectives associated with the direct financial support of an organisation and its activities can be considered as mostly achieved. All supported organisations in the projects examined still exist today and remain active in the core areas supported at the time (institutional sustainability). Only partially achieved were objectives, which focussed on a project and its influence on the target groups and therefore are distinct from aforementioned objectives, which targeted an organisation. In most cases there were several stakeholders or target groups involved. When the project ends these groups are primarily responsible to ensure the successful continuation of the previously supported activity on their own.

The SFAO's findings show in general that the current situations of the projects audited have developed in various expected and a few unexpected directions. Furthermore, some desired developments could only be achieved with major delays. No final judgment can be made on the further continuation of the former projects.

The SDC withdrew from projects in a correct manner

As a preliminary remark, it should be emphasised that the key trigger for Switzerland's exit from projects in South Africa and India was a fundamental change of orientation regarding the SDC's development cooperation strategy.

In the case of the projects audited, Switzerland's exit was not abrupt; it generally took place in several stages. The vast majority of interviewees described Switzerland's exit as exemplary and pleasant. Not only were all of those involved informed early on, help was also provided where needed to facilitate the optimal continuation of the former projects. This sows the good partnerships, which was frequently established already from the beginning, between Switzerland and the institutions or persons involved in the recipient countries.

Therefore to this day, Switzerland has a good reputation in both countries where the projects took place. Even in the absence of auditable comparative figures, it can nevertheless be stated that not only during a project or programme, but years later Switzerland is still considered to be a cooperative and competent donor and partner.

The exit of a key donor is important for sustainable continuation

The SFAO also looked into how and to what extent possible success factors or risks for the former project's continuation were taken into account and addressed in a targeted manner. The results varied significantly depending on the project in question. During Switzerland's exit, the analysis of possible factors for success or failure was discussed in varying detail across the projects. There are no consistent and binding guidelines at the SDC for the risk analysis or project exit.

Particularly in bilateral projects with only one or a few donors, there is a heightened risk of a break in continuity when a key donor withdraws. With its exit, the project does not only loose a major

source of revenue, but also the donor's valuable support. In most cases, the commitment of other stakeholders towards the shared project is put into question too.

A donor country's exit can thus fundamentally change the situation with major consequences for the former project's long-term continuation. Consequently, sufficient attention has to be paid right from the start to aspects of project completion, exit and continuation. Otherwise, the efforts of a longstanding cooperation and the hard worked for results can be jeopardized instantly.

Examined projects were needed and innovative, but associated with risks

The SDC's engagement in both countries had various specific characteristics. Almost all projects showed a significant need for support at the beginning. Many projects were launched in "niche areas", i.e. support was given to organisations or projects, which were more or less "off the beaten track" for other development aid organisations and in areas, where few other donors were active. Moreover, some projects showed significant innovative potential, which was repeatedly confirmed by the interviewees.

As Switzerland's development cooperation mainly supported smaller projects with an average total funding of 3 to 5 million Swiss francs, they were limited in their scope regarding impact and sustainability. It is rather difficult for projects of that sort of size to achieve substantial, sustainable and broadly anchored improvements. Of course that does not exclude the possibility that primarily at local or regional levels various positive and long-term effects can be achieved. However, with the approach adopted by the SDC sustainable effects on a supra-regional or national level are likely to be more difficult to achieve. Furthermore, SDC's "niche aid policy" did not always stipulate for direct and active involvement of competent local actors, such as central government offices. While SDC supported projects are mostly welcomed by the local government from the start or during the project, this does not ensure that local players will possibly take over project activities or show continued support to them after the project has ended.

Project documentation is a key source of information for evaluating lessons learned

In the case of this audit, the SFAO's key source of information was SDC's internal document management system. The documents showed that the state of available project information varied greatly. While some project documentation was comprehensive, only basic documentation existed for others. In some cases, further documents had to be sought in the competent coordination offices in South Africa and India. At times this required much effort. But these documents provided much valuable information for understanding the project and the project objectives in question.

In SFAO's opinion, a comprehensive and centrally filed project documentation is needed, as such documentation constitutes a relevant information source for the various aspects of a project, such as objectives achievement and risk factors. Last but not least, this information can provide the basis for learning processes or for developing good practice guidelines for future projects.

Risk assessment is a key to success for the implementation and continuation of projects

Similar to the heterogeneous documentation mentioned above, the risk assessments (identification of potential project risks) vary considerably in terms of quantity and quality. While good risk assessments existed for some projects and/or for the context, such data is missing almost entirely for other projects. However, it is precisely this information that can point to potential pitfalls in the project's implementation and goal achievement and can help determine the long-term project success or failure early on.

Consequently in SFAO's opinion, systematic and uniform risk analyses prepared within the framework of project planning can provide useful initial pointers for the best possible implementation and continuation of projects. If necessary, these have to be adapted to prevailing developments during project implementation.

Targeted ex-post analyses can create added value

Against the backdrop of the Paris Declaration on Aid Effectiveness, corresponding adjustments to existing evaluation practices need to be considered. To "profit from results and lessons learned from selected completed projects", targeted ex-post analyses a few years after project completion provide valuable insights for future project development, implementation and, particularly exit, as well as for the continuation of project concepts and objectives. These ex-post analyses should be conducted onsite by independent persons or organisations. In this way, more reliable success factors for effective and sustainable projects can be identified and specifically promoted in SDC project staff training.

Recommendations for the SDC

The SFAO's recommendations for the SDC primarily concern the management of projects in regards to optimal withdrawal and long-term continuation of the benefits and effects of development aid projects and for the phase after project completion:

- Define internal guidelines for the project completion
- Improve the definition of objectives in terms of measurability of progress towards their achievement
- Ensure active and consistent project documentation
- Systematically monitor key risk areas within projects
- Encourage ex-post analyses for selected key projects

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1 Mandate and execution

1.1 Background

Within the framework of bilateral and multilateral commitments, Switzerland has been actively engaged in international development cooperation (IDC) for decades. It is currently involved in IDC projects in about 80 countries. The federal funds made available for this cooperation totalled approximately CHF 2.8 billion in 2012[1]. With a budget of CHF 1.65 billion, the Swiss Agency for Development and Cooperation (SDC) accounted for most of this amount. The SDC is the international cooperation agency of the Federal Department of Foreign Affairs (FDFA). The remaining amount of CHF 1.15 billion is made available to other federal offices (State Secretariat for Economic Affairs, Federal Office for Migration, Federal Department of Defence, Civil Protection and Sport, Federal Office for the Environment, and State Secretariat for Education and Research).

Although support for programmes and projects is limited in time and funding, the development projects of the SDC aim at their core to combat poverty for the long term and to improve living conditions in the affected regions and countries in tangible and intangible ways. There has been intensive discussion at both the national and international levels for many years regarding the effectiveness of development cooperation and how to measure it. The main question is whether and how assistance funded by tax money is able to reduce poverty worldwide in an effective and sustainable way.

Projects but also entire country programmes of the SDC are as a rule audited and documented at various points in time. For instance, a wide range of progress reports during the execution phase of a project regularly provides detailed information on the current status of implementation. As a rule, the projects are concluded with a final report, in which the key achievements and the required financial resources are enumerated in a concluding fashion. For selected programmes and projects, evaluations to determine effectiveness are additionally carried out after their conclusion. However, these evaluations do not comprehensively cover SDC projects and programmes, and they generally pursue different evaluation purposes. Investigations carried out years after conclusion of a project or the withdrawal of a donor country are rare.

Against this backdrop, the Swiss Federal Audit Office (SFAO) has placed an evaluation of concluded SDC projects on its annual programme of work.

1.2 Mandate and objectives

The primary objective of this evaluation is to examine, on the basis of a selection of projects completed many years ago, what currently remains of the SDC development projects formerly supported by the SDC. In this regard, the progression of the projects in their final phase with a special focus on the exit of Switzerland as a donor country was examined, and the SFAO also gained a picture of the current situation of the concluded projects with onsite visits.

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[1] www.deza.admin.ch; Facts and figures.

Where appropriate, the results are used to make recommendations to the SDC. These recommendations are useful for the purpose of effective and efficient deployment of funds, optimal exit from development projects, and long-term unfolding of positive impacts and consequential developments of development assistance projects.

1.3   Questions to be examined

In view of achieving the abovementioned objectives of this evaluation, the following three main questions were investigated and answered:

Main question 1: Were the project objectives achieved at the time of Switzerland's exit?

With this main question, the SFAO would like to determine whether and to what extent the examined projects in both countries achieved their defined objectives at the end of the project. Determining and assessing achievement of the objectives serve as a basis for the SFAO to subsequently evaluate the current situation. Beyond this, the assessment is to provide insight on the fundamental potential for adequate continuation of projects formerly supported by Switzerland.

Specific sub-questions:

1.1   How was achievement of the objectives ensured and documented at the conclusion of the project?

1.2   Are there objectives that were not achieved, and if so, why not?

Main question 2: How was an adequate continuation of the supported projects ensured?

Firstly, this question is intended to clarify how Switzerland exited the projects in question in strategic, organizational, and technical terms. Secondly, the purpose is to determine whether and how a continuation of the former project was ensured. The questions concern in particular the exit strategy, the handover modalities, and securing of follow-up care.

Specific sub-questions:

2.1   What were the reasons for Switzerland's exit?

2.2   How was Switzerland's exit organized and communicated, and were the most important players included to an adequate degree?

2.3   In the course of the planned continuation of the project, were the risks of failure taken into account?

Main question 3: What is the assessment of the current situation?

The focus of this main question is on the current onsite situation. The basic question is examined of what has remained of the concluded projects and of Switzerland's contribution, and what the current situation looks like in regard to the originally planned project. Moreover, the purpose is to determine which objectives the former projects continue to pursue, and how they will continue to evolve from the perspective of those involved.

Specific sub-questions:

3.1   What is the assessment of Switzerland's former contribution?

3.2   What objectives do the former projects pursue today, and what has remained of the
       original objectives (since Switzerland exited the project)?

3.3   In what direction are the former projects evolving from the perspective of those involved?

The following *Figure 1* presents a summary of the approaches underlying the main questions
posed by the SFAO against the backdrop of a project cycle/time window.

Figure 1: Approaches underlying the main questions posed by the SFAO
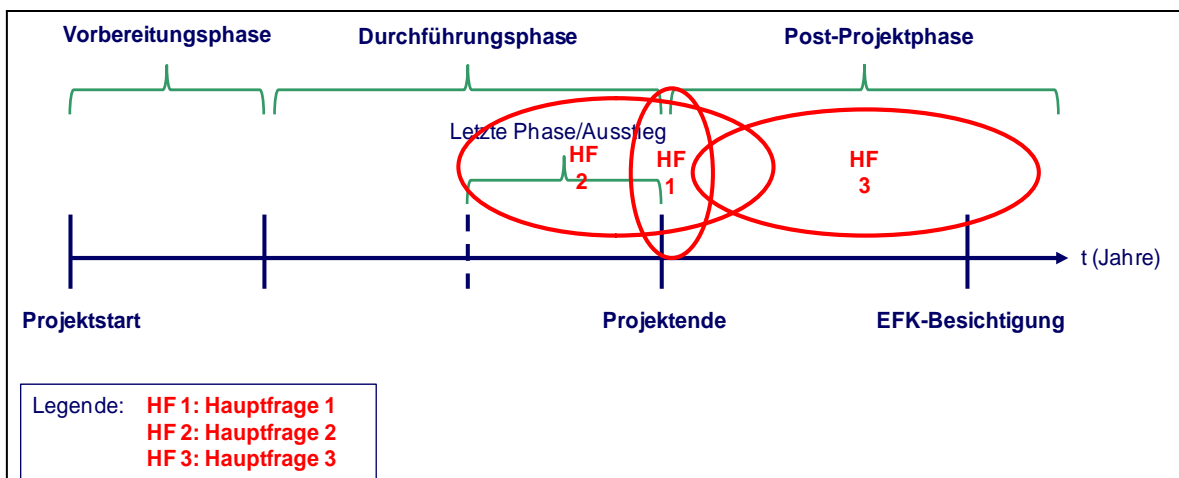
Source: SFAO

1.4   Methodology

The three main questions were investigated using various methods for two countries on the
basis of seven concluded projects each. Below, the selection process for the two countries and
the projects to be examined are described, and then the respective methodological modules
presented.

1.4.1   Selection of the object of the examination

The countries and projects visited were selected using various indicators and criteria defined by
the SFAO (for details, see *Figures 2 and 3*). The basis was an enumeration of the bilateral
projects of Swiss IDC closed down by the SDC in the years 2005 to 2009.

In a first phase, the two countries to be examined were determined. The first selection step
resulted in six possible countries/regions (Bolivia, Ecuador, India, Mekong, Pakistan, and South
Africa). The second step showed that among these countries, India and South Africa met the
criteria best. For this reason, these two countries were selected.

Figure 2: Criteria template for SFAO Phase I: Selection of countries

Indicator	Criterion	India	South Africa
Selection step 1:			
Former SDC priority country	YES	from 1961	from 1994
Number of project completions (2005 – 2009; volume > CHF 0.5 million)	> 10	30	12
Selection step 2:			
Total project duration (min 4 years)	Mix	from 1980 to 2009	from 1994 to 2009
Project priorities (sectors)	Mix	Agriculture, Waste Management, Human Rights, Energy, Livestock, Rural Dev., Technical Education	Legal Development, Human Rights, Governance, Small and Medium Enterprises, Healthcare, Land Reform
Implementing organizations (partners)	National mix Intl. mix	Swiss and local organizations, government	Swiss and local organizations, government
Language skills of auditors	G, F or E	English	English
Security policy situation	High	High	High

Source: SFAO

In a second phase, the projects to be examined in South Africa and India were determined. As was already the case for the selection of countries, the selection of projects was undertaken on the basis of a pre-defined catalogue of criteria (see *Figure 3)*, taking account of the expertise and experience of the SDC. The goal was to define a selection of seven projects in each country that was as heterogeneous as possible. This selection was intended to cover the range of sectors and topics of Swiss IDC as adequately as possible and be appropriate for in-depth examination and visits over a limited time period of a total of two weeks per country.

Figure 3: Criteria template for SFAO Phase II: Selection of projects

Indicator	Criterion	Comments
Financial volume per project	> 1 CHF million	Amount granted over entire duration of project
Credit extension	Mix	Projects with and without credit extensions (may be interesting also in terms of reasons)
Project priorities (sectors)	Mix	Projects in at least three sectors
Volume of project information	Mix	High versus low volume of written documentation
Implementing organizations (partners)	Mix	At least three different partners in each country (national, local non-governmental organizations (NGOs) or government)
External project evaluations	YES/NO	If comparable with SFAO audit – project exclusion
Project regions	Minimum of 2 regions	Reachability, taking account of limited time resources
Total project duration (min 4 years)	Mix	Consideration of longer and shorter project terms
Geographic project orientation	Mix	At least one regional and one national project

Source: SFAO

The final selection of the projects in consultation with the SDC resulted in the following projects *(Figures 4 and 5).*

Figure 4: Selected projects in South Africa

Project name	Start	End	Main sector/topic	Amount in CHF
IKHWEZI – School Development Project Eastern Cape	01.09.97	30.06.05	Primary Education	5 101 000
ITEC - Further Education and Training FET	01.01.96	30.06.05	Vocational Education	1 899 000
RDP - Nelson Mandela Bay Municipality - Township Upgrading	01.08.94	31.12.05	Low cost Housing	10 427 000
NICRO - Reintegration of Young Offenders	01.10.01	30.11.06	Governance / Legal + Judicial Devt	1 143 000
Reform of Sheriffs Profession	01.11.00	31.01.05	Governance / Legal + Judicial Devt	2 437 000
SAIDE South African Institute for Distance Education	01.07.96	30.06.05	Education policy	1 868 000
LRC Legal Resource Centre - Endowment Fund	01.11.96	31.10.06	Human Rights	1 600 000

Source: SDC

Figure 5: Selected projects in India

Project name	Start	End	Main sector/topic	Amount in CHF
DA - India Brick Project	01.07.00	30.06.06	Energy Efficiency	2 346 000
TERI - The Energy Resource Institute	01.12.95	31.12.05	R&D in Environment & Energy	5 922 000
TERI - Clean Technology promotion in Foundries	01.07.01	31.12.09	Environment & Energy in SMEs	1 649 000
CEDT - Centre for Electronic Design & Technology	01.01.80	31.03.09	Higher Education	10 313 000
NEE - Network Electronic Education	01.04.98	30.06.05	Higher Education	1 701 000
AFPRO - Sustainable Livelihoods	01.06.82	30.09.07	Rural development, Water resources protection	10 656 000
THP - The HUNGER PROJECT	01.06.04	30.11.09	Decentralisation	3 486 000

Source: SDC

This selection covers the range desired by the SFAO in terms of sectors, topics, involved partners, amount of financial engagement, type of contribution, duration, geographic location, available project documentation, and contact persons. The selection of the projects does not permit comparisons or generalizations between countries or projects, however, since the country programmes, the projects, and the framework conditions vary.

Detailed descriptions of the individual projects can be found in *Chapter 3, Results.*

1.4.2 Brief description of method

The methodological approach for this analysis was split into several phases, some of which overlapped each other.

Phase 1: Desk research	
Description	In this phase, the foundations of the analysis were established. For this purpose, all available documents and data on the individual projects were identified and reviewed. Primarily, this involved documentation on country programmes, strategies, and individual projects (credit proposals, progress and final reports, minutes of meetings, international treaties, etc.) as well as further documents such as reports (SDC, NGOs, partner organizations, etc.), evaluations, media articles, political initiatives, and specialized literature. Additionally, various interviews were conducted with selected persons *(see Annex 1, Interviewees)*, especially active and former persons responsible for programmes and projects.
Objectives	- Documentation on concluded SDC projects, implementing organizations, and onsite SDC representatives (Coofs)[2] - Information on achievement of objectives, project conclusion, and exit
Methods	- SDC and Coof document analysis (database and archive) - Internet research - Review of specialized literature and daily press - Interviews and working meetings
Time period	Q1 2012 – Q4 2012

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[2] *Coof = Coordination Office. Switzerland currently maintains about 30 Coordination Offices. The SDC staff members working there represent Switzerland's international cooperation onsite. Their main responsibilities include ensuring correct use of resources and coordination of activities with involved persons, other donor organizations, and states.*

Phase 2: Development of information and evaluation template	
Description	During this phase, a template for gaining information and evaluating the projects to be visited onsite was developed. The goal was to use the template during talks to gain all necessary information as a basis for the systematic evaluation of the projects. The template was designed as a partially structured interview guide – with a modular structure depending on the role and function of the interviewed persons and organizations – with closed and open questions *(*see *Annex 2).*
	Additionally, a factsheet on the objectives and purpose of the Mandate was prepared to inform the interviewed persons and organizations onsite for each county ahead of the field missions (see *Annexes 3 and 4).*
Objectives	• Evaluation template and interview guide
Methods	• Evaluation of documents and specialized literature • Preparation of template, including SDC-internal pre-test • Interviews and working meetings • Preparation of factsheets in English
Time period	• Q2 2012 – Q3 2012

Phase 3: Onsite visit of completed projects (field mission)	
Description	The third phase involved field missions to the selected projects in the two selected countries: India and South Africa. The entire trips were organized in close cooperation with the SDC Head Office and SDC onsite representatives (see *Annexes 5 and 6, Field missions).*
	The respective Auditor General Offices of both countries were informed in writing of the SFAO project, but it was not envisaged that they would support the SFAO.
Objectives	• Trip planning and organization • Visit of selected projects and organizations onsite, data gathering using information and evaluation templates • Supplementary documentation (reports, photographs, interviews)
Methods	• Trip planning (transportation, lodging, appointment, etc.) • Interviews of persons and organizations • Visits and photo documentation
Time period	• Q4 2012 (Field research in South Africa: calendar weeks 44-45, India: calendar weeks 48-49)

Phase 4: Analyses and reporting	
Description	The last phase of the project encompassed the preparation and analysis of the data gathered in the preceding modules as well as preparation of the final report. The final report is also translated into English.
Objectives	• Evaluation of available data (project documents, templates, interviews, etc.) • Preparation of final report (including translation into English)
Methods	• Analyses & syntheses • Working meetings with the SDC Head Office
Time period	• Q4 2012 – Q2 2013

1.5 Demarcations and methodological limitations

1.5.1 Demarcations

When evaluating the 14 projects, the SFAO set the following limits:

- In this audit, the SFAO limited itself to SDC projects in bilateral development cooperation. Multilateral projects, economic and trade policy measures of the State Secretariat for Economic Affairs (SECO), humanitarian aid projects, and projects of other federal offices were not taken into account.

