

# 2005

ANNUAL EVALUATION REPORT

MM

10 20 30 40 50 60 70 80 90 100 110 120 130 140 150 160 170 180 190 200 210 220 230 240 250 260 270 280 290 300 310



UNITED NATIONS ENVIRONMENT PROGRAMME



UNEP

United Nations Environment Programme

**2005**

# **Annual Evaluation Report**

Evaluation and Oversight Unit

**July 2006**



# Contents

- Foreword ..... v
- Acknowledgements ..... vi
- Acronyms and abbreviations..... vii
- Executive summary ..... 1
  - A. Evaluation ..... 1
  - B. Findings and recommendations ..... 2
  - C. Lessons learned ..... 4
  
- I. Introduction ..... 6**
  - A. Evaluation and Oversight Unit ..... 6
  - B. Mandate and mission ..... 6
  - C. Scope and objective ..... 7
  - D. Methodology..... 7
  
- II. UNEP partnership agreements with donor Governments ..... 9**
  - A. Background..... 9
  - B. Donor partnership agreements ..... 9
  - C. Evaluation of partnership framework agreements..... 12
  - D. Conclusions..... 16
  
- III. In-depth project evaluations ..... 17**
  - A. Achievement of objectives and attainment of outputs ..... 17
  - B. Cost-effectiveness ..... 22
  - C. Stakeholder involvement..... 23

|                  |   |           |
|------------------|---|-----------|
| D.               | Country ownership .....                                   | 26        |
| E.               | Implementation approach.....                              | 26        |
| F.               | Financial planning and management .....                   | 29        |
| G.               | Replicability.....  | 31        |
| H.               | Monitoring and evaluation.....                            | 31        |
| I.               | Impacts .....   | 33        |
| J.               | Sustainability .....                                      | 34        |
| <b>IV.</b>       | <b>Project self-evaluation .....</b>                      | <b>37</b> |
| A.               | Introduction.....   | 37        |
| B.               | UNEP mandate.....   | 38        |
| C.               | Role of UNEP .....  | 40        |
| D.               | Challenges in project design and implementation .....     | 41        |
| E.               | Stakeholder involvement.....                              | 42        |
| F.               | Sustainability and capacity-building.....                 | 43        |
| <b>V.</b>        | <b>Implementation of evaluation recommendations .....</b> | <b>44</b> |
| A.               | Subprogramme and project evaluations.....                 | 44        |
| B.               | Annual evaluation reports.....                            | 45        |
| <b>Annex I</b>   | <b>.....</b>  | <b>46</b> |
| I.               | <b>Objective and scope.....</b>                           | <b>46</b> |
| II.              | <b>Methodology and methods.....</b>                       | <b>46</b> |
| <b>Annex II</b>  | <b>.....</b>  | <b>49</b> |
| <b>Annex III</b> | <b>.....</b>  | <b>51</b> |
| <b>Annex IV</b>  | <b>.....</b>  | <b>57</b> |

## Foreword

This report, as in previous years, has been prepared to fulfil the requirements of a Governing Council decision (GC-4, 55th meeting of 12 April 1976) requesting the “Executive Director to report to the Governing Council at subsequent sessions on the results of the evaluations carried out.”



This year the report has focused primarily on evaluations of projects and United Nations Environment Programme (UNEP) partnership agreements conducted in 2005. These evaluations have shown that UNEP has continued to strengthen the capacity of partner institutions at the national, subregional and regional levels, supported implementation of international environmental conventions and created awareness among policy and decision makers of key and emerging environmental issues. UNEP has developed strong partnerships with Governments, non-governmental organizations and the private sector to implement its activities. However, evaluation findings contain important suggestions regarding internal collaboration for programme implementation; greater focus on areas where UNEP has a comparative advantage; coordination with other United Nations system agencies; improved project design to ensure project sustainability; wider civil society, private sector and stakeholder involvement in UNEP activities; and improved dissemination of project and programme outputs to the general public, policy and decision makers, and the scientific community.

Over the past year, considerable effort has been made to strengthen the evaluation function at UNEP. Best practices from United Nations and donor evaluation and oversight systems have been adopted to promote a better understanding among Governments and the general public of the work of UNEP. Among these efforts are revisions to the UNEP evaluation policy, strengthening of the follow-up mechanism to evaluations, joint and partnership evaluations, and a continuing demand study for UNEP evaluation products, which will facilitate evaluation programme development and priority setting to help match reporting on evaluation activities to the requests of our Governing Council.

We will continue these efforts and ensure that this organization maintains an independent, objective, and credible evaluation and oversight system, which will support planning and execution of our programme activities and sustain the trust and support of Governments and other stakeholders.

A handwritten signature in black ink that reads "Achim Steiner". The signature is written in a cursive, flowing style. Below the signature, the name "Achim Steiner" and the title "Executive Director" are printed in a simple, sans-serif font.

Achim Steiner  
Executive Director

# Acknowledgements

The 2005 annual evaluation report of the United Nations Environment Programme (UNEP) was prepared on the basis of evaluations conducted by independent consultants and the staff of the Evaluation and Oversight Unit in consultation with UNEP programme and project managers.

The Evaluation and Oversight Unit would like to acknowledge in particular the efforts of the following consultants:

|                              |                        |
|------------------------------|------------------------|
| Mateete Bekunda              | V. B. Mathur           |
| J. M. Bewers                 | Kamugira J. Mbabazi    |
| Max Campos                   | Hugo Navajas           |
| Marcelo H. Garcia            | Alberto Narvaez Olalla |
| Raymundo Jose Santos Garrido | Hubert M. G. Ouedraogo |
| Peter Grace                  | Manuel Paulet-Iturri   |
| Roy Hagen                    | Fabrian Rodriguez      |
| Mark Halle                   | Cliff Studman          |
| Jeffery Hardy                | Eric Smaling           |
| Peter Hunnam                 | Jeffery A. Thornton    |
| Patricia Kameri-Mbote        | Carlos E. M. Tucci     |
| Hisham Khatib                | Brent Usher            |

The Unit also notes its appreciation of the efforts of all programme and project managers and coordinators who submitted self-evaluation reports.

Finally, the Unit expresses its appreciation to UNEP division directors and staff, whose comments have greatly enriched this report.

Evaluation and Oversight Unit

# Acronyms and abbreviations

|          |   |
|----------|---|
| AMARC    | Mexican Association of Municipalities   |
| CLAI     | Latin American Council of Churches  |
| DCPI     | Division of Communications and Public Information                               |
| DEPI     | Division of Environmental Policy and Implementation                             |
| DEWA     | Division of Early Warning and Assessment  |
| DGEF     | Division of Global Environment Facility Coordination                            |
| DPDL     | Division of Policy Development and Law  |
| DRC      | Division of Regional Cooperation  |
| DTIE     | Division of Technology, Industry and Economics                                  |
| FAO      | Food and Agriculture Organization   |
| GEF      | Global Environment Facility   |
| GEFSOC   | Global Environment Facility Soil Organic Carbon                                 |
| GRID     | Global Research Information Database  |
| IDA      | International Development Association   |
| IDB      | Inter-American Development Bank   |
| IFAD     | International Fund for Agricultural Development                                 |
| IPCC     | Intergovernmental Panel on Climate Change                                       |
| IUCN     | World Conservation Union  |
| LMS      | Lesotho Meteorological Services   |
| NASA     | National Aeronautical and Space Administration                                  |
| OAS      | Organization of American States   |
| PADELIA  | Partnership for the Development of Environmental Law and Institutions in Africa |
| QUEST    | Quantifying and Understanding the Earth System                                  |
| SEMARNAT | Secretariat for Environment and Natural Resources (Mexico)                      |
| SINAC    | National System of Conservation Areas   |
| TNC      | The Nature Conservancy  |
| UNCCD    | United Nations Convention to Combat Desertification                             |
| UNDP     | United Nations Development Programme  |
| UNEP     | United Nations Environment Programme  |
| UNESCO   | United Nations Educational, Scientific and Cultural Organization                |
| UNFCCC   | United Nations Framework Convention on Climate Change                           |
| UNOPS    | United Nations Office for Project Services                                      |
| WWF      | Worldwide Fund for Nature   |





# Executive summary

## A. Evaluation

1. The present evaluation report is a synthesis of all evaluations conducted by the Evaluation and Oversight Unit in 2005 and comprises information provided in 20 in-depth project evaluation reports and 104 self-evaluation reports. The report is based on a review and assessment of the key parameters in four specific areas: (i) relevance and appropriateness; (ii) effectiveness and efficiency; (iii) results and impact; and (iv) sustainability. It also contains a review of the status of implementation of recommendations contained in the annual evaluation reports from 2000 to 2004 and a separate chapter on UNEP partnership agreements with donor Governments.
2. The present report includes an analysis of the performance ratings of projects assessed by independent evaluators. The ratings were based on assessments of 11 key parameters, including the achievement of overall project objectives, which was determined by comparing actual results to planned results. The evaluations concluded that the overall performance of the projects assessed was “good”.
3. UNEP projects have continued to strengthen the capacity of partner institutions at the national, regional and subregional levels, contributed to the implementation of international conventions, led to the development of analytical methods and tools, raised awareness among policy and decision makers, and promoted stronger stakeholder participation.
4. A number of factors contributed to the success of projects in delivering planned results. These included robust consultations with relevant stakeholders during project design, good vision and project leadership, improved adaptive management, effective use of national expertise, timely execution of project activities, strong country ownership and strengthened technical and institutional capacity in project countries.
5. The project evaluations identified several challenges. Among the most important are ambiguous or unrealistic objectives and outputs, largely arising from poor project design; unrealistic expectations given limited financial resources; a lack of clearly defined monitoring and evaluation plans; insufficient time to achieve project objectives; limited involvement of private sector institutions; and ineffective dissemination of project results and limited replicability to other project contexts. In addition, the sustainability of several projects without UNEP funding remained a major concern.
6. A total of 104 project self-evaluation reports were completed, representing a compliance rate of 71 per cent, which is substantially lower than the 84 per cent reported in 2004. Of these projects, 31 per cent were global in their scope, six per cent had an interregional focus, 25 per cent were regional and 38 per cent were implemented at the subregional or national levels. UNEP has continued to step up its activities at the national level, particularly in the area of capacity-building. Forty-four per cent of the projects dealt with environmental issues prioritized at the 2002 World Summit on Sustainable Development in the areas of water, energy, health, agriculture and biodiversity. Biodiversity-related projects alone accounted for 29 per cent of the self-evaluation reports submitted.

7. Evaluations are followed up on through the preparation of implementation plans for evaluation recommendations. The quality of recommendations in recent years has improved considerably and the percentage of rejected evaluation recommendations has declined sharply from 32.2 per cent in 2000 to none in 2005. In addition, closer and regular follow-up actions by the Evaluation and Oversight Unit have resulted in a substantial decrease in the percentage of recommendations which are outstanding.
8. The evaluation of UNEP partnership agreements with Belgium and Norway show clearly that UNEP is increasingly dependent on extra-budgetary funding for its programme of work. The trend towards a long-term approach to the funding of current and new framework agreements is expected to continue because such an approach will ensure the predictability of funding. It would seem, however, that in order to take advantage of the framework agreement approach as a means to increase funding and ensure its predictability, the organization needs, among other things, to focus its activities closely in areas where it has a comparative advantage, strengthen coordination of its activities at the country level with other development agencies, in particular with the United Nations Development Programme (UNDP), strengthen interdivisional collaboration, and reduce methodological inconsistency in the implementation of its activities at the country level. Donors have begun to emphasize more coherent approaches to funding of development activities, especially at the country level, consistent with Millennium Development Goal-based national planning and that trend is likely to continue.

## B. Findings and recommendations

### 1. Country level development coordination

9. There is a need to harmonize capacity-building activities at the country level with other multilateral agencies and Bretton Woods institutions. UNEP, like other United Nations agencies, needs to approach country level capacity-building by cooperating with, or working through, the local UNDP country office, which is responsible for coordinating country level development assistance from the United Nations system. The current collaboration between UNEP and UNDP on the poverty and environment programme, for example, suggests that UNEP needs to work more closely with UNDP in planning future activities. UNDP plans to give priority to providing integrated support to Millennium Development Goal-based national planning processes. The UNDP-UNEP Poverty and Environment Initiative will be the primary mechanism for mainstreaming environment into its activities at the country level in the coming years. UNEP will need to make some important decisions about how to continue its collaboration with UNDP as these changes take place and consider what this implies for the overall UNEP strategy for increased support of operational country-based capacity-building.

#### *Recommendation 1*

10. UNEP senior management should engage with UNDP to review and shape the way in which the UNEP-UNDP memorandum of understanding (MOU) can be better implemented, with particular attention to future collaboration. In addition, UNEP senior management should take account of the findings of the study on administrative procedures conducted by consultancy firm, Dalberg, and the study funded by the United Kingdom Department for International Development on the harmonization of procedures between UNEP and UNDP to see how improvements can be made to the administration of multi-year country level programmes.

## **2. Inter-divisional coordination**

11. Evaluation of the UNEP partnership programme with Belgium noted that UNEP can contribute to mainstreaming poverty-environment linkages into country-led planning processes through, amongst other things, its special expertise in environmental assessment. In particular, countries need to apply tools that can help them identify and quantify the contribution of environment to poverty alleviation and economic growth. It is clear that different divisions of UNEP have developed or adopted particular methodologies or analytical tools that can be used in this context. In some cases, however, different methodologies with a similar purpose are being promoted by separate UNEP divisions in the same country.

### *Recommendation 2*

12. UNEP senior management should strengthen coordination between different divisions in providing assistance to national planning processes in project countries, both in terms of regional coordination and the consistency of recommended methodological approaches. A similar recommendation was also made in the Dalberg study of UNEP, which called for a strengthening of interdivisional knowledge flows and coordination.
3. Focus on areas of comparative advantage
13. Evaluations of UNEP projects and programmes have found that donor support has been useful and effective in assisting developing countries, especially in Africa, to meet their obligations under a number of multilateral environmental agreements. However, UNEP has implemented a wide and diverse range of activities with a similarly wide range of outputs and objectives, making it difficult to establish a focus and then evaluate impacts and results. In addition, transaction costs are high.

### *Recommendation 3*

14. Future UNEP framework agreements with donors should focus on programmes, projects and activities in which UNEP has demonstrated a comparative advantage, such as environmental assessment; monitoring, remote sensing and early warning systems; awareness-raising and training aimed at securing the implementation of multilateral environmental agreements; regulations regarding the trade and deposition of chemicals and waste; and cleaner production activities. Funding should be focused on a limited set of carefully selected activities to ensure that tangible results can be achieved.

## **4. Dissemination strategies**

15. UNEP produces high quality scientific products but dissemination of the findings from these products has been weak and scientific messages in many instances have not reached wider stakeholder groups, including decision makers and other stakeholders. This has been a result of inadequate planning for the dissemination of project outcomes. The 'trickle down' strategy of dissemination has not worked because messages are often not regularly reinforced using multi-purpose tools and methods

### *Recommendation 4*

16. To ensure that important findings of UNEP-implemented projects reach their intended target groups, dissemination strategies must be clearly defined in UNEP project proposals. Therefore, a dissemination strategy must become a UNEP project review and approval criterion.

## **5. Resource mobilization**

17. In kind contributions from UNEP project and programme partner Governments, agencies, community-based organizations and volunteer experts have played a significant role in the successful implementation of projects. These contributions have been instrumental in leveraging additional funding for project-related or project-based activities. However, the magnitude of such contributions is neither fully assessed nor adequately documented at the project and programme levels.

### *Recommendation 5*

18. Strategies for mobilizing resources for the implementation of UNEP projects should clearly document in kind and cash contributions from local, regional and national sources to leverage additional resources from current and prospective bilateral and multilateral donors in order to help facilitate the continuation of project-related activities on a sustainable basis. For this to happen, UNEP must develop a framework for monetizing and reporting in kind contributions as projects progress and ensure that in kind contributions from stakeholders are monitored, reviewed and adequately documented.

## **6. Monitoring and evaluation plan**

19. The absence of effective monitoring and evaluation plans continue to be a persistent weakness in UNEP projects. The lack of a clearly defined plan for monitoring and evaluating project and programme activities with supporting scoping and baseline data, a data sharing mechanism and substantive reporting on key project performance indicators has been a major constraint.

### *Recommendation 6*

20. All project and programme proposals should contain a well defined monitoring and evaluation plan to monitor progress towards goals and assess results at regular intervals. The plan should clearly identify key performance indicators for progress monitoring and impact assessment, focusing on relevant qualitative and quantitative cultural, economic, environmental, institutional and social factors. It should also identify methods of data collection, use of data and substantive reporting on key agreed indicators. At the project level, project managers must include a clearly defined plan and an associated costed budget in their project proposal. UNEP projects must be reviewed for adequate monitoring and evaluation plans, based on clearly defined criteria.

## **C. Lessons learned**

### **1. Project design**

21. Dissimilar rates of progress in implementing projects in different countries may affect the overall progress of the region. Fast track countries can move on unhampered and perhaps show more output than anticipated, while the slower countries tend to reduce the overall pace and output. In a project spanning more than one continent, the risk of slower progress seems to be higher than in a regional multi-country project. Hence, sufficient attention should be paid to constraints and opportunities faced by all participating countries when designing projects.

## **2. Project partners**

22. Voluntary partnerships, which seek to promote corporate social responsibility in the private sector, need to spell out roles and responsibilities for member companies carefully, while maintaining the voluntary ethos. Opening up membership of voluntary partnerships under unregulated conditions can result in a free rider problem. For example, in the case of one public-private initiative, the UNEP “Action programme on the financial services sector and the environment project” (UNEP Financial Initiative project), it was necessary to introduce the mandatory payment of annual fees on a sliding scale, recognizing the diversity of membership from blue-chip companies through to developing or transition economy institutions; attendance at the Initiative’s annual general meetings; annual reporting to the secretariat of policy; steps taken to honour the partnership with UNEP and to honour the commitments made in signed statements; and tracking by the secretariat of membership engagement and activities in the different areas of operation of the UNEP Financial Initiative project.

## **3. Public participation**

23. Positive cooperation with respect to shared natural resources is most often successful when a mix of regulation and incentives is used. Since direct regulation of individual users is often politically and practically impossible, it is usually necessary to create user-based organizations or informal social mechanisms that provide individual users with incentives to use the resource prudently. In this regard, experience worldwide shows that public participation in reaching decisions is crucial for positive outcomes.

