

UNITED NATIONS ENVIRONMENT PROGRAMME

2000
ANNUAL EVALUATION REPORT

EVALUATION AND OVERSIGHT UNIT

JULY 2000

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At the heart of environmental management is the sustainable utilization of the world's natural resources. The ability to promote concrete improvement in people's lives, therefore, lies at the centre of sustainable development. There exists an impressive array of ideas that sustainable development can only be achieved through sound management of our environment and natural resources. The work of the United Nations Environment Programme (UNEP) is central to both sustainable development and sound environmental management, but UNEP cannot do this alone. It's central role is to catalyse Governments, the United Nations system, non-governmental organizations and the private sector to take action. To this end, UNEP has remained on the cutting edge in identifying and defining new environmental challenges and priorities in providing appropriate environmental policy instruments used in the sound management of the global environment.

While UNEP offers intellectual leadership in the area of environment, its success is very much a measure of its ability to catalyse and develop partnerships and collaborative efforts in carrying out these activities. A qualitative analysis of the performance of UNEP, includes the environmental knowledge products, activities in assessment and early warning, environmental law, policy instruments and land based sources of pollution. This analysis provides an overview of the organization's contribution to global, regional and national environmental management challenges. The picture presented by the many independent evaluations carried out, shows encouraging indicators of increased effectiveness, efficiency and impact created by UNEP activities in the sustainable management of our environment. Of particular interest are our partnerships and collaborative efforts that have been referred to by independent evaluation consultants as pillars of our successful strategy.

Based on evaluation findings, this Annual Evaluation Report analyses and synthesizes information on UNEP knowledge products and impacts, as well as the value of evaluation for strategic programme delivery by UNEP. Although the achievements of UNEP are discussed and lessons are highlighted, emphasis is on those concrete actions taken by UNEP that have strengthened environmental management.

This Annual Evaluation Report goes beyond individual programme and project findings and hence challenges old assumptions about programme performance while uncovering new linkages between evaluation, decision-making and strategic management. It provides a strategic forum for us in UNEP to share our work, experiences, lessons, new ideas and our future challenges with our Governing Council and partners. In brief, the report is both an accountability document and a contribution to a learning process.

I am pleased to present the following pages, which are a short summary of our work in 2000.

Klaus Töpfer
Executive Director, UNEP

UNEP as a catalytic organization works to advance knowledge and understanding of environmental issues by supporting environmental assessment and environmental management activities. The main pillar of this catalytic role is the effective intellectual leadership of UNEP in the area of environmental management. Its role as an environmental authority is demonstrated by the level and effectiveness of the quality of intellectual leadership it provides in galvanizing environmental action to address global, regional and national development challenges.

The 2000 Annual Evaluation Report demonstrates that the UNEP intellectual capital is critical in the provision of leadership in environmental management. UNEP has developed intellectual and knowledge products in the form of tools, guidelines, frameworks and policy instruments that are critical in the sustainable management of the environment. Our partners, collaborators, Governments, non-governmental organizations and the private sector use these knowledge products in solving environmental problems. UNEP is also successful in mobilizing and catalysing the international community and the United Nations system for environmental action by advancing environmental knowledge and providing appropriate policy instruments.

The various independent consultants who have evaluated UNEP activities in the year 2000 have concluded that the partnerships and collaborative efforts of UNEP are a sound strategy that is used by the organization. This strategy increases the environmental activities and creates impact at the national, regional and global levels by promoting a multi-tier stakeholder participation in environmental management. The evaluations also show how UNEP knowledge products serve to build global and regional policy consensus as well as mobilize environmental action.

This Annual Evaluation Report also shows that UNEP has been able to deliver products that are of use in the management of the global environment. The report also reflects the lessons that UNEP has learnt and how these lessons have been taken on board and used to improve both the programme and project design and delivery. The programme has been delivered more efficiently.

The Annual Evaluation report also represents the efforts of our partners, donors and collaborators who have worked hard in ensuring that our common efforts are successful.

Backson Sibanda
Chief, Evaluation and Oversight Unit

The preparation of annual evaluation reports of the United Nations Environment Programme (UNEP) is a participatory enterprise, which involves independent consultants, programme and project managers, other UNEP divisional staff and the staff of the Evaluation and Oversight Unit.

The Evaluation and Oversight Unit would, therefore, like to acknowledge the efforts of the following independent consultants:

Mr. De Schutter, Joop
Mr. Francis, Julius
Mr. Given, David
Prof. Khan, Rahmatullah
Mr. La Rovere, Emilio
Mr. Luboyera, Festus
Mr. Mbewe, Abel
Mr. Mestre Eduardo Jose

Dr. Ngara, Todd
Mr. Protti, Mark
Mr. Tewolde-Berhan, Teame
Dr. Thanakorn Uanon
Mr. Thornton, Jeff
Mr. Vadas, Rolando Gaal
Mr. Wright, Alaphia

The efforts of all the programme and project officers who submitted self-evaluation fact sheets are also highly appreciated.

The Evaluation and Oversight Unit also expresses its appreciation to UNEP division directors and staff whose comments have greatly enriched the present report.

Evaluation and Oversight Unit

| | |
|----------|--|
| ASEAN | Association of South Eastern Nations |
| DEC | Division of Environmental Conventions |
| DEPI | Division of Environmental Policy Implementation |
| DEWA | Division of Early Warning and Assessment |
| DPDL | Division of Policy Development and Law |
| DRC | Division of Regional Cooperation |
| DTIE | Division of Technology, Industry and Economics; |
| EAF-RCU | Eastern African Region Regional Coordinating Unit |
| FAO | Food and Agriculture Organization of the United Nations |
| GBF | Global Biodiversity Forum |
| GEF | Global Environment Facility |
| ISP | Inter-American Strategy for Participation |
| IUCN | World Conservation Union |
| NETLAP | Network for Environmental Training at Tertiary Level in Asia and the Pacific |
| NORAD | Norwegian Agency for Development |
| OAS | Organization of American States |
| PCBs | polychlorinated biphenyls |
| POPs | persistent organic pollutants |
| ROA | Regional Office for Africa |
| ROAP | Regional Office for Asia and the Pacific |
| SACEP | South Asia Cooperative Environment Programme |
| SAP | Strategic Action Programme |
| TDA | Transboundary Diagnostic Analysis |
| THAITREM | Thailand Network for Training and Research on Environmental Management |
| TREM | Training and Research on Environmental Management |
| UNCTAD | United Nations Conference on Trade and Development |
| UNDP | United Nations Development Programme |
| UNESCO | United Nations Education, Scientific and Cultural Organization |

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| UNON | United Nations Organization at Nairobi |
| WCD | World Commission for Dams |
| WTO | World Trade Organization |
| WWF | World Wide Fund for Nature |