- No audit was performed of the legitimate and proper use of project resources. Similarly, criteria of effectiveness or efficiency of a project were not an object of the present examination.

- No quantitative measurement of effects (outcome/impact) or of the (ecological, economic, or social) sustainability of the projects was undertaken. Any statements on effects or sustainability (see *Chapter 1.5.2, Definitions)* should primarily be considered as estimates. They represent subjective assessments on the part of the interviewed persons and of the project team on the basis of onsite snapshots.

- Moreover, no recommendations can be made on the individual examined projects, since they have already been closed down for several years. Additionally, the complexity and the different framework conditions only incompletely allow generalizations and/or inferences for future projects, also for supposedly similar projects.

- Beyond this, the present results of this evaluation are not associated with the development policy strategy of Switzerland overall or in the individual countries. The previous, existing, and future orientations and contents of SDC development cooperation in both countries are accordingly not an object of analysis.

1.5.2   Methodological limitations

In the context of this examination, the following methodological limitations had to be taken into account:

1. It is not possible to acquire the same level of knowledge regarding all examined projects. This is especially due to the two following reasons, which are directly related to the information gained about a project and accordingly also have a considerable impact on the quality of the data gathered:

    • The volume and the quality of the available project materials, which varied considerably depending on the project.

    • The availability and the retrospective knowledge of relevant persons interviewed (including former project managers, SDC staff members, or beneficiaries at the time). Not all the key former persons with relevant experience and knowledge dating back from project implementation time were available for interview (conclusion of the projects between 2005 and 2009). Also the persons visited during the field missions had very disparate levels of knowledge on the individual projects.

2. It should also be taken into account that the visit by representatives of the former donor country, Switzerland, several years after its exit from the project, may raise new expectations among implementing organizations and affected persons. These expectations may influence the quality of the information received.

3. Because of the limited time available, it was only possible for the SFAO to conduct talks and visits onsite restricted in numbers and duration. Assessments and evaluations of the SFAO derived from those talks and visits are therefore not able to reflect the entirety of activities possibly carried out at the time and today.

Taking these points into consideration, no systematic triangulation of the information and data was possible.

4. More recently, sustainability represents a key criterion for the deployment of effects[3] for the IDC. There is a wide range of definitions and opinions concerning the sustainability of development cooperation. For the present audit, the SFAO relied on one aspect of sustainability, namely the continuation of IDC projects after the exit of the donor country. In this sense, the SFAO adopted the interpretation of sustainability provided in the following definitions:

    • Development Assistance Committee (DAC) of the OECD
    "…a development programme or project is sustainable when it is able to deliver an appropriate level of benefits for an extended period of time after major financial, managerial and technical assistance from an external donor is terminated (continuation of positive impact." or

    • Kreditanstalt für Wiederaufbau (KfW, largest national development bank in the world)
    "The project manager and/or the target groups are able and willing, after external financial, managerial and/or technical assistance is terminated, to continue the project

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[3]   OECD, Paris Declaration on Aid Effectiveness, international agreement between industrialized and developing countries and organizations, 2005.

> activities independently with positive results over an appropriate operating life, the length of which may vary depending on the project type, and to continue to achieve the project and overall objectives."

The determination and measurement of sustainable aspects in IDC is a complex and largely controversial undertaking. Previous attempts to determine or even measure sustainability in IDC have turned out to be difficult. This is illustrated by the following thoughts:

The interest of development cooperation is to achieve the greatest possible sustainable impact with the resources employed. But when it comes to provide clear information on the effects of a development project or programme, this is in general difficult. While it may for example be possible to determine how many women have attended a training event as part of a project for the advancement of women, and whether the women employ and apply what they have learned, it can hardly be determined to what extent these advancement measures have contributed to improve the rights or status of women onsite. The reasons for this include the dependency of the rights and status of women in society on a wide range of factors, which can only be partially or not at all influenced by a development project. An analysis before and after the project may, however, attempt to investigate whether changes have occurred overall.

Furthermore, because of the conceptual and methodological limitations described above in terms of the measurement of effects, as well as the small number of cases of examined projects, no comparison among the projects or between the supported countries was made.

1.6   Organization of the project

The evaluation was the responsibility of the SFAO, which mandated its Performance Audit and Evaluation competence centre to carry out the evaluation. The project team consisted of Ueli Luginbühl (project leader) and Martin Koci (researcher). The project was coordinated by Emmanuel Sangra, Head of the Competence Centre. Didier Monnot is the responsible head auditor on the part of the SFAO.

François Binder, former SDC staff member, was mandated as an advisor by the SDC to accompany and support the project team in the preparation, implementation and during the process of the evaluations. He was also available for clarifying concepts and giving advice on practical questions, especially in connection with the planning and execution of the field missions.

Additionally, the SDC representatives in Pretoria and New Delhi provided great assistance to the project team in preparing data and information, preparing, planning, and coordinating travel, establishing contacts, and arranging interviews and meetings.

For the duration of the project (February 2012 – March 2013), the evaluation team was supported and accompanied by an informal SDC support group under the leadership of Mathias Rickli, SDC Evaluation and Controlling Section (see *Members, Annex 1*). A total of four meetings took place. The results of the examination were presented to and discussed with the support group in a workshop on 13 February 2013.

The final discussion with Martin Dahinden, Director of the SDC, took place on 15 August 2013. The report was submitted to the SDC and to the Finance Delegation of the Swiss Parliament. The report is being published in German and English.

Cooperation with the SDC was good. The SDC was cooperative and unbureaucratic when dealing with the SFAO's concerns. Open and informative responses were given during the meetings. The requested documents were made available without any restrictions.

The SFAO would like to thank the SDC – especially François Binder, Mathias Rickli, the support group, staff members of the onsite SDC representations in Pretoria and New Delhi – as well as all interviewees for their valuable support.

2 Background

2.1 Facts and figures (Swiss development cooperation)

Switzerland's international development cooperation at the federal level encompasses humanitarian aid (SDC), technical cooperation and financial assistance (SDC), economic and trade policy measures within the framework of development cooperation (State Secretariat for Economic Affairs, SECO), and cooperation with Eastern Europe (SDC/SECO).

The beginnings of Swiss IDC date back to the 1960s, and IDC has passed through several stages since that time. While IDC initially was oriented heavily toward technical and financial support for countries in need of aid and also heavily influenced by national interests, this approach, as well as the substantive strategies of development policy evolved over time from traditional support toward help for self-help and finally into today's responsibility.

Associated with this, the scope and the main thrusts of Swiss development policy are periodically re-evaluated, adjusted, and defined on the basis of situation assessments. On the basis of the Law on IDC and Humanitarian Aid of 19 March 1976 (version of 1 June 2007)[4], the SDC together with the SECO prepares every four years for the Federal Council "Messages" (a kind of bills), which define the objectives and strategies of IDC and humanitarian aid (IDC with the countries of the South and Eastern Europe, and humanitarian aid) for the coming four years. For international development cooperation in the period 2013 – 2016, the Federal Council submitted for the first time an integrated strategy for the Swiss official international IDC to Parliament. For the first time, the SDC and the SECO are operating according to a joint strategy covering all areas of action and measures within the framework of IDC, as well as cooperation with Eastern Europe, according to the same political requirements and guidelines. Poverty reduction continues to be the ultimate goal. Switzerland is focusing its support more heavily on countries and regions with fragile states, since deficient state structures – i.e. weak governments, lack of legal certainty, and corruption – aggravate problems of poverty. For 2013 – 2016, a sum of CHF 11.35 billion has been committed for this purpose. In total, the resources allocated in 2012 made up slightly more than 4% of federal expenditures.

As already mentioned in the introduction, the SFAO will focus the present investigation on bilaterally supported Swiss development projects of the SDC. The following *Figure 6* shows the IDC resources of the federal government and of bilateral IDC broken down according to the continents of Asia and Africa as well as the two countries selected for the investigation, namely India and South Africa. The figure shows that the federal resources for IDC have declined in recent years for the two countries in both absolute and relative terms. Bilateral support for South Africa, for instance, which amounted to about CHF 10 million per annum until 2008, is currently around CHF 6-7 million. The bilateral engagement in India has also been reduced continuously over the observed period from about CHF 35 million per annum to most recently about CHF 8 million in 2011. This reduction of bilateral assistance is directly related to the reorientation of the respective programmes in the two countries.

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[4]   *SR 974.0.*

Figure 6: Federal IDC total, Africa, Asia, India, and South Africa 2004 - 2012

(in CHF m)	2004	2005	2006	2007	2008	2009	2010	2011	2012[s]
Federal total	1 887	2 168	2 029	1 982	2 191	2 460	2 350	2 664	2 788
Africa	318	390	392	378	329	512	356	474	445
South Africa	8.5	9.9	11.3	10.5	9.6	5.6	7.8	6.9	5.5
in % of total	0.45	0.46	0.56	0.53	0.44	0.23	0.33	0.26	0.20
Asia	302	522	310	298	402	325	339	363	370
India	35.7	30.7	25.7	20.4	17.9	13.2	10.9	9.8	7.4
in % of total	1.89	1.42	1.27	1.03	0.82	0.54	0.46	0.37	0.27

[s]*Estimate for 2012*

Source: SDC http://www.deza.admin.ch/de/Home/Die_DEZA/Zahlen_und_Fakten, SFAO table

The following *Figure 7* shows the geographic distribution of regional programmes and priority countries of the SDC's bilateral development cooperation in 2011. It shows that neither South Africa nor India is a priority country. For additional information, please refer to *Chapters 2.2.2 and 2.3.2*.

Figure 7: Priority countries and Regional programmes of the SDC in 2011
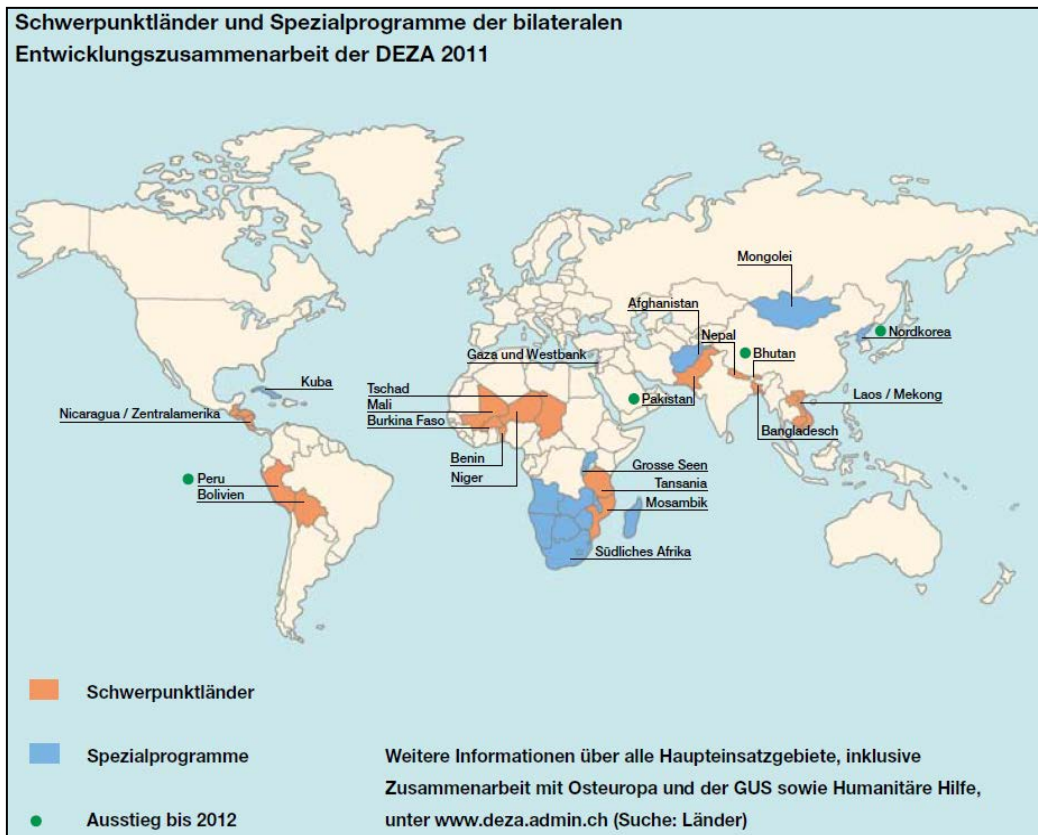
Source: SDC 2012

2.2   South Africa

2.2.1   Background information on South Africa

South Africa is an ethnically very diverse country in which people of all skin colours live and which because of this diversity is often called a "rainbow nation". Since the various ethnic groups do not always live alongside each other without conflict, however, ethnic problems and unrest between the white minority and the black majority have dominated the history and politics of the country. Under the white leadership of the country, a system of apartheid was maintained until 1990 (racial segregation defined and organized by the state). The turnaround was achieved after many decades of resistance by the black majority (about 80% of the population) under its political leader Nelson Mandela, who was elected the first black president of the country in the first free elections in 1994. Since then, four national and many local democratic elections have been carried out successfully.

Today, South Africa is the largest economy in Africa and a member of the BRICS countries. This is the association of the emerging economic powers Brazil, Russia, India, China, and South Africa.

Despite the many positive developments, there are still social tensions. The economic disadvantage of the non-white population has not been fundamentally eliminated since the end of apartheid. Especially rural areas in the former homelands (geographically delimited areas for blacks during apartheid) still resemble a developing country. Moreover, blacks are for instance

generally still paid less than whites. Large parts of the population live in townships (settlements for the black population) at the periphery of many cities. These are settlements in which the standards of living continue to be very low, despite many positive developments. The social and economic disparity among the social groups continues to be very high. The unemployment rate remains high, at officially 24% – and even higher for the black population. A specific consequence of these circumstances is the high crime rate in the heavily underdeveloped regions and the brutality of crimes, which are a focus of attention especially in urban centres. Additionally, the immune disorder AIDS continues to be widespread[5] and therefore continues to have great political importance in state planning and execution of medical and socio-economic projects in South Africa.

Figure 8: Facts and figures on South Africa

Area	1,219,912 km2
Population	51,770,560
Life expectancy at birth: Women / men	53 / 51 years
Adult illiteracy rate: Women / men	13% / 14%
GDP per capita (nominal)	USD 8,070
GDP growth	2.6%
Share of population living on less than USD 2 a day	31.3%
Inflation	6%
Unemployment rate	24.4%

Source: World Development Indicators 2012 of the World Bank, CIA World Factbook 2012

2.2.2 Swiss development cooperation in South Africa

Already during the apartheid regime, the SDC supported South Africa non-governmental organisations that were active in education, and generally supported disadvantaged black population groups.

After the end of the apartheid regime in South Africa, the SDC launched a special programme in 1994 to make a contribution to a transition as free of violence as possible with minimal social tensions. The special programme was limited in time until 2004, i.e., it covered the first ten years of the transition period. In a first phase, it was initially designed to last 5 years, with a focus on the poorest regions of the country, in the sectors of land reform, education, and democracy/human rights. After implementation of the first phase of the special programme, it became apparent that the transition process in South Africa would take longer than anticipated, and so it was decided to support South Africa during this process with a second programme phase. In the second phase of the programme from 2000 to 2004, contributions were for more social justice and the dismantling of inequalities, the reduction of internal conflicts, deepening of democracy, and greater interaction within the SADC region[6]. The focus areas during the second programme phase cover the sectors of governance (decentralization of the government

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[5] *According to UNAIDS, about 12% of the population in South Africa is infected with HIV.*
[6] *The Southern African Development Community (SADC) is a regional organization for economic and political integration in Southern Africa.*

administration, reform of the judicial system, support for human rights), primary education (teacher training, curriculum development, improvement of school administration in formerly disadvantaged homelands), and land reform (distribution of public land to disadvantaged population groups, return of land to blacks dispossessed under apartheid, land ownership rights for migrant workers and farmers in former homelands).

Subsequently, starting in 2005 the special programme was converted into a "Southern Africa" regional programme for the 15 SADC countries and expanded, i.e., the emphasis was shifted to regional priorities, although a South Africa component was maintained. The programme priorities of the South Africa component of the regional programme include governance, HIV/AIDS, and food security. Within the regional programme, Switzerland continues to support bilateral projects in South Africa as well, including on topics such as youth unemployment and climate change. Additionally, South Africa has been a priority country since 2008 for the global cooperation climate change.

2.3   India

2.3.1   Background information on India

India is a multi-communities state with more than 1.2 billions inhabitants, the second most populous country in the world after the People's Republic of China. India is a land of contrasts. Despite the significant economic upswing, there are still fundamental problems such as extensive poverty, a large population, increasing environmental pollution, as well as ethnic and religious conflicts. According to estimates, population growth in India over the coming decades will hardly subside, and India will have replaced the People's Republic of China as the most populous country in the world by 2025.

The difficult living conditions in many parts of the country, especially in rural areas, are causing many people to migrate to the cities. The rapidly growing metropolises of the country are hardly able to provide sufficient jobs and living opportunities for migrants. The result is high unemployment and underemployment. Nearly one third of the inhabitants of the metropolises live in slums. Moreover, women in the patriarchal Indian society continue to be strongly disadvantaged, despite the legal equality of men and women. The problem of dowries contributes to a not insignificant extent to the fact that girls are generally viewed as less valuable than boys or are even undesired altogether. As a consequence, there are fewer women than men in most of the country's states.

Over the past two decades, India has increasingly deregulated and privatized its national economy. Since then, economic growth has accelerated significantly, and India has become one of the ten largest economies in the world[7]. The performance of the Indian economy has meanwhile reached the highest levels internationally (information technology, pharmaceuticals). However, India continues to be one of the developing countries with low per-capital income[8]. Despite a share of about 17% of the world population, India contributes only about 2% to worldwide production.