## **4. Dissemination**

24. Local ownership and sustainability is important for the success of a project. This tends to be ensured by effective public awareness of project activities and findings. For public awareness activities to be effective, it is important to promote the use of local structures and community buy-ins in order to disseminate information and sensitize the public to the project’s goals, thereby contributing to changing the behaviour of stakeholders with respect to the project. However, public awareness activities must be viewed as a continuous process and it is important that key messages are repeated regularly. The trickle-down strategy for dissemination of information does work but needs reinforcement at regular intervals, otherwise attitudes and behaviour do not change.

## **5. Exit strategy based on country ownership**

25. The design and handling of an exit strategy is always one of the most delicate challenges in development cooperation. An ill-prepared handover, dictated by the administrative requirements of donor cycles has buried many promising aid projects. At the same time, unless a development project is taken over and “owned” by the host country or countries, prospects for sustainable positive outcomes are small. Too many projects limp from phase to phase until they collapse.

# I. Introduction

## A. Evaluation and Oversight Unit

26. The UNEP Evaluation and Oversight Unit is entrusted with conducting, coordinating and overseeing evaluations within UNEP. This mandate covers all programmes and projects of the Environment Fund, related trust funds, earmarked contributions and projects implemented by UNEP under the Global Environment Facility (GEF). The Unit conducts various types of evaluations and management studies, in accordance with the requirements of the United Nations General Assembly, the UNEP Governing Council, and the norms and standards for evaluation of the United Nations system.
27. The activities of the Evaluation and Oversight Unit comprise management studies, in-depth subprogramme and project evaluations and project self-evaluations. The Unit provides technical backstopping to project and programme managers in their annual self-evaluation and closely follows up on the implementation of evaluation recommendations.
28. All UNEP projects, independent of their funding source, are subject to evaluation through annual self-evaluation reporting and midterm and terminal evaluations are conducted as desk or in-depth studies. UNEP subprogrammes are only covered by in-depth evaluations conducted every four or five years. To improve the coverage and provide a more accurate and timely analysis of UNEP activities, the Evaluation and Oversight Unit will support a self-assessment process for subprogrammes for the 2006–2007 biennium.

## B. Mandate and mission

29. This annual evaluation report has been prepared as part of the mission of the UNEP Evaluation and Oversight Unit to provide strategic information to Governments, UNEP senior management and programme managers to enable them to review progress made by the organization and to reflect critically on the constraints and challenges of delivering a quality global environmental programme.
30. The mandate for undertaking evaluations has been stated in various General Assembly resolutions and UNEP Governing Council decisions. The Governing Council has recognized the importance of evaluation as an integral part of the programme planning cycle, while retaining its independence, and has requested the Executive Director to continue to refine evaluation methodologies in collaboration with Governments (Governing Council decisions 75 IV, 6/13, 13/1 and 14/1) and partners within the United Nations system. In its decision 19/29, the Council also requested the Executive Director to strengthen the UNEP oversight function. According to the Secretary General's bulletin on programme planning, monitoring and implementation (ST/SGB/2000/8), which consolidates the General Assembly decisions on the evaluation function, the purpose of the evaluation function is to facilitate the review of results achieved from programme implementation, examine the validity of programme orientation and determine whether there is need to change the direction of different programmes.

## C. Scope and objective

31. The annual evaluation report is prepared as an intersessional document of the UNEP Governing Council/Global Ministerial Environment Forum and serves as part of the input of UNEP to the Secretary General's report on evaluation to the General Assembly. The report provides stakeholders such as Governments, UNEP senior management and UNEP partners with an evaluative assessment of UNEP programme and project performance in 2005. The main objective of the annual evaluation report is to help UNEP reflect on its programme performance through evaluative evidence and lessons from programme and project implementation. The terms of reference for the report are provided in annex I to the present report.
32. The report is based on evaluations conducted in 2005 and comprises data provided in 20 in-depth project evaluation reports and 104 self-evaluation reports. The report also contains a review of the status of implementation of the recommendations contained in the 2000–2004 annual evaluation reports and a chapter on the UNEP partnership agreements with donor Governments.

## D. Methodology

### 1. Evaluation parameters

33. The report is based on a review and assessment of the key parameters in four specific areas: first, relevance and appropriateness; second, effectiveness and efficiency; third, results and impacts; and, fourth, sustainability.

#### *(a) Relevance and appropriateness*

34. The relevance and appropriateness of evaluated programme and project activities implemented under the mandate of UNEP (General Assembly resolution 2997 (XXVII) of 15 December 1972, the 1997 Nairobi Declaration, the 2000 Malmö Declaration and the 2002 Johannesburg Plan of Implementation) were examined by assessing the following parameters:

- (i) Relevance of activities and their contribution in such areas as promoting the development of international environmental law; implementing international norms and policy; conducting environmental assessments and providing policy advice and information; and raising awareness and facilitating effective cooperation between all sectors of society;
- (ii) Relevance of activities and their contribution to providing policy and advisory services in key areas of institution-building to Governments and other institutions; and
- (iii) Relevance of activities and their contribution to strengthening the role of UNEP in coordinating environmental activities in the United Nations system and as a GEF implementing agency.

#### *(b) Effectiveness and efficiency*

35. The review and assessment of the effectiveness and efficiency of programmes and projects was based on an in-depth evaluation and took into account the following factors:

- (i) Evaluation ratings based on a critical analysis of 11 aspects of implementation for the projects that were also used in 2004 in-depth evaluations;
- (ii) Emerging lessons learned from project implementation and evaluation recommendations; and
- (iii) Results and impact.

36. The review and assessment of the results and impact of the evaluated activities largely focused



on capacity-building in areas related to environmental information and assessment, international environmental law and regimes, monitoring of compliance with existing conventions and international agreements, supporting institution building and awareness-raising and fostering improved linkages between the scientific community and policy makers.

### *(c) Sustainability*

37. The evaluation of project sustainability covered three areas: enabling environment, financial sustainability and institutional capacity.

## **2. Analytical approach**

38. The Evaluation and Oversight Unit conducts all evaluations in consultation with the relevant programme and project managers to ensure that, while United Nations and UNEP evaluation standards are followed, the views and concerns of the respective programmes and projects are adequately and fairly reflected. The same approach has been used in the preparation of this report and issues and questions that arose from the reviews and consultations have been further discussed with relevant divisions and circulated to all divisions in the form of a draft report.
39. The analysis and conclusions contained in the report are based on:
  - (i) Review of in-depth evaluation reports;
  - (ii) Review of self-evaluation reports;
  - (iii) Review of desk evaluation reports;
  - (iv) Review of implementation plans and management responses to the recommendations of the evaluation reports over the period 2000–2004;
  - (v) Discussions with UNEP staff on subjects related to partnership framework agreements, implementation of evaluation recommendations and self-evaluation reporting.

## **3. Evaluation rating**

40. All project evaluations are assessed on a five-point rating scale (1 = excellent, 2 = very good, 3 = good, 4 = satisfactory and 5 = unsatisfactory) based on a qualitative analysis of project performance in evaluations. These ratings were developed and refined recently and ensure consistency with the rating system used for GEF projects because a substantial number of the evaluations conducted by the Evaluation and Oversight Unit are for GEF projects. In 2005, some of GEF project evaluations adopted a six-point scale following GEF Evaluation Office guidelines. These ratings were appropriately converted to a five-point scale so that the reporting of evaluation findings is consistent across all projects evaluated. The Evaluation and Oversight Unit anticipates that in future years all evaluations will be rated on a six point scale. The evaluation parameters include:
  - (i) Achievement of objectives and planned results;
  - (ii) Attainment of outputs and activities;
  - (iii) Cost-effectiveness;
  - (iv) Country ownership;
  - (v) Financial planning and management;
  - (vi) Impacts;
  - (vii) Implementation approach;
  - (viii) Monitoring and evaluation;
  - (ix) Replicability;
  - (x) Stakeholder involvement; and
  - (xi) Sustainability.

## II. UNEP partnership agreements with donor Governments

### A. Background

41. The mandate of UNEP to catalyze action among Governments and the multidisciplinary nature of its own work and environmental work in general require solutions which are cross-sectoral. Information for environmental decision-making is generally fragmented at differing scales and levels. In order to provide coherent and comprehensive information for decision-making at the global, regional and subregional levels there is a need to develop strong partnerships with Governments, non-governmental organizations, academic and research institutions and private sector organizations.
42. Partnerships are usually agreements between one or more organizations for mutual benefit in accomplishing a common goal. In the case of UNEP, the goal is the implementation of specific components of its mandate. Partnerships in UNEP are of many different types, ranging from those formed between UNEP and another organization or institution through networks to those formed between UNEP and a donor Government.
43. This chapter of the annual evaluation report focuses primarily on the UNEP partnership programme with donor Governments because over the past two years there has been considerable focus on review and realignment of these partnerships resulting in at least two reviews or evaluations.

### B. Donor partnership agreements

44. Partnerships with Governments are based on bilateral framework agreements signed between UNEP and a donor Government. The object of these types of partnerships is to strengthen collaboration, streamline the provision of additional earmarked support and contribute to making funding for the organization predictable. These bilateral partnerships have three common features. They provide a framework for policy dialogue and collaboration between UNEP and a donor Government, a mechanism for strategic support to core UNEP priorities, and a framework for review and adjustments to maximize results and impact.
45. UNEP has signed partnerships agreements with the Governments of Norway, Belgium, Ireland, Sweden and the Netherlands. Other framework agreements with Italy, Spain and the European Union are being developed.
46. Table 1 provides a brief overview of the priority areas, budgets and timelines of the current five partnerships. It summarizes the key elements in the various partnerships and identifies similarities and differences between the partnerships with respect to duration and thematic focus.

**Table 1: Priority areas, budgets and timelines of the current five partnerships**

| Country   | Duration   | Thematic areas  | Other criteria   | Budget (Million United States dollars / euros) |
|---|--|---|--|--|
| Ireland<br>Development Cooperation Ireland (Department of Foreign Affairs) and Department of the Environment, Heritage and Local Government | 2002–2005  | Protection of freshwater resources<br>Access to environmental information for decision-making<br>Protection of the coastal and marine environment (coastal and marine fisheries management)<br>Conservation of biological diversity (monitoring of land cover protected areas and indigenous vegetation change) | Poverty alleviation<br>Capacity-building to address the goals of sustainable development<br>UNEP poverty and environment guidelines used to ensure the integration of poverty alleviation strategies in each of the focal areas.<br>Ireland involved in the selection of countries   | \$3.35   |
| Belgium<br>Ministry of Development Cooperation within the Federal Public Service Foreign Affairs  | 2004–2007  | Strengthening the scientific base<br>Water<br>Capacity-building   | Belgium involved in the selection of countries<br>Increased focus on providing operational capacity-building at the country level<br>Encourage UNEP to collaborate better with UNDP and with other donors<br>Combine with the support already provided by the Government of Norway.  | \$12.00  |
| Norway (1)<br>Ministry of Foreign Affairs   | 2002–2005 (4 years) originally 2002–2004, then extended by 1 year. | Support to Africa<br>Environmental information, monitoring and assessment<br>Environmental policy and law, including trade and environment<br>Support to the implementation of environmental conventions<br>Cooperation between UNEP and civil society  | Consistent with programme of work for either (i) selected themes or (ii) specific countries with or without other donors.<br>Contributing to poverty eradication<br>Achieving the Millennium Development Goals, in particular Millennium Development Goal 7, concerning environmental sustainability<br>Capacity-building, institutional development, technical assistance and technology support (Bali Strategic Plan for Technology Support and Capacity-building)<br>Ensuring that development assistance is based on dialogue with partners and is in accordance with their own priorities and development plans, in particular national poverty reduction strategy papers (PRSPs) | \$24.00  |
| Norway (2)  | 2005–2007  | Environmental assessment, monitoring and early warning<br>Capacity-building of developing countries, regional and international institutions to develop, improve and implement environmental legal frameworks<br>Technology, industry and economics for sustainable development                                 | Promoting implementation of multilateral environmental agreements<br>Promoting sustainable development<br>Ensuring gender considerations are fully taken into account<br>Ensuring the participation of relevant stakeholders<br>Promoting a rights-based approach<br>Participating in Common Country Assessments and the United Nations Development Assistance Framework   | \$36.00  |

| Country  | Duration  | Thematic areas   | Other criteria  | Budget (Million United States dollars / euros) |
|--|-----------|--|---|--|
| Sweden<br>Ministry of Sustainable<br>Development   | 2005-2007 | Early warning and assessment<br>Implementation of multilateral environmental<br>agreements<br>Sustainable consumption and production patterns<br>Civil society<br>Water<br>Chemicals |   | \$3.90 (for 2005)                              |
| Netherlands<br>Minister for Development<br>Cooperation within the Ministry of<br>Foreign Affairs | 2002-2005 | Environmental assessment<br>Energy and climate<br>Environmental law<br>Urban environment<br>Water  | Single country activities implemented only in countries eligible for<br>International Development Association (IDA) support<br>Regional and global activities – the majority of countries involved will<br>be in IDA eligible countries<br>In exceptional cases UNEP may implement regional or global<br>activities that do not involve a majority of IDA eligible countries on<br>the condition that the majority of these countries are developing<br>Countries | €<br>12.30                                     |

## **1. Criteria for selecting thematic areas**

47. There has been some evolution in the choice of thematic areas benefiting from partnership support, from quite specific areas of work such as protection of freshwater resources (Ireland) to broader areas such as water (Sweden and Netherlands) or early warning and assessment (Sweden, Norway, Netherlands), which corresponds to the work of a particular division within UNEP.
48. The more recent partnership agreements and, in particular, the one agreed with Norway, outline, in addition to the thematic focus, specific selection criteria for activities financed under the framework agreement. They include contributing to poverty eradication through the promotion of sustainable development, the United Nations Millennium Development Goals, contributing to capacity-building through the Bali Strategic Plan, ensuring that gender considerations are fully taken into account, and promoting a rights-based approach to development.
49. Another selection criterion is coordination with other planned or ongoing activities in the same field within the United Nations system such as Common Country Assessments and the United Nations Development Assistance Framework. This orientation seems to be in line with priorities of other donors. For example, the recently conducted Belgian partnership evaluation established that the strategic objectives of the Belgian Directorate General for Development Cooperation are to encourage UNEP to work better with UNDP and to support the increased focus of UNEP on providing capacity-building at the country level.

## **2. Legal and financial instruments**

50. There are a few differences in the legal and financial instruments used in different partnerships. While the Belgian partnership consists of a formal agreement with log frames and corresponding budgets developed for the three programme areas covered by the partnership, the Swedish partnership is an MOU with a budget that is committed only on a yearly basis. This lessens its value in terms of predictability of funding. The Dutch partnership, on the other hand, consists of a general agreement, a budget and a policy document that seeks to highlight the policy objectives for the partnership program. The policy document seems quite ambitious, however, in terms of outputs. As regards implementation, most of the partnerships are based on project activities, which fall within the agreed thematic areas. UNEP submits proposals from which the donor selects. However, formal project documents are not prepared in all cases.

## **3. Monitoring and evaluation**

51. Monitoring of the various partnerships is mainly achieved through annual bilateral consultations organized by UNEP. Annual progress reports on the partnerships are submitted beforehand to feed into these discussions and some effort has been made by UNEP to develop a harmonized reporting system for all the donors.
52. The provisions for the funding of evaluations differ in the various partnership agreements. The Belgian partnership includes explicit provisions for funding evaluations, while the provision for evaluation in the agreement with the Netherlands was not accompanied by an explicit budget. Similarly, no provision was made for an evaluation budget in the Swedish partnership agreement.

## **C. Evaluation of partnership framework agreements**

53. In 2005, evaluations of the partnership agreements with the Governments of Norway and Belgium were carried out. The Norwegian partnership agreement evaluation was conducted

by external consultants, primarily for the Government of Norway, with the objective of identifying critical issues that would assist in revising the existing agreement. It explored the successes and challenges experienced under the present agreement and assessed the main strategic options for developing future agreements. The evaluation had three specific objectives: (i) to document and assess how the partnership has functioned during the present agreement, identify successes and challenges, and provide recommendations and lessons learned; (ii) to analyse and appraise the advantages and disadvantages of the main strategic options in the new programme cooperation agreements; and (iii) to contribute to a baseline for future assessments of the performance of UNEP and the effects of the new type of agreement. The assessment of the Belgian agreement was conducted by the Evaluation and Oversight Unit in UNEP with the assistance of an external consultant. The aim was to review the approach used in developing the partnership. It assessed the efficiency and effectiveness of programme implementation and progress being made towards the achievement of expected results. The evaluation addressed three key questions: (i) does the existing mechanism for support provide an adequate framework for policy dialogue and provide a means for long-term, coherent support for the UNEP programme of work?; (ii) what progress has been made towards achieving the expected results of the various components of the partnership agreement?; and (iii) how effectively has UNEP collaborated with other partners, including national authorities, regional resource centres, United Nations agencies, intergovernmental organizations, non-governmental organizations and civil society, in the implementation of the partnership?

54. The following represent key findings and recommendations with respect to the operation of the partnerships, based on evaluations of the Belgian and Norwegian framework agreements.

### **1. Increased funding to the UNEP programme of work**

55. The evaluations have confirmed that such agreements offer clear advantages and efficiencies as compared to the traditional project-oriented approach and ad hoc bilateral discussions. The partnerships have increased funding by providing direct support to the UNEP programme of work. The main focus of the partnerships has been on programme activities in developing countries, which enable UNEP to make adequate contributions to achieving the Millennium Development Goals by 2015.

### **2. Predictability of funding**

56. Both the Belgium and the Norwegian partnership evaluations demonstrate that, as anticipated, the partnerships provide more certainty and predictability to the UNEP divisions that host the selected programme components because they provide support over a four year period. Indeed, this constitutes a major contribution to improving the strategic planning of UNEP activities as a whole and closer collaboration within UNEP and with outside partners, as well as reducing the administrative burden. However, the evidence from the country level evaluations of the activities funded through the Belgium partnership is that this predictability is less clear to the national focal points working with the capacity-building programme. In many cases, they are operating within workplans agreed for a period of a year or less and are not fully aware of the full scale or duration of the funding of their specific sub-projects.

### **3. Need to focus on areas of comparative advantage**

57. The Norwegian evaluation found that Norwegian support has been useful and effective in assisting developing countries, especially in Africa, to meet their obligations under a number of multilateral environmental agreements. It also made a strong case for focusing support

through the partnership agreement in areas where UNEP has, what it calls, “frontier comparative advantage/expertise/competence” such as environmental monitoring, remote sensing and early warning systems; awareness-raising and training to aid implementation of multilateral environmental agreements; and regulations regarding the trade and deposition of chemicals and waste, and cleaner production activities.