1. The 2000 Annual Evaluation Report is a synthesis of evaluations relating to one subprogramme and one part subprogramme, 11 in-depth project evaluations, two desk project evaluations and 139 self-evaluation fact sheets. The standard parameters employed in the analysis of subprogrammes and projects are: appropriateness and relevance; assessment of linkages and collaboration forged; approaches and strategies adopted and the hierarchical coherence of project objectives as outlined in the programmes of work of subprogrammes and divisions in relation to UNEP's mission and mandate; effectiveness and efficiency, which measure the extent to which intended results and expected outputs have been achieved within the planned budget and time-frame and the efficiency of institutional arrangements employed to support implementation; and finally, the impact of processes and actions initiated by UNEP projects on subject environmental problems and issues.
2. Overall, on the basis of the above parameters, UNEP programme activities and projects were successful in 2000. The evaluation has established that the goals, objectives, results and outputs of the subprogrammes and projects evaluated were consistent with the mission and mandate of UNEP. The approaches adopted, linkages and collaboration forged and the coherent hierarchical complementarity of projects and subprogramme objectives have impacted positively on environmental management at the global, regional and national levels.
3. The one subprogramme and one part subprogramme evaluated have achieved the expected results and outputs as stipulated in the respective programmes of work. In-depth evaluations have also established that over 85 per cent of the projects evaluated have achieved over 90 per cent of their planned outputs and results as per schedule while 15 per cent have managed to produce additional outputs and results. These achievements are by any standard impressive and they represent a clear improvement over those recorded in the 1999 UNEP Annual Evaluation Report.
4. The present evaluation has addressed UNEP's support for environmental conventions and the production and refinement of environmental knowledge products. In the area of promoting policy consensus on the environment at the global and regional levels, UNEP has undertaken nine successful projects supporting environmental conventions with specific focus on: identification of need, conceptualization of convention frameworks and facilitation of intergovernmental negotiations; programme development and coordination mechanisms of conventions; support for strategic planning aimed at implementing conventions; and direct support for the implementation of specific convention provisions. It is therefore evident that UNEP has gained valuable knowledge in the environmental activities that help build policy consensus and action on the environment at the global and regional levels. UNEP has greatly contributed to the implementation of environmental conventions by building appropriate capacity in developing countries and countries with economies in transition. UNEP nevertheless realizes that further effort is needed to strengthen monitoring systems and enforcement mechanisms if effective implementation of conventions on the environment is to be achieved.
5. This evaluation report has established that UNEP, in support of its interacting strategies of "environmental assessment, policy development and environmental action", is providing intellectual leadership on the environment by developing environmental knowledge products relating to scientific assessment of natural and man-induced phenomena which impact on the status of the environment; and translating this knowledge into environmental action by devising appropriate policy instruments. These environmental knowledge products - environmental assessments, methodologies, frameworks, policy guidelines, action plans and approaches - support policy development, institutional capacity development and awareness-raising, all of which advance better management of the environment. UNEP's impressive achievements in developing and refining such environmental knowledge products have contributed to building consensus in environmental policy and action at the global, regional and national levels.
6. It is important that UNEP should demonstrate clearly to its donors, partners and collaborators that it is providing intellectual leadership in developing and providing appropriate tools, guidelines and policy instruments that influence environmental management. In this regard, the evaluation reveals that UNEP's work and leadership is indeed impacting on decision-making and environmental management by Governments, regional bodies, non-governmental organizations and the private sector.

in environmental knowledge. It should review its existing knowledge management framework, with the view to providing for broader and more effective institutionalization of organizational learning in order to maximize benefits of knowledge gained from experience. Issues addressed by the proposed knowledge management framework review should include distilling lessons learned from implementation of environmental activities, promoting wider application of environmental knowledge products, appropriate presentation of lessons learned, their dissemination to relevant users, and follow-up of implementation and internalization. The review should also assess the strategic linkages between programme and project development, on the one hand, and monitoring and evaluation on the other, so as to facilitate effective organizational learning. A strengthened knowledge management framework is a strategic management tool that will further enhance the impact of UNEP's activities on the environment.

8. UNEP also continues to record impressive achievements in forging effective external linkages with other United Nations organizations, Governments, non-governmental organizations, communities, the private sector, regional institutes of excellence and international financial and multilateral organizations. Through such linkages, UNEP has addressed issues such as the state of the environment, the development of environmental knowledge products, and the implementation of environmental activities at the national, regional and global levels. These external linkages have enabled UNEP to extend the scope of its operations, mobilize and pool expertise and funding, and expand the environmental constituency in terms of advocacy and environmental action. They also help develop policy consensus and environmental action.

9. At the same time, UNEP needs to do more to institutionalize internal linkages and collaboration among its divisions in developing and implementing divisional objectives and strategies so that those concerned can benefit from their collective expertise and experience. UNEP can ensure stronger divisional linkages by formalizing the necessary mechanisms, as stipulated in the respective divisional programmes of work, as well as by strengthening the UNEP policy development framework to promote the complementarity of UNEP programmes.

10. The 2000 Annual Evaluation Report is a synthesis of evaluations relating to two subprogrammes, 11 in-depth project evaluations, two desk project evaluations and 139 self-evaluation fact sheets. It aims at providing information on how UNEP is delivering its programmes and projects in relation to its mandated objectives. The evaluation's findings are based on past experience and show areas where UNEP has done well. It also urges UNEP to improve and forewarns where performance has been less than satisfactory.

11. As detailed in the report, overall, UNEP's programme and project activities were successful in 2000. The contribution by UNEP in terms of providing guidance, coordination, and general intellectual support in the development and application of environmental knowledge products was effective. UNEP has also succeeded in forging effective external partnerships in the implementation of environmental programmes at the global, regional and national levels. The annual evaluation has nevertheless noted some recurring constraints, which, if allowed to persist, could negatively impact on programme and project delivery. Such constraints pertain to programmatic and institutional issues.

12. It is also worth noting that self-evaluation fact sheets are not being submitted for all pertinent UNEP projects as required. The proportion of submissions to the number of active projects remains very low and is decreasing. The low rate of return of self-evaluation fact sheets is a matter of concern as it denies UNEP management the possibility of having a full picture of programme and project delivery.

A. Mission of the United Nations Environment Programme

13. The mission of UNEP is to provide leadership and encourage partnerships in caring for the environment by inspiring and enabling nations and people to improve their quality of life without compromising that of future generations.

B. Mandate and objectives of the United Nations Environment Programme

14. The mandate and objectives of UNEP emanate from General Assembly resolution 2997 (XXVII) of 15 December 1972 and subsequent amendments adopted by the United Nations Conference on Environment and Development (Report A/CONF.151/26 (Vol. III), paragraph 38.22), and the Nairobi Declaration on the Role and Mandate of the United Nations Environment Programme, adopted at the nineteenth session of the Governing Council as well as the Malmö Ministerial Declaration of 31 May 2000.

15. The above legislative sources and relevant Governing Council declarations and decisions mandate UNEP to act as the authority for the United Nations system in environmental issues, at the global and regional levels. To this end, UNEP is mandated to coordinate the development of environmental policy consensus, by keeping the global environmental situation under review and bringing emerging environmental issues to the attention of the international community and Governments for action. It is worth noting, therefore, the following sources that shape UNEP's mandate.

C. The United Nations Conference on the Environment and Development - Earth Summit

16. The Earth Summit mandated UNEP, by resolution UNEP/L.44/Rev 1, to support Governments, development agencies and organizations, upon request, in the integration of environmental aspects into their development policies and programmes. The support was to include provision of environmental, technical and policy advice during programme formulation and implementation.

D. Decisions of the Governing Council adopted at its eighteenth session

17. In its decision 18/1 of 26 May 1995, the Governing Council gave guidance on the role of UNEP whose activities were to focus on the following areas during the 1996-1997 biennium:

- (a) Assessing and addressing existing and emerging critical issues in the field of the environment;
- (b) Promoting international cooperation in the field of the environment and recommending as appropriate policies to this end;

(d) Monitoring the status of the global environment through the gathering and dissemination of reliable environmental information;

(e) Facilitating the coordination of activities of all United Nations bodies on matters concerned with the environment, ensuring through cooperation, liaison and expert participation, that environmental considerations are taken into account in their activities;

(f) Supporting, upon request, environment ministries and other national environmental authorities, in particular in developing countries and countries with economies in transition, in the formulation and implementation of their environmental policies, and related capacity-building activities;

(g) Furthering the development of international environmental law;

(h) Providing expert advice on the development and use of environmental concepts and instruments;

(i) Developing regional programmes for the environment.