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[7]   *World Bank 2012: India world's 10th largest economy by nominal GDP.*
[8]   *World Bank 2012: India 134th per capita nominal GDP.*

Figure 9: Facts on figures on India

Area	3,287,260 km2
Population	1,224,615,000
Life expectancy at birth: Women / men	67 / 64 years
Adult illiteracy rate: Women / men	52.2% / 26.6%
GDP per capita (nominal)	USD 1,489
GDP growth	5.4%
Share of population living on less than USD 2 a day	68.7%
Inflation rate	9.2 %
Unemployment rate	9.9 %

Source: World Development Indicators 2012 of the World Bank, CIA World Factbook 2012

2.3.2 Swiss development cooperation in India

Swiss IDC, active in India since 1961, was focused on combating poverty, especially in rural areas of the country in several states and accordingly on contributing to a sustainable and fair rural development. Beginning with projects relating to livestock in the state of Kerala, the SDC successfully expanded its activities to other geographic areas in India (including Andhra Pradesh, Gujarat, Karnataka, Maharashtra, Orissa, and Sikkim) and to other fields such as management of natural resources, especially water, finance and employment, energy and housing construction, decentralization and local governance, as well as strengthening of human and institutional resources. In this regard, the SDC primarily worked together with local partners, especially non-governmental organizations of civil society and the private sector.

After a transition phase of IDC with India in the years 2006 and 2010, the SDC concluded its longstanding programme to combat poverty in 2010 and reoriented its development programme with India. Together with Indian partners, the focus is now on the global problems of energy and climate change. The centrepieces of the partnership programme are knowledge exchange and technology transfer. For this purpose, the partnerships and relationships developed, as well as the expertise and knowledge management built up over the course of the past decades are expected to bear fruits.

Alongside the SDC, the State Secretariat for Economic Affairs (SECO), the State Secretariat for Education, Research and Innovation (SERI), and about 60 Swiss non-governmental organizations – some with the support of the SDC – are active in India.

3   Results

The results of the investigation at the project level are presented as follows in these chapters:

- Brief description of the project with the most essential objectives[9] – Credit proposal – and activities. Especially the last project phase is described. The amount mentioned in Swiss francs is the total amount effectively disbursed by the SDC for the project.
- Overview of the most important data sources, as well as the contact persons for the purpose of the investigation.
- Summary answers to the questions concerning achievement of objectives at the end of the project and exit scenario, as well as an evaluation of the current situation onsite.

3.1   Projects in South Africa

The following figure provides an overview of the field mission in South Africa with the project locations visited.

Figure 10: South Africa field mission with project locations visited
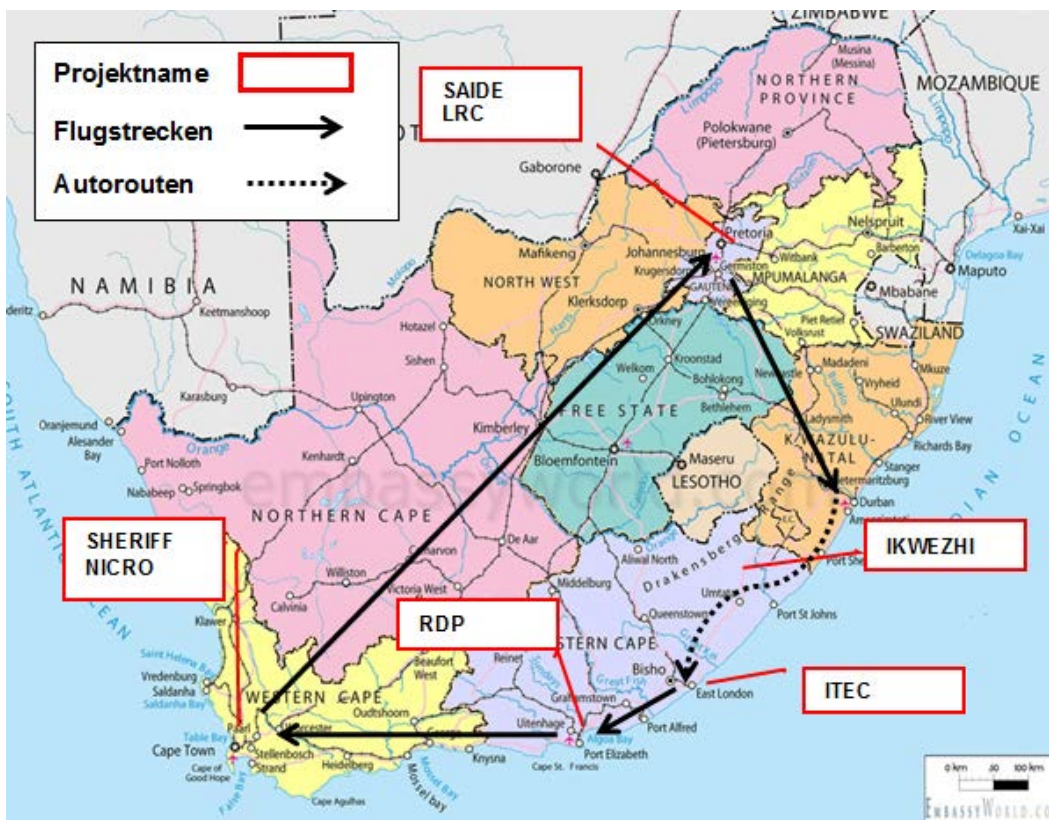
Source: SFAO graphic

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[9]   *A distinction regarding the objectives of a project should in principle be made between **higher order objectives** and **project objectives**. Higher order objectives are those overarching goals to which a development project should contribute and which as a rule have a long-term orientation (impact level). Project objectives, in contrast, tend to be medium-term objectives (outcome level), which can be achieved as a result of the project's outputs.*

3.1.1 IKHWEZI

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
IKHWEZI	01.09.1997	30.06.2005	Primary education, provincial	Project contribution	5 101 000

Project synthesis
The Ikhwezi Whole School Development Project was launched as a pilot project in the northeast of the Eastern Cape province, a region with a low level of industrialization and low-income, with mainly rural settlements. The project supported the strategy of the Eastern Cape Department of Education to improve the quality and organization of primary schools. As part of the project, school management were to be given skills to improve the quality of primary education in disadvantaged rural schools. During the last phase of the project, regional multimedia centres (computers, library) were established in selected schools, and a programme to promote health measures was launched. The project was carried out by MiET Africa, a South African aid agency specialized in education in rural areas, with the help of additional local partners. The target groups were the local authorities, school principals, school authorities, and teachers in 180 schools in the four districts of Bizana, Flagstaff, Mount Ayliff, and Lusikisiki.

Objectives
The *higher order goal* of the project was to improve the quality of primary education and consequently educational opportunities in the selected districts in the Eastern Cape, in cooperation with the responsible actors. The following *project objectives* were defined: • Development of school groups with independent central multimedia centres for different school communities, • Development and support of education, evaluation, monitoring, and administrative capacities of persons responsible for education, • Development of efficient management, administration, and IT capacities at the regional authorities responsible for primary schools, and • Training of school authorities in life skills, with a focus on HIV/AIDS.

Data sources			
Documents		**Interviews**	
Credit proposal (last phase)	X	SDC headquarters	X
Administrative final report	X	SDC onsite	
Project material (brochures, etc.)	X	Government offices onsite	X
Interim project reports		Implementing organization onsite	X
Final report (09.2005 MiET)	X	Local organizations	X
External evaluation report (07.2004)	X	Target group	X
Internal review by MiET (08.2004)	X		

Meeting with former beneficiaries, Etheridge J.S.S. Bizana

Pupils, Etheridge J.S.S. Bizana

Achievement of objectives upon Switzerland's exit
• The specifically formulated project objectives had been largely achieved at the local level (including school management, quality of training) at the time of the SDC's exit.   *"There is no doubt that the project is on the right path toward achieving the defined objectives. It is now the responsibility of the teachers, the functionaries of the Department of Education, and the communities that have received support to implement what they have learned in the best possible way." MiET Final Project Report, September 2005.*   • Continuation of the activities by the Eastern Cape Department of Education is a key aspect for the sustainability of the measures, even though it was not expressly articulated as an objective. The Department of Education has promised its support in this regard to the SDC.
Exit process
• The exit was announced early on and was properly executed. At the conclusion of the project, a formal workshop was held – including with representatives of the regionally responsible Department of Education – and the project was officially transferred to the Department of Education on that occasion.   • In retrospect, cooperation with the SDC was deemed by MiET to be very good and based on partnership.   • In contrast, cooperation with the responsible Department was deemed difficult. Not least of all, this was one of the reasons why MiET withdrew its activities from the Eastern Cape province.
Brief description of the current situation
• As the implementing organization, MiET benefited from the project and has successfully applied lessons learned in the implementation of similar projects in other provinces. Compared to before, MiET is now more broadly based and active in various provinces of South Africa, as well as in other countries in Southern Africa.   • The schools directly involved in the project (e.g., Etheridge J.S.S. Bizana and Sacred Heart S.S. Flagstaff) still benefit from the contents they have learned.   *"The impact of the Ikhwezi project on my school was enormous. Compared to before, there is a huge difference regarding how we run our school today." Cyprian Pepu, Director of the Etheridge Junior Secondary School, Bizana, 30.10.2012.*

- During its onsite visits, the SFAO was able to satisfy itself that the infrastructure for the resource centres is still available – but is now obsolete and only partially functional (old computers and software).
- The situation of the schools in the Eastern Cape province is still not satisfactory. Infrastructure is frequently poor (including buildings, toilets, facilities). The schools visited by the SFAO regret that continuation of the project was not ensured by the provincial Department of Education. In general, implementation by the department was deemed deficient. Some of the schools have accordingly made successful attempts to find other donors to maintain certain infrastructure.

Summary evaluation

Cooperation with the SDC was deemed to be a good partnership. The exit was prepared well, and it was communicated clearly and at an early stage. The project objectives were achieved at the local level. The fact that the project was not continued by the responsible Department of Education is in part due to the high turnover of key persons at the governmental and district level as well as changing political priorities. The "lessons learned" are still present among the beneficiaries. Conveying lessons learned to the next generation is uncertain, however, and primarily dependent on individual persons. Overall, the school situation in the Eastern Cape is still unsatisfactory. According to statements onsite, the responsible Department of Education apparently has few financial resources at its disposal.

3.1.2 ITEC

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
FET - Further Education and Training	01.01.96	30.06.05	Vocational training, provincial	Project contribution	1 899 000

Project synthesis

The project supported implementation of the Further Education and Training programme (FET) in selected urban and rural schools in the Eastern Cape province. FET aims to have schools offer training programmes in the 10th to 12th school year to prepare for careers; these training programmes are based on personal and professional skills. The project was supported in part because there was a very high dropout rate in those school years. The project was implemented by ITEC, one of the leading non-governmental organizations in Eastern Cape province, in cooperation with other local partners in four of the province's districts. ITEC is specialized in the development and provision of innovative further education and training programmes for disadvantaged population groups. The target groups were young people from disadvantaged communities between the ages of 16 and 18, the school management, and potential entrepreneur. In the last phase of this programme, about 7,000 young people were intended to benefit from the programme.

Objectives
The *higher order objective* of the project was to establish a dynamic and adaptable FET programme in the Eastern Cape province, which was to be taken over and continued by the responsible Department of Education of the province after Switzerland's exit. The following *project objectives* were defined: • Development and implementation of the FET programmes based on a cluster model to ensure joint use of the limited resources, • Development of a process to ensure successful implementation of the programme for school administrations and authorities, • Information campaign for schools and districts on the practice of the FET implementation, and • Development of FET models that are replicable in all 22 education districts.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	X
Administrative final report	X	SDC onsite	
Project material (brochures, etc.)	X	Government offices onsite	
Interim project reports	X	Implementing organization onsite	X
Final report	X	Local organizations	
Evaluation report		Target group	
Other: Contract	X		

Discussion with ITEC employees in East London

ITEC Community Library East London

Achievement of objectives upon Switzerland's exit
• Project objectives in connection with the development and implementation of the FET programme in various schools in the Eastern Cape province were achieved. According to ITEC, not only the quality of services in these schools has improved, but also internal school management has. *"Very good work was performed in the project activities in regard to achievement of the project objectives." Final Report Vukuzenzele FET Project, ITEC 2005.* • FET was not, however, replicated and continued as desired. • The project has had a modest influence on the national FET system. For instance, the Department of Education has incorporated certain elements relating to "life orientation skills" into the national FET curriculum.
Exit process
• ITEC understood the SDC's exit, which was properly executed. Information was provided already at the beginning of the project. • Because of a lack of funding, ITEC also stopped its FET activities after the SDC's exit.
Brief description of current situation
• ITEC currently employs about 25 people. ITEC's activities include nationally and internationally funded projects in the East London region. Instead of FET, the focus today is on early childhood development. Additionally, community libraries are operated, computer courses are offered, and other projects are carried out to support the schooling of disadvantaged population groups. According to ITEC, the experiences from the FET project have been used to find other donors. • The overarching objective of consolidating the programme at the provincial level with the Department of Education could not be achieved, however (in part due to lack of funding, human resources, expertise, and changing priorities). • No statement can be made about the longer-term effect of the FET project, since there is no data on the current situation of the approximately 7,000 beneficiaries of the FET programme at the time.
Summary evaluation
The project operated in a region of South Africa with pent-up demand in school development and a high level of unemployment. ITEC considers the collaboration with the SDC to have been very successful, even though the overarching objective – assumption of the FET programme by the responsible Department of Education of the Eastern Cape province – could not be realized. The exit was well prepared, and was communicated clearly and early on. ITEC no longer works in the FET field.

3.1.3 RDP

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
FINANCING of RDP-Township Upgrading	01.08.94	31.12.05	Infrastructure, local	Earmarked financial aid	10 427 000

Project synthesis
The legalization and improvement of settlements for the black population (townships) at various locations in the Eastern Cape province was one of the first national projects of the new post-apartheid government. Near the city of Port Elizabeth, the SDC funded infrastructure projects in townships at three different locations. In the last phase of the project (1998 – 2005), the SDC granted financial aid for the surveys of about 3,800 plots of land for social housing and the installation of social infrastructure (water and sewage pipes and access roads) in Tjoksville at the Motherwell township, about 25 kilometres north of Port Elizabeth, as a part of the national Reconstruction and Development Programme (RDP). The project was realized by the competent government offices (including urban planning, Nelson Mandela Bay Municipality) of Port Elizabeth.

Objectives
The *higher order objective* of the project was to improve access to resources for the development of the most disadvantaged persons in informal settlements by opening up new settlement areas and making basic social infrastructure available. The following *project objectives* were defined: • Development of 3,800 parcels of land, • Strengthening of the democratic participation of the various actors (executive committee, city council, ward councillors, project committees, community representatives) and • Creation of temporary jobs.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	X
Administrative final report	X	SDC onsite	
Project material (brochures, etc.)		Government offices onsite	X
Interim project reports		Implementing organization onsite	X
Final report		Local organizations	
Evaluation report		Target group	X

Discussion at the Nelson Mandela Bay Municipality   Motherwell Township (Port Elizabeth region)

Achievement of objectives upon Switzerland's exit
• According to statements of the official authorities, resources were employed as formulated in the project planning (infrastructure facilities such as streets, water supply, etc.). *"I would like to thank Switzerland for its great support. Please report this back to Switzerland as well. The funds were employed in accordance with the agreement." Nkosana Dunjana, Motherwell Urban Renewal Programme, Director, 02.11.2012.* • According to SDC statements, collaboration with the competent municipal authority was not easy. This was due in part to the constant turnover of persons in the municipal government and administration, the failure to appear at meetings, and the deficient submission of reports and figures.
Exit process
• In light of the content of the project – one-time contribution to the funding of certain infrastructure services – the exit was planned in advance. This was clearly communicated from the outset and set out in a binding agreement.
Brief description of the current situation
• The Motherwell Township visited by the SFAO has expanded and developed considerably. Today, about 250,000 people now live there. The infrastructure facilities co-funded by the SDC at the time are still functional. • An increasing problem is the maintenance of older homes and infrastructure. By law, homeowners are responsible, but they generally do not have the requisite knowledge or resources. • The steady expansion of the township is continuously giving rise to new demands (lack of public infrastructures such as roads, lighting, schools, sport facilities, etc.), which can be met only slowly due to the shortage of financial resources.

Summary evaluation
The SDC's contribution was clearly defined as a one-time contribution. Collaboration between the SDC and the competent government offices onsite was difficult. The objectives of the original project were achieved. There is still a need for social housing construction (national programme: Assistance to the Poor Programme, ATTPP). The population increase due to internal migration and immigration movements from neighbouring countries always poses new challenges to the townships.

3.1.4 NICRO

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
NICRO: Reintegration of Young Offenders	01.10.01	30.11.06	Justice and law, national	Project contribution	1 143 000

Project synthesis
Fighting the high crime rate has been and continues to be an enormous challenge for South Africa in its efforts to achieve sustainable social development. The recidivism rate of released convicts was estimated to be 75%. This situation caused NICRO, a national non-profit organization offering services in the field of crime prevention, to develop and implement the "Tough Enough Programme (TEP)" reintegration programme for younger offenders. TEP, which was launched as a pilot programme limited to certain prisons, was supported by the SDC. The reintegration programme was directed at convicts between the ages of 18 and 25 with a remaining sentence of at most 12 months. The programme worked together with both the convicts and their relatives and their environment, in order to ensure the most successful possible reintegration after release. TEP was implemented in close collaboration with the competent government offices, which showed great interest in the project. Each year, about 1,000 people took part in the programme.

Objectives
The *higher order objective* of the project was to support the development, implementation, and especially the continuation of the NICRO TEP programme for the successful reintegration of convicts in South Africa. To this end, TEP should ideally have been integrated into a South African crime prevention strategy. The following *project objectives* were defined: • Support for the implementation and further development of the Tough Enough Programme (TEP) for the successful reintegration of former convicts in society, and   • Intensification of the relations between NICRO and the concerned government offices at the provincial level, as a precondition for the sustainable implementation of the programme at the national level.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	X
Administrative final report	X	SDC onsite	
Project material (brochures, etc.)	X	Government offices onsite	X
Interim project reports		Implementing organization onsite	X
Final report	X	Local organizations	
Evaluation report	X	Target group	X
Other			

Successful graduates of the TEP (photo: NICRO)

Impressions of "joie de vivre" in Cape Town

Achievement of objectives upon Switzerland's exit
• The project objective relating to the implementation and further development of the TEP for the successful reintegration of former convicts in society was achieved in several prisons.   *"The research finds that the impact of the Tough Enough Programme showed a high reintegration success and has, for most of the participants, been hugely positive and beneficial." Impact Evaluation of the TEP, Southern Hemisphere Consultants, August 2003.*   • All the interviewees who participated in the TEP at the time had positive views of the programme.   • Intensification of relations with the competent government offices could not be ensured as desired. As a consequence, the long-term national anchoring of the programme could not be achieved.
Exit process
• While the exit was regretted by NICRO, it was communicated openly and early on and was executed properly. Collaboration with the SDC was deemed good.   • After the exit, NICRO was not able to compensate for the lack of funds quickly enough, so that NICRO had to substantially cut staff and reduce the scope of their TEP activities.