#### **4. Diverse range of activities**

58. The Belgian partnership evaluation noted that a consequence of spreading the funds over three programme components for a four year period and, in particular, within the capacity-building component over three sub-projects in four countries, is that the funds are thinly spread. As a result, it appears that the transaction costs of each sub-project of the capacity-building programme are high. One implication of spreading the resources over a large range of sub-projects within the three programme components is that it is harder to assess the overall impact of the partnership in terms of whether the resources provided are making a real difference to the results UNEP intends by enabling divisions to focus effort on key outputs or merely plugging gaps in existing resource mobilization. Indeed, the Norwegian partnership evaluation also noted that “it is difficult to establish a focus and then evaluate impacts and results because of the very wide and diverse range of outputs and objectives to be accomplished”.

#### **5. Interdivisional coordination**

59. Both the Belgium and Norwegian partnership evaluations noted that UNEP has increased the emphasis in its overall programme on country level capacity-building and recognized the increased significance of the Bali Strategic Plan in the UNEP programme of work. While the organization, in the past, has delivered a host of different technical capacity-building support measures to Governments and has played a key role in very significant technical assistance programmes such as GEF, it has had relatively little experience of sustained, operational, country level programmes of capacity-building, which have been integrated into development planning and delivery processes. The Belgium evaluation was optimistic that experience gained within the poverty and environment programme funded by Belgium and Norway can offer significant lessons about what is required. However, the evaluation raised concerns related to methodological consistency.
60. The evaluation observed that one potential contribution of UNEP to mainstreaming poverty and environment linkages into country-led planning processes is its special expertise in environmental assessment. In particular, countries need to apply tools that can help them identify and quantify the contribution of environment to poverty alleviation and growth. It is clear, however, that different divisions of UNEP have developed or adopted particular methodologies or analytical tools that can be used in this context. In some cases, different methodologies with a similar purpose are being promoted by different UNEP divisions in the same country. A similar observation was made in the Norwegian partnership evaluation when the reviewers noted that “there is a great deal of professional overlap between UNEP divisions, which is bound to lead to duplication of activities and of funding”.

#### **6. Country level development coordination**

61. The Belgium partnership evaluation noted that UNEP, like any other United Nations agency, needs to approach country level operational capacity-building by cooperating with or working through the local UNDP country office, which is responsible for coordinating the country level development assistance from the United Nations system. It is also evident that in many

countries, there are donor harmonization processes in place which often create mechanisms for all donor institutions to coordinate their activities focused on a particular sector such as the environment – usually with one or two donors taking the lead role. Similarly, the Norwegian partnership evaluation raised the issue of the need to harmonize capacity-building activities at the country level with other multilateral agencies and Bretton Woods institutions.

## **7. Implementation of the UNDP-UNEP memorandum of understanding**

62. Related to the issue of country level coordination, the evaluation of the Belgium partnership drew particular attention to the joint UNEP-UNDP poverty environment programme as the most concrete example of collaboration within the framework of the UNEP-UNDP memorandum of understanding. However, the evaluation did not observe evidence that the commitment expressed in the memorandum of understanding actually brought the poverty environment collaboration into effect or that the memorandum of understanding shapes how the collaboration works in practice. It was not clear to the evaluators how UNEP intended to implement the memorandum of understanding in practice or what place the poverty-environment programme has within any such strategy. In particular, UNEP may need to engage with UNDP and other partners in joint programming of capacity-building at the country level to ensure that intended activities are embedded within agreed processes for support.

## **8. Challenge of Millennium Development Goal-based development planning**

63. The current collaboration between UNEP and UNDP on the poverty and environment programme suggests that UNEP needs to work more closely with UNDP in planning future activities. In the coming years, UNDP plans to give priority to providing integrated support to Millennium Development Goal-based national planning processes and the UNDP-UNEP Poverty and Environment Initiative will be the primary mechanism for mainstreaming environment into its activities at the country level. UNEP will need to make some important decisions about how to continue its collaboration with UNDP as these changes take place and what this implies for the overall UNEP strategy for increased support of operational country-based capacity-building with emphasis on mainstreaming environment into national planning processes.

## **9. Resources for capacity-building at the country level**

64. Another key finding of the Belgian partnership evaluation relates to the magnitude of resources required to operationalize capacity-building activities at the country level. The evaluation noted that the experience gained through implementation of the Belgian funded capacity-building programme component suggests that successful preparation and management of operational capacity-building at the country level requires substantial input of both administrative and technical resources from UNEP, in excess of that which is usually available for more normative UNEP activities. If UNEP is to scale up its support for this type of capacity-building, there is no doubt that it will need to put in place the staffing and resources needed for the task, preferably by building up teams composed of permanent rather than temporary project staff. UNEP will also need to look to other partners for the resources necessary to sustain such projects successfully.



## D. Conclusions

65. The increasing dependency of UNEP on extra-budgetary funding of its programme of work suggests that the trend towards the development of a more programmatic approach to the development of current and new partnerships will continue. It would seem, however, that in order to take advantage of the framework agreement approach to increasing and ensuring predictable funding, the organization needs to, among other things, focus its activities closely in areas where it has a comparative advantage, strengthen coordination of its activities at the country level with other development agencies and in particular with UNDP, strengthen interdivisional collaboration and reduce methodological inconsistency in the implementation of its activities at the country level. Donors have begun to emphasize more coherent approaches to the funding of development activities, especially at the country level, consistent with Millennium Development Goal-based national planning and that trend is likely to continue.

### III. In-depth project evaluations

66. In 2005, the Evaluation and Oversight Unit conducted 20 in-depth evaluations, seven midterm and 13 final; GEF funded 16 projects evaluations. The types of projects evaluated in 2005 varied considerably and were more diverse in nature than those in 2004. For example, in 2005 there were more water resources-related projects in contrast to more biodiversity and climate change-related projects in 2004. The thematic areas covered in 2005 project evaluations are listed in table 2:

**Table 2. Thematic areas covered in 2005 project evaluations**

| Theme   | No. of projects | Theme   | No. of projects |
|---|-----------------|---|-----------------|
| International waters  | 7               | Environmental law                                 | 1               |
| Biodiversity conservation and rehabilitation of degraded land | 3               | Environmental information, education and networks | 3               |
| Climate change  | 3               | Financial services                                | 1               |
| Human health  | 2               |   |                 |

67. The evaluations concluded that the overall performance of the projects assessed was “good”.<sup>1</sup> Eighteen of the 20 project evaluation reports prepared in 2005 provided ratings on at least some of the evaluation parameters. Of the eleven evaluation parameters used in project evaluations, two parameters (cost-effectiveness and financial planning/management) had a rating of ‘very good’ and the remaining parameters had ratings of ‘good’. A discussion of the key parameters follows.

#### A. Achievement of objectives and attainment of outputs

68. The level of achievement of objectives was determined by comparing the extent and quality of achievements against planned objectives. In doing so, progress towards attaining planned results was also considered. Planned activities and associated outputs were assessed, taking into account timeliness of completion, quality of outputs and contribution to the overall objective or objectives of the project. Consideration was given to both qualitative and, where relevant, quantitative progress and ratings assigned by the evaluators. Table 3 summarizes ratings given by project evaluations for achievement of objectives and attainment of outputs.

**Table 3. Ratings for achievement of objectives and attainment of outputs**

| Number of projects attaining specific rating |           |      |              |                |
|--|-----------|------|--------------|----------------|
| Excellent                                    | Very good | Good | Satisfactory | Unsatisfactory |
| 2  | 7         | 5    | 3            | 1              |

69. For the discussion of achievement of results and outputs, the projects evaluated were grouped into seven clusters.

<sup>1</sup> The evaluation adopted a five point scale with the following grades: “excellent” (1), “very good” (2), “good” (3), “satisfactory” (4) and “unsatisfactory” (5).

## 1. International water resource management

70. Seven of the 20 projects evaluated addressed international water resource-related issues and were of differing scales and scope. Knowledge development through dialogue, assessment and information systems and dissemination of such knowledge via available means and networks was a common theme across these projects. Integrated management of transboundary water resources featured prominently in four of the seven projects evaluated. These projects required development of strategic action programmes, institutional development and strengthening, public and stakeholder participation and sustainable development of natural resources, including water.
71. The following are examples of international water resource management projects that were successful in achieving their objectives and producing their planned outputs:
- (a) The final evaluation of the “Integrated management of land-based activities in the Sao Francisco river basin project” (Sao Francisco project) demonstrated that the project achieved a number of key outputs in line with the project objective. For example, studies conducted in the lower Sao Francisco river basin provided important knowledge about the actual conditions, the impact of human activity and the mitigation measures required to protect the environment and ensure social sustainability. The project also identified the impacts of climate and dams in the lower river and coastal zone and demonstrated relationships between the physical effects of the reduction of suspended sediments and fish, flora and coastal sustainability. In addition, the project evaluated several flood condition scenarios. In developing a strategic action programme, the project identified a chain of causal relationships between issues that provided a guide to the identification of strategies for the basin and specification of required investments.
  - (b) The final evaluation of the “Implementation of integrated watershed management practices for the Pantanal and Upper Paraguay river basin project” (Pantanal project) found that the project far exceeded the expectations specified in the project document. The project maintained a high level of uniformity in its performance across the set of activities. The achievements of the project were the result of good planning and leadership in project management. Some of the key outputs of the project include a flood forecasting model for extreme events alert system; a proposal for integrated environmental management of solid waste aimed at helping 19 municipalities to clean their waters; improved institutional capacity in managing water resources; the creation of environmentally protected areas; and recognition of natural resources in programmes and policies aimed at the rational use of products from fragile ecosystems.
72. Some projects, however, lagged behind in performance. For example:
- (a) The final evaluation of the “Formulation of a strategic action programme for the integrated management of water resources and the sustainable development of the San Juan river basin and its coastal zones project” (San Juan project) concluded that although basic studies were done reasonably, the demonstration projects were only marginally satisfactory. At the time of evaluation, the strategic action plan final report was still under preparation. The project deadlines had not been met and due dates for the completion of project activities had been extended two times. Moreover, there was no final product to assess.
  - (b) The midterm evaluation of the “North-West Sahara aquifer system phase II project” (North-West Sahara Aquifer project) identified a gap between what the project team regarded as having been achieved in the current phase of the project and the expectations of donors. It also identified a gap between the notions of what was required to ensure

continuing cooperation between the three countries and what was required to manage the shared aquifer optimally. A further gap was found in terms of the design and scope of the concertation mechanism to be put in place by the end of the continuing second phase of the project. These gaps collectively required a redesign of the project at the midpoint.

## **2. Biodiversity, conservation and land rehabilitation**

73. Three projects covered different issues pertaining to below ground biodiversity, catalyzing conservation action and management of indigenous vegetation for the rehabilitation of degraded rangelands. All three projects aimed to manage land resources in a sustainable manner so that both ecological and economic benefits could be optimized.
74. The projects placed major emphasis on enhancing awareness and better understanding of the importance associated with conserving biodiversity in different ecological regions for national, regional and global benefits. Active involvement of relevant stakeholders, both communities and scientists, in all three projects was also envisioned. Evaluation findings confirmed that there was keen interest and capacity in local communities to be actively involved in controlling and managing their natural resources.
75. Two projects were evaluated at the midterm and the third project at its conclusion. The evaluation findings indicated that two projects were rated ‘very good’ in achieving their objectives and attaining outputs and the third project attained an ‘unsatisfactory’ rating. Specific examples are:
  - (a) The midterm evaluation of the “Conservation and sustainable management of below ground biodiversity project” (Below Ground Biodiversity project) found that most of the fieldwork for the inventory of below ground biodiversity across a land use intensity gradient had been completed by all country programmes. Isolation and identification of collected specimens to gain insights into possible conservation practices was in progress. The training workshops at the global level and a number of workshops at the country level had been organized with the aim of increasing the capacity to prepare inventories of below ground biodiversity, including specimen identification. The preliminary results of the inventory had been presented by all country programmes. Methods for preparing inventories of below ground biodiversity had been agreed and documented and stakeholder meetings had been held. The project was found to be well on track to meet its objectives.
  - (b) The final evaluation of the UNEP-The Nature Conservancy (TNC)-NatureServe project, “Catalyzing conservation action in Latin America: Identifying priority sites and best management alternatives in five globally significant ecoregions” (Catalyzing Conservation Action project) demonstrated that the project achieved very good results and that the expected outputs and planned results were accomplished. The project used an innovative and flexible methodology and was able to establish five critical sites for conservation. The methodology used by the project helped to improve application of the ecoregion concept, which is now widely used by conservation institutions such as TNC and the Worldwide Fund for Nature (WWF). The project also, for the first time, attempted to influence decision-making processes at country level using a multi-country conservation plan.
  - (c) The midterm evaluation of the “Management of indigenous vegetation for the rehabilitation of degraded rangelands in the arid zones of Africa project” (Indigenous Vegetation project), on the other hand, failed to meet its objectives and was far short of accomplishing its expected outputs. The evaluation found serious flaws in project design, including unclear objectives, and very weak strategic linkages between the project objectives and outcomes, coupled with unrealistic assumptions leading to unduly higher risks in project

implementation. These resulted in a lack of focus in project implementation and poor project performance.

### **3. Climate change**

76. Three projects related to climate change, specifically addressing enabling activities, expedited financing for enabling activities and assessment of soil carbon stocks, were evaluated. Two of the three projects related to the fulfilment of national obligations of Governments under the United Nations Framework Convention on Climate Change in Lesotho and Bahrain. The third project was designed to improve national assessment methodologies relating to land use options. All three projects were subjected to final evaluations. Two of the three projects received “good” ratings while the third project attained a “satisfactory” rating.
77. The evaluation of the “Assessment of soil organic carbon stocks and change at national scale project” (Soil Organic Carbon Stocks project) noted that all planned activities, outputs, results and objectives were successfully attained and even exceeded in some cases. The project developed highly applicable practical outputs, in the form of simulation software and linked digital climate, soil and land use databases for four regions of the world, which had not previously had the opportunity for such detailed assessment. The quality and integrity of these outputs was deemed exceptionally high as the underlying principles in their development had been reviewed by peers from around the globe.
78. The “Expedited financing of climate change enabling activities part II Lesotho climate change capacity-building project” (Lesotho Climate Change Capacity-building project) was designed to respond to capacity-building needs of Lesotho which were identified as part of the preparation of initial national communication. The evaluation concluded that the project was successful in building the capacity of Lesotho Meteorological Services in monitoring the climate of the country. This was done through national level workshops and training seminars and was also successful in raising awareness among stakeholders for the identification, assessment and acquisition of technologies.
79. The evaluation of “Enabling activities for the preparation of initial national communications related to United Nations Framework Convention on Climate Change in Bahrain project” (Bahrain Initial National Communications project), on the other hand, found that the project did not contribute to two of its key objectives, namely capacity-building and environmental awareness. Lengthy delays in project execution resulted in several changes in local responsibility for the project leading to less than desirable progress.

### **4. Environmental information, education and knowledge networks**

80. One of the three projects in this cluster promoted developing country participation in support for the World Conservation Union (IUCN) Fifth World Congress on Protected Areas (Support for Firth World Parks Congress project). The second project provided continued assistance to the network of subregional organizations, coordinated by the UNEP Regional Resource Centre for Early Warning and Assessment in Asia and the Pacific through dissemination and exchange of environmental information and data for an integrated and holistic assessment of the environment. The third project sought to generate public awareness and understanding of global environmental issues, as well as mobilize support for the Global Environment Facility themes and operational programmes addressing biodiversity, climate change, ozone depletion and marine degradation in the Latin American region.

81. The evaluations found that all three projects were involved to some extent in raising public awareness, improving the capacity of environmental knowledge networks and disseminating lessons and best practices. However, the achievement of objectives, outputs and activities varied and, as a result, the first two projects attained “good” rating and the third project was rated only “satisfactory”. The first two project evaluations were final assessments and the third was a midterm evaluation. While strong interest and commitment from stakeholders improved project performance, the lack of clarity in project design, short project preparation time and limited preparation of stakeholders for their participation in the latter project contributed to weak performance.
82. The evaluation of the “Asia and the Pacific: Networks for data information generation, analysis, observation and assessment project” (Asia-Pacific Environmental Networks project) found that the project had developed an environmental knowledge hub and had put together relevant knowledge and best practice under five thematic areas: air, energy, land, biodiversity and water. The project had also established 30 indicators covering the assessment of air, water, land and biodiversity. The collaborative assessment network comprising eight subregional intergovernmental bodies, four Global Resource Information Database (GRID) centres, nine collaborating institutions and ten donor representatives was effective in enhancing the capacity of national Governments in Asia and the Pacific region to conduct and in some countries to repeat assessments of the state of the environment.
83. The Support for the Fifth World Parks Congress project successfully produced a large number of outputs and was considered highly successful in providing a global stage for protected areas worldwide. However, the evaluation of the project found that the project was rushed and plans were not well developed. Country representation was highly skewed, with 10 countries providing more than half of the Congress delegates and the remaining 43 per cent of participants coming from 103 countries. The evaluation also noted that one objective of the Congress, namely the development of support for protected areas from the industries that use natural resources, was not achieved because the Congress largely remained a gathering of the protected areas professional community. Few resource industry representatives were present and relatively little progress was made in convincing and enabling industries that use natural resources to champion and support protected areas as an effective strategy for their own businesses.

## **5. Environmental law**

84. One project evaluated in 2005 dealt with capacity-building of developing countries in environmental law. The project was designed to assist the countries to reverse negative environmental trends and attain sustainable development by ensuring that effective legal and institutional regimes are established with competent and sustained expertise. In addition, the project aimed to streamline and harmonize environmental laws and develop regulations to enforce the implementation of principal laws. Selected activities were planned to promote the development and implementation of multilateral environmental agreements at the regional, subregional and national levels.
85. The midterm evaluation of the “Partnership for the development of environmental law and institutions in Africa project” (PADELIA project) rated it “good” in terms of achievement of objectives, outputs and activities. The evaluation found that the project had facilitated the development and review of legislation, created awareness of environmental laws and built capacity in the area of environmental law in the project partner countries. In addition, the project had also assisted countries to put in place the legal and institutional frameworks for the implementation of multilateral environmental agreements at the national, regional and subregional levels.

## **6. Human health**

86. Two projects evaluated in 2005 were indirectly related to human health issues. For example, the “Assessment of pollution status and vulnerability of water supply aquifers of African cities project” (Urban Water Supply Pollution project) had four key components: assessment of groundwater vulnerability; identification of hot spots and major threats to aquifers in African urban areas; actions for safeguarding groundwater in urban areas; and hydrological conceptualization of groundwater vulnerability in African urban areas.
87. The evaluation of the project noted that the project completed all activities and produced planned outputs. Some of the key outputs included the launch of a workshop; completion and updating of existing hydrogeological information; generation of data on pollution; generation of vulnerability maps for study areas; regular and periodic monitoring of water quality and influences on its degradation; and a database of water quality in Africa. The project also produced country reports and briefing information documents including early warning bulletins, vulnerability maps and scientific papers.