18. The Governing Council also decided that the major results of the activities of UNEP should include:

(a) International arrangements to enhance environmental protection;

(b) Periodic assessments and scientifically sound forecasts designed to support decision-making and the creation of an international consensus on the main environmental threats and responses;

(c) More effective coordination of environmental matters within the United Nations system;

(d) Policy options and advice to Governments, multilateral organizations and others, which incorporate the environmental dimension into the sustainable development process and strengthen environmental protection;

(e) Higher public awareness and greater capacity for environmental management and effective national and international responses to the threats of environmental degradation.

E. The Nairobi Declaration on the Role and Mandate of the United Nations Environment Programme

19. The Nairobi Declaration further elaborated the existing UNEP policy mandate as follows:

(a) To provide policy advice based on the best scientific and technical capabilities available;

(b) To advance the implementation of agreed international norms and policies;

(c) To serve as an effective link between the scientific community and policy makers;

(d) To provide policy and advisory services in key areas of institution-building, to Governments and other relevant institutions.

20. The 1998-1999 programme of work was then developed in line with the above policy directions and focused mandate, with an approved Environment Fund budget of \$75 million, as approved by the Governing Council in its decision 19/22.

21. Subsequently, UNEP adopted the following subprogrammes in order to discharge its expanded mandate:

(a) Sustainable management and use of natural resources;

(b) Sustainable production and consumption;

- (d) Globalization and the environment;
- (e) Global and regional servicing and support.

22. In the course of the 1998-1999 biennium, UNEP changed from its former structure based on themes or sectors to a functional structure. This new structure was to be put in place during the biennium 2000-2001. The new structure is composed of six functional divisions:

- (a) Environmental Information, Assessment and Early-warning;
- (b) Environmental Policy Development and Law;
- (c) Environmental Policy Implementation;
- (d) Technology, Industry and Economics;
- (e) Regional Cooperation and Representation;
- (f) Environmental Conventions.

F. The Malmö Ministerial Declaration

23. The First Global Ministerial Environmental Forum, held from 29 to 31 May 2000 in pursuance of United Nations General Assembly resolution 53/242 of 28 July 1999, brought together the world's environment ministers to review important and emerging environmental issues and to chart the course of the future. The resulting Malmö Ministerial Declaration affirmed existing environmental issues and strategies and identified emerging issues and responses, for the attention of the international community. Pertinent issues, which relate to UNEP as the authority for the environment, include:

- (a) The importance of environmental compliance, enforcement and liability;
- (b) The need to pay special attention to unsustainable consumption patterns and the impact of growing populations on increased pressure on the environment;
- (c) Environmental threats resulting from the accelerating trends of urbanization;
- (d) The recognition and utilization of technological innovation and the emergence of new resource-efficient technologies offering opportunities to avoid the environmentally destructive practices;
- (e) The need to intensify international efforts in developing preventive action and a concerted response, including national and environmental governance and the international rule of law, awareness-raising and education;
- (f) The necessity of taking the environmental perspective into account in both the design and the assessment of macro-economic policy-making by Governments and multilateral lending and credit institutions;
- (g) The need to encourage a balanced and integrated approach to trade and environment policies in pursuit of sustainable development, in accordance with the decision taken by the Commission on Sustainable Development at its eighth session;
- (h) The critical role and hence the emphasis on the responsibility of the main actors including Governments, the private sector and civil society in addressing the environmental challenges of the twenty-first century.

24. The Malmö Ministerial Declaration enhances UNEP's enabling international environment and formulates present and future strategies which will help UNEP to meet its mandate and mission.

III. PURPOSE AND METHODOLOGY OF THE EVALUATION

25. UNEP complies with the United Nations programme accountability requirements by undertaking subprogramme and project evaluations. Evaluation is also a management tool. Evaluation activities and results arrived at by assessing the strengths and weaknesses of activities related to policy and programme formulation and implementation, also provide UNEP with operational and strategic management information. As a management tool, evaluation determines to what extent UNEP's activities achieve results and fulfill its mission. This information helps UNEP to better plan its future activities.

26. This 2000 Annual Evaluation Report is a synthesis of two subprogramme evaluations, 11 in-depth project evaluations and two desk project evaluations.

27. The Evaluation and Oversight Unit presents an analysis of the subprogramme and in-depth project evaluations and self-evaluation fact sheets following the terms of reference attached as annex 1. The standard UNEP evaluation parameters were used: appropriateness and relevance, effectiveness and efficiency and impact. Within the framework of the foregoing parameters, the report has assessed the approaches and strategies employed; external and internal linkages fostered; hierarchical integration of UNEP's mission and subprogramme, divisional and project objectives and activities; effectiveness of management structures; timeliness of project completion; budget utilization; realization of results and outputs; impact, use and sustainability of project-initiated processes; and results achieved. Information provided by self-evaluation fact sheets, compiled in statistical form, is also analysed and presented along with the subprogramme and in-depth project evaluation findings.

A. Subprogramme and divisional evaluations

28. In 2000, one subprogramme and one division were evaluated as follows:

(a) Division of Technology, Industry and Economics (DTIE);

(b) Environmental Law Programme for Asia and the Pacific. (This programme was originally part of the Subprogramme of Environmental Law; hence it will be referred to as "subprogramme" in this report).

29. The performance of the subprogramme and division was analysed, based on the respective evaluation reports, in terms of the parameters referred to above. A synthesis of achievements and constraints is presented in chapters IV, V, VI, and VII.

30. In line with the 1999 approach, the 2000 Annual Evaluation report presents key substantive, institutional, policy, programmatic, and design issues and concerns with implications across the UNEP system. Through this sort of analytical approach and presentation, the evaluation focuses on strategic issues that affect UNEP's overall programme delivery.

B. In-depth project evaluations

31. The 2000 Annual Evaluation Report analyses 11 in-depth project evaluations and two desk project evaluations. The list of those projects is attached as annex II.

32. The project evaluations focus on discerning trends and patterns by determining appropriateness and relevance, effectiveness and efficiency and impact of projects. In the course of analysis, the evaluation identifies key issues of concern to UNEP based on their recurrence, scope, and strategic significance. Such concerns and issues may relate to project design and implementation; capacity-building; awareness-raising; development, refinement and dissemination of environmental knowledge products; and to the building of environmental policy consensus. Results achieved and lessons learned through innovative practices, which can be replicated throughout the UNEP system, are also highlighted.

33. UNEP policy requires that self-evaluation fact sheets be prepared and submitted for ongoing projects, completed and closed projects, as well as for those completed but not closed. Self-evaluation fact sheets have standard formats and contain management information essential to assess implementation progress in terms of the following:

- (a) Needs and results;
- (b) Outputs;
- (c) Financial utilization relative to project outputs;
- (d) Budget variations if any;
- (e) Timeliness of outputs.

34. Self-evaluation fact sheets are also designed to provide information on the causes of budgetary variances, deviation from the commencement and completion time-frames, and unsatisfactory results and outputs. Therefore, if all divisions fill up the self-evaluation fact sheets, a Governing Council requirement, in fact, the information provided can serve as an effective management tool to improve both operational and strategic management.

35. By, however, not submitting self-evaluation fact sheets for all eligible projects, UNEP is failing to meet one of the requirements of programme accountability. Indeed, the number of ongoing projects for which self-evaluation fact sheets were prepared has been insignificant for the past few years. While in 1998 and 1999, only 25 per cent and 27 per cent respectively of the ongoing projects submitted self-evaluation fact sheets, the picture for the year 2000 is even worse. At the end of 2000, despite the fact that the total number of fact sheets submitted was 139, only 23 (17 per cent) were supplied from ongoing projects. The rest were filled for projects long completed (Table 1).