Brief description of the current situation
- NICRO is still a service centre for persons in conflict with the law. Compared with the time of the SDC's project exit, NICRO now has a broader funding basis (South African government, businesses, individuals, as well as international donors). NICRO, headquartered in Cape Town, is now represented in all nine provinces of South Africa with about 50 branch offices.   - Despite intensification of the relations between NICRO and the competent government offices, reintegration has not yet been implemented to the desired extent, as part of a national prevention strategy for convicts.   - Since 2012, the TEP has been supported by the government as a pilot programme in the Western Cape province (Department of Social Development, DSD).
Summary evaluation
The high crime rate and prison conditions in South Africa constitute a major problem. The project's objective of rehabilitating younger criminals with lower sentences and of reintegrating them in society had a clear need-oriented approach in this regard. The project was successfully carried out in good collaboration with NICRO. The exit was regretted, but it was communicated clearly and early on. The goal of establishing reintegration as part of a national prevention strategy for convicts has not yet been achieved, however.

3.1.5 SHERIFFS

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
Reform of Sheriffs Profession	01.11.00	31.01.05	Justice and law, national	Project contribution	2 437 000
Project synthesis					
This project came about pursuant to a request by the Vice-Minister, national Department of Justice. The goal was to contribute both to the development and especially the implementation of the National Action Plan for the transformation of the profession of sheriff, comparable to Swiss bailiffs. The sheriff, as an enforcer of civil law, enters into direct contact with the population. The profession of sheriff was generally exercised by white persons and as a result its image among the black population was rather poor. The SDC gave financial support to the transformation project (including mission statement, appearance, training, recruitment, standards, change of image) and was represented in the Steering Committee, which guided and accompanied the project. The project was under the responsibility of the national Department of Justice. The South Africa Board for Sheriffs (SABS), a body under public law consisting of 12 members appointed by the Department of Justice, was responsible for implementation at the more than 200 sheriff's offices in South Africa. The target group consisted primarily of the Board for Sheriffs and their deputies.					

Objectives
The *higher order objective* of the project was to support the Department of Justice and the Board for Sheriffs in their successful implementation of the National Action Plan for the renewal of the profession of sheriff. The following *project objectives* were defined: • Development of capacities and training programmes for the various categories of functionaries (Board, staff members of the Board, sheriffs and deputies),   • Strengthening of the management of the Board to improve the provision of services,   • Support to the transformation process, including surveys to assess the performance of sheriff's offices and lawful exercise of the profession, and   • Development of a communication strategy for the general public on the new orientation of the profession of sheriff.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	X
Administrative final report	X	SDC onsite	
Project material (brochures, etc.)	X	Government offices onsite	X
Interim project reports	X	Implementing organization onsite	X
Final report	X	Local organizations	
Evaluation report	X	Target group	X

Talk with the Department of Justice in Cape Town

Logo of the South African Board for Sheriffs

Achievement of objectives upon Switzerland's exit
• The project objectives (including training, communication strategies, development of knowledge, strengthening of management) were implemented or initiated.   • Concrete implementation of the National Action Plan was, however, not as far advanced as originally planned.   *"The main success was achieved in the operational objectives (e.g., training, communication, and restructuring of the management of the Board), but not in the strategic objectives (e.g., implementation of the legal amendments)." Evaluation of the Impact of the NAP, Final Report, EOH KPMG Consulting, January 2005.*

- The cornerstones of the implementation were established, but further efforts were necessary.

Exit process

- The SDC's exit was communicated from the outset and was executed properly. The South African Board for Sheriffs was able to take over implementation of the Action Plan itself.
- In retrospect, the SDC was seen as very cooperative, helpful, constructive, and not perceived as a donor only. The collaboration was deemed to be very good.

Brief description of the current situation

- Implementation of the National Action Plan and the transformation process are now almost complete. The process took somewhat longer than originally planned, however. The SDC's contribution is seen as an important catalyst and as the foundation for the advanced situation today. According to the most important actors, progress would not be as good today without the SDC's support.

"The National Action Plan is now almost fully introduced. Nearly all recommendations have been implemented." Blendynn Williams, Head of Deputy Minister's Office Minister of Justice, Cape Town, 6.11.2012.

- The Board of Sheriffs now works considerably more professionally than before. The goal is to achieve an adequate European standard within ten years.
- The surrounding countries (Southern African Development Community, SADC) have meanwhile also shown interest in the sheriff system in South Africa.

Summary evaluation

The SDC's support took place during a difficult period. Both the image and the professionalism of the profession had to be improved. In retrospect, the SDC's contribution was a crucial element for ensuring that the National Action Plan was launched successfully and that the implementation could be advanced. The operational project objectives were achieved by the time the project was concluded. Today, most of the strategic objectives have also been fulfilled. Collaboration with the SDC was seen as a very good partnership. The exit progressed properly and was communicated clearly and early on.

3.1.6   SAIDE

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
SAIDE - South African Institute for Distance Education	01.07.96	30.06.05	Education policy, national	Organizational contribution and project contribution	1 868 000

Project synthesis
Distance learning is popular in South Africa. The purpose of this project was to support the South African NGO SAIDE in its work relating to distance education. SAIDE has had a major impact on distance learning in South Africa, for instance by developing new training curricula, introducing quality assurance, and using new technologies. By supporting SAIDE, the preconditions for successful vocational training and distance learning, and the quality of the various offerings were to be improved (including curricula, teaching material). The SDC supported SAIDE financially in two stages: in a first phase by a financial contribution to SAIDE (core grant), and in a second phase by building up a resource centre (electronic availability of textbooks, reports, articles, documents, etc.) as well as by developing strategic approaches for quality assurance within the Further Education and Training Programme. SAIDE worked together with the competent government offices, especially the Department of Education, as well as other NGOs, educational institutions, and the private sector.

Objectives
The *higher order objective* of the project was to contribute to a good quality of education by integrating and further developing distance learning. The following *project objectives* were defined: • Make a contribution to the acceptance, solidity and further development of FET and to the access to educational offerings by a large number of young people and adult learners, • Make a contribution to the development of appropriate distance learning courses and materials, especially for teachers at technical colleges, and • Make a contribution to the dissemination of information on current trends in the field of distance learning, with a focus on the needs of young people and adult education.

Data sources				
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	X
Administrative final report	X	SDC onsite	
Project material (brochures, etc.)	X	Government offices onsite	
Interim project reports		Implementing organization onsite	X
Final report	X	Local organizations	
Evaluation report		Target group	
Other: Contract	X		

SAIDE areas of action

Talk at the headquarters of SAIDE in Johannesburg

Achievement of objectives upon Switzerland's exit
• The project objectives, such as deployment of and access to training and education materials and the development of need-oriented training and education programmes, were achieved.   *"SAIDE has made significant contributions to the emergence of distance learning in South Africa." SAIDE Final Project Report, July 2005.*   • The contribution to expand the programme and to secure access and use by interested persons is a continuously evolving process.
Exit process
• The exit was announced clearly and early on, was understandable, and according to feedback had no negative impact on the organization or activities of SAIDE.   • The exit was regretted, since the SDC was the only donor to contribute to the administrative costs, which tends to be an exception among donors. SAIDE accordingly had to increase its orientation toward project-related activities.
Brief description of the current situation
• Today, SAIDE is a competent and financially diversified organization. It has established itself as a recognized competence centre for distance education. SAIDE employs about 25 people, works almost exclusively on a project basis, and is increasingly also active in surrounding countries.   *"For more than 10 years, SAIDE has been an important actor in the field of distance education. The SDC's resources formed the basis for this, but also for a large part of today's activities in this field." Maryla Bialobrzeska, SAIDE Programme, Johannesburg, 08.11.2012.*   • SAIDE is convinced that it would never be positioned as well as it is today without the SDC's support.

Summary evaluation
The collaboration between SAIDE and the SDC was based on partnership, and the exit was understandable and executed property. On this basis, it appears that most of the objectives of the project could be achieved. In addition to the organizational and professional development of SAIDE, the SDC's support also contributed to the further development of distance learning. It is however difficult to make an objective assessment of the achievement of objectives and this would entail considerable effort. Distance education in South Africa is and continues to be a relevant topic, since many people still engage in distance learning.

3.1.7   LRC

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
LRC - Legal Resource Centre	01.11.96	31.10.06	Human rights, national	Organizational contribution (endowment fund)	1 600 000

Project synthesis
The South Africa Legal Resources Centre (LRC) is the first and largest public legal centre for human rights in the country. The LRC is one of the few organizations providing free legal services to individuals and communities (access to legal system and administration of justice) and with a focus on core human rights. The LRC works together with a wide range of NGOs, human rights organizations, and state organizations. The target groups of the LRC are poor, homeless, and landless people, as well as people suffering from discrimination on the basis of race, gender, or social, economic, or historical circumstances. The SDC supported the LRC's activities by way of a financial contribution to the organization (core funding) for ten years from 1987 until 1996 and from 1996 with a one-time contribution in the form of an endowment fund. The LRC was permitted to use 10% of the endowment fund annually for its activities.

Objectives
The *higher order objective* of the SDC contribution was to strengthen the LRC as an organization and support its activities. The transformation of the contribution into an endowment fund was done to strengthen the LRC financially in view of the planned exit of the SDC and other donors. The *project objectives* were especially to support the LRC in the following activities: • The LRC offers services for communities needing land and for NGOs supporting these communities (land, housing, and development), • The LRC identifies test cases in which the constitution can secure the protection of poor and underprivileged people (constitutional law), • The LRC takes on cases of gender-specific oppression (gender equality), and • The LRC takes on cases of social injustice and environmental destruction (environmental law).

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	X
Administrative final report	X	SDC onsite	
Project material (brochures, etc.)		Government offices onsite	
Interim project reports	X	Implementing organization onsite	X
Final report		Local organizations	
Evaluation report		Target group	
Other: Audit report 2004	X		

Support in filling out forms (Source: LRC)

Support on land ownership questions (Source: LRC)

Achievement of objectives upon Switzerland's exit
• The resources provided were employed appropriately by the LRC (development of knowledge, legal advice, training, etc.). This was verified in part through an onsite audit by the SDC internal audit office. *"The SDC was the only supporter during a time that was very difficult but also important for South Africa. The contribution was significant both to the organization and to the activities of the LRC." Janet Love, National Director LRC, Johannesburg, 08.11.2012.* • The objectives of the project were achieved at the time of project completion. The security guaranteed by the SDC's financial support gave the LRC sufficient time to find other donors in order to ensure broader financial support. However, only a few new donors were interested in financial support.
Exit process
• The exit and the duration of the support were defined by the duration of use of the fund assets from the outset (10 years). • Collaboration was based on partnership, and the gradual exit was unproblematic.
Brief description of current situation
• After the withdrawal of foreign donors funding, the LRC had to temporarily scale down certain activities. The LRC currently has 80 employees (highest level: 100 employees). The LRC is recognized as a competence centre for human rights, currently operating four branch offices (Johannesburg, Durban, Grahamstown, and Cape Town) and is active in both urban

as well as in remotest rural areas of South Africa. The LRC has a broad network for this purpose.
- Fundamentally, today's LRC activities are the same as when the SDC exited, but the range has expanded somewhat as a consequence of certain political developments. Aspects of socially disadvantaged children and the accountability of the private sector for environmental pollution are now an additional focus, for instance.

Summary evaluation

The SDC's contribution was important for the establishment of the LRC. The collaboration was good, and the gradual exit was proper. The objective of using the financial contribution to support the LRC's activities was fulfilled. The LRC is still active for the benefit of the human rights of disadvantaged population groups. SDC's support has therefore achieved the objective of organizational development. This project was one of the projects from the first phase of the SDC's engagement with a focus on human rights. There has certainly been substantial progress in South Africa in this regard (e.g., Truth and Reconciliation Commission), but smooth access to the legal system is not yet guaranteed to everyone.

3.2 Projects in India

The following figure provides an overview of the field mission in India with the project locations visited.

Figure 11: India field mission with project locations visited
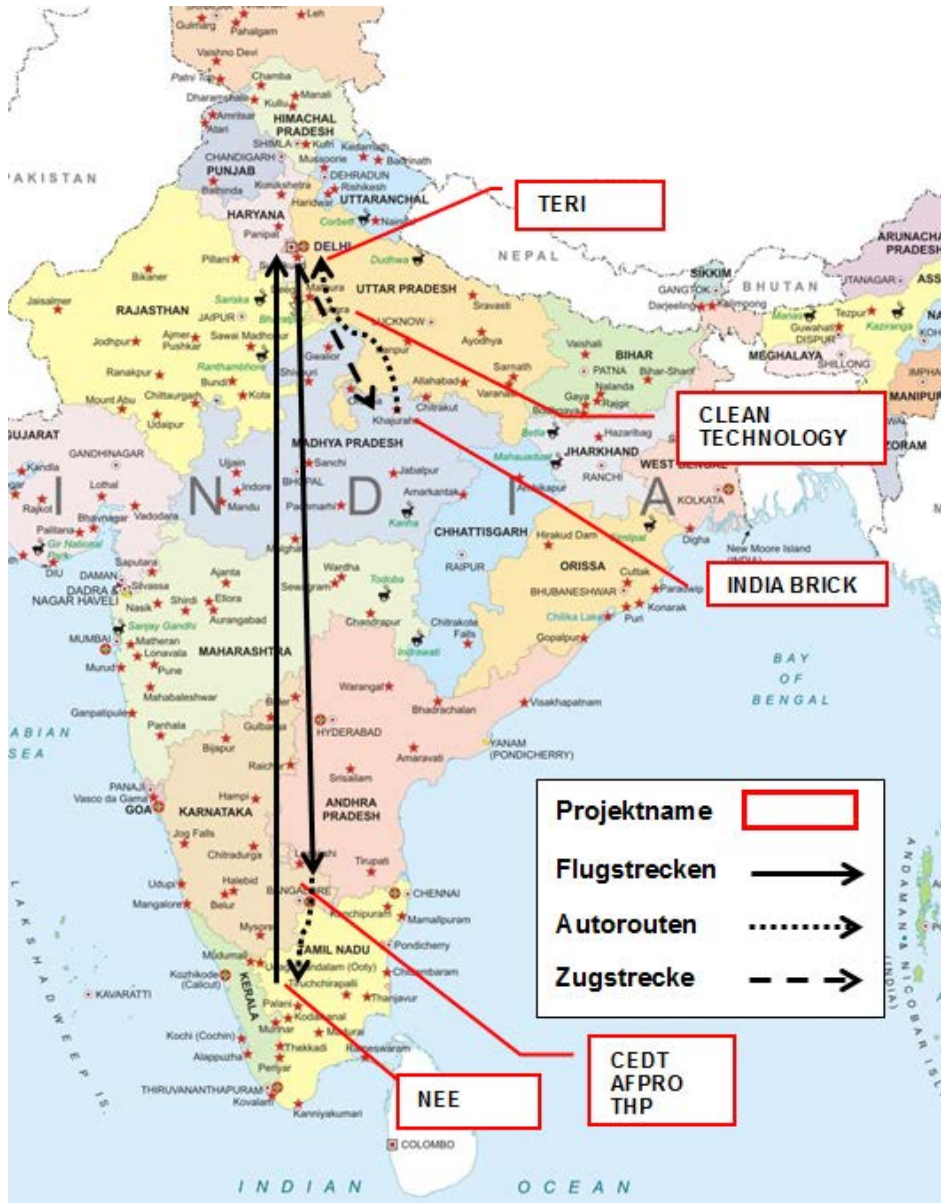
Source: SFAO graphic

3.2.1 INDIA BRICK

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
INDIA BRICK PROJECT	01.07.00	30.06.06	Energy efficiency, national	Project contribution	2 346 000

Project synthesis
After China, India is the largest brick producer in the world, with a production of about 170 billions bricks per year. The brick industry is unorganized and is dominated by many small companies. Production is work- and energy-intensive (coal) and seasonal. This has a negative impact on the environment in terms of CO_2 emissions, air pollution, soil erosion, and deforestation. The SDC supported a programme for the introduction and dissemination of "Vertical Shaft Brick Kiln (VSBK) technology, which is a more energy-efficient, and environmentally friendly technology for the production of clay bricks. The project's target group consisted primarily of small and medium-size brick producers. Other relevant interest groups, including national (Central Pollution Control Board) and state authorities, financial institutions (Small Industries Development Bank of India), professional associations, and technology service providers were included at various stages of the project. The most important implementing partners were the three NGOs: Development Alternatives (DA), Gram Vikas (GV), and The Energy Resources Institute (TERI).

Objectives
The *higher order objective* of the project was to contribute to an improvement of energy efficiency and a reduction of environmental pollution through economic, socially just, and ecologically sustainable brick production. The following *project objectives* were defined: - Dissemination of a technologically adapted VSBK,   - Creation of a supporting environment for the promotion and dissemination of VSBK,   - Development and running of a political dialogue among the various interest groups in the brick industry, and   - Improvement of working conditions in the brick industry (e.g., unfair labour practices, child labour, gender discrimination).

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	
Administrative final report	X	SDC onsite	X
Project material (brochures, etc.)	X	Government offices onsite	
Interim project reports	X	Implementing organization onsite	X
Final report	X	Local organizations	X
Evaluation report		Target group	X

Workshop in New Delhi with stakeholders in the brick sector

Brick producer (VSBK) near Tikamgarh (Madhya Pradesh)

Achievement of objectives upon Switzerland's exit
• According to the various actors, the project initiated numerous measures. At the time of project conclusion, however, the individual project objectives had been only partially achieved. For instance, political recognition of this branch of industry and labour conditions had not been significantly improved. Similarly, VSBK had only been disseminated to a limited extent, at approximately 100 production sites.   *"The capital costs and the intensity of personnel and management remain barriers to entry for the introduction of VSBK, especially for small brick producers." Report on the India Brick Project, Fourth Vision Ahmedabad, May 2005.*   • Through the approximately 100 installed VSBKs, the overarching objective of the projects, namely a contribution to improving energy efficiency and reducing environmental pollution, could be partially achieved.
Exit process
• The handover of the project was done properly and fairly. In retrospect, the involved actors saw the SDC's exit as a great opportunity to take over and further develop the project activities themselves. The SDC was seen as an equal partner.
Brief description of current situation
• The project helped build up considerable knowledge, thus leading to advances in research and development in this industrial sector (including technology, knowledge database). For instance, various international conferences on the topic of ecological brick production have taken place.   • The former implementing partners now have considerable experience in this industrial sector. For instance, the VSBK technology has also been exported to various neighbouring countries (e.g., Nepal, Bangladesh, and Vietnam) as well as South Africa with the help of Indian experts (competence centres).   *"The coal testing equipment and the handbook were developed in cooperation with the VSBK teams from Nepal, Pakistan, India, and Afghanistan." 2011 Annual Report, Development Alternatives.*

- The sector with approximately 100,000 mostly small producers continues to face great challenges (e.g., mechanization pressure, raw materials' prices, alternative products, energy consumption, efficiency improvements, lack of government support). As a result, a greater dissemination of VSBK technology in terms of volume throughout India has not yet been achieved. Currently, only about 150 enterprises have switched to VSBK. The main reasons cited include high investment costs, lack of information, and lack of entrepreneurial spirit.

Summary evaluation

The individual objectives of the projects were partially achieved. The collaboration was praised by all parties involved. The SDC exit was prepared well and was communicated clearly and early on. The SDC's support was very selective (branch of industry, region, technology), which set limits to the dissemination of results to other regions (such as huge distances, lack of onsite presence). The organizations mandated to carry out the project were able to build up competences leading to the realization of brick projects in other countries as well. Technology transfer thus took place internationally, which is a positive aspect. The brick industry continues to face major challenges that it cannot solve on its own. Labour conditions in this branch of industry continue to be difficult (e.g., labour practices, child labour, gender discrimination).