## **7. Financial services**

88. The UNEP Financial Initiative project aimed to promote environmental responsibility in the financial services sector and participate in global efforts to identify and develop financing sources for sustainable development. The desk evaluation concluded that the project was successful in catalyzing a significant shift towards sustainable thinking and actions in the financial services sector. The project promoted information exchange and public policy discussions and produced publications.

## **B. Cost-effectiveness**

89. The evaluation of cost-effectiveness constituted an assessment of ‘value for money’ from the investments in UNEP projects. It took into account efficiency and effectiveness of financial and human resource use in project development and implementation in achieving expected outputs with a view to meeting stated objectives. In evaluating cost-effectiveness, emphasis was placed on timely execution and completion of the project activities using available resources. The cost-effectiveness of twelve projects was evaluated and the overall rating on this parameter was “very good”. Two projects were rated as “excellent”, seven “very good”, two “good” and one “unsatisfactory”.
90. Three key factors contributed to the cost-effectiveness of the projects evaluated. These were: (i) the availability and use of national experts; (ii) effective mobilization of counterpart contributions and co-financing; and (iii) judicious use of local experts and volunteers.

### **1. National experts**

91. The Lesotho Climate Change Capacity-building project made effective use of Lesotho’s local experts and consultants, which saved the project costs associated with hiring international experts. Similarly, the availability of qualified national experts in the Catalyzing Conservation Action project helped analyse more than 6,473 species of flora and fauna, including all birds, mammals and amphibians, each one with a distribution range map. Less would have been achieved if an expensive international consultant had been engaged.

## **2. Counterpart contributions and co-financing**

92. The accomplishments of the Urban Water Supply Pollution project were outstanding considering that each participating country received only \$20,000 or less from the project to undertake the planned activities. The project succeeded only because of financial support by the partner Governments to implement country specific tasks.
93. The DELTAmerica project achieved savings from in kind contributions from the Organization of American States (OAS), the Government of Brazil, UNEP and other partners and organizations interacting with the project. The executing and implementing agencies provided facilities, contacts, networking and personnel for the project. The project also benefited from technical and administrative experiences from other international water projects in the regions, such as the Sao Francisco and San Juan projects.
94. Similarly, the Asia-Pacific Environmental Networks project was successful in mobilizing \$1.14 million in counterpart funding to support its \$3.7 million core funding. The project also leveraged an additional \$11.9 million from donors, which facilitated the implementing agency, the Regional Resource Centre for Asia and the Pacific, to undertake other environmental activities.

## **3. Judicious use of national experts and volunteers**

95. The use of the talent and time of volunteers at the regional and subregional level was significant in terms of providing data, knowledge and synthesis of results for the Global International Water project. This provided a glimpse of the state of the waters over a large portion of the earth's surface. The volunteers' contribution to the project was found to be important in leveraging additional contributions from donor countries and host municipalities and institutions.
96. The success of the Soil Organic Carbon Stocks project was possible due to the enthusiasm of the project team members, who, in the majority of cases, had worked beyond the limited funds made available to the project. Even though one of the international collaborators did not fully meet its obligations, the project team worked around the problem and ensured that the project outcomes were delivered.

## **C. Stakeholder involvement**

97. Stakeholders in the evaluated projects played four key roles: participation, consultation, information dissemination and decision-making. The overall rating on the stakeholder involvement parameter for the 18 projects evaluated was "good". Of these 16 projects, three were rated as "excellent", four "very good", nine "good" and two "satisfactory".

### **1. Participation**

98. Participation of stakeholders in the projects evaluated took various forms and included attendance at meetings, workshops and discussion forums, and project management. Some projects had sizable representation from civil society and community-based organizations, while in other projects Governments and the scientific community played dominant roles.
99. The Sao Francisco project established the basin committee after many public workshops involving all representative stakeholder groups. This was possible due to commitment from the authorities, notably the State Secretary for Water and Environment, and public awareness



towards water issues in the basin. Regional committees were developed from the project's basin committee as a means to decentralize the management in a basin that exceeds 600,000 square kilometres in size. A sub-basin committee was developed at the State's initiative and preceded the project's federal committee. In order to connect the State sub-basin management to the project basin management, stakeholders established sub-projects focusing on their respective basins, while secretaries of State and other stakeholders were involved in the management of the federal basin. Active stakeholder participation resulted in robust discussions and the evaluation of perceived impacts in some watersheds and the identification of primary issues.

100. Similarly, the DELTAmerica project organized meetings of national focal points, conducted subregional dialogues and scheduled meetings in collaboration with various international conferences. Such contacts among stakeholders also provided opportunities for discussion and the exchange of experiences with a larger group of experts from the water management community. In addition, the active participation of stakeholders ensured balanced participation by Mesoamerican members and those from Brazil and the Southern Cone, thereby preserving hemispheric interest in the project and ensuring that its results were truly representative of the Americas.
101. The evaluation of the Support for Fifth World Parks Congress project demonstrated that the project succeeded in bringing together many of the major international and regional intergovernmental agencies; all the major international conservation non-governmental organizations; large numbers of staff and senior managers of protected area agencies; and people of 160 nationalities, including government officials, representatives of indigenous and mobile peoples, the private sector, conservation scientists, academics and educators. Deliberate efforts were made to draw in a wider constituency of people from around the world, including, on one hand, those who could provide greater support for protected areas and, on the other, those who could derive greater use and benefits from protected areas.

## **2. Consultation**

102. Project consultations involved formal and informal interaction among stakeholders at different levels and at various stages of the project. For example, the Soil Organic Carbon Stock project engaged major stakeholders, case study countries and international collaborating institutions in project development. Upon approval of the project, all parties actively participated in project steering committee meetings and workshops held on a regular basis. The project also provided regular updates and visits to stakeholders. In addition, scientists from both the case study countries and international collaborating institutions maintained close contact with all participants.
103. Although the appropriate space and structures for stakeholder participation were established in the Global Environmental Citizenship project, the mechanics for participation were never agreed upon and the modalities of how the various stakeholder groups, namely Governments, environmental networks, project coordination bodies, the implementing agency, the task manager and technical advisory group experts, would interact, achieve consensus and make decisions were not discussed and agreed on at the initiation of the project. It was assumed that the opportunity to participate would suffice in spite of the very different backgrounds, visions and expectations that each stakeholder brought to the project and their unfamiliarity with each other's values and practices. As a result, different stakeholder groups had different expectations as to who would have the final say in project decisions and their perceptions were polarized with respect to project ownership, decision-making authority and the questions "who controls the project?" and "who is the project ultimately supposed to serve?". Despite good intentions on all sides, the spirit of partnership and trust that was envisioned never came to fruition.

104. The evaluation of the “Enabling activities for the preparation of initial national communication related to the United Nations Framework Convention on Climate Change - Bahrain project” (Bahrain UNFCCC project) found that there was inadequate capacity in Bahrain to undertake adequate stakeholder consultations. The stakeholders from government departments who were members of project committees moved to other responsibilities during project execution and had little contact with other stakeholders. Similarly, the project did not engage non-governmental organizations. In addition, one of the key stakeholders, the Electricity Generation Department, was not adequately involved in project execution or in the public awareness effort, despite the fact that power generation was the major cause of emissions.

### **3. Information dissemination**

105. Information dissemination was successfully achieved in a number of projects. For example, in the “Implementation of the strategic action plans for the Bermejo River binational basin project” (Bermejo project), public awareness had been a hallmark of the project since the formulation of the Bermejo strategic action programme. This continued to be the case through the medium of workshops, seminars and presentations. The project designed a programme on environmental education, the first of its kind in Bolivia.<sup>2</sup> In addition, the project also developed an excellent teaching manual for elementary school teachers about the Bermejo River watershed. The publication was special since it introduced young readers to water management issues within the context of the Bermejo river basin.
106. The dissemination of information went far beyond public meetings involving stakeholders in the Pantanal project. The National Water Agency had an updated water resource information system that gave significant visibility to the Upper Paraguay river basin, with the highest level of detail on the nature of the Pantanal area and the behaviour of its hydrological system. On the Brazilian side, the project had been very important in assisting the country to build a greater sense of responsibility towards the Pantanal region. Before the project, the Brazilians knew little about the Pantanal and its characteristics. Since the completion of the project, however, knowledge and awareness has increased and a degree of ownership exists, particularly at different levels of government.
107. In the Urban Water Supply Pollution project, teams initiated several actions ranging from extensive media campaigns (e.g., Ethiopia), meetings with cabinet ministers and executives of regulatory agencies (e.g., Zambia, Benin), legislative reviews (all countries), to physical actions that resulted from the dissemination of project results (e.g., closure of polluted boreholes in John Laing, Lusaka; introduction of zoning activities in Côte d’Ivoire and Benin; provision of sanitation to 6,000 housing units in Senegal). The evaluation found that, overall, the dissemination activities were effective at the technical level, but that lessons were more difficult to pass on and enforce at the levels of general public and non-technical or political decision makers.

### **4. Decision-making process**

108. The participatory approach and underlying processes were major strengths of the Pantanal project, which gave stakeholders in the region a feeling of greater responsibility and empowerment with respect to ecosystem preservation. The project’s 44 activities were undertaken with stakeholder engagement from several levels of the local population. Representatives of Governments, of the private sector and of civil society gathered to debate and present their own suggestions in the decision-making process. Furthermore, non-governmental organizations and private sector

---

2 At the time of project evaluation, it was pending approval by the Ministry of Education.

firms from the region were ready and eager to make use of and improve some of the Upper Paraguay River Basin Conservation Plan recommendations and participate in any action or movement supportive of the preservation of the natural resources of the Pantanal region.

## D. Country ownership

109. The assessment of country ownership measures the extent to which a project succeeded in becoming part of national development plans, programmes and environmental agendas and how the country committed to ensuring that the results of the project were sustained, for example, by setting aside resources in the national budget to undertake relevant activities. Eleven evaluated projects provided ratings on the country ownership parameter and the overall rating was “good”. Country ownership was rated “excellent” in one project, “very good” in one, “good” in five and “satisfactory” in two projects. Some examples of country ownership are outlined below:
110. The Soil Organic Carbon Stocks project evaluation found that country ownership was very good. In all countries, the level of ownership had been maximized through close cooperation between international collaborating institutions and the national institutions. The national institutions provided additional resources to ensure that project outputs were delivered. All project countries indicated their willingness to promote, use and maintain the Global Environment Facility Soil Organic Carbon (GEFSOC) modeling system developed by the project.
111. Country ownership was not as good as expected in the Catalyzing Conservation Action project. This was, in part, due to the lack of endorsement and sense of ownership among national, regional and international institutions and local non-governmental organizations. The project did not perform very well in terms of influencing national policies. The national Governments involved did not embrace the project as one that could provide reliable and sound information to feed into the countries’ environmental policies. However, ownership was found to be very good among the institutions and agencies represented in the steering committee.
112. Although the Lesotho Climate Change Capacity-building project demonstrated strong participation from Government departments, experts and other participants from project design through to the implementation phases of the project, there was very little local participation. In addition, the evaluation did not find any evidence that work done for the initial national communication was in any way incorporated into the national planning process.

## E. Implementation approach

113. A good implementation approach reflects the capacity of project management, first, to adjust and adapt to changing conditions; second, to incorporate lessons learned during the implementation of the project; and third, to manage and maintain partnerships with relevant institutions and stakeholders effectively. The evaluations demonstrated that project implementation was strengthened by the clear vision and commitment of project leaders and their teams; fair division of responsibility among project partners; stability in staffing; flexibility and adaptability to changing circumstances; effective institutional arrangements, including choice of the right partners; drive and enthusiasm to forge good partnerships; incorporation of lessons from past and similar experiences; clarity in work plan design and associated budgetary provisions; and realistic and doable assumptions in project design.

114. The overall rating for the implementation approach parameter was “good”, based on available data for 12 projects evaluated in 2005. One project attained a rating of “excellent”, four “very good”, three “good”, two “satisfactory” and two “unsatisfactory”.

## **1. Project host institution**

115. In the Pantanal project, the framework established by GEF and OAS, including technical coordination and sub-project teams, was adaptable to political change because the teams’ formation followed eminently technical criteria. As a result of close collaboration, the project fed the much larger Inter-American Development Bank Pantanal project with quite a lot of useful information and knowledge. The project also created an enthusiasm among the State government team that strengthened its desire to promulgate a law on water management and even increased support for expedited implementation of some of the policy instruments established by this legislation. Project execution was delayed by six months due to the change of the project’s hosting institution from the Secretariat of Water Resources of the Ministry of Environment to the new National Water Agency. However, this delay was offset by the advantages associated with the Agency’s independence from the federal Government. This established the basis for the definition of long-term operations. It allowed for the maintenance of a stable and versatile infrastructure, involving the most capable professionals in the country as a permanent team.

## **2. Coordination and partnership arrangements**

116. In general terms, the DELTAmerica project benefited from effective institutional arrangements between UNEP, OAS and the Government of Brazil, based on a robust institutional mechanism. This ensured regular interaction between the OAS and the Secretariat for Water Resources of Brazil through their offices in Buenos Aires and Brasilia and interactions with other GEF international water projects located in Brasilia. Two factors somewhat impeded project implementation, however. First, the project document lacked adequate detail regarding administrative arrangements, specifically the division of responsibilities and permitted delegations of authority that would have simplified the coordination of project activities and reduced opportunities for confusion between the executing agency office and the technical coordinator. Second, the organization of critical project activities was subject to frequent rescheduling at relatively short notice, creating difficulties for national focal points and other key people, who required advance notice to enable their participation.
117. The country-driven implementation approach was considered to be a strength of the PADELIA project. The project was successful in forging strategic and effective partnerships among country team members. However, the project evaluation found that there was a lack of clarity and understanding about the role of coordinating and cooperating agencies. UNDP coordinating offices were responsible for liaising with national focal points on the implementation of the project activities but did not have enough time for a close follow-up on those activities. There was also a lack of clarity in the memorandum about the role and position of the cooperating agency. For example, the specific roles and responsibilities of a cooperating agency in terms of coordination, planning, implementation and reporting on activities were not established. Questions were also raised as to whether the role of the cooperating agency was to control the use of funds or only extended to the transmission of funds. It was also not clear whether there was a need for validation of the decisions of the national task force by the cooperating agency. Consequently, the intention of getting UNEP and UNDP to work closely together in the project was not satisfactorily realized.

118. The implementation mechanisms of the Indigenous Vegetation project required a healthy working relationship among all collaborating agencies. Although UNEP, UNDP and the United Nations Office for Project Services (UNOPS) worked quite well together, none of them had a good working relationship with the University of Oslo, which failed to deliver research components. The role of the project's Regional Coordination Unit was not effective, as it did not play the advisory role foreseen and had no decision-making authority. Instead, the Unit spent much of its time trying to coordinate with the University but without any success.

### **3. Adaptive management**

119. The implementation approach in the Urban Water Supply Pollution project was found to be reasonably good. The approach was clearly structured and logically defined and lessons from earlier projects had been duly incorporated in the project document and planned outcomes. Project management adapted to the changing needs of the project.
120. In the Support for Fifth World Park Congress project, the institutional arrangements between GEF, UNEP and IUCN worked efficiently and good and regular communication was maintained between the relevant UNEP and IUCN officers. Nevertheless, although the project was designed by UNEP and IUCN to receive GEF funding, it was only organized shortly prior to the Fifth World Park Congress and the evaluation did not find any indication of adaptive management of the project by UNEP or IUCN, apart from an extension of four months to allow its completion.

### **4. Human resource dynamics**

121. Although the project implementation arrangement was viable, the Global International Waters project encountered several challenges in the beginning due to the locations of various project partners. This had an adverse impact on project operations. The project support team of the implementing agency, UNEP, was located at UNEP headquarters in Nairobi and the project management team was located in Kalmar, Sweden, with the regional project teams being located around the globe. Time zone differences, language differences, and cultural differences also added to these challenges. In addition, high turnover of project managers during the course of project implementation did not encourage the development of good or consistent working relationships between the groups of people working on the project.

### **5. Management structure**

122. The evaluation of the Global Environmental Citizenship project revealed that the design of network strategies and log frames were compartmentalized exercises that offered little space for interaction between environmental networks or countries. For example, the stated interest of the Mexican Association of Municipalities (AMARC) and Latin American Council of Churches (CLAI) in coordinating communications and training activities with pilot municipalities was not reflected in their plans. Neither did the project make use of UNEP initiatives such as Tierramérica and others that offer broadcasting possibilities and access to virtual libraries and environmental film festivals, as a means to assist information campaigns and dissemination activities. Furthermore, cooperation opportunities were also lost as a result of delays and administrative problems that were faced at all stages of the project cycle. Hence the initial interest expressed by the Governments of Germany and the Netherlands diminished as the project's approval was postponed. The University of Córdoba, Spain, has withheld cash and in kind contributions totalling \$380,000, which would have been available at an earlier stage. The matching cash contribution approved by the Government of Ecuador has been reduced by almost one-half due to project delays and the balance reassigned to other projects.

## **6. Implementation delays**

123. The implementation of the Bahrain UNFCCC project was delayed and constrained by many factors including the unfortunate passing away of project experts, weaknesses in environmental institutions in Bahrain and difficulties in obtaining information and data. All these contributed to significant delays in project implementation and interruptions in its execution. The problems were accentuated by political difficulties in Bahrain and the Persian Gulf due to war in Iraq and other security considerations. These events weakened the Arabian Gulf University and caused project execution to stretch over eight years instead of two.

## **7. Participatory approach and flexibility**

124. From the outset, the Catalyzing Conservation Action project involved a participatory approach and encouraged open discussion. This was necessary to accommodate the many nations and organizations involved in the project, which required a degree of flexibility in order to adapt to the particular conditions of each ecoregion. Although the project partners lacked equal access to information, knowledge and technology, the participatory approach of the project and the continuous dialogue it facilitated yielded excellent participation and performance from partners. The evaluation concluded that the implementation approach, including the feasibility of planned activities, the plan's flexibility, the ability of the technical team to adjust to the local conditions, and the restructuring plan of activities, was excellent.