Table 1

Status of projects represented in self-evaluation fact sheets

| Status | Number of projects | Percentage |
|--------------------------|--------------------|------------|
| Ongoing | 23 | 17% |
| Completed/Closed | 73 | 53% |
| Completed but not closed | 39 | 28% |
| Not established | 4 | 3% |

36. UNEP is, therefore, neither complying with the relevant Governing Council decision, which requires that all ongoing projects be self-evaluated, nor benefiting from the operational and strategic management information which could have been provided by the fact sheets.

37. Notwithstanding the fact that only 17 per cent of the self-evaluation fact sheets provide information for ongoing projects, this Annual Evaluation Report deems these findings to be still useful for purposes of future project design and implementation, if not for the projects concerned.

38. By examining the programme implementation report for the first year of the 2000-2001 biennium, the evaluation has established that programme delivery is progressing largely according to plan. For the future, the Evaluation and Oversight Unit has discussed with the Programme Coordination and Management Unit the possibility of attaching costed work plans to the programme implementation report to enable a more exhaustive evaluation of internally implemented activities to be carried out. Such an arrangement would enable the progress of costed work plans to be evaluated without the need for separate reporting. Furthermore, the evaluation recommends that the reporting of costed work plans by divisions incorporate appropriate and sufficient qualitative and quantitative information and indicators.

IV. APPROPRIATENESS AND RELEVANCE

39. Appropriateness and relevance are key criteria used by UNEP for evaluating subprogramme/divisional programmes, projects, policies, and strategies. As indicated in the UNEP guidelines for evaluation indicators, these parameters serve to determine if the coherence of resources and work arrangements are consistent with the main objectives of the programme or project. They further assess whether approaches and strategies applied and linkages forged in implementing activities are appropriate. Finally, they determine to what extent the subprogramme or divisional objectives support the UNEP mission.

A. Divisional and subprogramme evaluations

40. In 2000, one UNEP division and one subprogramme were evaluated:

- (a) The Division of Technology, Industry and Economics (DTIE);
- (b) The Environmental Law Programme for Asia and the Pacific.

41. The evaluation established that the above division and subprogramme carried out activities consistent with UNEP's mission and mandate. They adopted relevant approaches, forged appropriate linkages and collaboration modalities and chose suitable target beneficiaries and priorities, all of which conformed to the Governing Council decisions as elaborated in the pertinent programmes of work.

1. Linkages and collaboration

42. In conformity with its mission, UNEP, while "providing leadership," encourages partnership, linkages and collaboration to promote action for improved environmental management. Fostering effective linkages and partnerships is one of the key UNEP strategies, which allows it to pool both internal and external expertise and resources to accomplish its mission. For this reason, UNEP forges linkages with other United Nations organizations, non-governmental organizations, regional and international development and financial institutions, regional and international centres of excellence, communities, the private sector, and convention secretariats, in order to formulate projects, build capacity and develop environmental knowledge products.

43. The fostering of effective linkages and collaboration involves identifying potential partners who share UNEP's concerns; determining the expertise, capacities, and possible contribution of such partners; and devising appropriate modalities of collaboration with them relevant to UNEP's programmes. It was noted that, in general, the division and subprogramme evaluated utilized strong and effective external linkages, even if internal linkages were sometimes weak.

Sustainable Development; the International Labor Organization; the United Nations Development Programme (UNDP); the United Nations Industrial Development Organization (UNIDO); the World Health Organization; the World Bank; United Nations Centre for Human Settlements (Habitat); the Inter-Organization Programme for the Sound Management of Chemicals; the United Nations Framework Convention on Climate Change; the United Nations Conference on Trade and Development (UNCTAD); the Global Environment Facility (GEF); the World Trade Organization (WTO); and the United Nations Education, Scientific and Cultural Organization (UNESCO); Governments; industry and associations. The successful results of the numerous collaborative linkages include:

- (a) Establishment of cleaner productions centres (UNIDO);
- (b) Integration of cleaner production and energy efficiency (UNDP and GEF);
- (c) Development of user-friendly manuals for natural resource accounts (Department of Economic and Social Affairs);
- (d) Facilitation of intergovernmental negotiations for the Rotterdam Convention (the United Nations Food and Agriculture Organization (FAO));
- (e) Development of environmental management systems for industrial estates (Asian Regional Institute of Environmental Technology);
- (f) Cooperation in finding solutions to environmental problems caused by mining (the World Conservation Union (IUCN) and the World Wide Fund for Nature (WWF));
- (g) Production of guidelines on environmental management of industrial parks (Asian Development Bank).

45. The Environmental Law Programme for Asia and the Pacific has also forged fruitful linkages and partnerships with United Nations agencies, international and regional financial institutions, regional organizations and convention secretariats to improve national environmental legislation, aimed at strengthening enforcement mechanisms and promoting participation in international conventions.

46. The evaluation established that, within the subregions UNEP has instituted partnership arrangements with a number of bodies that have significantly contributed to resource mobilization, development and implementation of programmes and activities. Partnerships exist, for example, between UNEP and the South Asia Cooperative Environment Programme (SACEP); the Association of South-East Asia Nations (ASEAN); the Mekong Region Law Centre; the Asia-Pacific Centre for Environmental Law; the North-east Asian Subregional Programme of Environmental Cooperation; and the South Pacific Regional Environment Programme. The Environmental Law Programme for Asia and the Pacific has forged effective partnerships with global, regional and national agencies and mobilized considerable resources for its environmental law activities. The collaborators include: the South Asian Association for Regional Cooperation, the United Nations University, UNDP, the United Nations Institute for Training and Research, the Asian Development Bank, the World Bank, the United States Environment Protection Agency, the United States – Asia Environmental Partnership, the International Network for Environmental Compliance and Enforcement, the Governments of the Netherlands and Thailand, the Norwegian Agency for Development (NORAD), the Danish Development Agency, Aus Aid, and the Canadian International Development Agency.

47. A very fruitful partnership forged with SACEP and NORAD focused on developing new environmental legislation, reinforcing existing laws, implementing environmental conventions, disseminating information on environmental law, and promoting compliance and enforcement. This partnership has carried out a pioneering range of activities with regard to the judges symposia and the strengthening of partnerships between Governments and the private sector.

48. The Environmental Law Programme for Asia and the Pacific has also collaborated with the secretariats of the Convention on Climate Change, the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, and the Convention on Biological Diversity, carrying out capacity-building activities to enhance the implementation of and compliance with these conventions.

external linkages to support UNEP's mission. DTIE has forged extensive, effective and strong external linkages, which have enabled it to make economical use of UNEP resources. However, its internal linkages with other UNEP divisions and entities were found to be weak.

50. The UNEP programmes of work for 1998-1999 and 2000-20001 specifically required DTIE to link up with the Division of Policy Development and Law (DPDL), the Division of Environmental Policy Implementation (DEPI), the Division of Environmental Conventions (DEC), the Division of Regional Cooperation (DRC) and the Division of Early Warning and Assessment (DEWA). UNEP seeks to promote integrated programmes through interaction among its functional divisions in developing overall policies and strategies and in designing and implementing programmes.

51. The evaluation has, however, established that DTIE's internal linkages are weak. They are generally ad hoc and determined by the need to cooperate on specific activities. The most glaring shortcoming has been the failure by DTIE to collaborate effectively with DPDL. This state of affairs is not consistent with the principle that all UNEP programmes should be part of a system-wide strategic framework.

2. Approach and strategy

52. UNEP influences Governments, communities, and non-governmental organizations to carry out environmental action using appropriate approaches and strategies. This may take the form of helping countries and subregions to set their own priorities and activity work plans; promoting the use of local knowledge and skills; ensuring ownership and capacity-building through participation of diverse stakeholders; and developing subregional and national structures for reviewing, formulating, harmonizing and implementing environmental policies. Lessons learned from UNEP programmes and projects show that such approaches affirm relevance, enhance impact and ensure commitment and sustainability.