3.2.2 TERI

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
TERI -The Energy Resource Institute	01.12.95	31.12.05	Environment and energy, national	Organizational contribution	5 922 000

Project synthesis

The Energy Resource Institute (TERI) was responsible for the implementation of various SDC projects. This made TERI the most important SDC partner in India in the environmental and energy field. To ensure institutional cooperation and exchange of experiences in view of the important key questions in the environmental field, the SDC not only supported projects, but also made a financial contribution to TERI as an organization (core funding). The SDC's financial support was intended to contribute to TERI's organizational development and facilitate its growth and independence, while at the same time strengthening the partnership. In the last phase of support, cooperation focused on improving information and communication processes, training to improve competence as a training institute, preparing film materials, and developing fundamental studies as basis to influence framework conditions in the environmental sector.

Objectives
The *higher order objective* of the project was to strengthen TERI as an institution and to support it in the successful achievement of its mission. The following *project objectives* were defined: • Establishment of TERI as an agent of change for global sustainable development, • Provision of training opportunities for poor countries, • Dissemination of TERI's message through audio-visual productions, and • Promotion of solutions for sustainable resources management.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	
Administrative final report	X	SDC onsite	X
Project material (brochures, etc.)	X	Government offices onsite	
Interim project reports		Executing organization onsite	X
Final report		Local organizations	
Evaluation report		Target group	

Meeting at TERI headquarters in New Delhi

IHC Complex, TERI headquarters in New Delhi

Achievement of objectives upon Switzerland's exit
• The specific project objectives in regard to establishing TERI as a national and international research centre in the environmental and energy field were achieved. Various audio-visual products and training offerings were developed. It was positively received that the SDC exercised restraint in the development of TERI, i.e., that the assistance was "invisible". *"The financial resources received from the SDC for our organization were of great relevance to the strengthening and growth of TERI." R.K. Pachauri, Director-General 2005.*

Exit process
• The exit was communicated clearly from the outset, and cooperation was good throughout the entire phase of support. The SDC was perceived by TERI more as a partner than exclusively as a donor. • Already at the time of Switzerland's exit, TERI had a sufficiently broad financial basis to ensure continuation of the former projects.
Brief description of current situation
• Today, TERI is known as an institution with an international impact in the field of energy and environmental policy, and its financial basis is good. At the beginning of the SDC's support, TERI had 150 staff members; now it has 900. Its name recognition has made it easier for TERI to find new donors (e.g., World Bank, European Union). *"It is our mandate to take full advantage of the potential of a national and international leadership role as a knowledge-based agent of change in the field of energy, the environment, other natural resources, and sustainable development." TERI, 2011 Annual Report.* • It is worth mentioning that the former Director-General of TERI, Mr. R.K. Pachauri, received the Nobel Peace Prize in 2007 as the Chairman of the IPCC[10]. • Within the framework of India's environmental programme (Global Programme Climate Change), the SDC continues to work together with TERI.
Summary evaluation
Support of TERI has been a success story for the SDC. The SDC's support has contributed to the development of TERI into a globally renowned institution with great influence on questions of energy and environmental policy. TERI's international recognition is crucial so that the search for solutions to the persistent major problems in the field of climate and environment in India is taken seriously.

3.2.3 CLEAN TECHNOLOGY

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
Clean Technology Promotion in Foundries	01.07.01	31.12.09	Environment and energy, national	Project contribution	1 649 000
Project synthesis					
Since 1994, the SDC has supported various products in India in connection with the research, development, demonstration, and dissemination of energy-efficient and environmentally friendly technologies in selected branches of small industry (e.g., foundries, glass melting, brick production, and biomass production for heating applications). In this project, the SDC supported the promotion and dissemination of a new, more environmentally friendly technology in the					

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[10] *The Intergovernmental Panel on Climate Change (IPCC) is the leading international organization for evaluating climate change. It was founded in 1988 by the United Nations Environment Programme (UNEP) and the World Meteorological Organization (WMO).*

foundry sector. Increased energy efficiency is an important factor in reducing operating costs, improving labour conditions, and the ecological situation. The target group consisted primarily of innovative small and medium enterprises that were not only interested in introducing clean technology, but were also willing to take measures to improve labour conditions. The Energy Resource Institute (TERI), a renowned Indian institute specialized in energy questions, was responsible for implementation of the project. Collaboration was broadly based with additional Indian and international institutions (including ABB Alstom India, Indian Foundry Association IFA, Indian Institute of Foundrymen IIF).

Objectives

The *higher order objective* of the project was to improve energy efficiency in SMEs in India. The following *project objectives* were defined:

- Promote the market for energy-efficient and environmentally friendly technologies and services in the foundry sector in India and accelerate dissemination,
- Develop concepts, measures, and instruments that demonstrate the technical and socio-economic advantages of innovative technologies, and
- Establish a platform for sharing experiences among various interest groups, including on the topics of labour conditions and competitiveness.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	
Administrative final report	X	SDC onsite	X
Project material (brochures, etc.)	X	Government offices onsite	
Interim project reports		Implementing organization onsite	X
Final report	X	Local organizations	X
Evaluation report		Target group	X

The first glass melting furnace installed by TERI in Firozabad   The final product: glass bangles

Achievement of objectives upon Switzerland's exit
• The objective of using pilot operations to demonstrate and promote environmentally friendly and resource-saving technologies in the glass and foundry industry and to develop relevant concepts and materials was achieved. *"The project's success led to a partnership between TERI and the Bureau of Energy Efficiency to promote energy-efficient options in the glass industry cluster of Firozabad." Factsheet, TERI-SDC Intervention in the Glass Industry, 30 November 2012.* • Dissemination of the new, more environmentally friendly technology and initial improvements to the social aspects of workers were achieved to some extent.
Exit process
• The exit was announced early on and was executed properly. The collaboration was deemed very good by TERI.
Brief description of current situation
• The visit by the SFAO in the city of Firozabad – centre of the production of glass bangles in India – shows production sites are switching or have switched to more environmentally friendly and resource-saving technologies (gas instead of coal). TERI's work was praised by the entrepreneurs and deemed both valuable and indispensable. The enterprises expressed a continuing desire for expert assistance in the process of further technological development. *"In 2010, 650 Indian small and medium enterprises in the foundry and glass production sector saved 487,000 metric tons of CO_2 and 139,000 metric tons of oil, thanks to environmentally friendly technologies." TERI - SDC Partnership, Report External Review, Delhi, July 2011.* • TERI as an organization has reduced research activities in this field in recent years and focused on more current issues (such as climate change). As part of the Global Programme Climate Change in India, the SDC continues to work together with TERI. • The cooperation in recent years between the SDC and TERI was evaluated by local experts in 2011, who considered the many years of partnership a successful model for achieving development policy objectives.
Summary evaluation
In demonstrating and disseminating energy-efficient, environmentally friendly technologies in selected branches of small industry, TERI assumed a certain pioneering function and was able to achieve first successes. High investment costs, rising commodity prices, and in part the lack of natural resource supplies (including gas), as well as a lack of state support turned out to be obstacles to the further dissemination of new, environmentally friendly technologies, however.

3.2.4 CEDT

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
CEDT - Centre for Electronic Design & Technology	01.01.80	31.03.09	Higher education, local	Organizational and project contribution	10 313 000

Project synthesis

The Centre for Electronic Design & Technology (CEDT) was founded in 1974 as part of the Indian Institute of Science (IISc) in Bangalore. Over the years, CEDT developed into one of the leading Indian institutions of higher education in the field of electronics, in close collaboration with industry. The first CEDT courses were offered as a post-graduate diploma targeting the needs of small industry. Today, the graduates of the master's programme are mainly hired by internationally companies operating out of Bangalore (also referred to as the "Silicon Valley of India"). In the first years of cooperation (1974-1992), the SDC funded infrastructure (buildings) and equipment (laboratories), as well as Swiss experts to strengthen capacities of members of the faculty and management. In the context of liberalization of the Indian economy and the growth of microelectronics, the SDC continued to support the further development and expansion of CEDT (1992-2001). In the last phase of cooperation (until 2009), the SDC used small contributions to promote targeted activities (including basic and continuing education courses, conferences, international student exchange programmes, and networking activities). The beneficiaries were the CEDT as such, i.e. the management, members of the faculty, support workers, and ultimately also the students. Students and instructors are recruited throughout India.

Objectives

The *higher order objective* of the project was to contribute to the development of the emerging Indian electronics industry through highly qualified electronic engineers. The following *project objectives* were defined:

- CEDT offers highly qualified training to cover the needs of the industry as optimally as possible.
- CEDT is to become a leading institute in selected areas of research and development.
- CEDT is to become a high-quality, dynamic, and professional institution to the satisfaction of the faculty, the employees, the students, and the sponsors.
- CEDT establishes alliances with selected educational institutions as well as national and international companies operating in India.
- CEDT develops into an independent and financially autonomous institution, at least in terms of infrastructure and equipment.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	
Administrative final report	X	SDC onsite	X
Project material (brochures, etc.)	X	Government offices onsite	
Interim project reports	X	Implementing organization onsite	X
Final report		Local organizations	
Evaluation report		Target group	X

Entrance to CEDT, now called DESE

Laboratory at CEDT/DESE

Achievement of objectives upon Switzerland's exit
• The various objectives envisaged through the support of CEDT, especially also in the earlier phases (including founding and expansion of the institute, development of building infrastructure, reciprocal exchange programmes between India and Switzerland) were achieved. At the time of exit, CEDT was a leading institution of higher education in the field of electronics. • In the last phase of the SDC's support of CEDT, the SDC no longer played a sustaining role. Only targeted, smaller activities were supported; there were no longer any concrete project objectives. The resources provided were employed as envisaged.
Exit process
• The last phase up to and including exit lasted about ten years. Exit took place in a continuous process of reduction and handover. *"The slow withdrawal of Swiss support allowed CEDT to develop its own path and not to collapse as is the case for many other projects. The withdrawal was performed perfectly." Professor N.J. Rao, CEDT 1990 - 2006, Bangalore, Note of December 2012.* • The cooperation was deemed very good throughout the entire phase of the project until its completion.

Brief description of current situation
- The centre is now a complete department within the electronic sciences at the Indian Institute of Science. In January 2012, CEDT was renamed the Department of Electronic Systems Engineering (DESE).   - Education at DESE has a good reputation and is recognized throughout the country. Graduates have no problems whatsoever finding appropriate jobs. The relevance of SDC support for the current situation of DESE is deemed very high by DESE representatives.   *"This education is absolutely recommended, and we would go through the course of studies again." TEXAS Instruments, CEDT Alumni 2008 - 2010, Bangalore, 05.12.2012.*   - Whether the values for successful work conveyed within the project can continue to be cultivated and maintained in the long term is primarily dependent on individuals and therefore uncertain.   - Major maintenance work and expansions are scheduled for the DESE building. Provision of the necessary resources for this purpose by the IISc, which is responsible for the building, currently poses a great challenge.
Summary evaluation
The CEDT project was not the only project supported by the SDC in the field of higher technical education. This project should not be considered a classical development assistance project, however, since the beneficiaries – with a few exceptions – are not directly from parts of the population affected by poverty. CEDT was in many ways a pioneer in the field of electronics education in India and has developed into a leading institution in this area. For the SDC, this project is a major success story. Although already known as a leading institution of higher education in India, CEDT continued to be supported during the final years of the project with small contributions of about CHF 50,000 annually. The SFAO takes a rather critical view of the last phase of support in terms of objectives and purpose and thus of the proper time of exit.

3.2.5   NEE

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
NEE: Network Electronic Education	01.04.98	30.06.05	Higher education, provincial	Project contribution	1 701 000
Project synthesis					
In the years 1990 – 1997, the World Bank together with 31 technical colleges in India carried out the IMPACT project, most of which was co-funded by the SDC. After the conclusion of IMPACT, five electronics and engineering faculties of colleges throughout India (including the Centre for Electronics Design and Technology, CEDT) took the initiative to continue and deepen the cooperation initiated under IMPACT. Within the NEE project, the SDC supported a wide range of activities of the five institutions concerning cooperation (e.g., exchange of staff members and students and the joint use of resources), quality management (e.g., improvement and harmonization of internal processes in terms of quality assurance of the courses of study), and					

networking (e.g., establishment of a joint Internet platform). The beneficiaries were the five college institutions with their managements, instructors, support staff, and ultimately also their students. The project was implemented and executed independently by the five institutions. The only NEE employee was a coordinator who ran the "Network Facilitation Unit" for the duration of the project.

Objectives

The *higher order objective* of the project was to make exceptionally well trained workers available for the electronics and engineering industry. The following *project objectives* were defined:

- Improvement of the quality of education and the professionalism of instructors,
- Exchange of information and experience in a wide range of areas, and
- Continuation of the network after conclusion of the project with its own resources.

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	
Administrative final report	X	SDC onsite	X
Project material (e.g., brochures)	X	Government offices onsite	
Interim project reports	X	Implementing organization onsite	X
Final report		Local organizations	
Evaluation report		Target group	X

Discussion with instructors at the PSG College of Engineering

The PSG College of Engineering in Coimbatore

Achievement of objectives upon Switzerland's exit
• In the view of concerned persons, various individual objectives were achieved by the end of the project (including professionalization of the instructors, team-building, quality management, standards, and manuals). The motivation of the participants was great, and a wide range of activities took place (e.g., workshops, exchange programmes). NEE represented a good platform for the exchange of ideas and reflexions relating to quality standards for the concerned institutions. *"Overall, NEE proved to be a good platform for the exchange of ideas and considerations on the quality of higher education. Other institutions expressed interest in joining, and one of them is now a NEE member." Briefing Note on Network, André Pittet, August 2006.* • This mission did not examine in detail to what extent NEE has contributed to the overarching achievement of objectives – provision of exceptionally well trained workers for the electronics and engineering industry.
Exit process
• The project was concluded as planned in cooperation with the five involved institutions. • For the involved persons, the role and exit of Switzerland were clear and unambiguous from the outset.
Brief description of the current situation
• At the PSG College of Engineering in Coimbatore visited by the SFAO in the southern state of Tamil Nadu, the tools and instruments developed by NEE (including certifications, processes, learning programmes) continue to be used. The interviewed partners all held positive views of the former NEE project. *"It is up to the involved persons to take what they have received and to make the best use of it." Dr. A. Kandaswamy, PSG College of Technology Coimbatore, 07.12.2012.* • Continuation of the network at the present time is not secured. With the exception of certain personal contacts, including with CEDT, it is currently hardly operational anymore. Although exchange of experiences and cooperation with other institutions are viewed as important for further development of the individual institutions, financial resources are lacking for the continuation of the network. A limited continuation of the project is likewise uncertain, since the transfer of the NEE knowledge and ideas is heavily dependent on the persons involved.
Summary evaluation
The project was a consequence of experiences and relationships derived from another project. The experiences made during this project were considered positive by everyone involved. The activities no longer take place in a standardized form, or are limited by the lack of financial means. The former NEE activities no longer have top priority, and it must be expected that without clarification of responsibilities and management among concerned institutions, they will tend to further decline.

3.2.6   AFPRO

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
AFPRO, Sustainable Livelihoods	01.06.82	30.09.07	Rural development, national	Organizational and project contribution	10 656 000

Project synthesis
AFPRO (Action for Food Production) is an Indian non-governmental organization originally established by church groups, specializing in support to and technical advice for food production in rural areas. For this purpose, AFPRO works together with local organizations, government offices, and other donor agencies. AFPRO was one of the first civil society partners of SDC in India and was given financial support over several phases. Firstly through a consortium of donors with a contribution to AFPRO as an organization (core funding), and secondly with project contributions for improved management of natural resources. The consortium included the SDC, as well as three church organizations in Germany and the Netherlands and the main beneficiary of the joint support was AFPRO. The target groups of the projects consisted primarily in socially and economically disadvantaged groups in rural areas, mainly small agricultural producers (livestock, pasture farming, forestry and fishing) in regions with a low level of rainfall. As vital components for the beneficiaries, the focus was often on ensuring access to water and the sustainable use of water resources.

Objectives
The *higher order objective* of the project was to strengthen and support AFPRO in its mission to reduce poverty through a sustainable improvement of livelihoods in dry rural areas. For the last phase of the project, the following *project objectives* were defined:

- Strengthening of communities and individuals for the sustainable management of natural resources, with a priority on water,
- Strengthening of local networks to handle problems affecting target groups in relation with water, forestry, livestock breeding, and fishing,
- Testing and promoting appropriate local technologies for the sustainable use of resources, and
- Development of skills of persons and partner organizations to promote a change in values in regard to existing discrimination (e.g. caste and gender).

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	
Administrative final report	X	SDC onsite	X
Project material (brochures, etc.)	X	Government offices onsite	X
Interim project reports	X	Implementing organization onsite	X
Final report	X	Local organizations	X
Evaluation report	X	Target group	X

Meeting with community representatives in Oorguntemittor   Access to drinking water in Oorguntemittor

Achievement of objectives upon Switzerland's exit
• The objective of strengthening AFPRO as an organization was achieved. • The specific objectives envisaged within projects were largely achieved on a regional basis after termination of the support. Resource management (including water catchment, water management) constitutes however a permanent project in this regard. • The evaluation carried out by local partners in 2007 also reaches a positive conclusion in its evaluation of achievement of the objectives. *"The impact of the measures relating to water and sanitation supply as well as hygiene is visible among the communities, and watershed management is contributing to improved quality of life in the communities. The individual interventions carried out in selected communities concerning food security were hardly able to unfold their impact, however."* SOPP and Hope, External Evaluation AFPRO, New Delhi, 17.02.2007.
Exit process
• Cooperation was deemed fruitful by both sides. • The exit of the entire consortium came as somewhat of a surprise to AFPRO. • AFPRO was insufficiently prepared for securing primarily project-related financing after institutional financial support was dropped. The SDC then provided temporary financial assistance, which was very much appreciated by AFPRO.
Brief description of the current situation
• After the SDC's final exit, AFPRO was at first only able to generate limited project-related funds. This difficult transition period was covered with reserves accumulated in earlier years, however. AFPRO now has a broader and primarily project-related funding basis and is active in 10 Indian states. • Knowledge transfer between staff members who were able to benefit from SDC support and new AFPRO staff members is taking place, albeit not on a standardized basis. • AFPRO is still active in the same areas with the same objectives. The need for availability of water and its sustainable use remains, as was observed during a visit to a small rural village in the vicinity of Kolar, in the state of Karnataka. AFPRO's work there was very much praised

by the beneficiaries. However, promises made during past development assistance projects of other organizations, but not kept, did lead to a certain scepticism regarding the success of assistance measures.

Summary evaluation

The SDC's contribution was important for the establishment and development of AFPRO. AFPRO has now established itself as a competence centre on natural resource management and, after initial difficulties, has found other donors for the realization of projects. This example does show the problems arising for an aid organization, when a long-standing and heavy financial dependency on a single donor exists. In retrospect, one may ask whether a step-by-step withdrawal of the consortium might have alleviated the problem of raising the necessary funds. Efficient and ecological management of natural resources (including water) continues to be an urgent topic in certain regions of India and is actively pursued by AFPRO.