## **8. Risk management**

125. The Soil Organic Carbon Stocks project was extremely well organized. The project's team of overseas experts recognized very early on that while there was generally good to excellent scientific knowledge in the four case study countries to support the assembly of necessary data, there was a lack of advanced skills in computer networking, the Geographic Information System, and the databases necessary for project implementation and meeting objectives within the stated time frames. A comprehensive risk management strategy was outlined by the development team, which minimized the need for technical expertise to install the system, conduct data entry operations, run the models, and interpret the model output. For example, the availability of data suitable for model evaluation presented a major risk; however, the validation procedure varied for each case study country and problems with access to data were generally resolved within each country. Similarly, to enhance the continuing use of the soil organic carbon modeling systems, case study lead institutions were already part of, or had strong links with, national government departments and senior representatives were invited to participate in workshops. To minimize the risk that the newly developed modeling system might not be adopted by end users (e.g., national agencies in planning exercises and GEF in project selection) the project developed land use scenarios that were as realistic as possible, using current trends in land use.

## **F. Financial planning and management**

126. Financial planning and management in the projects evaluated covered internal and external resource mobilization and co-financing, budgeting, disbursement issues, financial control and financial transparency. Seventeen of the evaluated projects were rated against this parameter and the overall rating was "very good". Three projects attained ratings of "excellent", ten "very good", and four "good".

## **1. Counterpart contribution and resource mobilization**

127. In the Sao Francisco project, the counterpart contribution was reduced by 38 per cent due to budgetary limitations, which limited the number of pilot studies conducted. The evaluation noted, however, that this did not have a major impact on the final conclusions and development of the strategic action programme. This was possible because of the support provided by stakeholders. Most of the institutions provided qualified personnel at a heavily subsidized rate and co-financiers provided equipment and infrastructure. The monetized value of such contributions exceeded expected counterpart contributions by one million dollars.
128. The Global Environmental Citizenship project also faced a considerable reduction in available funds, with the amount secured far less than agreed in the relevant memorandums of understanding. For example, CLAI received only \$52,500 of the \$90,000 approved in the first memorandum of understanding; the IUCN Commission on Education and Communication also reported a shortfall. The Government of Ecuador's focal point also noted that the \$83,400 approved in the first memorandum of understanding was subsequently reduced to \$52,000, of which only US\$26,000 arrived after considerable delay. There were misunderstandings and limited clarity about the project funds, feeding perceptions that the project's financial performance lacked transparency.

## **2. Fund management**

129. The Sao Francisco project was also executed within the budget. The overall financial expenditure of the project showed that the technical management unit was small and its costs were low relative to the overall expenditure and cost of the sub-projects undertaken. The activities in the San Juan project were also carried out within budget. However, expenditure under each component varied significantly from the budgeted amount because of difficulties in predicting actual requirements. Similarly, the PADELIA project demonstrated sound management of project funds. Financial controls were defined in the memorandums of understanding and were judiciously executed and reported on, while the project was also successful in identifying co-funding agencies at the national level. Similarly, the Pantanal project had an excellent financial planning and management system. There was no need for the national coordinator to transfer funds from one sub-project to another.
130. The Sao Francisco project experienced delays in transferring funds to the project during the transitional phase when the location for project coordination was transferred from the Ministry of Water Resources to the National Water Agency. Over time, as the subprojects learned more about reporting requirements, approval of payments could be done more expeditiously. The Catalyzing Conservation Action project also encountered fund transfer problems initially but the TNC Regional Technical Unit was able to transfer funds from other sources so that planned project activities could be undertaken on time.

## **3. Administration and disbursements**

131. Delays in approval, disbursement and administrative errors adversely impacted the Global Environmental Citizenship project. For example, the first memorandum of understanding between the implementing agency, environmental networks and Governments was rejected by the UNEP Division of Global Environment Facility Coordination (DGEF) and UNON because allocations in the memorandum of understanding exceeded \$100,000, which constitutes the ceiling for such agreements in UNEP. As a result the memorandum of understanding had to be renegotiated with the environmental networks and was only approved seven months later, resulting in delays in fund disbursements. In the Secretariat for Environment and Natural

Resources (SEMARNAT) in Mexico, the second disbursement did not arrive until 2005. IUCN faced a 14-month gap between the receipt of the first and second disbursements, which were supposed to be paid on a semesterly basis; other networks reported similar delays. The first series of disbursements under the second memorandum of understanding were scheduled for October 2004 but were not processed until six months later.

## G. Replicability

132. Replicability refers to the extent to which experiences, methods and lessons could be applied and scaled up in the design and implementation of other similar projects, both within and outside the project areas or countries. Twelve projects were evaluated against this criterion and the overall rating was “good”. One project achieved an “excellent” rating, four “very good”, three “good”, two “satisfactory” and another two unsatisfactory”.
133. The PADELIA project was found to be replicable in other African countries and other regions of the developing and developed world where environmental laws needed to be developed and reviewed or where the implementation of environmental laws remained a challenge. The approach used by the project was cost-effective because of the use of national consultants, which made the process country-driven as well as building endogenous capacity in environmental law, both at individual and institutional levels.
134. The relatively short duration and limited resources of the DELTAmerica project did not provide adequate support for the replication of project activities in other Latin American countries. There was limited opportunity to identify, systematize and develop mechanisms, and share lessons, practices and experience in an efficient manner. The Pantanal project, on the other hand, demonstrated that the wealth of knowledge, particularly identified risks associated with decreasing biodiversity resulting from uncontrolled economic development, could potentially be used within the context of other large ecosystems of flooded lands such as the Upper Paraguay watershed. Similarly, the evaluation of the Bermejo project found that most of the components of the project could be replicated along the Andes region since the problems and challenges with water and sediment management are very similar. The educational component of the Bermejo project is considered to be a model of how to educate and engage communities in watershed management issues throughout Latin America.
135. The potential for replication was very high in the Soil Organic Carbon Stocks project due to its importance in preparing greenhouse gas inventories and developing land management strategies for sustainable development. Project outputs, including the modeling system, are already being applied in several projects, such as the Land Degradation Assessment in Drylands project involving six countries (Argentina, China, Cuba, Senegal, South Africa and Tunisia); the Agricultural Productivity and Sustainable Land Management project in Kenya; the National Aeronautical and Space Administration (NASA) – Large Scale Biosphere-Atmosphere Experiment in Amazonia proposal, “Land-atmosphere exchanges of carbon dioxide and nitrous oxide associated with agricultural expansion in the Brazilian Amazon”; and the Quantifying and Understanding the Earth System (QUEST) project in the United Kingdom.

## H. Monitoring and evaluation

136. Monitoring seeks to establish the extent to which inputs, work schedules, other required actions and outputs are proceeding according to the workplan and budget, so that timely corrective actions can be taken, if required. Evaluation is a time-bound exercise that aims to assess



systematically and objectively the relevance, performance and success of projects both under way and already completed. The identification of key qualitative and quantitative performance indicators and the collection of relevant baseline data and information is an integral part of monitoring and evaluation.

137. The evaluation findings indicated that a clear monitoring and evaluation plan with well-defined procedures and performance indicators, along with assigned responsibilities, was very important for improved project efficiency and effectiveness. In addition, willingness and commitment to implement a monitoring and evaluation plan, timely completion of high quality reports and outputs and internalization of lessons from monitoring and evaluation in project implementation were also equally important. The overall rating of the 17 projects for which ratings were assigned in 2005, was “good”. Of those, two projects were rated “excellent”, six “very good”, four “good”, three “satisfactory” and two “unsatisfactory”.

## **1. Monitoring and evaluation plan and tools**

138. Although, the Below Ground Biodiversity project introduced monitoring and evaluation tools only after project inception, the project coordination office made good use of these tools through annual reports. In addition, the country teams started using them in assessing milestones and outcomes. Monitoring, progress reporting and evaluation planning were quite comprehensive and included evaluation indicators to determine the effectiveness of project management. In addition, key performance indicators, monitoring, reporting and evaluation responsibilities, guidelines for preparing various reports, work plans and budgets were clearly defined.

## **2. Commitment to project coordination, management and monitoring**

139. The commitment of the project staff was critical in monitoring and evaluating the Soil Organic Carbon Stocks project. The international project coordinator provided excellent logistic, technical, monitoring and overall coordination support. This greatly assisted the project team to produce a detailed technical report to supplement the required technical report, which was of great benefit in the final evaluation of the project.
140. Similarly, the evaluation found that monitoring of project activities in the Catalyzing Conservation Action project was sound. The oversight committee was basically self-monitoring because the project applied a participatory approach. UNEP required six-monthly reports on the implementation of the project, with which the coordination team had to comply. Suggestions and changes identified in the reports were adopted. Some concern was, however, expressed about the delay in feedback and follow-up on the reporting.
141. Although baseline surveys and self-evaluation tools were among the innovative features of the Global Environmental Citizenship project, they were neglected and received attention too late in implementation. This limited their utility.
142. The Lesotho Climate Change Capacity-building project incorporated very few monitoring and evaluation activities. As a result, the project progress reports did not contain required basic information to assess progress made by the project. In principle, UNEP and Lesotho Meteorological Services (LMS) were responsible for the continuous monitoring of project implementation. LMS had the task of preparing and submitting quarterly progress reports and expenditure reports, as well as terminal reports to UNEP. However, there were no progress reports for the period July 2002–August 2004 and the quality of the ones that were submitted was poor, making it difficult to compare the actual activities to the work plan.

### 3. Quality of reports

143. Although the Support for Fifth World Park Congress project secretariat provided detailed narrative reports on the activities carried out and results achieved during the project period, it was not clear that these reports were used by UNEP to provide feedback to the Congress secretariat and strengthened delivery of the project. The reports did not, however, give a clear indication as to whether the main Congress and its many subsidiary events were planned and conducted as effectively as they might have been.

## I. Impacts

144. Project impacts were assessed in terms of their influence on government policies and strategies and the activities of project stakeholders. For several projects the implementation period was too short to determine long-term environmental impacts. In this section, intended project impacts are discussed, although the projects could have had other indirect and unintended impacts. Lack of baseline data was a persistent problem for most of the projects.
145. Of the 20 projects evaluated in 2005, fourteen indicated some form of impact and the overall rating was 'good'. Three projects attained a rating of 'excellent', three 'very good', four 'good', two 'satisfactory' and two 'unsatisfactory'.

### 1. Scientific and technical

146. The Urban Water Supply Pollution project had a scientific impact in each project country. The capacity-building in each task team, together with further publicity and scientific or technical knowledge transfer actions resulted in a more lasting and strategic impact. National impacts were more visible in countries that had participated since the first phase of the project than in the new partner countries. At the time of evaluation the project impact was still largely of local significance but there were indications that impacts were being made at national and regional level in several countries.
147. One significant contribution of the Soil Organic Carbon Stocks project was that the institutions in Brazil, India, Jordan and Kenya developed significant capacity in the use of Geographic Information System model interfaces and soil organic carbon stock assessment. This placed these institutions in a unique position globally as they had co-developed the only generically applicable system for making process-based estimations of soil organic carbon stocks changes built on data from developing countries. The project also provided significant impacts in the development of Intergovernmental Panel on Climate Change (IPCC) methods for measuring carbon emissions from soils. Data from long-term experiments and chronosequences collected by project scientists were included in the global data sets used to revise soil stock change factors in the IPCC Tier 1 (default) method.<sup>3</sup> Furthermore, the global data sets were incorporated into the IPCC 2003 Good Practice Guidance for Land Use, Land Use Change and Forestry greenhouse gas inventories and were being incorporated into the IPCC 2006 Guidelines for National Greenhouse Gas Inventories – Volume 4: Agriculture, Forestry and Other Land Use.

---

3 The Tier 1 methodology uses default parameters as provided by the IPCC to enable countries with limited data resources to estimate emissions. Tier 2 approaches require at least some country-specific information, which may be obtained through local literature or experiments. For the Tier 3 method, all parameters should be country-specific and more accurate than the default values, and may include locally calibrated and validated simulation models.

## **2. Communities and national agencies**

148. The DELTAmerica project created an important impact in those communities that were close to their activities' execution. A more important impact was likely to be realized, however, when the project's products were widely distributed and used. The recent initiatives on common strategies for water management in Latin America and the Caribbean, promoted by Brazil using DELTAmerica products, and subsequent discussions on this matter at the highest political level were a clear manifestation of the influence that the project is having in the region.
149. The potential impacts on biodiversity conservation and rangeland rehabilitation from the Indigenous Vegetation project at the time of evaluation were, however, minimal. The most positive single potential impact was the effect of deferred grazing in Kaitese, at the Turkana site in north-western Kenya. If continued for a couple more years, this intervention would have had a dramatic impact on the rehabilitation of the site.

## **3. Awareness-raising**

150. The Catalyzing Conservation Action project created conservation awareness at local, regional and national levels. Local institutions were strengthened and an enormous biodiversity database was developed to aid conservation policies. Using effective participatory processes, the project succeeded in improving and strengthening the capacity of conservation data centres as tools for biodiversity conservation that could be used by policymakers in establishing conservation and management alternatives in critical areas. In terms of transferring knowledge, the project team and related professionals trained more than 60 professionals in several topics, including the Geographic Information System, remote sensing, the Global Positioning System and conservation biology (ecoregional planning, site conservation planning and gap analysis). The professionals were staff of the executing agencies in each of the six countries and their partners, including local stakeholders and government representatives.

## **4. International partnership**

151. The evaluation of the San Juan project indicated that there were project results and impacts, both within the information component and within the so-called "demonstration projects", that showed the possibilities for the two countries to work together towards common goals. This was especially true with respect to the scientific community, represented by several institutions in both countries. The project also benefited from other past and current experience in the same field, such as the Mesoamerican Biological Corridor, the Marshes and Fire Programmes and the National System of Conservation Areas (SINAC). Both countries were favorably disposed towards the signing of binational agreements and the inclusion of the results of this project into national policies.

## **J. Sustainability**

152. Sustainability measures the extent to which benefits continue, within or outside the project domain, from a particular project or programme after UNEP or external assistance in terms of technical, institutional or financial support has come to an end. Seventeen project evaluations included the sustainability parameter and the overall rating was "good". Seven projects were rated "very good", six "good", three "satisfactory" and one "unsatisfactory". Sustainability was examined in terms of the presence of an enabling environment, institutional capacity and financial sustainability.

## **1. Enabling environment**

153. The evaluations demonstrated that a favourable enabling environment was important for project sustainability. Such an environment requires strong commitments by recipient countries and willingness to continue relevant project related activities even after UNEP support has ended.
154. There was strong commitment from federal and state agencies, universities, research institutions, some private companies and non-governmental organizations towards the Sao Francisco project. That commitment was due to the involvement and active participation of high ranking public officials and State Secretaries in the basin committees.
155. There was strong commitment from Brazil, Argentina, Costa Rica and Peru to contribute to operating the regional nodes after the DELTAMERICA project had ended. While the project contributed hardware, software and support to the International Water Resources Network (IWRN), the operational costs were assumed by the countries in the region. The new commitments from national and regional organizations to ensure the nodes' sustainability and the positive discussions leading to new strategic plan for IWRN were good indicators that the network could assume the role of protagonist.
156. Although the technical merit of the Soil Organic Carbon Stocks project (i.e., the GEF Soil Organic Carbon Modeling System and associated databases) was appreciated by all, one of the major concerns was that, while the international community had provided excellent support and in country training in preparing datasets and running the models, many of these activities were still heavily reliant on input from specialized staff from the Natural Resources Ecology Laboratory at Colorado State University and British research institute, Rothamsted Research. There was no major planning exercise with respect to the sustainability of the model outputs and enhancement of data to improve the quality and accuracy of results.

## **2. Institutional capacity**

157. The evaluation of Bahrain Initial National Communications project noted that the first phase of the project did not provide for sustainability. It was concluded without a proper institutional base to move into phase II. To be sustainable, the project would have required that the environmental institutions be appropriately manned by Bahraini nationals and hands-on practical training be provided to the national staff.

## **3. Financial sustainability**

158. The second phase of the PADELIA project emphasized the sharing of responsibilities between the project and partner countries as the basis for sustainability. Participating countries set aside human and financial resources as well as other materials for implementing the project. Most of the financial resources were drawn, however, from outside the countries. The evaluation suggests that the achievements of the project will only be sustained financially if the requisite momentum has been attained and the project activities are anchored firmly in national programmes. Some countries are likely to continue with some of the activities but perhaps on a much smaller scale than at present due to the scarcity of resources and the many other competing needs within those countries.
159. The Fifth World Park Congress was the largest ever, but was almost completely dependent on overseas aid funds from European and North American government sources, including the sizeable GEF grant, and there was no indication that alternative sources of financial support would be feasible for the next Congress. This funding pattern for a World Parks Congress does

not seem appropriate or sustainable. Certainly, IUCN and the World Commission on Protected Areas will consider it important and worthwhile to stage future World Parks Congresses, but perhaps they should consider smaller and more “strategic” exercises, with greater cost-efficiency and cost-recovery, more closely integrated with continuing protected area programmes.

## IV. Project self-evaluation

### A. Introduction

160. Self-evaluation is used as a monitoring tool in UNEP to enable project managers and their supervisors to assess progress in project implementation, to identify challenges and achievements of projects, and to share lessons learned during implementation. It is also a reporting tool to identify and record general trends and issues in project implementation and distil lessons learned, which can be used in the design and implementation of future projects. Self-evaluations are undertaken by project staff themselves and thus are not the same as independent project evaluations. The self-evaluation reports do not provide a measure of the overall performance and delivery of UNEP programme activities.
161. Self-evaluations are prepared for projects implemented by UNEP except in respect of activities included in UNEP divisions' costed workplans, projects supported by UNEP-GEF Project Development Facility A and B grants, and projects implemented by those conventions with their own reporting mechanisms.
162. In 2005, a total 146 projects were registered in the self-evaluation report database, reflecting an increase of approximately 12 per cent over 2004. Of the total 146 projects, only 104 had completed self-evaluation reports, which represented a compliance rate of 71 per cent.<sup>4</sup> That was substantially lower than the compliance rate of 84 per cent reported in 2004. Continuing projects accounted for 73 per cent of the submitted self-evaluation reports. The number of self-evaluation reports required for submission and the compliance rates achieved by UNEP divisions appear in table 4 below.