53. In this respect, DTIE has developed, jointly with industry and Governments, various tools, instruments, practices and codes of conduct as a way of influencing policies and galvanizing actions to promote human safety and protect the environment. Many of the tools developed through this participatory approach have been adopted by Governments, industry associations and international financial institutions in their policy formulation and decision-making related to the environment and sustainable development.

54. Likewise, the Environmental Law Programme for Asia and the Pacific has assisted Governments in developing effective environmental legal regimes at the regional and national levels in order to address specific regional priorities in the area of sustainable development which are consistent with the objectives and strategies set by the Governing Council and elaborated in the relevant programme of work.

55. The Environmental Law Programme for Asia and the Pacific has adopted regional, subregional and national approaches in implementing its programme in the field of environmental law and conventions. The involvement of members of the private sector and civil society organizations along with Government officials, in the pre-legislative process has promoted collective ownership of the environmental regulatory framework and enforcement. The programme has appropriately targeted the judiciary, the private sector and non-government organizations in order to improve overall environmental management in the region. Regional and national institutions were actively involved in the range of capacity-building activities: workshops, symposia and conferences.

3. Support to the mission and mandate of United Nations Environment Programme

56. Biennial activities and projects are designed to contribute to UNEP's mandate, mission and strategies as stipulated in relevant Governing Council decisions and approved programmes of work. Divisions and subprogrammes are therefore evaluated in terms of the extent to which they adhere to UNEP's mission and specific regional and national priorities and that they target beneficiaries approved by UNEP.

57. The evaluation established that the goals, objectives and outputs of the division and subprogramme evaluated were consistent with the mandate and objectives of UNEP, that they responded to regional and national priorities and that they focused on beneficiaries approved by the UNEP Governing Council.

Law Programme for Asia and the Pacific has responded to regional and national requests to develop national environmental legislation aimed at implementing selected environmental agreements and conventions and building capacity in the areas of enforcement and compliance.

59. In future, however, UNEP may need to widen its core specialization to include legal aspects of information technology, genetic engineering, biosafety, and contemporary approaches to environmental management and energy in order to respond to new and emerging issues.

60. DTIE has Governing Council at its addressed the objectives defined in the programmes of work for 1998-1999 and 2000-2001 approved by the twentieth and twenty-first sessions respectively. DTIE has developed and implemented programmes and projects that encourage decision makers in Government, local authorities and industry to adopt cleaner and safer practices that make efficient use of natural resources, ensure environmentally sound management of chemicals, incorporate environmental costs, and reduce pollution and risks for humans and environment. To meet these objectives, DTIE has promoted the development of pertinent environmental policies; cleaner, safer and environmentally sound technologies; economic instruments; codes of conduct; guidelines and managerial practices that assist environmentally sound decision-making; and the preparation of international environmental agreements.

61. According to the evaluation, DTIE's programmes and activities undertaken in the 1998-1999 and 2000-2001 bienniums conform to UNEP's priorities, objectives, and strategies while the results contribute to UNEP's mission of ensuring a better managed global environment.

B. In-depth project evaluations

62. In the year 2000, 11 in-depth project evaluations and two project desk evaluations were carried out. The appropriateness and relevance of projects were assessed in terms of approaches adopted in project implementation, relevance of objectives and their contribution to the goals of the division and to UNEP's mission, and linkages fostered to promote and expand environmental action.

63. Overall, the evaluation has established that 90 per cent of the projects, in other words, 12 out of 13, were appropriate and relevant to UNEP's mission and respective divisional goals and objectives. These projects fostered environmentally profitable external linkages, employed appropriate approaches and their objectives and results supported UNEP's mission.

1. Approaches and strategies

64. In-depth project evaluations were carried out for the following projects, all of which address important global and regional environmental issues:

- (a) The Strategic Action Programme for the Binational Basin of the Bermijo River;
- (b) A Participatory Approach to Managing the Environment: An Input to the Inter-American Strategy for Participation;
- (c) The Environmental and Socio-economic Impacts of Large Dams (A joint initiative of UNEP and the World Commission for Dams (WCD));
- (d) The Global Programme of Action for the Protection of the Marine Environment from Land-based Activities;
- (e) Phase II of the Global Biodiversity Forum: Broadening Support for the Implementation of the Convention on Biological Diversity;
- (f) The Eastern African Action Plan of the Nairobi Convention and its related protocols.

methodologies related to joint management of water/basin resources as well as broader issues relevant to sustainable development. They involve the development and refinement of participatory and integrated approaches to environmental management and sustainable development as proposed in Agenda 21. The outputs of these projects and their respective contributions are outlined in chapter VI while in this section, the approach used in carrying out the activities is discussed.

66. The last three projects relate to the implementation of global and regional action programmes for the Nairobi Convention for the Protection, Management and Development of the Marine and Coastal Environment of the Eastern African Region and related protocols and the Convention on Biological Diversity.

67. The approaches adopted by the projects:

- (a) Ensured wide participation of stakeholders;
- (b) Used extensive pilot demonstration sites and case studies in forums and seminars;
- (c) Ensured that environmental data collected for assessment and decision-making was correct and impartial;
- (d) Used models and functional frameworks for organizing relevant research and public participation;
- (e) Addressed the need for integrating environmental issues into prevailing economic models;
- (f) Provided a forum between government decision makers, local communities, and non-government organizations;
- (g) Addressed the environmental and economic concerns of stakeholders in a holistic and integrated manner enabling stakeholders to see the contribution of such a framework to conflict resolution and sustainable development.

68. These projects constitute a good example of the interdisciplinary and integrated approach that can be used to ensure participation by stakeholders in environmental and sustainable development planning. Participants have identified the need for developing and strengthening existing national and regional information networks among communities, non-governmental organizations, and development managers. Another critical element is the need for national legislation and regional and bilateral arrangements that comprise mandatory stakeholder participation in sustainable environmental planning and policy development. Legal requirements of participating countries have also been reviewed and areas requiring improvement identified.

69. The other value added has been the pooling of national and regional expertise to contribute to sustainable environmental protection.

70. These approaches have strategic importance for UNEP because they broaden the environmental constituency. They also enhance awareness and the capacity for advocacy, capacity-building and policy development while offering great potential for appropriate action in support of good environmental management and sustainable development. Through these projects, UNEP has advanced environmental knowledge and policies that confirm its environmental leadership and support its mission.

2. Use of local or regional expertise

71. Projects undertaken by the Regional Office for Asia and the Pacific (ROAP) have gone a long way in using local and regional experts in implementing UNEP projects, particularly in capacity-building activities. In this connection, during the second phase of the Network for Industrial Environment Management, the two ROAP projects, the Thailand Network for Training and Research on Environmental Management (THAITREM) and the Economic Evaluation of Environmental Impacts on Urban and Industrial Sectors in Thailand, successfully utilized local experts.

environmental degradation, industrial pollution, and degradation of coastal zones, through developing curriculum, organizing training seminars and evaluating results. In all these activities, representatives of 23 Government regulatory bodies and ministries, local authorities, and research institutes participated as partners, project implementers and beneficiaries. The approach of using local expertise adopted by these two projects has effectively contributed to the goals of UNEP's Network for Environmental Training at Tertiary Level in Asia and the Pacific (NETLAP) and the inter-university network for Training and Research on Environmental Management (TREM) as well as to UNEP's mission of mobilizing environmental action by enhancing capacity at the local level.

73. UNEP may need to look into the replicability of this successful approach in other developing regions, such as Africa.