3.2.7 THE HUNGER PROJECT

Project name	Start date	End date	Sector and geographic focus	Type of contribution	Amount in CHF
THP -The Hunger Project	01.06.04	30.11.09	Decentralization, national	Organizational contribution	3 486 000

Project synthesis

The Hunger Project (THP) is a global non-governmental organization committed to contribute to the sustainable reduction of world hunger. THP India has focused its activities on the advancement and strengthening of women elected to community councils (Gram Panchayats). Certain quotas are reserved for women in the community councils, including for representatives of the lowest caste[11]. THP worked together with more than 60 local civil society organizations in 14 states for this purpose. In addition to certain project activities, the SDC supported THP within the framework of an institutional partnership with a financial contribution primarily intended to strengthen the organization (core funding). The contribution was earmarked to support THP in the implementation of its mission. The activities of THP coincided with the SDC strategy for India to support national decentralization efforts. The target groups consisted primarily of women from the lowest social conditions (castes), often without schooling or other training, as well as voters and other Gram Panchayats members. During the project phase, THP supported more than 50,000 elected women in over 500 villages primarily through advice, training, and workshops.

Objectives

The *higher order objective* of the partnership was to support THP in its mission to strengthen the leadership role of women in community councils, taking account of the principles of solidarity, equality, and justice. The following *project objectives* were defined:

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[11] *The caste system is one of the main characteristics of Indian society. In India, every person is born into a certain caste on the basis of his or her karma. This caste membership is hereditary, and the rules of the caste determine the future spouse and the entire course of one's life.*

- Demonstration of the effective role women play in Gram Panchayats in addressing key development issues at the village level
- Demonstration of the central role of Gram Panchayats on questions of food security, health care, justice, gender equality, and livelihood creation; and
- Strengthening of Gram Panchayats's capacities to successfully plan, finance, and implement decentralized development

Data sources			
Documents		**Interviews**	
Credit proposal	X	SDC headquarters	
Administrative final report	X	SDC onsite	X
Project material (brochures, etc.)	X	Government offices onsite	
Interim project reports	X	Implementing organization onsite	X
Final report	X	Local organizations	X
Evaluation report		Target group	X

Meeting with the organization ODP in Mysore

Meeting with municipal representatives in the village K.R. Nagat

Achievement of objectives upon Switzerland's exit
- The objectives envisaged as part of the project were achieved onsite. Support of THP activities by the Minister of the central government responsible for decentralisation at the time certainly facilitated successful achievement of the objectives.   *"Impact of the THP – SDC partnership: Institutionalization of THP, expansion of the scope of activities, achievement of a critical mass in cooperation with the NGO, innovation – community-building, improved lobbying work with government offices, partnership with national and regional governments, and institutional strengthening.» Presentation, THP Head Office, New Delhi, November 2012.*
Exit process
- Cooperation during the final phase of the project was deemed good by both sides.   - THP very much regretted the exit.

• So that THP could prepare for broader fundraising, the exit was supported with a contribution of about CHF 100,000.	

Current situation

- THP in India has established itself as a competence centre recognized by the government to support women elected to community councils, but has now reduced its activities from 14 to 8 states.
- Today, THP is funded via projects of various donors. In contrast to its earlier support by the SDC, THP now lacks longer-term financial security. Additionally, the strategy shift within international development cooperation toward climate change as a key issue has made it more difficult for THP to raise funds.
- Despite the persistently great social difficulties of women in India, the position of women in community councils has improved according to the information received. This has been aided in part by the engagement of the SUGRAMA association established by the women concerned.

"SUGRAMA gives us women the power to tackle the upcoming challenges in view of a positive development in the communities." Representative of the Gram Panchayat, Nagara, 06.12.2012.

- Of the 1.3 million women elected today in India, about 30% are representatives of the lowest social caste. The stronger role of women in society today leads to new and increasing social tensions with men and within the traditional caste system, however.

Summary evaluation

The SDC's contribution was important to the organizational development of THP. Cooperation with the SDC was perceived by THP as a good and unique partnership. The exit was prepared well and communicated clearly and early on. The objectives of the project were achieved. Today's situation of women in India shows that THP's mission is far from over.

3.3   Summary

The tables below (Figures 12 and 13) summarize the results from the previous chapters in regard to achievement of objectives. The table shows the higher order objectives and the project objectives for each examined former project, as well as assessments of the achievement of such objectives, at the time of SDC exit and at the time of the SFAO mission in 2012 respectively. The higher order objectives are overarching goals to which a development project should contribute and which generally have a long-term orientation (level of impact). In contrast, project objectives (level of outcome) are medium-term objectives, which are to be achieved as a result of the successful implementation of activities (level of outputs). SFAO's Assessments of the degree of achievement of objectives were divided into three categories (objectives achieved, partially achieved, insufficiently/not achieved). These assessments are based on the evaluation of available documentation and statements by interviewees.

Other comments on the answers to the questions posed at the outset as well as the conclusions can be found *in Chapters 4 and 5.*

Figure 12: Overview of assessment of achievement of project objectives in South Africa

Project name	Objectives according to credit proposals (short version)	Achievement of objectives at end of project (2005-2009)	Achievement of objectives in 2012
IKHWEZI	*HOO: Improvement of primary education and educational opportunities in Eastern Cape districts*	✕	🙂 partially
	Development of independent school groups, including multimedia centres	🙂 achieved	☹ not achieved
	Development/training of persons responsible for education	🙂 achieved	🙂 achieved
	Development of management competences of regional authorities responsible for primary schools	🙂 achieved	🙂 partially
	Training of school authorities/life skills, focus on HIV/AIDS	🙂 achieved	🙂 partially
ITEC	*HOO: Establishment of a dynamic and adaptable FET programme in the Eastern Cape province*	✕	☹ not achieved
	Development of FET programme	🙂 achieved	🙂 achieved
	Development of process to ensure implementation of FET in schools	🙂 partially	🙂 partially
	Development and implementation of a replicable FET model	🙂 partially	☹ not achieved
	Information campaign for schools and districts	🙂 achieved	🙂 achieved
	Adoption of FET programme by other schools	☹ not achieved	☹ not achieved
RDP	*HOO: Improvement of access of disadvantaged persons in new settlements and to social infrastructures*	✕	🙂 achieved
	Development of 3,800 parcels of land	🙂 achieved	🙂 achieved
	Strengthening of democratic participation through cooperation	🙂 partially	🙂 partially
	Creation of temporary jobs	🙂 partially	🙂 partially
NICRO	*HOO: Contribution to the development, implementation, and continuation of the TEP reintegration programme for convicts in South Africa.*	✕	🙂 partially
	Support for implementation and further development of TEP	🙂 achieved	🙂 partially
	Intensification of cooperation between NICRO and government offices in regard to implementation of reintegration as a part of the national crime prevention strategy	🙂 partially	🙂 partially
SHERIFFS	*HOO: Support for successful implementation of NAP*	✕	🙂 achieved
	Development of capacities and training programmes	🙂 achieved	🙂 achieved
	Institutional strengthening of management of the Board	🙂 achieved	🙂 achieved
	Support for transformation process	🙂 achieved	🙂 achieved
	Development of a communication strategy	🙂 achieved	🙂 achieved
SAIDE	*HOO: Contribution to good quality of education through integration and further development of distance learning*	✕	🙂 partially
	Promotion of further development of access to FET system	🙂 achieved	🙂 achieved
	Contribution to development of FET courses and materials	🙂 achieved	🙂 achieved
	Contribution to dissemination of information	🙂 achieved	🙂 achieved
LRC	*HOO: Strengthen LRC as institution*	✕	🙂 achieved
	Land, housing, and development services	🙂 achieved	🙂 achieved
	Constitutional law	🙂 achieved	🙂 achieved
	Gender equality	🙂 achieved	🙂 achieved
	Environmental law	🙂 achieved	🙂 achieved

Key: 🙂 = objective achieved, 🙂 = objective partially achieved, ☹ = objective insufficiently/not achieved,

☒ = higher order objective cannot yet be assessed, **HOO** = Higher order objective;

Figure 13: Overview of assessment of achievement of project objectives in India

Project name	Objectives according to credit application (short version)	Achievement of objectives at end of project (2005-2009)	Achievement of objectives in 2012
INDIA BRICK	*HOO: Contribution to energy efficiency and reduction of environmental pollution*	✕	🟡
	Dissemination of VSBK (technology)	🟡	🟡
	Creation of a supporting environment	🟢	🟡
	Installation of a political dialogue	🟢	🟢
	Sensitization to labour conditions	🟡	🟡
TERI	*HOO: Institutional support of TERI*	✕	🟢
	Agent for global sustainable development	🟢	🟢
	Development of training opportunities	🟢	🟢
	Creation of audio-visual productions	🟢	🟢
	Promotion of solutions for sustainable resource management	🟢	🟢
CLEAN TECHNOLOGY	*HOO: Improvement of energy efficiency in SMEs in India*	✕	🟡
	Promotion and dissemination of environmentally friendly technologies	🟡	🟡
	Development of demonstration instruments	🟢	🟢
	Establishment of a platform for exchange of experiences	🟢	🟢
CEDT	*HOO: Qualitative contribution to electronics industry*	✕	🟢
	Offering for highly qualified training	🟢	🟢
	Leader in research and development	🟢	🟢
	Recognized institution to the satisfaction of all	🟢	🟢
	Establishment of strategic alliances	🟢	🟢
	Development into an autonomous institution	🟢	🟢
NEE	*HOO: Enhancing quality of education and educators in members institutions (electronic higher education)*	✕	🟢
	Promotion of quality of instructors and training	🟢	🟢
	Exchange of experiences	🟢	🟡
	Independent continuation of the network	n.a.	🔴
AFPRO	*HOO: Reduce poverty through sustainable improvement rural livelihoods*	✕	🟡
	Strengthening of self-responsibility in communities	🟢	🟢
	Strengthening of local networks	🟢	🟢
	Promotion of adapted technologies	🟢	🟢
	Promotion of change in values	🟡	🟡
THE HUNGER PROJECT	*HOO: Institutional support for THP's mission*	✕	🟢
	Demonstration of role of women in Gram Panchayats	🟢	🟢
	Demonstration of role of Gram Panchayats in key community development issues	🟢	🟢
	Strengthening of Gram Panchayats' capacities to plan and implement decentralised development	🟢	🟢

Key: 🟢 = objective achieved, 🟡 = objective partially achieved, 🔴 = objective insufficiently/not achieved,

✕ = higher order objective cannot yet be assessed, **HOO** = Higher order objective; **n.a.** = not assessable

4 Answers to the questions posed at the outset

4.1 Achievement of project objectives at the time of Switzerland's exit?

SFAO's assessment whether a project objective was achieved or not (including indication of possible reasons) was based on available documents and on the expert interviews conducted. Both the available documents and the information gathered from interviews varied considerably in terms of quantity and quality. In general, it must be noted that many objectives of the examined projects are formulated in very general terms and an accurate evaluation of the achievement of objectives on the basis of the available information is often heavily dependent on interpretation. An aggravating factor is that many of the project objectives, as they are presented in the project documentation, cannot be classified unambiguously in terms of their definition and formulation. Often, the question remains open as to whether the objectives relate to outputs or outcomes. Similarly, the relevance of the individual project objectives within the projects is often weighted in very different ways.

On average, the 14 projects considered in this evaluation in both countries had three to five project objectives that were defined at the beginning of the project.[12]

This investigation shows that across both countries, a total of 40 objectives out of 51 (78%) can be considered as achieved. Nine objectives (18%) can be considered as partially achieved, and one objective each is classified as insufficiently achieved or not assessable. In the latter case, an evaluation was not possible due to a lack of or insufficient information. These results correspond to results of other studies.[13] Both countries offer a similar picture. In South Africa, 75% of the envisaged objectives could be achieved. Six objectives were partially achieved or only insufficiently or not at all. In India, slightly more than 80% of the objectives could be achieved, and 15% were achieved partially while 4% could not be assessed at all.

Figure 14: Evaluation of project objectives at the time the project ended (2005 – 2009)

Objectives	Total (14 projects)		South Africa (7 projects)		India (7 projects)	
	Quantity	%	Quantity	%	Quantity	%
Achieved	40	78.4	19	75	21	80.8
Partially achieved	9	17.6	5	20	4	15.4
Insufficiently/not achieved	1	2	1	5	0	0
Not assessable	1	2	0	0	1	3.8
Total	51	100	25	100	26	100

Source: SFAO, Table and evaluation

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[12] *Since the overall objectives generally represent long-term goals, they cannot yet be assessed in a conclusive manner at the time of exit and are not discussed in this chapter.*

[13] *SECO, Annual Report; The Effectiveness of Economic Development Cooperation, Bern 2009, 2012.*

The high proportion of project objectives considered as achieved in both examined countries is understandable in that they represented the basis for activity planning by the implementing organizations. As a rule, they constituted a fixed component of the agreement between the SDC and the responsible implementing organization. This entailed a degree of certainty for those involved in regard to achievement of the objectives at the end of the projects. In the case of the objectives classified as only partially achieved or not achieved at time of exit, it appears that the expected effects were often only produced at a later point in time. This means that achievement of the objectives could not be assessed conclusively at the time of the conclusion of the project (e.g. dissemination of VSBK technology, sustainable implementation of the TEP reintegration programme).

At the time of exit, only one objective was clearly classified as not achieved, namely, adoption of the FET programme by other school districts.

4.2   Ensuring adequate continuation of the project?

The exit of a donor country during the final phase of IDC projects or programmes represents a crucial issue over the entire duration of the project or programme. Similarly to achievement of objectives and considerations of effectiveness, exit requires special attention. In both India and South Africa, the key impetus for Switzerland's exit from the projects was a generally and fundamentally new orientation of the SDC's development cooperation strategy. South Africa and India are no longer SDC priority countries in the original sense (with corresponding country-specific programmes and projects). South Africa has meanwhile been integrated into the Southern Africa regional programme, within which it continues to enjoy a special status. Since 2008, South Africa is a priority country for the new global programme climate change. In India, Switzerland's "traditional" bilateral engagement ended in 2006. After a transition period of about 5 years, India is likewise a priority country of the global programme climate change since 2011. In both countries, this new strategic orientation meant that the existing projects and programmes were terminated or reoriented. In addition to this fundamentally new orientation, other factors naturally play important roles in the termination of projects.

To answer the question as to how Switzerland withdrew as a donor country from the projects examined here, the following can be said: In nearly all projects, the exit was clear and orderly, according to statements by the groups of persons interviewed. In most projects, local project partners were informed early on about the closure or end of the project and about Switzerland's final exit. None of the interviewees complained about the exit, but some of them did express their regret.

In the course of the interviews, it was also noted that cooperation with local SDC employees responsible for the projects (especially staff members of the Coordination Offices, but also employees of the SDC headquarters in Bern) was basically very pleasant. Switzerland was perceived as a real partner and not merely as an anonymous donor. The reasons for this were that the SDC representatives had a sympathetic ear for the problems of project partners, and that the responsible SDC employees proactively sought out contact with the project partners. Overall, Switzerland to this day enjoys a good reputation in both examined countries. Despite a lack of comparative figures, it can also be said that Switzerland was perceived as a cooperative

partner during the process of exit from projects/programmes. In some cases, strong partnerships emerged during this process that persist to this day.

It is worth noting that between 2003 and 2009, the SDC had no or only very rudimentary internal guidelines on exit from IDC projects. The quality of the exit process thus depended to a great extent on the personal engagement and behaviour of the responsible persons. Naturally, empirical values emerge over time in such processes, as was the case for Switzerland, and over many years and despite changes in personnel these values are more implicitly than explicitly gradually embodied. According to SDC information, an effort is currently underway to develop manuals to guide exit processes.

Regarding whether and to what extent there was a discussion about the risk or success factors relating to continuation of projects that had officially come to an end, the results differ greatly depending on the project.

Both the available documents and the concrete approach taken in the final phases of the projects show that there are no binding instructions in this regard – for instance concerning a risk analysis to be developed and documented. In the context of the exit, the possible success and failure factors in each project were discussed to varying extents. Similarly, as for the exit itself, no uniform or binding specifications exist at SDC in regard to risk analyses.

For bilateral projects with only one or a few donors in particular, there is an increased danger of a break in the continuity of the project during the exit phase. With the exit of a relevant donor, it is possible that not only a key income source for the continuation of the project dries up, but also the valuable intellectual and effective support of the donor. Beyond this, the frequently necessary support of the state may be dropped. In some cases, this hinders the successful continuation of the project.

For this reason, adequate attention must be paid at the outset to the project conclusion phase, including the exit, and beyond this to the continuation of the undertaking. Otherwise, the efforts of many years of cooperation and the tediously achieved results may quickly be ruined again.

4.3   Assessment of the current situation?

To better assess the current situation and complex further development of former projects, the SFAO primarily used the project objectives defined at the time. For this purpose, the SFAO carried out a re-evaluation of current objectives achievement (*see Figure 15*).

In this way, it would be possible to determine if and how "sustainable" formerly supported projects and project objectives are, if at all. This is related to the continuation of the former projects overall and especially of their benefit and impact, even years after the end of the project.

The following table shows the results of the re-evaluation of the original project objectives at the current time, i.e., years after Switzerland's exit.

Figure 15: Evaluation of project objectives at the end of 2012

Objectives	Total (14 projects)		South Africa (7 projects)		India (7 projects)	
	Quantity	%	Quantity	%	Quantity	%
Achieved	34	66.6	15	60	19	73.1
Partially achieved	14	27.5	8	32	6	23.1
Insufficiently/not achieved	3	5.9	2	8	1	3.8
Total	51	100	25	100	26	100

Source: SFAO, Table and evaluation

Looking at the "achieved objectives" row in both countries, about two thirds of the project objectives are considered to have been achieved. The remaining third consists of objectives that were only partially achieved or not at all. Unlike the assessment of the objectives at the end of the project (*see Figure 14, Chapter 4.1)*, fewer objectives are deemed to have been achieved from today's perspective. Consequently, the proportion of objectives that have been achieved only partially or not at all is slightly higher.

In particular, objectives that are related to direct financial support to an organization and its activities tend to be classified as achieved even today. The reason is that all former implementing organizations continue to operate in their main field of work. The objectives set out by the SDC at the time continue therefore to be classified as achieved.

With regard to objectives that are only partially achieved, the following can be observed: Unlike the objectives mentioned above, the focus of these projects was not on the organization as a partner or implementer, but rather on the effect on target groups. Usually several actors, not only the organization receiving direct support, were involved in such cases. After the conclusion of a project, these actors are under increased pressure to continue a former project. This situation can only be marginally if at all influenced by the SDC, however.

Finally, it can be said that numerous "project footprints" were found in all examined projects. But the forms of these traces differ in terms of quantity and quality. Traces also depend on the nature and objective of a former project and are more or less tangible. Even after several years, they can be observed and assessed directly. For a well-founded situation assessment, it must also be considered what the actual project objectives were or still are and in what form Switzerland made supporting contributions. Within the 14 projects examined here, there are several cases of direct support to organizations (core funding) or mixed forms (core and project funding). These were not or only partially earmarked for particular projects. With this form of assistance, the main activities of an organization were supported and promoted without imposing basic restrictions or specifications. The primary objective of core funding was for the organization to be able to subsist and thrive. Finally, the core funding was intended to ensure that its core activities supported and promoted by the SDC could continue to be carried out at a high level of quality. The results show that all directly supported organizations continue to be active today. Many also emphasized the importance of Swiss support, which allowed them to

continue projects and activities during difficult times and phases. On a limiting note, it must be mentioned that this kind of support also entails certain risks: The dependency of the organizations on relevant donors may become too strong, potentially leading to existential problems for the organizations and their activities once the donor exits.