**Table 4. Self-evaluation reports required for submission by UNEP divisions in 2005 and compliance rates.<sup>5</sup>**

| Division                                       | Self-evaluation reports required | Compliance rate (%) | Division                                    | Self-evaluation reports required | Compliance rate (%) |
|--|----------------------------------|---------------------|---|----------------------------------|---------------------|
| Global Environment Facility (DGEF)             | 57                               | 49                  | Early Warning Assessment (DEWA)             | 7                                | 100                 |
| Environmental Policy and Implementation (DEPI) | 37                               | 81                  | Regional Cooperation (DRC)                  | 7                                | 92                  |
| Technology, Industry and Economics (DTIE)      | 20                               | 80                  | Policy Development and Law (DPDL)           | 5                                | 100                 |
| Environmental Conventions (DEC)                | 13                               | 86                  | Communication and Public Information (DCPI) | 0                                | n/a                 |

<sup>4</sup> The compliance rate may be lower because the projects reported through self-evaluation reports account for only part of UNEP programmes. A project is considered to have complied with requirement once the concerned project manager submits a self-evaluation report to his/her supervisor.

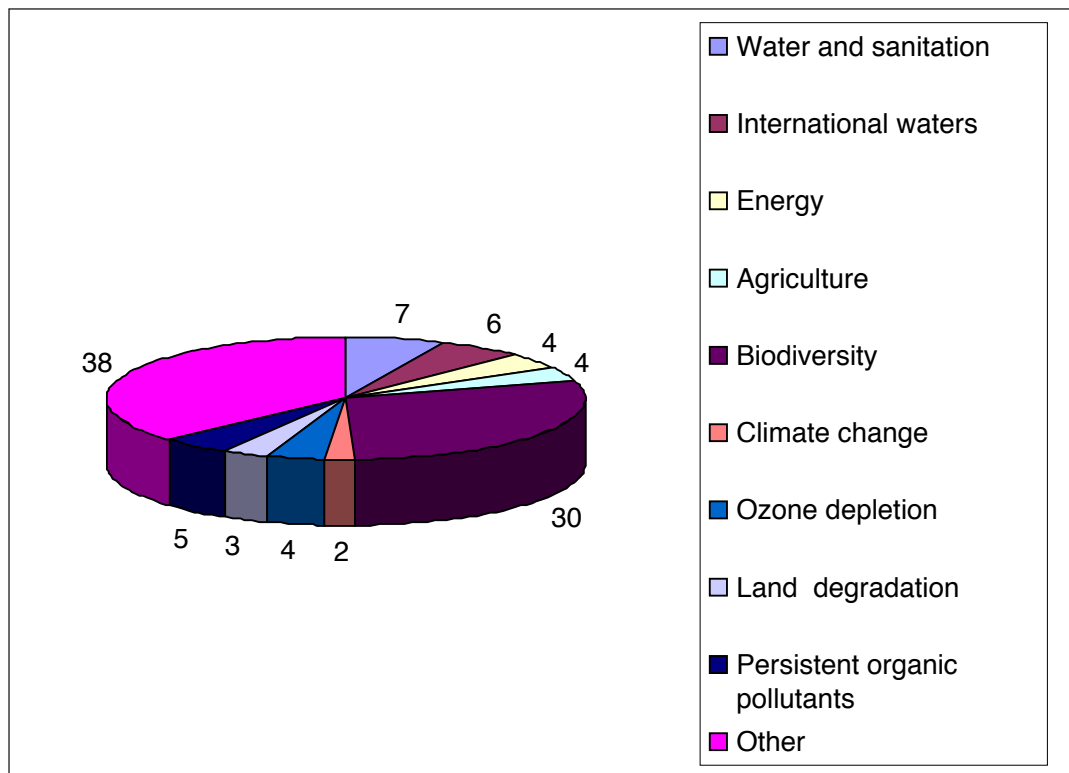
<sup>5</sup> The low number of self-evaluation reports submitted by some of the divisions implies that most of their activities were implemented under costed work programmes.

## B. UNEP mandate

### 1. Thematic focus

163. Analysis of the 2005 self-evaluation reports shows that the broad mandate of UNEP and its programme of work are reflected in the wide range of environmental issues addressed by the various projects in a manner similar to that observed in 2004 (figure 1). Forty-four per cent of the self-evaluation reports represented projects concerned with environmental issues prioritized by the World Summit on Sustainable Development. Biodiversity-related projects alone accounted for 29 per cent of all self-evaluation reports submitted. However, health-related projects were not represented in the 2005 self-evaluation reports. In addition, international transboundary water-related projects accounted for about six per cent of the total self-evaluation reports submitted. Thirty-seven per cent of the projects reflected cross-cutting issues. Other areas of environmental concern that featured in self-evaluation reports included persistent organic pollutants, ozone depletion, land degradation and climate change.

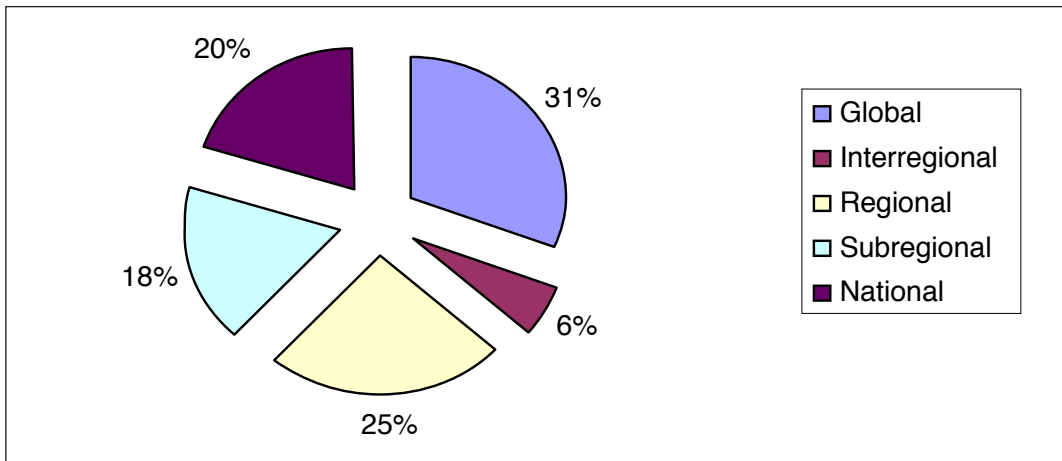
Figure 1. Thematic focus of the project self-evaluation reports submitted in 2005 (number of projects)



### 2. Geographic scope

164. The self-evaluation reports submitted in 2005 covered the UNEP global mandate. Thirty-one per cent of the projects were of global geographical scope and many of the global projects were umbrella projects, which were implemented at the national level. Regional and subregional projects accounted for one-third of self-evaluation report projects. The special focus of UNEP on Africa was reflected in 36 per cent of the regional projects. Interestingly, six per cent of the projects had interregional scope. One in five projects had national focus. Figure 2 demonstrates the geographical scope of the projects that submitted self-evaluation reports in 2005. The self-evaluation report data indicates that there has been a steady increase in the proportion of regional and national project in recent years.

Figure 2. Geographical distribution of projects submitting self-evaluation reports

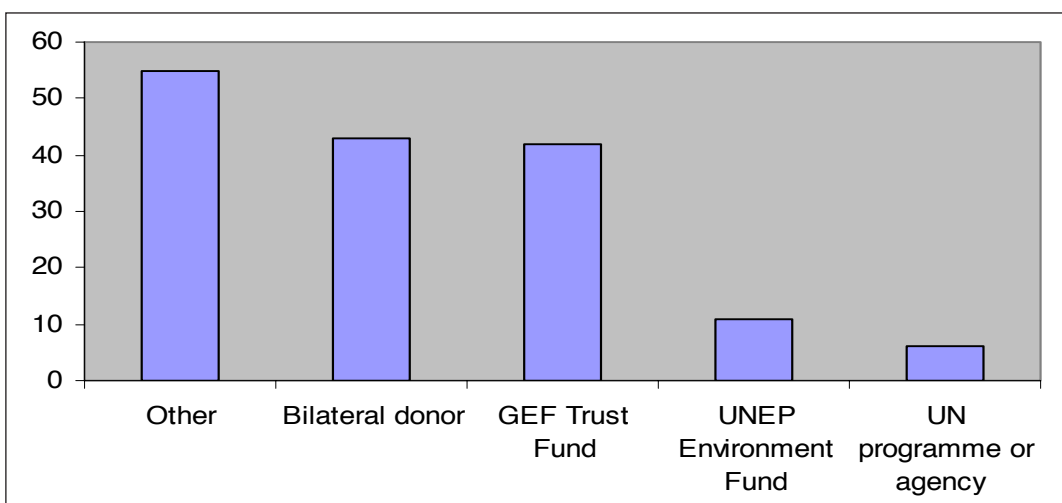


### 3. Primary sources of project funding

165. In 2005, the GEF Trust Fund provided primary funding for two-fifths of the projects submitting self-evaluation reports and bilateral donors funded another two-fifths of the projects. The UNEP Environment Fund was the primary funding source for 11 per cent of the projects that submitted self-evaluation reports.<sup>6</sup> Similarly, United Nations programmes or agencies (including the United Nations Foundation) provided primary funding for six projects. More than half of the projects received partial or sole funding from other sources.

166. UNEP mobilized additional funds from public and private trust funds, project trust funds, donor countries or through in kind contributions from the project country itself. Other United Nations programmes or agencies such as the Food and Agriculture Organization (FAO), the International Fund for Agricultural Development (IFAD), United Nations Convention to Combat Desertification (UNCCD), the United Nations Educational, Scientific and Cultural Organization (UNESCO) and the World Bank also played important role in funding those UNEP projects that submitted self-evaluation reports.

Figure 3. Number of projects submitting self-evaluation reports based on primary source of funding in 2005



6 Most activities funded by the UNEP Environment Fund are implemented through the costed work plans of UNEP subprogrammes. In total, 85 per cent of the UNEP Environment Fund is allocated to activities of the UNEP subprogrammes and their projects. See the UNEP programme of work 2004–2005, contained in document UNEP/GC.22/6.

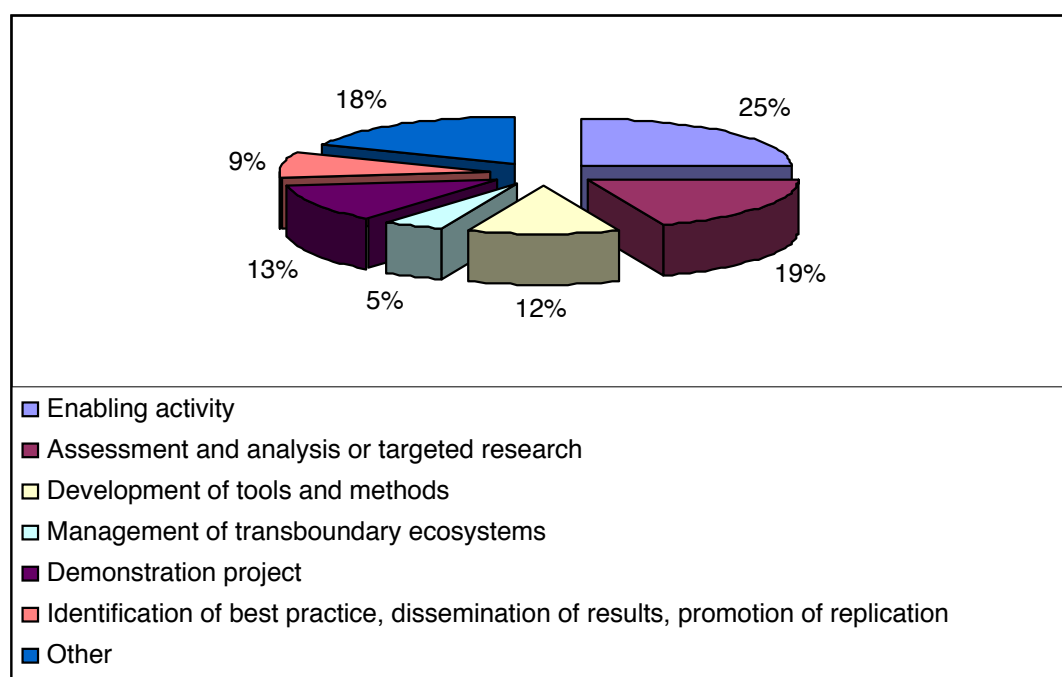


## C. Role of UNEP

### 1. Project approach

167. UNEP is closely associated with many multilateral environmental agreements and it is an implementing agency for GEF funded enabling activities which support conventions such as the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change and the Stockholm Convention on persistent organic pollutants. The project approach in 2005 was similar to the previous years and covered various types of activities (figure 4).

Figure 4. Project approach reported in the 2005 self-evaluation reports



168. One-quarter of the self-evaluations were of projects related to enabling activities, which assisted Governments to meet their obligations under Conventions related to climate change, biodiversity, biosafety, and persistent organic pollutants. Assessment or targeted research projects and demonstration projects represent, respectively, 20 and 13 per cent of all projects. Other activities under the reported projects included tools and methods development, management of transboundary ecosystems, identification of best practice, dissemination of results and technology transfer, promotion of replication and some form of capacity-building of the institutions at different levels.

### 2. UNEP role and impact

#### (a) Project execution

169. In 2005, there was an increase in the proportion of projects directly executed or co-executed by UNEP and its collaborating centres. However, 45 per cent of the self-evaluation report projects were executed by an external agency or a cooperating partner. Most of the projects involved government ministries or institutions. Multilateral and intergovernmental organizations and other United Nations agencies were involved to a lesser extent. The least used executing partners were non-governmental organizations, private associations and businesses.

*(b) UNEP role*

170. As in previous years, the substantive input by UNEP into the projects in 2005 focused on assuring the quality of project outputs by reviewing project technical reports, documents and other products, followed by coordination, backstopping, technical assistance, and provision of technical expertise, methodologies and approaches. Half of the projects also received substantive input for the monitoring and evaluation of project activities.<sup>7</sup> Assistance in project administration, fund raising, information exchange and institutional and professional capacity- building also featured as the contribution of UNEP in 13 per cent of the self-evaluation report projects.

*(c) Project impacts*

171. Analysis of self-evaluation reports revealed that it was possible to identify some form of project impact or impacts in the case of three-quarters of projects, even when the projects had not been completed. More than half of the projects identified project impacts through systematic follow-up with clients or stakeholders, in the form of regular interviews and surveys; nearly two-thirds (63 per cent) of the projects used indicators stated in the project documents.<sup>8</sup> By contrast, only 12 per cent of the projects used assessment models to determine project impacts. One-third of projects used other methods, including review of progress reports and outputs, site visits and supervision missions.

## D. Challenges in project design and implementation

172. Project managers identified a number of challenges in project design and implementation. These are summarized in four categories as follows:

### 1. Project design

173. Unrealistic work plans and inappropriate project design were identified as the leading project design-related challenges in 2005. In addition, insufficient monitoring and evaluation and poor project coordination were considered challenges by one in nine projects. Other challenges observed within this category included:
- (a) The large number of project partners and limitations to their capacity;
  - (b) Unrealistic assumptions regarding political stability and human security and the availability of qualified human resources;
  - (c) A lack of flexibility in the context of a changing geo-political environment; and
  - (d) Inappropriate selection of project partners.
174. More than one-third of the projects identified weak or slow coordination mechanisms among project partners. Similarly, at least one in five projects identified as challenges inadequate involvement of stakeholders in environmental activities, a lack of country ownership, late processing of memorandums of understanding and related agreements and the slow pace of the project funding approval process in UNEP projects.

---

<sup>7</sup> This was a remarkable improvement over 2004 self-evaluation report projects. Less than 8 per cent of projects received substantive input for monitoring and evaluation of project activities in 2004.

<sup>8</sup> Although it is not clear how many project documents explicitly included impact indicators.

## 2. Financial planning and management

175. Nearly one-third of projects lacked sufficient funding to complete project activities and experienced delayed transfer of funds into project accounts. Less than five per cent of projects reported some form of mismanagement of funds by UNEP partners. The Evaluation and Oversight Unit has not confirmed the nature and extent of such mismanagement in all concerned projects. In one case, the problem was confirmed and an audit was immediately conducted. However, the Evaluation and Oversight Unit is satisfied that this specific problem is not pervasive in UNEP projects. Other key financial challenges cited were:

- (a) Late receipt of allotments;
- (b) Delays to or the absence of financial monitoring reports;
- (c) Inflexibility of financial regulations, particularly in post-conflict environments;
- (d) Excessive reliance on donors to implement project activities; and
- (e) Price fluctuations, which outstripped estimated project costs and allocated budgets.

## 3. Project implementation

176. Sixty-nine per cent of the projects required revisions of project documents in 2005. Of those projects requiring revisions, 83 per cent had to revise their work plan and 78 per cent had to revise their budget. Nearly half (47 per cent) of the projects had to make provisions for new activities and hence required revisions to the project documents.

177. Slightly more than half of the projects were running behind schedule. Some of the key reasons for delays in project completion involved:

- (a) Additional time required for completion of project and reporting;
- (b) Late commencement of the project;
- (c) Inadequate time frames for planned activities;
- (d) Additional project activities;
- (e) Late transfer of funds into project accounts;
- (f) Changes in executing or staffing arrangements;
- (g) Poor communication between cooperating agencies;
- (h) Delays in the approval of final reports;
- (i) A lack of the necessary human resources to meet project needs; and
- (j) Late provision of additional funding by donors.

## E. Stakeholder involvement

178. Several projects targeted one or more stakeholder groups and of these nearly three-quarters specifically targeted the scientific and technological community. Other stakeholder groups included non-governmental organizations, women, farmers, indigenous people, and young people and children (table 5).

**Table 5. Stakeholder involvement in the 2005 self-evaluation report projects\***

| Stakeholder group                      | Percentage of projects targeting stakeholder groups |
|--|---|
| Scientific and technological community | 74  |
| Non-governmental organizations         | 53  |
| Indigenous people                      | 44  |
| Farmers                                | 36  |
| Private sector                         | 36  |
| Women                                  | 33  |
| Youth and children                     | 29  |

\*Several projects targeted more than one stakeholder group.

179. Overall, the involvement of stakeholders in the projects was respectable. The involvement of stakeholders in key project-related activities is summarized in table 6. Other activities undertaken by stakeholders included the authorship and review of publication materials, development of community level initiatives and the preparation of national reports.