74. The Government of Thailand's adoption of the concept of sustainability in formulating and implementing its national social and economic development plans has provided an enabling environment for the implementation of these projects and should be commended.

75. The private sector, however, is not sufficiently involved in the activities of these projects. In the future, NETLAP and THAITREM should invite financial institutions, insurance companies and industries to participate in capacity-building in environmental management. Their involvement and awareness on appropriate environmental management can influence environment-friendly investments.

3. Linkages and collaboration

76. As in the design and implementation of divisional programmes, UNEP projects also collaborate with various partners: communities, non-governmental organizations, other United Nations organizations, and international financial and research institutions at regional and national levels in order to achieve the goal of a better managed environment.

77. In this respect, all of the projects evaluated have, to varying degrees, created linkages in developing and implementing projects. One of the most concrete and productive examples of partnerships and linkages fostered by UNEP projects is that created with WCD and IUCN on the socio-economic impact of large dams. Others are those fostered with GEF, national and local governments, binational and trinational commissions, the Organization of American States (OAS), local communities, and development projects that have served as demonstration and testing sites for the Inter-American Strategy for Participation methodologies. These linkages have achieved results, which neither UNEP, nor for that matter, the other partner, could have achieved alone. Such partnerships have enabled UNEP to garner practical experience; to refine its methodology; pool resources such as finance and local expertise in research, analysis and project implementation; and provide a opportunity for the UNEP methodology to be applied in more than a dozen countries across Central and South America.

78. The extent of collaboration with local institutions, forged with the aim of environmental management capacity-building in Thailand and implemented by ROAP is also exemplary. The partnership fostered with national universities and research institutions will have a multiplier effect on awareness-raising, national capacity-building and ultimately, on influencing environmental policy and action.

C. Self-evaluation fact sheets

79. Of the 259 projects which UNEP is supporting, 139 presented self-evaluation fact sheets. This represents 54 per cent, which is quite an improvement on the past record.

80. All self-evaluation fact sheets confirmed that the results and outputs of the projects reported were in conformity with the goals of the relevant Divisions and UNEP's mission.

findings cannot be used to improve the management of the projects. Of the 139 reports submitted, 51 were submitted one to three years after completion of the projects, 25 were sent in four to six years afterwards and 12 reports over seven years later (Table 2). This means that reporting for over 71 per cent of the projects was done for administrative purposes to fulfil one of UNEP's project closure requirements. Figure I below also corroborates this analysis.

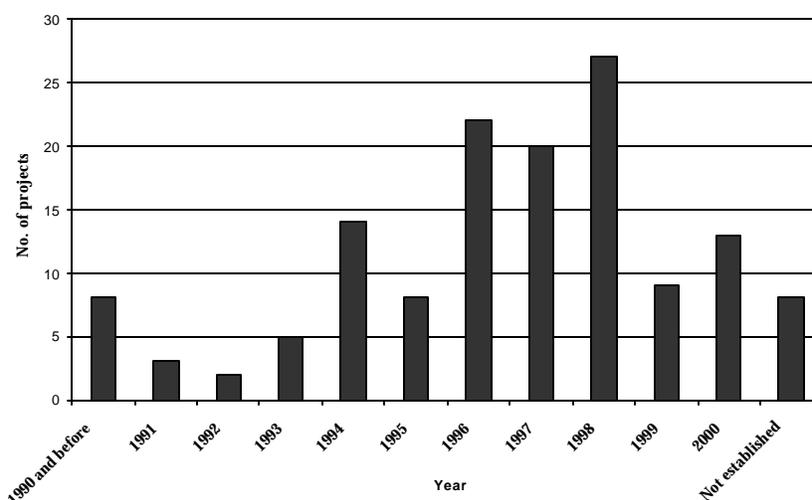
Table 2

Number of years after completion of which project was evaluated

| No. of years | 0 yrs | 1-3 yrs | 4-6 yrs | Over 7 yrs |
|-----------------|-------|---------|---------|------------|
| No. of Projects | 11 | 51 | 25 | 12 |

Figure I

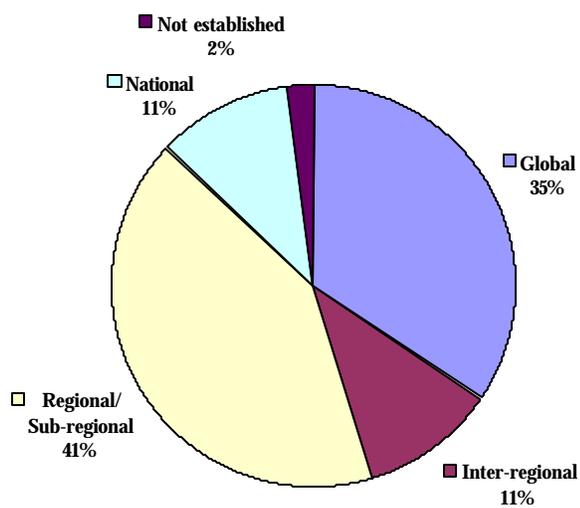
Project commencement



82. In order to be appropriate and relevant, the self-evaluation fact sheets must meet the programme accountability requirements set by the Governing Council if UNEP is to benefit by having information on ongoing projects so as to improve project delivery and to learn lessons for improving design in future. How to enforce this policy through institutionalizing effective compliance mechanisms is a challenge that UNEP has yet to fully address. In the current evaluation report, most of the self-evaluations do not refer to the quality of UNEP's project delivery in the year 2000 but in years gone by. In other words, the recommendations made here may be irrelevant for the current situation. This situation defeats the primary purpose for which self-evaluation fact sheets were designed, which was to provide information and data for managing current projects.

83. In terms of scope, 41 per cent of the self-evaluations are regional or subregional, 35 per cent are global, 11 per cent interregional and 11 per cent national. This information confirms that UNEP projects and activities focus on global, regional, subregional and interregional efforts in conformity with its mandate and mission.

Scope of reported projects



84. The mode of implementation of projects as reported in the self-evaluation fact sheets confirm the catalytic mandate of UNEP. As can be seen from Table 3 below, 65 per cent of UNEP projects were implemented with the collaboration and partnership of United Nations agencies, national executing agencies, regional organizations, and non-governmental organizations. UNEP's major input was in the provision of expertise and methodologies, coordination, backstopping, reviewing project outputs and technical assistance (Table 4). UNEP's contribution, as seen in the table below, relates to intellectual and technical support to projects as envisaged in its mandate. Therefore, on both accounts, self-evaluation reports confirm that projects conform to UNEP's mandate and mission.

Table 3

Mode of implementation

| | Number of projects | Percentage |
|-----------------|--------------------|------------|
| Internal | 45 | 32% |
| External | 91 | 65% |
| Not established | 3 | 2% |

UNEP's contribution to the projects

| Contribution | No. of projects N=91 ^d |
|--|--------------------------------------|
| Provision of expertise, methodologies and approaches | 31 (34%) |
| Coordination | 28 (31%) |
| Backstopping | 26 (29%) |
| Review of project technical reports, documents and outputs for quality assurance | 17 (19%) |
| Technical assistance | 15 (16%) |
| Project development | 8 (9%) |
| Logistic support | 4 (4%) |

^dTotal number of external projects

V. EFFECTIVENESS AND EFFICIENCY

85. UNEP's parameters of effectiveness and efficiency measure the extent to which subprogrammes, divisions and projects have achieved the intended results and expected outputs as per the planned budget and time-frame; the degree of efficiency of the structure and management system that supported implementation; and the effectiveness of financial utilization in achieving the intended results.

86. Effectiveness is also determined by assessing operational coordination and monitoring mechanisms, administrative procedures, financial systems, and institutional arrangements used by UNEP to support activities and projects implemented by executing agencies and partners. Efficiency indicators address the issue of whether the resources allocated for subprogrammes or projects were effectively utilized to achieve the planned outputs and results.