As part of this investigation, an attempt was also made to make a general evaluation of the long-term higher order objectives (level of impact) of a project (see *Figures 12 and 13)*. This level of objectives is without a doubt the most difficult to measure, since sustainability as such represents the greatest challenge in the implementation of a development project. According to our assessments, about half of the higher order objectives can be deemed achieved among all the projects. Especially in the case of projects on the basis of an organizational contribution (core funding), the higher order objectives can be deemed achieved. In contrast, such objectives in the case of projects with pure project funding tend to be considered as not achieved or only partially achieved. This certainly also has to do with the fact that in the case of organizational contributions, the survival of a supported organization and its activities are clear indicators for measuring achievement of objectives and thus also of "institutional sustainability". In the case of project contributions, however, the higher order objectives often go beyond institutional sustainability and unavoidably are situated within a more complex environment. Measuring these objectives is associated with a great amount of efforts.

In **South Africa**, the original project ideas and objectives are still present among all persons interviewed by the SFAO. The ideas, i.e. the "spirit" of the original projects, are still borne by many of the directly involved persons today – even if the project is no longer being actively pursued or has made way to a new orientation.

In the overwhelming majority of responses, this fact – which is particularly salient in South Africa – is grounded in the political and administrative framework conditions. Individual projects (Ikhwezi and ITEC) were no longer continued after Switzerland's exit, because the circumstances, such as the political agenda or the priorities of the governments, have changed. This means that the requisite funds were no longer available. On the other hand, the situation of the implementing organizations also temporarily changed in some cases after Switzerland's exit. This may be because the necessary resources for adequate continuation were no longer sufficient (NICRO), or because the new donors focused on other topics and activities (SAIDE, LRC).

In **India** also, interviewees stated that many of the former projects and ideas remained present. Many of the projects showed a concrete, need-oriented work in their setting-up and further development and continue to do so. The SDC's assistance is still deemed relevant nowadays. In India, continuation of one of the examined former projects is very doubtful after Switzerland's exit (NEE). In another project, the activities have been restricted to fewer states than originally envisaged (The Hunger Project). While other organizations are still active in the areas supported by the SDC, they have reduced certain activities and at the same time built up new core areas, such as climate change (TERI, India Brick).

In both countries, the continuation of some projects is uncertain. Within certain projects (e.g., NEE and Ikhwezi), the persons directly involved at the time are likely to leave in the near future on account of age or on professional or private grounds. It cannot simply be assumed that their successors will bring the same élan to the former projects or will even support or share the

project objectives articulated at the time. This reflects the crucial importance of broad institutional anchoring of projects in order to ensure the desired sustainability.

With regard to tangible facilities and support services, such as computers and infrastructures, it can be stated in summary that, while they are still fully or partially available, they generally are in need of maintenance or replacement (CEDT, RDP, Ikhwezi). If there is no active support in these cases, e.g. in the form of maintenance work, such facilities have only a limited service life and can be used only for that limited timespan in order to achieve the longer-term objectives of a project. Central aspects of the problem are the often unclear responsibilities for the necessary maintenance work and/or the lack of required funds.

In summary, it can be said that support contributions, whether in the form of intangible know-how or tangible services, require a regulated and active continuation or maintenance. Only in this way does the probability of their persistence increase.

The objectives that were insufficiently or not achieved at all are predominantly strategically oriented objectives that often have a longer-term character (impact). They involve in particular objectives that aim at the national and longer-term anchoring or scaling-up of a project or programme objective.

5 Conclusions and recommendations

5.1 The Swiss IDC projects are characterized by a high level of need and innovation, but they also entail risks

The engagement of Swiss development cooperation in the concluded projects examined here is characterized by the following typical and specific features.

On the one hand, nearly all the projects were characterized by a high level of need for support. Many of the examined projects were also launched in "niche areas", i.e., organizations or projects were supported that tend to be rather far from the beaten paths taken by development assistance organizations. Only few other donors can be found for these projects. Moreover, some projects showed a high potential for innovation, as the interviewees repeatedly confirmed. On the other hand, numerous local non-governmental organizations were directly supported with organizational contributions (core funding) within the 14 projects considered here. Other forms of funding encompassed organizational and/or project-based support.

Internationally speaking, Switzerland tends to be considered as a "small player". The average total financial contribution to the examined projects is CHF 3 to 5 million. The support period was at least four years. Longer-term projects (more than 20 years) had total contributions of more than CHF 10 million (*see Figures 4 and 5).*

Since Swiss development cooperation predominantly supported smaller projects, the broadness of their effects and their sustainability were limited. Projects of this size are therefore likely to have a tough time bringing about substantial and durable changes. Of course, this does not rule out that positive effects can be obtained, especially at the local and regional level. Sustainable effects at the supra-regional or national level are only achievable with difficulty using the SDC approach, however. The following results show that achievement of various projects objectives, but also higher order objectives and their longer-term anchoring depend on various factors and interactions. These factors are generally not within the sphere of influence of the donor country (e.g., school and education policy, criminal justice, energy policy).

Although nearly all of the development projects examined here shows some significant weaknesses of a country, which they try to overcome in the longer term, their anchoring and further development requires continuous efforts by the various stakeholder groups. The niche policy of the SDC did not always foresee a direct and active participation of the government as guarantor for the continuation of a project. Although the projects were usually approved and welcomed by the government at the beginning of or during the project phase, this did not in any way ensure that government circles would take over or continue to support a project once the donor had exited.

In the case of the non-governmental organizations receiving core funding, another risk exists in the resulting critical dependency of the supported organization from the donor country. After the exit of a relevant donor country, these organizations may experience difficulties, which in turn could jeopardise the continuation of a former project.

5.2 The exit from projects may point the way toward their successful continuation

Switzerland's exit from the projects examined here was described as exemplary by the overwhelming majority of interviewees. Not only were all involved informed early on, but further assistance was even provided, where needed. This corresponds to the foundations of good partnership often already laid at the beginning of a project between Switzerland as donor country and the involved persons in the supported countries. Nonetheless, the exit of a donor country may fundamentally change a situation and have significant consequences for the lasting continuation of a project's benefits.

A significant change occurs in that the conclusion of a project also entails termination of the obligations of the "contracting parties". In this sense, the donor country is no longer obligated to provide support services or payments or to verify project progress. Conversely, the beneficiaries are no longer obligated to continue the project in accordance with the agreed objectives. Instead, they do it on a voluntary basis. Finally, as a result the motivation to continue a project may be weakened.

The possible financial consequences of an exit may be more serious, however. On the one hand, the exit of a donor country means that part of the financial and/or technical support for the persons involved in the project is stopped. In particular, non-governmental organizations that are directly supported to a large extent are as a consequence forced to find new donors. This has to happen fast and fund raising activities may take up a significant share of the resources. If no or only few new sources of funding can be found, projects may be suspended or in the worst case given up entirely. If new donors are found, there is a risk that new priorities and projects may have to be initiated, and that resources may be bound for other purposes. The SDC is aware of this kind of problems, and relevant manuals are being developed according to the SDC's specifications.

> **Recommendation 1: Internal norms for exit**
>
> **The SFAO recommends that the SDC define minimum standards or checklists on good practices for the conclusion of a project. The various types of contribution (e.g. organizational or project contribution) should be taken into account in this regard.**

5.3 Measurement of the achievement of objectives in IDC is only partially possible

The results of the present evaluation show that the objectives in the examined projects were defined and practiced in very different ways. This broad range or heterogeneity in the implementation of objectives concerns various aspects: aspects of demarcation and delimitation, aspects of duration, aspects of prioritization, as well as of relevance and specification of target values – to name only some of the aspects. Instead, the objectives are mostly formulated in a very general and open way. Here are some examples:

- NICRO: "Reintegration as subject in the national agenda"
- ITEC: "Develop & implement (sustainable) FET programmes"
- INDIA BRICK: "Introduce, improve & disseminate VSBK"
- CEDT: "Self sustenance of buildings & infrastructure/materials"

- NEE: "Maintain network with own resources".

Measuring or verifying achievement of objectives proves therefore a difficult and time-consuming process. The results always have room for interpretation. An aggravating factor is that as a rule, neither meaningful indicators nor standards to be achieved (end values) were established for the defined objectives. In most cases therefore the SFAO has to rely on other study results and on statements by interviewees. Additionally, the SFAO has to use its own criteria for evaluation. Strategic and long-term objectives (outcomes and impacts) in particular are difficult to achieve and can be measured only with substantial effort. Adequate indicators and monitoring systems, that are able to deliver essential data and information, are still used in an insufficiently systematic way.

To achieve effects in the best possible way, the Paris Declaration[14] requires that development cooperation increasingly define and operationalize project objectives and identify indicators with concrete target values so that progress can be measured. In this way demands for improved management by results, more transparency, greater accountability, and an improved effectiveness will be satisfied. The results of this examination and the conclusions derived therefrom largely correspond to these approaches. Only in future evaluations will it be possible to determine, however, whether these demands in regard to specification of objectives and systematic monitoring can be appropriately implemented. The SFAO supports the demands of the Paris Declaration in principle, especially since the effectiveness and sustainability of development cooperation projects and programmes are becoming increasingly important as key success factors.

The results of this evaluation show that, years after the exit of the donor country, the current situation has evolved in expected and unexpected directions within individual projects. Some of the desired developments could be realized only with significant delay. This illustrates how limited the influence is, especially on the longer-term continuation of a former project. Whether the better operationalization and measurement of objectives called for by the Paris Declaration necessarily also lead to an improved steering of projects in the desired direction will still have to be proven in practice.

> **Recommendation 2: Improvement of definition of objectives in regard to measurability of achievement of objectives**
>
> **The SFAO recommends that the SDC make a clear distinction between the envisaged levels of the objectives, namely output, outcome, and impact, when defining overall and project objectives. In principle, objectives should be defined and specified so that their achievement can be measured and evaluated with a reasonable effort.**

5.4 Complete document files on concluded projects facilitate verification and deduction of empirical values

In this examination, the SFAO to a large extent relied on the SDC's Document Management System (DMS). The review of the available documentation carried out at the beginning of the examination showed that the status of the DMS project documentation within the SDC was very

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[14] *http://www.oecd.org/development/effectiveness/35023537.pdf; OECD Paris Declaration (February 2005).*

heterogeneous. While comprehensive documentation was available for some projects, only a few basic documents (e.g., credit proposals, administrative final reports) were available for other projects. In some cases, documents available only in paper form had to be retrieved in the Coordination Offices and sent to SFAO. This entailed a significant additional effort.

Review of the documents generated many valuable insights on the general understanding of the projects and their objectives. The documents contained key information on the various aspects of the projects such as achievement of objectives and risk factors. This information can serve as a good basis for the development of useful good practice guidelines for both current and future projects.

Recommendation 3: Ensure complete project documentation (DMS)

The SFAO recommends that the SDC maintain its DMS document filing structure in a more active and uniform manner in future. The goal is to ensure project documentation that is as complete as possible. The required documents must be defined for this purpose.

5.5 Risk analyses may contribute to optimal continuation of concluded projects

The reviewed risk analyses have shown that the sustainability of projects is in danger after a donor country exits the project.

As is the case for the heterogeneous document filing mentioned above, the risk assessments in the various project documents are also presented in very different ways. While for some projects, there are good risk assessments for the project and/or its context, such information is nearly entirely missing for other projects. In the SFAO's opinion, a review of the available analyses can certainly generate valuable information on the respective projects, their degree of realization, and the relevant framework conditions. It is precisely such information that can point to possible pitfalls in the implementation and pursuit of the objectives of a project, and in this way ultimately help determine the success or failure of a project early on.

The SFAO therefore believes that systematically developed risk analyses in the context of projects preparations (Entry proposals and credit proposals) can already generate initial useful indications for the best possible implementation and continuation of projects. Risk analyses may therefore already be used at the beginning of a project as an aid for deciding on adequate measures and realistic objectives. Their usefulness will be further strengthened if, for instance, they are continuously reviewed in the form of defined and agreed milestones with all involved project partners and adjusted as needed (monitoring). In this sense, the instrument serves as an early warning system and also permits a shared awareness raising among all parties involved in the project. Also in light of the fact that sustainability aspects are an increasingly important focus of development cooperation, tools of this kind may be useful.

Further to these considerations, in 2012, the SDC developed corresponding guidelines, among others also in regard to risk assessments. The SFAO welcomes these developments.

> **Recommendation 4: Monitoring of key risk areas**
>
> **The SFAO recommends that the SDC systematically observe the key risk areas within the context of project execution. Risk assessments should be conducted on the basis of the entry proposals and/or credit proposals.**

5.6 Targeted ex-post analyses create added value

In light of the strengthened demand of the Paris Declaration for the best possible long-term effect in development cooperation and improved result-orientation, appropriate adjustments to existing evaluation practice should also be considered. From the point of view of "benefiting from the results and experiences from selected concluded projects," ex-post examinations by persons and organizations onsite that are as independent as possible can certainly generate valuable inputs for future project work. Such ex-post examinations should already be foreseen in the credit proposal for the final phase and be carried-out a few years after conclusion of support for a project by the SDC.

> **Recommendation 5: Performance of ex-post examinations for selected key projects**
>
> **The SFAO recommends that the SDC carry out ex-post examinations for selected key projects a few years after conclusion of the project.**

Annex 1 :   Interviewees

Surname Prename	Organisation	Function
Baum Therese	DEZA, KOBU Pretoria	Chief of Finance and Administration
Bharadwaja Veda	The Hunger Project, Dheli	Programme Officer – Advocacy & Research
**Binder François	Ehemals DEZA (2001 – 2005 Leiter Sektion Ost- und Südliches Afrika, 2006 – 2009 Leiter KOBU Delhi)	Konsulent/Begleiter
Burri Stefanie Dr.	DEZA, Abteilung Südasien	Programmbeauftragte
Chaudhuri Sriparna G.	The Hunger Project Delhi	Director India
Chaudhry Sunita	DEZA, KOBU Delhi	Head Finance & Administration
Dawson Celia	NICRO	Debuty CEO
Dlamini Thuli	Media in Education Trust MiET S.A:	Deputy Executive Director
**Donnet-Descartes Severine	DEZA, Abteilung Ost- und Südliches Afrika	Programmbeauftragte (bis 06.12.)
**Dubois Jean-Bernhard	DEZA, Sektion Globalprogramm Klima-wandel	Chef
Dunjana Nkosana	Nelson Mandela Bay Municipality	Director Motherwell Urban Renewal Programme
Dutta P.K.	Action For Food Production AFPRO	Manager, Field Unit III
**Ferret-Balmer Christel	DEZA, Abteilung Ost- und Südliches Afrika	Stv. Chefin
Gaba Mzukisi	Departement for Social Development C.T.	Director of Crime
Glennie Jenny	South African Institute for Distance Education Saide	Executive Director
**Golay Jean François	DEZA, Abteilung Ost- und Südliches Afrika	Programmbeauftragter
Gopakumar K Dr.	Indian Institute of Science DESE (ehemals CEDT) Bangalore	Professor and Chairman
Greiler Nathalie Yuka	DEZA, Sektion Globalprogramm Klima-wandel	Programmbeauftragte (2007 -2010 JPO Delhi)
Graf Willi	DEZA	Stv. Leiter Regionale Zusammenarbeit
Jagannath NR Dr.	ehemals KOBU Delhi (1994 – 2008 PM)	Konsulent/Begleiter
Jamadagni H.S. Prof.	Indian Institute of Science DESE (früher CEDT) Bangalore,	Professor, former Chairman
Joshi Veena Ph.D.	DEZA, KOBU Delhi (since 1993)	Senior Thematic Advisor
Kagee Hoosain	South African Board for Sheriffs C.T.	Executive Manager
Kandaswamy A. Dr.	PSG College of Technology, Coimbatore	Professor and Head of Biomedical Engineering
Kumar Amit	TERI New Delhi	Director Energy Environment Technology Development Division
Kumar Arun Dr.	Development Alternatives Group New Delhi / TARA	Director
Kumar Roul Rajib	Action For Food Production AFPRO	Programm Coordinator
Love Janet	Legal Resource Center LRC	National Director South Africa
Lutz Ulrich	DEZA, KOBU Delhi	Leiter
Mahesh G.V.	Indian Institute of Science, DESE Bangalore	Principal Research Scientist
Manavalan D.K.	Action For Food Production AFPRO	Executive Director
Manur Shenoy Raghavendra	ACCORD Software & Systems Pvt. Ltd, Bangalore	Director – Business Development
Maithel Sameer Dr.	Greentech Knowledge Solutions Pvt. Ltd. Delhi	Director
Maity Soumen Dr.	Development Alternatives Group New Delhi / TARA	Team Leader Technology
Maître Adrian	DEZA, Sektion Qualitätssicherung and Aid Effectiveness	Chef
Mathew Cyriac	Action For Food Production AFPRO	Manager Administration & Finance

Meuwly Christian	Embassy of Switzerland South Africa	Ambassador
Mkhanzi	Bizana, Department of Education	Official
Mlambo Dunstan	High Court Gauteng S.A.	President
Minder Annamarie	EDA, Politische Direktion, Regionalkoordination Subsahara Africa	Senior Adviser (2003 – 2008 DEZA, Country Director South Africa)
Mokhadi Mahlalela	NGO Cape Town (2000 – 2007 PM KOBU Pretoria)	
Mohamed Hishaam	Department of Justice C.T.	Chief
Nel Vincent	S.A. Board of Sheriffs C.T.	Training, Dev and Communication Manager
Patara Shrashant	Development Alternatives Group New Delhi	Senior Vice President
**Pfeiffer Hansruedi	DEZA, Abteilung Südasien	Programmbeauftragter (1994 – 1998 PM India)
Pittet André Dr.	Indian Institute of Science DESE (ehemals CEDT) Bangalore	Chief Technical Advisor / Begleiter
Prabhakar T.V. Dr.	Indian Institute of Science, DESE Bangalore	Senior Scientific Officer
Purushotham S.	ACCORD Software & Systems Pvt. Ltd, Bangalore	Executive Director
Raviprakash M.S.	Action For Food Production AFPRO Bangalore	Manager Field Unit II
Ray Jayanta Kumar Dr.	ACCORD Software & Systems Pvt. Ltd, Bangalore	Group Manager – GNSS Technology & Aerospace Engineering
**Rickli Mathias Dr.	Direktion für Entwicklungszusammenarbeit	Corporate Controlling
Sarin Rita	The Hunger Project New Delhi	Vice President & Country Director India
Seti Girish	TERI New Delhi	Director Industrial Energy Efficiency
Sharam Kunal	SHAKTI Foundation Delhi	Senior Programme Officer
Siegfried Gerhard	Abteilung Ost und Südliches Africa	Chef
Sirisha Lakshmi	DEZA, KOBU Delhi	Administration
Solomon Soraya	NICRO South Africa	CEO
**Sommer Martin	DEZA	Head Corporate Controlling
Sreenivasan R. Dr.	PSG College of Technology Coimbatore	Professor & Head Department of Humanities and Educational Tech Centre
Streit Max	DEZA, Abteilung Westafrika	Programmbeauftragter(2003 -2007 Desk Progr Officer Südafrika)
Subha Rani S. Dr.	PSG College of Technology Coimbatore	Professor & Head Dept. of Electronics & Communication Engg.
Thema Funeka	Department of Justice and Constitutional Development Johannesburg	Senior Legal Admin Officer
Tripathi Amitava	Action For Food Production AFPRO	President Governing Body (Ex-Ambassador of Switzerland)
Valentine Barbara	ITEC East London	Research and M & E
Vancheswaran Annapurna Pn.D.	The Energy and Resources Institute TERI New Delhi	Director Sustainable Development Outreach
Van der Elst Lynn	Media in Education Trust MiET S.A.	CEO
Von Castelmur Linus Dr.	Schweizer Botschaft Delhi	Ambassador
K.R. Vishwanathan	DEZA, KOBU Delhi (seit 2000)	Dty Head Climate Change and Development
Voegele Kurt	Ehemals DEZA	Country Director India 2002 -2005
Wieser Reto	DEZA, KOBU Pretoria	Regional Director
Williams Blendynn	Office of the Deputy Minister S.A:	Head

The "informal" members of the group that accompanied and supported the SFAO evaluation team for the duration of the project are marked with ** before their names.