**Table 6. Stakeholder involvement in self-evaluation report projects (2005)**

| Project related activities                       | Percentage of projects engaging stakeholders |
|--|--|
| Project planning, development and implementation | 84   |
| Awareness-raising                                | 79   |
| Capacity-building                                | 77   |
| Decision-making                                  | 77   |
| Project management                               | 61   |
| Other activities                                 | 17   |

## F. Sustainability and capacity-building

180. Projects created an enabling environment by building institutional capacity and ensuring financial sustainability. An enabling environment was created by building the capacity of targeted stakeholder groups, such as local people, non-governmental organizations, businesses, scientists and environmental experts, and policymakers in relevant government institutions. A majority of the projects contributed in more than one area.
181. A total of 88 per cent of the projects created an environment for public awareness, while at least three-fifths of projects contributed in policy areas, including policy bodies or systems, national policy, and policy dialogue through the engagement of non-governmental organizations, the private sector and other interest groups. Similarly, at least half of the projects created an enabling environment for sector-wide regional environmental programmes and national plans of action, and legal and regulatory frameworks or agreements.
182. In 2005, projects provided or developed capacity through various mechanisms. For example, at least half of the projects assisted in developing strategic plans, human resource plans, and the broad participation of institutions' personnel in planning and improving monitoring and evaluation systems. In addition, 30 per cent of projects assisted in developing systems for preparing operational plans.
183. The extent to which the projects created an environment for improving financial sustainability was quite limited. For example, 45 per cent of the projects had public budgetary allocations, while 39 per cent also had resource mobilization mechanisms. Private sector and non-governmental organization financing were successful in only 8 per cent and 12 per cent of projects, respectively. Twenty-two per cent of the projects undertook assessments of donor funding trends and made plans accordingly. Many projects were co-financed through in kind or cash contributions by Governments and the costs of some projects will be integrated into ministerial budget lines after the completion of the project.

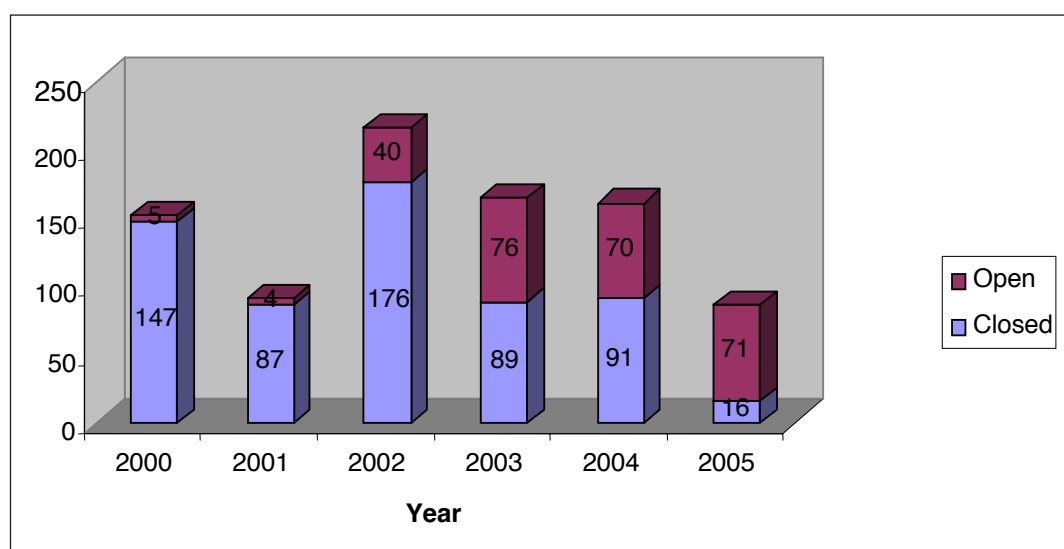
## V. Implementation of evaluation recommendations

184. The Evaluation and Oversight Unit provides support for and follow-up on recommendations of evaluations conducted within the organization and ensures that the implementation of recommendations is reported by programme and project managers. As part of the follow-up activities, programme and project managers prepare management responses in the form of an implementation plan for evaluation recommendations and provide 6-monthly updates until all accepted recommendations are implemented. These plans contain details on whether the evaluation recommendations are accepted, what action will be taken, when and by whom. Management responses are also prepared for the recommendations contained in the UNEP annual evaluation report.

### A. Subprogramme and project evaluations

185. The Evaluation and Oversight Unit conducted 95 subprogramme and project evaluations between 2000 and 2005, which resulted in 872 recommendations. At the end of May 2006, a total of 525 recommendations (60 per cent) had been implemented, and 134 (15 per cent) were being implemented. A total of 132 recommendations (15 per cent) have yet to be implemented and approximately 53 per cent of these outstanding recommendations resulted from project evaluations carried out in 2005. Overall, 85 per cent of recommendations have been either implemented or are in the process of being implemented. Figure 5 shows the status of evaluation recommendations on an annual basis.

**Figure 5. Number of evaluation recommendations by status (2000-2005)**



186. The quality of recommendations in recent years has improved and the percentage of evaluation recommendations rejected has declined sharply from 32.2 per cent in 2000 to none in 2005. Closer and regular follow-up by the Evaluation and Oversight Unit has also resulted in a

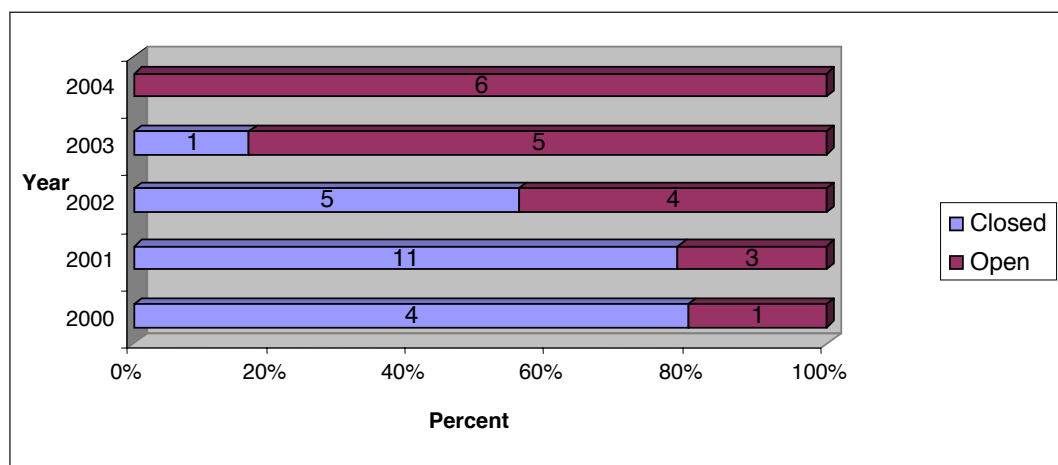
substantial decrease in the percentage of recommendations that were three to four years old but not yet implemented. A total of 87 recommendations were issued from the 12 project evaluations conducted in 2005; of that number, the Evaluation and Oversight Unit closed out 16 recommendations. Sixteen recommendations have been fully implemented and none was rejected. Seven recommendations are in the process of being implemented. Of the recommendations carried forward from previous years 43 per cent were implemented in 2005–2006.

## B. Annual evaluation reports

187. The annual evaluation reports prepared by the Evaluation and Oversight Unit over the period 2000–2004 resulted in a total of 40 recommendations. These recommendations tended to be strategic in nature for the organization and required actions by the executive management. All recommendations have either been implemented or are in the process of being implemented.

Of the 40 recommendations, 21 were closed out and 16 are in the process of being implemented. Three of the six recommendations that stemmed from the 2004 annual evaluation report have yet to be implemented at the time of writing the present report. Figure 6 shows the status of annual evaluation report recommendations.

**Figure 6. Status of implementation of recommendations in the annual evaluation reports (as of May 2006)**



188. Annex IV of the present report contains a detailed report on the implementation of the 2004 annual evaluation report recommendations as of May 2006. The six recommendations issued in the 2004 annual report cover key areas of implementation of regional strategies, policy development and guidance, interregional collaboration, endorsement of UNEP projects by national Governments, stakeholder consultation and baseline data for monitoring and evaluation. Implementation of these recommendations is under way.

# Annex I

## Terms of reference for the 2005 annual evaluation report

1. The evaluation function is governed by United Nations General Assembly resolutions and UNEP Governing Council decisions<sup>9</sup>. It serves to provide strategic advice to the Executive Director, the Deputy Executive Director and the UNEP Senior Management Group; to contribute to policy formulation through evaluations and management studies; to contribute to effective management by proposing solutions through the analysis of evaluation results; and to facilitate the engagement of the Governing Council and the secretariat in systematic reflection and program review.

### I. Objective and scope

2. The annual evaluation report is prepared as an intersessional document of the Governing Council and serves as part of the UNEP input to the Secretary-General's report on evaluation to the General Assembly. The report provides stakeholders such as Governments, UNEP senior management and UNEP partners with an evaluative assessment of UNEP programme performance in 2005. The main objective of the annual evaluation report is to assist UNEP to improve its programme performance through an evaluation of relevance, effectiveness, results achieved and lessons learned.
3. The 2005 report will be based on data provided in one in-depth subprogramme evaluation, 20 in-depth project evaluation reports and 104 self-evaluation reports of current project activities in 2005. In addition, the report will contain the status of implementation of the recommendations contained in the 2000–2005 project evaluations and annual evaluation reports.

### II. Methodology and methods

4. The report will assess the following aspects:

#### 1. Relevance and appropriateness

5. To determine the relevance and appropriateness of evaluated activities implemented by UNEP within its mandate (the Nairobi Declaration (1997)), taking into account General Assembly resolution 2997 (XXVII) of 15 December 1972, the Malmö Declaration (2000) and Johannesburg Plan of Implementation (2002) by:
  - (a) Assessing the relevance of achievements made in conducting environmental assessments and providing policy advice and information;

---

<sup>9</sup> General Assembly resolutions 37/234, 38/227, 40/240 and 42/215; General Assembly regulations and rules governing program planning, the program aspects of the budget, the monitoring of implementation, and the methods of evaluation of 1982, revised April 2000; UNEP Governing Council decisions 12/12, 13/1 and 14/1.

- (b) Determining the relevance and appropriateness of progress made in promoting the development of international environmental law and the implementation of international norms and policies;
- (c) Assessing the relevance of contributions made towards strengthening the role of UNEP in the coordination of environmental activities in the United Nations system and as an implementing agency of the Global Environment Facility;
- (d) Determining the relevance and achievements of activities aimed at raising greater awareness and facilitating effective cooperation between all sectors of society;
- (e) Determining the relevance and contributions of activities aimed at providing policy and advisory services in key areas of institution-building to Governments and other institutions.

## **2. Effectiveness and efficiency**

- 6. To review the overall performance of evaluated activities by:
  - (a) Evaluating the ratings given to the following aspects of project implementation:
    - Achievement of objectives and planned results
    - Attainment of outputs and activities
    - Cost-effectiveness
    - Stakeholder participation
    - Country ownership
    - Implementation approach
    - Financial planning
    - Replicability
    - Monitoring and evaluation
  - (b) Reviewing the rating given to the status of achievements and risk in self-evaluated projects;
  - (c) Identifying and distilling lessons learned and good practices that will improve future delivery of project activities;
  - (d) Providing policy and programme recommendations based on a systematic review of project recommendations.

## **3. Results and impact**

- 7. To determine the results and impact of the evaluated activities in building capacity in the following areas of work:
  - (a) Conducting assessments and providing environmental information;
  - (b) Developing international environmental law and regimes;
  - (c) Monitoring and fostering compliance with existing conventions and international agreements;
  - (d) Coordinating environmental activities and supporting institution building;
  - (e) Awareness-raising and cooperation between all sectors and establishing linkages between the scientific community and policy makers.

## **4. Sustainability**

- 8. To determine the sustainability of the evaluated activities in the following areas:
  - (a) Enabling environment: whether there are political and regulatory frameworks in place which support the continuation or replication of activities and whether social sustainability has been achieved by, for example, mainstreaming project activities;
  - (b) Financial sustainability: effectiveness of financial planning and resource mobilization activities to enable the continuation of activities and objectives;



- (c) Institutional capacity: whether there are adequate systems, structures, staff, expertise, and so forth, in place to continue the activities.

## **5. Methods**

- 9. The analysis and conclusions contained in the report will be based on the following:
  - (a) Desk review of in-depth evaluation reports;
  - (b) Desk review of self-evaluation reports;
  - (c) Desk review of desk evaluation reports;
  - (d) Desk review of implementation plans and management response to the recommendations of the annual evaluation reports from 2000 to 2004;
  - (e) Review of relevant UNEP publications and other documents;
  - (f) Interviews with UNEP staff.
- 10. In accordance with the participatory approach that the Evaluation and Oversight Unit has adopted for conducting its evaluation work, any issues and questions will be raised with the relevant divisions and offices and the draft annual report will be circulated to divisions for their views and comments.

## **6. Structure of the report**

- 11. The report should comprise the following sections:
  - (a) Introductory sections: foreword by the Executive Director, introduction by the Chief of the Evaluation and Oversight Unit, executive summary and introduction itself
  - (b) In-depth project evaluations
  - (c) Self-evaluation of UNEP projects
  - (d) Partnerships in environmental programme or project activities
  - (e) Status of implementation of recommendations
  - (f) Lessons learned and key recommendations

## **7. Timeframe**

- 12. The draft report is scheduled to be ready for the review of UNEP divisions and other offices by 15 June 2006. The results of the consultations with UNEP offices should be reflected in the final draft report to be ready by 30 June 2006. The English version of the report is planned to be available in July 2006 as well as the translated copies of French and Spanish shortly thereafter.

## **8. Resources**

- 13. The 2005 annual evaluation report will be produced within the internal resources of Evaluation and Oversight Unit, mainly drawing on a team of one professional and one administrative assistant under the overall guidance of the Chief of the Evaluation and Oversight Unit. The editing, translation and production will be done by the Division of Conference Services of the United Nations Office at Nairobi.

## Annex II: List of evaluations and studies included in the 2005 annual evaluation report

| Project Code   | Project Title  | Date   | Stage |
|--|--|--------|-------|
| <b>A. International transboundary integrated water resource management</b> |  |        |       |
| 1  | GF/1010-01-05<br>Implementation of the strategic action plans for the Bermejo River binational basin   | Sep-05 | MT    |
| 2  | GF/1010-01-01<br>Formulation of a strategic action programme for the integrated management of the San Juan river basin and its coastal zone  | Sep-05 | F     |
| 3  | GF/1100-99-14<br>Integrated management of land based activities in the Sao Francisco basin   | Jun-05 | F     |
| 4  | GF/1100-99-16<br>Implementation of the integrated watershed management practices for the Pantanal and Upper Paraguay river basin   | Jan-05 | F     |
| 5  | GF/1020-03-01<br>DELTAmerica   | Aug-05 | MT    |
| 6  | GF/2732-99-4243<br>(GF/1100-99-01)<br>Global international waters assessment   | ?? 06  | F     |
| 8  | GF/2731-03-465<br>Protection of the Northwest Sahara aquifer system and related humid zones and ecosystems   | May-05 | MT    |
| <b>B. Conservation, protection and rehabilitation of natural resources</b> |  |        |       |
| 7  | GF/2711-00-4271<br>Catalyzing conservation action in Latin America: Identifying priority sites and best management   |        |       |
|  | (GF/1010-00-14)<br>Alternatives in five globally significant ecoregions  | Feb-05 | F     |
| 9  | GF/2715-02-4517<br>Conservation and sustainable management of below ground biodiversity – phase I  | Jun-05 | MT    |
| 10   | GF/2740-03-4645<br>(GF/1040-03-01)<br>Support for Fifth World Parks Congress, 8–17 September 2003, Durban, South Africa  | Sep-05 | F     |
| 11   | GF/2740-03-4618<br>Management of Indigenous Vegetation for the Rehabilitation of Degraded Land in Arid Zones in Africa   | Dec-05 | MT    |
| <b>C. Climate change</b>   |  |        |       |
| 12   | GF/2010-01-02<br>Expedited financing of climate change enabling activities part II. Expedited financing for (interim) measures for capacity-building priority areas in Lesotho phase 2 | Apr-05 | D-F   |
| 13   | GF/2200-97-48<br>Enabling activities for the preparation of initial national communication related to United Nations Framework Convention on Climate Change – Bahrain                  | Apr-05 | F     |

|  |                     |  |        |    |
|--|---------------------|--|--------|----|
| 14   | GF/L/2740-02-438    | Assessment of soil organic carbon stocks and change at national scale  | Oct-05 | F  |
| <b>D. Environmental information and networks</b> |                     |  |        |    |
| 15   | GF/L/2740-02-4485   | Global Environmental Citizenship   | May-05 | MT |
| 19   | FP/RA/CP/1020-01-02 | Asia and the Pacific: Network for Data-Information Generation, Analysis, Observation and Assessment                                      | Feb 05 | F  |
| <b>E. Human health</b>                           |                     |  |        |    |
| 16   | GF/2732-03-4680     | Regional program of action and demonstration of sustainable alternatives to DDT for Malaria Vector control in Mexico and Central America | Mar-06 | MT |
| 17   | CP/1000-02-03       | Assessment of pollution status and vulnerability of water supply aquifers of African cities  | Oct-05 | F  |
| <b>F. Environmental law</b>                      |                     |  |        |    |
| 20   | -                   | Partnership for the Development of Environmental Law and Institutions in Africa (PADELIA) – phase II                                     | Jan-06 | F  |
| <b>G. Financial Services</b>                     |                     |  |        |    |
| 18   | FP/4100-98-01       | Action programme on the financial services sector and the environment  |        | F  |
| <b>H. Partnerships</b>                           |                     |  |        |    |
| 21   | -                   | Partnership between the Belgian Director-General for Development Cooperation and UNEP  |        | MT |
| 22   | -                   | Norway–UNEP partnership evaluation   |        |    |

*Note: F and MT refer to final and midterm evaluation, respectively.*

## Annex III: List of self-evaluation fact sheets and terminal reports for 2005

1. GF/6030-04-11 Addressing land based activities in Western Indian Ocean (WIO-LaB)
2. AE/3020-04-02 Afghanistan capacity-building and institutional development
3. AE/3010-03-35(10) Afghanistan post-conflict environmental assessment
4. CP/2000-04-03 An ecosystem approach to restoring West African drylands and improving rural livelihoods through agroforestry-based land management interventions.
5. XG/1010-01-04 Arab millennium ecosystem assessment
6. FP/RA/CP/1020-01-02 Asia and the Pacific: Networks for data-information generation, analysis observation and assessment
7. GF/1200-96-03 Assessment of capacity-building needs for biodiversity, participation in the clearing house mechanism (CHM) and preparation of a second national reports to the Convention of Biological Diversity (phase II)
8. GF/2010-01-07 Assessment of impacts and adaptation to climate change in multiple regions and sectors (AIACC)
9. CP/1000-02-03 Assessment of pollution status and vulnerability of water supply aquifers of African cities
10. GF/2200-97-16 assistance to selected non-annex 1 parties for the preparation of initial national communications
11. BT/6020-01-05 Budgetary provisions for the Agreement on the Conservation of Populations of European Bats (EUROBATS)
12. AW/6020-00-02 Budgetary provisions for the Agreement on the Conservation of African Eurasian Migratory Waterbirds (AEWA)
13. GF/6010-04-02 Building capacity for effective participation in the biosafety clearing house (BCH)
14. CP/4050-03-01 Capacity-building for integrated economic, environmental and social assessment and planning to formulate and implement sustainable development policies contributing to poverty eradication and sustainable trade
15. BP/3010-01-18 Capacity-building for the development of national legislation implementing the Rio multilateral environmental agreements with specific consideration to poverty alleviation