A. Subprogramme and divisional evaluation

87. In pursuance of the Nairobi Declaration and decision SS.V/2 of 22 May 1998, UNEP formulated its 2000-2001 programme of work along functional lines instead of following major sectoral issues, such as freshwater, oceans, land, biodiversity, forests, health and atmosphere.

88. The concept of a revitalized UNEP is based on the idea that environmental assessment is the basis for policy development and policy implementation, and that global programmes are implemented at the regional level through environmental conventions. In line with the foregoing strategy, the revitalized UNEP accomplishes its mission through the functional divisions listed in chapter II.

89. In conformity with UNEP's mission and mandate, all the UNEP functional divisions influence Governments, the private sector and non-governmental organizations through various environmental activities: assessment and dissemination of environmental information; development of policy and policy consensus; capacity-building; awareness-raising; and development of methodologies, approaches, guidelines and techniques to improve the quality of the environment at the global, regional and national levels.

90. The purpose of evaluation is to determine whether the programmes evaluated have realized their intended results and outputs. As will be evidenced in the course of analysis, the activities of the subprogramme and division reviewed have effectively supported the mission and objectives of UNEP.

(a) Assessment and dissemination of environmental information

91. UNEP addresses environmental problems and issues by:

(a) Assessing and disseminating up-to-date environmental information;

(b) Developing policy consensus and response at the global, regional and national levels, through broad cooperation and partnership activities;

(c) Supporting and influencing action by jointly developing and implementing programmes and projects to alleviate environmental problems.

92. In support of the above broad UNEP strategy, DTIE and the Environmental Law Programme for Asia and the Pacific have assisted Governments, non-governmental organizations, communities, regional and international organizations, and other United Nations agencies to access environmental information. By so doing, they have raised awareness and helped in the review or formulation of new policies.

93. In this area, DTIE continues to improve and to create new ways of collecting and disseminating environmental information globally. It maintains clearing houses for persistent organic pollutants (POPs) and for heavy metals and chemicals as well as the global information network of chemicals. It continues to upgrade the International Register of Potentially Toxic Chemicals databank and the inventory of information sources. Its publications include a newsletter, Chemicals, and it operates a successful query response service for users of chemicals.

94. DTIE utilizes publications as one main way of disseminating information on environmental management. The electronic medium is also used and Web sites have been set up on topics such as cleaner production and agrifoods. Cleaner production centres are linked electronically as are experts and databases.

95. Information dissemination is a vehicle used for educating the public about environmental concerns and issues that threaten human health and the environment. By disseminating information, DTIE has successfully influenced Governments and the private sector to embrace environment-friendly policies and ways of doing business.

96. Similarly, the Environmental Law Programme for Asia and the Pacific recorded a significant degree of success in compiling and disseminating environmental law-related publications. These publications have assisted policy makers and other stakeholders to be aware of developments in the region and elsewhere in the area of national environmental legislation and regional arrangements. The publications include the following: Handbook of Treaties and Other Instruments; A Compendium of Summaries of Judicial Decisions in Environmental-related Cases; Asian-African Handbook on Environmental Law; Southeast Asian Handbook of Environmental Law and Other Instruments; South Pacific Handbook of Treaties and Other Instruments; Southeast Asian Handbook of Selected National Environmental Law; and UNEP-AALCC Handbook of Environmental Law in Asia and Africa.

97. It should be noted that UNEP would ensure a wider access to its databases and web sites, if technical assistance were given to developing countries to improve their information technology capacity in cooperation with other United Nations organizations, through the Science and Technology Commission.

98. Capacity-building is also a major tool by which UNEP influences Governments, non-governmental organizations, the private sector and various stakeholders for environmental action. UNEP carries out capacity-building projects and develops training materials focusing on various environmental issues to enhance the capacity of environmental actors to positively impact on environmental management.

99. DTIE and the Environmental Law Programme for Asia and the Pacific have carried out extensive capacity-building activities mainly through organizing workshops, conferences, consultations and symposia. Target groups included government officials, private industry, national focal points, cleaner production centres, high court judges, planners, educationalists and researchers. These activities were executed within the planned time-frame and budget. The evaluation also established that these training programmes had a demonstrated impact on policy formulation, development of national action plans and on the level of commitment of those working in the area of the environment.

100. DTIE has conducted various workshops and training seminars on topics such as the environmental management of industrial parks and the operationalization of the Stockholm Convention on Persistent Organic Pollutants and the Rotterdam Convention on the Prior Informed Consent Procedure of Certain Hazardous Chemicals and Pesticides in International Trade. It has organized numerous workshops in China, where there are 2000 industrial estates, on the environmental management of industrial estates, on the exchange of environmental information, on technical guidelines for the industrial estates in Singapore, and on the relationship between trade, the environment and development. DTIE has also conducted a series of national and regional expert group workshops to develop technical guidelines and economic instruments geared to helping decision makers formulate sustainable development policies. The capacity-building activities carried out by DTIE were successful in terms of participation, relevance and geographical focus.

101. The evaluation, however, notes that the Division should focus more on the training of trainers, in order to reduce its workload. This approach will enable trained trainers to conduct seminars in their home countries and subregions thus creating a “multiplier effect.” At the same time, DTIE should explore the possibility of encouraging and supporting national or regional institutions to include environmental management training in their respective mandates. In the long term, this approach to building regional and national capacities will contribute to improved environmental management.

102. The Environmental Law Programme for Asia and the Pacific has similarly conducted 10 regional and 10 national capacity-building activities targeting a number of groups and resulting in a greater degree of environmental compliance and enforcement at the regional and national levels. The issues addressed by these capacity-building activities included: strengthening legal and institutional arrangements for specific conventions; drafting of laws on sustainable development and legal aspects of integrating the rule of law and sustainable development; environmental impact assessment in development policy-making; environmental law curriculum development; training for university lecturers; environmental management; and developing environmental legislation. The programme has also published a number of reference materials that effectively support the capacity-building activities. The participants have ranged from judges to government policy makers, educators and representatives of the private sector and non-governmental organizations. This broad participation strengthens the development of policy consensus and environmental action by the relevant stakeholders.

103. The evaluation has established that the subprogramme and division evaluated have achieved significant results in supporting the environmental management capacity of beneficiary Governments as planned.

(c) Awareness-raising

104. Awareness-raising is another major tool used extensively by UNEP to encourage Governments, the private sector, non-governmental organizations, and communities to carry out environmental action. Awareness-raising is the first step in the long process of promoting environmental action. UNEP is aware of its success in this area and most of its programmes and projects have awareness-raising components.

expositions to raise awareness about the challenges of environmental problems. The evaluation has established that through these awareness-raising activities, Governments, the private sector, industry associations, the tourist industry and non-governmental organizations are adopting a more environmentally sound use of natural resources. It is therefore evident that this information dissemination has had a positive impact on environmental management and protection of human health.

106. To a lesser degree, the Environmental Law Programme for Asia and the Pacific has carried out awareness-raising activities pertaining to national legislation on the environment and regional arrangements in ensuring compliance and enforcement. In particular, the workshops organized for judges of the region were highly successful. By exposing senior members of the judiciary to new developments in the field of environmental law, environmental enforcement capacity at the regional and national levels was enhanced.

107. In summary, the subprogramme and division evaluated have successfully executed awareness-raising activities as outlined in their respective plans of work. The evaluation has established that they targeted relevant stakeholders and employed effective tools to increase knowledge and to widen the environmental constituency.