At the various meetings and discussions, additional persons not referred to by name representing a wide range of organizations and authorities were present:

India:

KOBU New Delhi, DA, THP, TERI, AFPRO, TARA, VSBK Service Centre Datia, Local Brick Producers Madhya Pradesh, Bangle Producers in Firozabad, Organization for the Development of People Mysore, Elected Women Representatives in the Village K.R. Nagat, DESE (CEDT), CEDT- Alumnis, Accord Pvt. Ltd Bangalore, Texas Instruments India Pvt. Ltd. Bangalore, PSG College of Technology Coimbatore, Repräsentanten vom Seeandahalli Village

South Africa:

KOBU Pretoria, SAIDE, ITEC, LRC, NICRO, Department of Education Eastern Cape, Ethridge Resource Centre Bizana, Sacred Heart Resource Centre Flagstaff, Nelson Mandela Metro Authorities Port Elizabeth, Department of Justice Cape Town, Department of Social Development Cape Town, Department of Correctional Services Bellville, South African Board for Sheriffs Cape Town

Annex 2 :   Evaluation template

Interlocutor :		Place & date :
Organization / adress :	Function of time / today :	Tasks & activities :

Questions and sub-questions with response scales

Note:	**Data collection from the SDC** (Head Office and former Coordination Office)	☐
	Data collection in the field (Partner organizations, Coordination Office, experts, Authorities/Ministries, Donors/Sponsors, Beneficiaries)	☐

Interview topics, dependent of interview partner: Overall impression/pers. view, collaboration, phasing-out, exit and transition (strategy & actions), continuation/sustainability & scaling-up, actual situation, impact & side effects, sum-up/SWOT, empowerment of institutions or persons involved in the project implementation and continuation

Introduction

From [year] to [year], Switzerland had supported the project [….]. Through the present assessment, the SFAO would like to find out: - how you appraise/rate the Swiss support, - what were the main results and benefits of this support, and - what is left today from this support. To this end, we would like to discuss several aspects regarding the project as a whole, the withdrawal of Switzerland's support and the current situation as well.

☐ 1	**What is your overall impression of the project - in particular considering the (last) period, when Switzeland supported the project**?

Theme: Objectives achievement, Benefits & Satisfaction

☐ 2	**Do you have the impression, that the intended overall goal / project objectives were achieved**? If not, why? (please specify) What was the most important goal or objective?	achievement? ☐ ☐ ☺ ☺ ☹ ?
Yes, because…	No, because…	

☐ 3	**a) In your opinion, what were the main results achieved and/or benefits delivered by the project?** **b) Who benefited most from the project? In what way and to what extent?**

☐ ☐ 4	**Overall, how satisfied were you with the project (content, scope, objectives, implementation, achievements)? Why? Why not?**	☐ ☺☺	☐ ☺	☐ ☺	☐ ☹	☐ ☹☹	☐ ?

Theme: Phasing-out, Exit

☐ ☐ 5	Have the reasons for the withdrawal of Switzerland's support been (clearly) communicated to you? And were the reasons for the withdrawal comprehensible to you?		☐ yes	☐ no	☐ ?
Possible exit reasons		**Yes/no/?**	**Remarks**		
Swiss support was temporary/limited (from the beginning)		☐ ………..			
No more priority country / program		☐ ………..			
New/transformed country program		☐ ………..			
Decline of request (reduction of demand)		☐ ………..			
(New) project alignment / adjustment		☐ ………..			
Other?		☐ ………..			

☐ 6	Has the withdrawal of Switzerland taken place at the right moment?	☐ yes	☐ no	☐ ?

☐ ☐ 7	Has the withdrawal of Switzerland taken place in a systematic and deliberate manner?		☐ yes	☐ no	☐ ?
Aspect		**Yes/no/?**	**Remarks**		
Existence of a strategy and/or action plan (with meetings etc.)		☐ ………..			
Stakeholder participation / collaboration		☐ ………..			
Clarification of roles, expectations and responsibilities		☐ ………..			
Building capacity and supporting access to financial resources / new donors		☐ ………..			
Defining and managing the risks and opportunities / meet the local demands		☐ ………..			
Ensuring good continuation/sustainability of the project (impacts and outcomes)		☐ ………..			
Other?		☐ ………..			

Theme: Continuation, Sustainability

☐ (☐) 8	What steps, if any, have been taken to ensure a good continuation/sustainability and/or scaling-up of results achieved/benefits accrued to target groups? And if yes, which ones and how?		
Aspect/criteria		**Yes/No/?**	**Remarks**
Realistic assessment of the projects' potentials (e.g. sustainability, scaling-up)		☐ ………..	
Engagement/Participation of relevant stakeholder; Capacity building of management and staff		☐ ………	
Securing a long-term funding		☐ ………	
Securing long-term Project Mgmt		☐ ………	

Monitoring critical assumptions/risks	☐	
Needs assessment/Clarification of demands	☐	
Other?	☐	

☐ 9	In general, how satisfied are you with the support of Switzerland to ensure a good continuation/sustainability (and/or scaling-up) of the results achieved/benefits accrued?	☐ ☺☺	☐ ☺	☐ ☻	☐ ☹	☐ ☹☹	☐ ?

Theme: Current situation and Future Prospects

☐ 10	What are the current activities, objectives, main impacts and side effects?
Activities:
Objectives:
Impacts:
Side-effects:

☐ 11	What has changed since Switzerland left (e.g. new strategy, staff, donors/supporters or activities)?

☐ 12	How, respectively to what extent has the former Swiss project support contributed to the current situation and how significant was the contribution?		
Aspects of support	**Yes/no/?**	**Remarks**
Innovative	☐	
Complementary	☐	
Supported or enabled structure-forming	☐	
Sweeping effects/scaling up	☐	
Accelerative	☐	
no input or contribution	☐	
Other?	☐	

☐ 13	In what direction will the [*Name of the Institution*] develop (their activities) in the coming years? Are there any planned changes or modifications?

Concluding Question

☐ 14	Are there any advices / concluding remarks you would like to give to us? And/or other issues that should be addressed?

Annex 3 :   Factsheet South Africa

Exit Strategies and Sustainability in Swiss Development Cooperation

Development aid in South Africa: Background

Throughout the apartheid era in the 1980s, the Swiss Agency for Development and Cooperation (SDC) supported a number of South African NGO's involved in the education of underprivileged groups. In 1994, a ten-year SDC Special Programme aimed at strengthening governance, education and land reform was launched. In 2005, the programme was extended into a Regional Programme featuring a South-African component. The Regional Programme Southern Africa (RPSA) focuses on food security, natural resources management, activities in favour of youths affected by HIV/AIDS, and governance. Since 2008, South Africa has been a target country for the global issue of climate change issue.

Objectives

The Swiss Federal Audit Office (SFAO) intends to assess the extent to which Swiss contributions to now closed development projects brought about improvements in partner countries. At the same time, the degree of achievement of set objectives by the end of the project, as well as the extent to which Switzerland's withdrawal enabled optimal maintenance of the results achieved, should also be evaluated. It is hoped that possible recommendations derived from these assessments may help the SDC develop approaches to an optimal withdrawal from development aid projects and to lasting results.

Methodology and questions

The SFAO will assess on-site the continuation of the results from selected Swiss development interventions now closed. Field missions to South Africa and India are planned.

For this purpose, the available documentation will be evaluated and interviews with key stakeholders conducted both in Switzerland and in-country. The following illustrative list of questions may be discussed in the interviews:

- Years later, what remains of the contributions from Swiss development cooperation after Switzerland as a donor country has withdrawn from a programme or project?
- Could achievements be sustainably maintained and relevant activities continued after Switzerland's withdrawal? And how? What is the current situation?
- What are the prospects for the future?
- What lessons do the stakeholders draw from the Swiss participation and what could or should be done differently in the future?

Field mission to South Africa

The SFAO field mission to South Africa will take place between October 28 and November 12, 2012. The project sites to be visited are located in Greater Johannesburg, Cape Town and the Eastern Cape Province.

Additional information

Further information on the SFAO as well as on this particular project and project team can be found at: www.sfao.admin.ch.

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Martin Koci (martin.koci@efk.admin.ch)
phone: +41 31 323 10 83

Annex 4 :   Factsheet India

Exit Strategies and Sustainability in Swiss Development Cooperation

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Development aid in India:

Background

Since 1963, Switzerland has been involved in several programmes with the goal of reducing poverty in India. To this end, the Swiss Agency for Development and Cooperation (SDC) worked closely with a number of partner organisations and public administrations. In 2010, the SDC ended its longstanding programme to fight poverty in India in direct ways and has since been implementing partnership programmes dealing with global climate change and technology transfer.

Objectives

The Swiss Federal Audit Office (SFAO) intends to assess the extent to which Swiss contributions to now closed development projects brought about improvements in partner countries. At the same time, the degree of achievement of set objectives by the end of the project, as well as the extent to which Switzerland's withdrawal enabled optimal maintenance of the results achieved, should also be evaluated. It is hoped that possible recommendations derived from these assessments may help the SDC develop approaches to an optimal withdrawal from development aid projects and to lasting results.

Methodology and questions

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- Years later, what remains of the contribu-tions from Swiss development cooperation after Switzerland as a donor country has withdrawn from a programme or project?
- Could achievements be sustainably main-tained and relevant activities continued after Switzerland's withdrawal? And how? What is the current situation?

- What are the prospects for the future?
- What lessons do the stakeholders draw from the Swiss participation and what could or should be done differently in the future?

Field mission to India

The SFAO field mission to India will take place between November 25 and December 9, 2012. The project sites to be visited are located in the States of Delhi, Karnataka, Tamil Nadu and Uttar Pradesh.

Additional information

Further information on the SFAO as well as on this particular project and project team can be found at: www.sfao.admin.ch.

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Annex 5 :   Field mission South Africa

Programm Südafrika Kurzversion				
Day	**Date**	**Time**	**Location**	**Activity / Project**
Sunday	28.10.	22:45	Zürich	Flight to Johannesburg
Monday	29.10.	AM PM	Johannesburg Pretoria	10:20 Arrival in Johannesburg **Briefing at SCO Pretoria and Swiss Embassy** Overnight in Pretoria
Tuesday	30.10.	AM PM	Johannesburg – Durban – Bizana	09:00 Flight to Durban – Drive to Bizana **MiET / School Development Project Ikhwesi** Overnight in Bizana
Wednesday	31.10.	AM PM	Bizana – Flagstaff – Umtata	Drive from Bizana to Umtata **MiET / School Development Project Ikhwesi** Overnight in Umtata
Thursday	01.11.	AM PM	Umtata – East London	Drive from Umtata to East London **ITEC Further Vocational and Education Project** Overnight in East London
Friday	02.11.	AM PM	East London - Port Elizabeth	08:00 Flight to Port Elizabeth **RDP Urban Development Project** Overnight in Port Elizabeth
Saturday	03.11.	PM	Port Elizabeth – Cape Town	12:45 Flight to Cape Town Overnight in Cape Town
Sunday	04.11.	All day	Cape Town	Free / Writing notes Overnight in Cape Town
Monday	05.11.	AM PM	Cape Town	**NICRO / Integration of Young Offenders** **Reform of Sheriffs Profession** Overnight in Cape Town
Tuesday	06.11.	AM PM	Cape Town – Bellville	**NICRO / Integration of Young Offenders** **Reform of Sheriffs Profession** Overnight in Cape Town
Wednesday	07.11.	AM PM	Cape Town - Johannesburg	08:30 Flight to Johannesburg **Reform of Sheriffs DJCD Johannesburg** Overnight in Pretoria
Thursday	08.11.	AM PM	Johannesburg	**LRC Legal Resource Centre Endowment Fund** **SAIDE South African Institute for Distance** Overnight in Pretoria
Friday	09.11.	AM PM	Pretoria	**SCO Pretoria** Writing notes **Overnight Pretoria**
Saturday	10.11.	All day	Pretoria	Free / Writing notes **Overnight Pretoria**
Sunday	11.11.	All day	Pretoria	Free **Overnight Pretoria**
Monday	12.11.	AM PM 20:25	Pretoria – Johannesburg - Zurich	**Debriefing with SCO and Swiss Embassy** Final works Flight back to Zurich
Tuesday	13.11.	AM	Zurich	06:10 Arrival in Zurich

Annex 6 : Field mission India

Programm Indien Kurzversion				
Day	**Date**	**Time**	**Location**	**Activity / Project**
Sunday	25.11.	12:45 PM	Zürich – Delhi	Flight to New Delhi 22:30 Arrival in New Delhi
Monday	26.11.	AM PM	Delhi	**Briefing at SDC Office and at Embassy** **TERI** Head Office Overnight in Delhi
Tuesday	27.11.	AM PM	Delhi	**India Brick /** Development Alternatives **The HUNGER Project / THP** Head Office Overnight in Delhi
Wednesday	28.11.	AM/PM	Delhi	**AFPRO** Head Office Overnight in Delhi
Thursday	29.11.	AM PM	Delhi – Jhansi Orchha	06;00 Train-Travel to Jhansi **India Brick** / visit VSBK Tikamgarh Overnight in Orchha
Friday	30.11.	AM PM	Orchha – Sonagir – Jhansi – Agra	**India Brick** / visit brick producer and VSBK Service Centre DA group 18:00 Train-Travel to Agra Overnight in Agra
Saturday	01.12.	AM PM	Agra – Firozabad – Delhi	Drive from Agra to Delhi **TERI / Cleantech** visit glass making factory Overnight in Delhi
Sunday	02.12.	AM PM	Delhi - Bangalore	Free 04:55 Flight to Bangalore Overnight in Bangalore
Monday	03.12.	AM/PM	Bangalore	**CEDT** and **NEE Indian Institute of Science** Overnight in Bangalore
Tuesday	04.12.	AM PM	Bangalore – Kolar	Drive form Bangalore to Kolar and back **AFPRO** / field visit Overnight in Bangalore
Wednesday	05.12.	AM PM	Bangalore - Mysore	**CEDT** / visit companies Travel from Bangalore to Mysore Overnight in Mysore
Thursday	06.12.	AM PM	Mysore - Coimbatore	**THP** / ODP field visit Travel from Mysore to Coimbatore Overnight in Coimbatore
Friday	07.12.	AM PM	Coimbatore - Delhi	**NEE** / PSG College of Technology 17:25 Flight to Delhi Overnight in Delhi
Saturday	08.12.	AM PM	Delhi	**Debriefing with SDC Office** Final Works
Sunday	09.12.	AM		02:00 Flight back to Zurich 06:25 Arrival in Zurich

Annex 7 :   Source Directory

Relevant legislation

SR 974.0 Bundesgesetz über die internationale Entwicklungszusammenarbeit und humanitäre Hilfe, 19. März 1976

SR 974.01 Verordnung über die internationale Entwicklungszusammenarbeit und humanitäre Hilfe, 12. Dezember 1977

Parliamentary initiatives

12.3364 Interpellation NR Jean-Pierre Grin: Burkina Faso. Zukunft des Busbahnhofs Ouahigouya. Eingereicht 03.05.2012

11.3880 Interpellation NR Jean-Pierre Grin: Burkina Faso. Zukunft des Schlachthofs Ouahigouya. Eingereicht 29.09.2011

11.3405 Motion NR Sommaruga Carlo: Konzentration der Entwicklungshilfe des Bundes. Eingereicht 14.04.2011

11.3090 Postulat NR Egger-Wyss Esther: Effizienz der Schweizer Entwicklungshilfe. Eingereicht 10.03.2011

Essential documents

12.029 Botschaft über die internationale Zusammenarbeit 2013 – 2016, 15. Februar 2012

10.085 Botschaft zur Erhöhung der Mittel zur Finanzierung der öffentlichen Entwicklungshilfe, 17. September 2010

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03.040 Botschaft über die Weiterführung der technischen Zusammenarbeit und der Finanzhilfe zu Gunsten von Entwicklungsländern, 28. Mai 2003

02.086 Botschaft über die Weiterführung der Finanzierung von wirtschafts- und handelspolitischen Massnahmen im Rahmen der Entwicklungszusammenarbeit, 20. November 2002

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DEZA, Checklist for Project/Programme Documentation, Juni 2011

DEZA, Country Programme 2003 – 2010

DEZA, Das Engagement der DEZA in Südafrika und in der Region südliches Afrika unter der ausgehenden Apartheid bis heute. Bern/Pretoria 2002

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DEZA, Eine Welt, DEZA-Magazin für Entwicklung und Zusammenarbeit, Ausgabe Nr. 1, März 2011

DEZA, Eine Welt, DEZA-Magazin für Entwicklung und Zusammenarbeit, Ausgabe Nr. 3, September 2012

DEZA Entwicklungsfördernde Globalisierung im Fokus – die Globalprogramme der DEZA, Januar 2012

DEZA, Evaluationspolitik, Leitfaden, Bern, Dezember 2008

DEZA, Evaluations Completed in 2008 / 2009 / 2010, Evaluation Planned for 2009 – 2010 / 2010 – 2011 / 2011 - 2012

DEZA, Evaluation and Review Activities 2004 – 2005, 2005 – 2006, 2006 – 2007, 2007 - 2008

DEZA, Evaluation Two Rural Finance and Employment Programmes in India «SERI 2000 and SIDBI», Bern, April 2008

DEZA, Guidelines for entry proposals, Februar 2012

DEZA, Jahresberichte 2010 / 2011, Internationale Zusammenarbeit der Schweiz, Bern

DEZA, Klimawandel und Entwicklung: Doppelte Dividende, Erfahrungsbericht 2012

DEZA, Meta-Analyse ausgewählter Evaluationen der DEZA, Bern, Juli 2009

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DEZA, Wirkungsbericht Schweizer Entwicklungszusammenarbeit im Wassersektor, Bern 2008

DEZA, Wirksamkeit im Fokus. Einblick in DEZA-Programme, Bern 2009

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SECO, Die Wirksamkeit der wirtschaftlichen Entwicklungszusammenarbeit, Jahresberichte 2009 / 2010 / 2011

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Interne Unterlagen/Dokumente der DEZA

Unterlagen/Dokumente der 14 ausgewählten Projekte