16. CP/4040-00-14 Capacity-building on technological and economic integration of wind energy and other relevant renewable energy technologies into the electricity systems of Pacific Island Countries (PICs)
17. GF/2010-01-14 Community-based management of on-farm plant genetic resources in arid and semi-arid areas of sub-Saharan Africa.
18. XT/6020-04-03 Conservation and management of Mkomazi game reserve, Tanzania
19. XT/6020-04-04 Conservation and management of Selous game reserve, Tanzania
20. GF/2715-02-4517 Conservation and sustainable management of below ground biodiversity, phase I
21. GF/1030-02-05 Conservation of Gramineae and associated arthropods for sustainable agricultural development in Africa
22. WA/6030-98-03 Convention for cooperation in the protection and development of the marine and coastal environment of the West and Central African region
23. CP/3010-01-17 Dams and development project: phase 2
24. UC/3010-03-35(12) Databank to assist United Nations Compensation Commission on Environmental Claims
25. GF/2732-02-4442 Demonstrations of innovative approaches to the rehabilitation of heavily contaminated bays in the wider Caribbean region
26. AE/RA/3010-03-11 Desk study on the environment in the occupied Palestinian territories
27. GF/2712-03-4627 Development of a wetland site and flyway network for conservation of Siberian crane and other migratory waterbirds in Asia (China, Iran, Kazakhstan and the Russian Federation)
28. GF/6010-01-01 Development of national biosafety frameworks
29. GF/2732-4452 Development of national implementation plans for the management of persistent organic pollutants (POPs)
30. DA9999-04-03 Development of national legal databases for capacity-building to enhance access to environmental law information in Asia
31. GP/3010-02-02 development of a pilot national programme of action (NPA) for the protection of the marine environment from land-based activities in Nigeria
32. GF/2711-02-4609 Development of the Econet for long-term conservation of biodiversity in the Central Asia ecoregions
33. GF/2713-03-4679 Ecosystems, protected areas and people

34. ET/5240-96-02 Environmental Training Network for Latin America and the Caribbean (ETN)
35. GF/2670-03-4703 Fostering active and effective civil society participation in preparations for implementation of the Stockholm Convention (NGO-POPs)
36. MC/4030-01-02 Global assessment of mercury and its compounds
37. GF/1100-99-01 Global International Waters Assessment (GIWA)
38. DP/1000-04-01-2204 and  
FP/1000-04-01-2201 Global Land Cover Network (GLCN); regional outreach workshops in Southern Africa, the Near East and Central America, and development of distance learning tools and Land Cover Classification System (LCCS) translations.
39. DP/1000-04-01-2204 Global Land Cover Network (GLCN); outreach workshops in West Africa, Asia and Pacific and South America.
40. GF/2770-03-4723 Global support to facilitate the early development and implementation of land degradation programs and projects under the GEF Operational Program 15
41. CP/3000-03-01 Implementation of guidelines on national enforcement and cooperation in combating violations of laws and enhancing compliance with multilateral agreements
42. GF/3010-02-09 Implementation of the national biosafety framework of Bulgaria
43. GF/3010-02-07 Implementation of the national biosafety framework of Cameroon
44. GF/3010-02-12 Implementation of the national biosafety framework of China
45. GF/3010-02-10 Implementation of the national biosafety framework of Cuba
46. GF/3010-02-06 Implementation of the national biosafety framework of Kenya
47. GF/3010-02-08 Implementation of the national biosafety framework of Namibia
48. GF/3010-02-05 Implementation of the national biosafety framework of Poland
49. GF/3010-02-11 Implementation of the national biosafety framework of Uganda
50. GF/2715-04-4757 In situ conservation of crop wild relatives through enhanced information management and field application
51. GF/4040-00-23 Institutional strengthening at country level (ozone) – covered by one project number for purposes of the self-evaluation report exercise
52. CP/4050-05-03 Integrated assessment of trade-related policies and biological diversity in the agriculture sector

53. GF/2740-04-4773 Integrated ecosystem approach through collaborative management to conserve biodiversity and minimize habitat fragmentation in three selected model areas in the Russian Arctic (ECORA)
54. CP/5026-00-01 Integrated natural resources management implementation of start-up activities that will be conducted in the four sides Lebanon and Yemen for the mountainous areas and Syria and Jordan for rangeland rehabilitation
55. PP/3100-99-03 Interim secretariat for the Rotterdam Convention – FAO
56. PP/3100-99-04 Interim secretariat for the Rotterdam Convention – UNEP
57. PO/3100-97-03 International action on persistent organic pollutants
58. MT/1010-01-03 International Coral Reef Action Network (ICRAN) – action phase
59. AE/3010-03-61 Iraq post-conflict environmental assessment
60. AE/4010-04-03 Iraqi marshlands project (support for environmental management of the Iraqi marshlands)
61. XT/6020-01-06 Long-term system for monitoring illegal killing of elephants (MIKE) programme in Africa
62. XT/6020-01-07 Long-term system for monitoring illegal killing of elephants (MIKE) programme in Africa and Asia
63. GF/1010-01-04 Millennium Ecosystem Assessment
64. CP/5021-01-01 Nairobi river basin programme
65. EL/3010-01-18 Partnership for Development of Environmental Law and Institutions in Africa (PADELIA)
66. GF/2732-01-4316 Persistent toxic substances (PTS), food security and indigenous peoples of the Russian North
67. GF/1200-96-03 Phase I: preparation of national biodiversity strategies, action plans and first national reports to the Convention of Biological Diversity
68. CP/3010-01-03 Pilot project on empowering women in rainwater harvesting in the Pacific Atoll Islands
69. OCL-2324 2420-2661 Planning for the rehabilitation, environmental management and coastal development in Nicaragua, Honduras and Guatemala in the wake of Hurricane Mitch
70. CPL-5068-3596-2643 Policy reinforcement for environmentally sound and socially responsible economic development (PRODEV)
71. SE/3020-05-04 Post-conflict environmental assessment and capacity development

72. GF/1100-97-02 Preparation of a transboundary diagnostic analysis and a strategic action programme for the marine and coastal environment of Western Indian Ocean
73. PO/4030-03-07 Preparation of National Inventories of polychlorinated biphenyls (PCBs) and PCB-containing equipment in the Southern African Development Community (SADC) subregion
74. GF/2110-98-05 Promoting compliance with the trade and licensing provisions of the Montreal Protocol in countries with economies in transition
75. GF/4020-01-04 Promoting industrial energy efficiency through a cleaner production / environmental management system framework
76. CP/3010-01-05 Promotion of the use of renewable energy resources and conservation of flora species in the drylands of Mega-Chad of the West African subregion: good practices model village approach in land degradation
77. CT/6010-00-25 Provision of trade monitoring and trade data analysis services and technical support to the Convention on International Trade in Endangered Species (CITES)
78. GF/2730-02-4340 Reversing environmental degradation trends in the South China Sea and Gulf of Thailand
79. CP/3010-02-01 Roles of women in water and energy management in rural areas in South Asia – capacity-building in rural areas of the Himalaya
80. EB/5023-00-05 Service for implementing national biodiversity strategies and action plans
81. GF/4040-01-10 Solar and wind energy resource assessment
82. CRL-2324-2024-2661 Specially Protected Areas and Wildlife (SPAW)
83. CP/BP/2000-04-02 Strengthen environmental policy and management capacity at the national and local levels as a contribution to poverty alleviation and sustainable development in Africa
84. AE/3020-04-03(72) Strengthening environmental governance in Iraq through environmental assessment and capacity-building
85. PN/1100-97-12 Support for implementation of the Northwest Pacific Action Plan (NOWPAP)
86. PN/6030-04-08 Support for the development of marine environmental emergency preparedness and response in the NOWPAP region
87. XN/6030-02-62 Support for the Implementation of NOWPAP (Korean contribution)
88. XN/6030-02-61 Support for the implementation of NOWPAP (Japanese contribution)



|                        |   |
|------------------------|---|
| 89. GF/1040-03-01      | Support for Fifth World Park Congress (WPC), September 8–17, 2003. Durban, South Africa   |
| 90. CP/3000-02-01-2224 | Support of the central coordination of the global coral reef monitoring network and the data collection activities under Reef Check   |
| 91. PN/6030-04-09      | Support to data and information networks in the NOWPAP region under the framework of NOWPAP   |
| 92. PN/6030-04-10      | Support to pollution monitoring in the NOWPAP region under the framework of NOWPAP  |
| 93. PN/6030-02-07      | Support to pollution monitoring in the NOWPAP region under the framework of NOWPAP  |
| 94. MEL 2322-2728-2664 | Support to the Regional Activity Centre for Specially Protected Areas (SPA/RAC)   |
| 95. PN/6030-04-07      | Support to special monitoring and coastal environment assessment in the NOWPAP region under the framework of NOWPAP   |
| 96. MEL/2322-2664-2202 | Support to the Regional Activity Centre for the Priority Actions Programme  |
| 97. CP/5023-01-01      | Supporting the implementation of the pan-European biological and landscape diversity strategy, including the organization of the Budapest “Biodiversity in Europe” conference |
| 98. FP/CP/5023-02-03   | Sustainable consumption opportunities in Europe   |
| 99. EA/6030-98-03      | The Convention for the Protection, Management and Development of the Marine and Coastal Environment of the Eastern African Region - The Nairobi Convention.                   |
| 100. PN/6030-02-10     | The Regional Coordinating Unit for NOWPAP   |
| 101. GF/4040-05-05     | Total sector methyl bromide phase out in countries with economies in transition   |
| 102. GF/4040-02-05     | Training activities (ozone): covered by one project number for purposes of this self-evaluation report exercise   |
| 103. CP/3000-02-01     | Training of African journalists on environmental reporting  |
| 104. CP/4040-02-10     | UNEP Collaborating Centre on Energy and Environment – phase VI  |

## Annex IV: Implementation plan for the recommendations of the 2004 annual evaluation report

| Findings  | Recommendations  | Measures taken  | Action still required  | Expected results                          | Date of completion | Responsible unit   | Comments  |
|---|--|---|--|---|--------------------|--|---|
| <p><b>Implementation of regional strategies</b></p> <p>Regional strategies outlining priorities and needs in the regions were introduced by the Executive Director of UNEP in 2003. There was clear recognition that those strategies would be effective planning tools and essential components of the UNEP programme of work. Not all divisions were familiar with the strategies, however, and even those which were found that further work was required in respect of their content, scope and layout. The strategies were not, however, considered as formal requirements of the programme of work.</p> | <p><b>Recommendation 1</b></p> <p>UNEP senior management should ensure that the regional strategies are thoroughly discussed with all divisions and regional offices, and revised accordingly. Clear guidelines should be issued on the preparation of such strategies and division directors should ensure that subsequent work programmes adequately reflect regional needs and priorities and are furnished with the appropriate resources.</p> | <p>The Dalberg report addressed strategic planning processes and suggested a four year strategic planning time horizon but it was quite brief on the role of regional strategies.</p> <p>The Deputy Executive Director requested the Division of Regional Cooperation to prepare guidelines and asked regional offices to update their regional strategies for strategic planning for 2008-2009. This has not been completed.</p> | <p>Regional strategies need to be updated. This is important to formulate the next work programme.</p> | <p>Updated set of regional strategies</p> |                    | <p>Coordination Office of the Division of Regional Cooperation</p> |   |
| <p><b>Policy development and guidance</b></p> <p>There is a need for official UNEP positions to be more clearly articulated to ensure that the regional offices are able to represent correctly the views of the organization in the regions. Currently, the regional offices do not receive sufficient guidance on UNEP positions and are not adequately involved in the development of such positions.</p>  | <p><b>Recommendation 2</b></p> <p>UNEP senior managers should ensure that position statements on critical and sensitive issues are developed in consultation with regional offices. Official positions on such issues should be provided and disseminated widely within UNEP.</p>  |   | <p>To determine the modalities for achieving this.</p>   |   |                    | <p>Senior Management Group</p>                                     | <p>To be discussed by the Senior Management Group</p> |

| Findings  | Recommendations  | Measures taken | Action still required | Expected results | Date of completion | Responsible unit   | Comments                                       |
|---|--|----------------|-----------------------|------------------|--------------------|--|--|
| <p><b>Interregional collaboration</b></p> <p>UNEP projects and programmes have generated many examples of successful activity and best practice in all regions. There is tremendous potential for the interregional transfer of knowledge and the replication of projects between the regions. Interregional collaboration is limited in scope, however, and at present there are limited examples of projects linking two or more regions.</p>   | <p><b>Recommendation 3</b></p> <p>The UNEP Senior Management Group should formulate initiatives and provide directives to promote interregional collaboration in project implementation. Such directives should be supported by clear policy guidelines and resource allocations.</p>  |                |                       |                  |                    | Senior Management Group / Division of Regional Cooperation | To be discussed by the Senior Management Group |
| <b>Project planning, development and stakeholder consultation</b>   |  |                |                       |                  |                    |  |  |
| <p><b>Endorsement of UNEP projects by national Governments</b></p> <p>The implementation of many environmental projects is delayed from the outset by Governments because of complexities in project design and a lack of consistency between such projects and national priorities. Moreover, in many instances, project consultations take place so late in the process that it is difficult to make modifications. In addition, national Governments tend to sign off and accept projects without full comprehension of the nature and scope of their obligations. Such projects become difficult to implement for a number of reasons, including lack of implementation capacity.</p> | <p><b>Recommendation 4</b></p> <p>All UNEP divisions should ensure that project identification and design processes include national participation from the outset, so that country ownership and commitment to successful outcomes are ensured. National consultation processes should not be rushed. UNEP management should establish a coordinated mechanism and protocol so that national Governments are not approached (and thus not confused) by different UNEP divisions and units for similar endorsements and commitments.</p> |                |                       |                  |                    | All divisions  |  |

| Findings   | Recommendations  | Measures taken   | Action still required   | Expected results   | Date of completion | Responsible unit | Comments |
|--|--|--|---|--|--------------------|------------------|----------|
| <p><b>Stakeholder consultation</b></p> <p>There is often a failure to involve all stakeholders, including UNEP divisions and regional offices, in project planning and formulation from early stages. As a result, regional priorities and issues are not adequately addressed and planned resource allocations do not match actual requirements, leading to a decline in interest among participating stakeholders.</p> | <p><b>Recommendation 5</b></p> <p>The Programme Coordination and Management Unit (PCMU), working in consultation with regional offices, the Coordination Office of the Division of Regional Cooperation and the Resource Mobilization Unit, should review the current project planning process and resource mobilization and allocation procedures. The review should critically assess consultation processes used by programme managers in developing new projects and expanding existing ones. It should also provide, first, an operational framework for consultation at all stages of project development; second, selection criteria for identifying project partners and their expected roles in the project; third, resource mobilization processes; and, fourth, guidelines for a post-project and exit strategy to sustain the project results. In addition, senior managers should assess and institute a transparent mechanism to make the Resource Mobilization Unit more effective.</p> | <p><b>Consultation mechanism at project development stage:</b></p> <p>a project review process, called “inter-divisional review”, reinforces consultation between divisions, including regional offices, in case divisions have not consulted prior to the inter-divisional review process. However, consultations with external stakeholders can not be assured through this process. The project submission checklist, which will become effective in mid-2006, asks if all relevant UNEP divisions and regional offices have been consulted and they are fully familiar with the project document.</p> <p><b>Partner selection criteria:</b></p> <p>a project submission checklist asks if the roles and responsibilities of the implementing partners, including UNEP Divisions, cooperating agencies or supporting organizations, have been clearly established and agreed upon and if the implementing partners have administrative, technical and human capacities to undertake the project.</p> <p><b>Resource mobilization process:</b> this is the responsibility of the Office of the Deputy Executive Director.</p> <p><b>Sustainability of the project:</b> PCMU has commented on this issue already.</p> | <p>The project submission checklist is not effective as of February 2006. Submission of the checklist will be enforced after project management training takes place in 2006.</p> | <p>Implementation of inter-divisional review and review of the project submission checklist by the Project Approval Group will improve inter-divisional information sharing, collaboration and the complementarity of UNEP projects.</p> | <p>August 2006</p> | <p>PCMU</p>      |          |

| Findings   | Recommendations  | Measures taken   | Action still required   | Expected results  | Date of completion | Responsible unit | Comments  |
|--|--|--|---|---|--------------------|------------------|---|
| <p><b>Baseline data for monitoring and evaluation</b></p> <p>Project design documents do not clearly identify indicators for monitoring and evaluation. As a result, projects often lack adequate quality data for assessment.</p> | <p><b>Recommendation 6</b></p> <p>In consultation with stakeholders, precise results and impact indicators should be identified and clearly spelt out in all UNEP project documents. The indicators, as identified, should include both qualitative and quantitative parameters and cover relevant cultural, economic, environmental, institutional and social dimensions.</p> | <p>The revised project manual states that logical frameworks are required for all UNEP projects.</p> <p>The revised progress report is simple in format and focuses on progress towards achieving results measured through the indicators.</p> | <p>Logical framework matrices will be required in all UNEP proposals after PCMU conducts the project management training in 2006.</p> <p>PCMU will assist project managers during the project review to devise results and indicators that they can achieve and be accountable for.</p> | <p>The emphasis in project implementation will shift from delivering outputs to achieving results. Progress and final reports of the projects will show improved reporting at the result level.</p> | <p>August 2006</p> | <p>PCMU</p>      | <p>PCMU to expand on the criteria for project reviews, including adequate indicators and data and mentioning the inter-divisional review.</p> |

Evaluation and Oversight Unit  
United Nations Environment Programme  
P.O. Box 30552  
Nairobi, Kenya  
Tel: +(254-20) 7623387  
Fax: +(254-20) 7623158  
Email: Segbedzi.Norgbey@unep.org  
Email: eou@unep.org  
URL: <http://www.unep.org/eou>

**[www.unep.org](http://www.unep.org)**

United Nations Environment Programme  
P.O. Box 30552 Nairobi, Kenya  
Tel: ++254-(0)20-762 1234  
Fax: ++254-(0)20-762 3927  
Email: [unep@unep.org](mailto:unep@unep.org)  
web: [www.unep.org](http://www.unep.org)