2. Effectiveness of structure and management

108. On examining the existing management structure and monitoring and evaluation mechanisms that support programme implementation, it was noted that the subprogramme and division evaluated had monitoring mechanisms which enabled them to follow up activities and outputs. The biannual programme performance reporting requirements (June and December) of New York provides another instrument for monitoring programme outputs. At the subprogramme/divisional level, this reporting procedure ensured that the outputs were monitored and a record of their status maintained.

109. In the case of DTIE, some units like the Environmental Technology Unit, had monitoring systems comprising quarterly travel plans in which outputs, timetables, programme performance reports, and the status of the decisions of the twentieth session of the Governing Council were updated regularly. As for information about present and past activities, in most cases, this was not readily available in written form.

110. It was also not clear whether functioning monitoring mechanisms to ascertain compliance with the provisions of the conventions that DTIE supports existed.

111. The evaluation established that while the demands made on DTIE are increasing, its staff remains limited. This situation means that the staff available do not have enough time to adequately and qualitatively attend to the growing demand for DTIE products.

112. The evaluation has established that the inadequate number of staff has been a major constraint for most DTIE activities. However, staff productivity in some areas can be improved through reorganizing time and work. Cutting down on the number of training seminars and workshops held can reduce the workload. This can be achieved by reducing the number of training seminars and workshops held for “end users” and concentrating on training trainers. If these measures are taken, the need for engaging more staff need not arise.

113. At the programme level, there is a need for DTIE to prioritize the various components of its programme and to resist the temptation of getting involved in too many activities.

114. The Environmental Law Programme for Asia and the Pacific is implemented in the ROAP office. The distance of this office from the UNEP headquarters in Nairobi and DTIE offices in Geneva, Paris and Japan poses communication difficulties that impact negatively on the management and coordination of programme activities. There are problems in areas such as recruitment given the fact that support services such as the Human Resources Management Services and Finance and Conference Services are all located in Nairobi.

115. It is noted that the work of out-posted UNEP offices and divisions can be facilitated through provision of efficient support services by the United Nations Organization at Nairobi (UNON). It is, therefore, recommended that the work of UNON be streamlined so as to better meet the needs of DTIE. This problem must be urgently addressed.

recommends that their capacity as regards staff and funding should be strengthened in view of the growing number of environmental problems in the region and the enormous potential for promoting compliance and enforcement mechanisms in the area of environmental regulations and international environmental conventions. Furthermore, building upon the success of the ASEAN initiative on Haze Pollution, ROAP could promote subregional environmental accords in areas such as regional air/water pollution and natural resource conservation – both terrestrial and marine, through appropriately strengthened institutional capacity.

117. The evaluation, therefore, notes that programme delivery could improve by matching resources with planned activities as well as through an effective prioritizing and programme planning process. Both the provision of adequate resources and the planning process are vital.

B. In-depth project evaluation

1. Extent to which planned outputs and results have been achieved

118. Overall, in-depth evaluations have established that over 85 per cent of the projects evaluated have achieved over 90 per cent of their planned outputs and results as per schedule while 15 per cent have managed to produce additional outputs and results. These achievements are by any standards remarkable and a great improvement over those recorded in the 1999 Annual Evaluation Report.

119. Under this subsection, the report will outline UNEP's performance in project delivery along with the main factors that supported or impeded the level of effectiveness in project implementation with respect to the ongoing projects evaluated in the year 2000.

120. While most UNEP projects include activities such as awareness-raising, environmental assessment and dissemination, and publications, the projects evaluated in 2000 were mostly focused on: support to environmental conventions under the broad UNEP strategy of developing environmental policy consensus and policy action, capacity-building, and developing and refining environmental knowledge products. The third cluster of projects will be discussed in chapter VI while this section of the report will concentrate on UNEP's performance in the first two clusters of projects.

(a) Support for the implementation of environmental conventions.

121. UNEP's support for conventions includes: identifying needs and conceptualizing convention frameworks; facilitating intergovernmental negotiations; and once conventions are signed, promoting their wider ratification by encouraging Governments and intergovernmental organizations; assisting in establishing convention structures (secretariats); participating in the development and coordination of pertinent global and regional programmes; and participating in the direct implementation of convention provisions and programmes at the global, regional and national levels. Over the years, UNEP has, through the foregoing activities, done commendable work in building policy consensus on the environment at the global level.

122. In conformity with the above support strategies, in the year 2000 three projects were evaluated in the area of programme development and coordination of conventions; four projects in support of direct implementation of the United Nations Framework Convention on Climate Change at national levels; and one project devoted to the initial planning and strategy formulation of the Convention to Combat Desertification. The achievements, problems encountered and lessons learned will be presented for each category of project in the following sections.

123. Overall, UNEP has, to varying degrees, fulfilled its role in establishing functioning and appropriate institutional structures and coordination mechanisms for the implementation of conventions.

(b) Support to programme development and coordination of conventions

124. The three projects which addressed policy and programme development and coordination of conventions were:

(b) The Global Programme of Action for the Protection of the Marine Environment from Land-based Activities;

(c) The Global Biodiversity Forum (GBF): Broadening Support for the Implementation of the Convention on Biological Diversity.

125. These projects have carried out activities, achieved important results, and produced outputs that promote the implementation of their respective conventions.

126. While the three projects have produced significant outputs and results, the evaluation identified some problems that prevented them from achieving their full potential.

127. UNEP has successfully revitalized the Eastern African Region Regional Coordinating Unit (EAF-RCU) in the last two bienniums making it possible for the Nairobi Convention to achieve 100 per cent ratification, an important indicator of increased confidence in the convention by the Contracting Parties. The regional action programme was revised to respond to regional needs and priorities with a clearer framework of action and with targets and a time-frame as presented in the biennial work programmes of 1998-1999 and 2000-2001. One of its significant achievements was the development of a rapid assessment methodology for coral reef management. This methodology, which integrates biophysical assessment of coral reefs with a socio-economic survey of the use of the reefs and their associated resources, has been applied, evaluated and modified to suit local conditions.

128. The major concern with EAF-RCU is that it is largely dependent on UNEP for institutional support (including developing and funding implementation of the action plan and providing staff and facilities). The evaluation notes that, at the political level, UNEP, in collaboration with the Nairobi Convention Contracting Parties, should seriously consider developing a strategy for resource mobilization. In view of the apparent funding constraints, approaches for mitigating the mismatch of resources with approved programmes should be explored. It may be necessary to streamline and reprioritize the work programme in order to better allocate the available resources and make the programme feasible. The other area where improvements can be made is expanding new linkages and strengthening existing ones with global conventions, special global programmes such as the Global Programme of Action, and global financial mechanisms such as GEF. The evaluation notes that the cooperation with the Global Programme of Action has come about since the evaluation was conducted.

129. GBF, designed to support implementation of the Convention on Biological Diversity, has provided an independent international mechanism to engage biodiversity stakeholder groups in the ongoing dialogue. The forum offers a valuable opportunity to increase capacity and understanding, especially in developing countries, as well as to facilitate cooperation and partnerships through debate and networking.

130. Since its inception, GBF has made important contributions to the Convention on Biological Diversity in many ways. It has influenced the Conference of the Parties by drawing attention to biodiversity-related issues such as climate change, invasive species, indigenous people's wetland issues, and scale in adaptive management for a range of sustainable use initiatives. GBF has also initiated a number of cooperation initiatives through regional dialogue.

131. While these achievements demonstrate the need for continuing the activities of GBF, the Forum needs to review its current structure and institutional relations, principally, with the secretariats of the Convention on Biological Diversity and other conventions with the view to maximizing the effectiveness of its outputs.

132. The evaluation of the Global Programme of Action from 1995 to August 1999, has established that, as at the end of August 1999, the Programme faced fundamental challenges in clearly defining its mission and in matching its institutional capacity with its funding mechanisms to address this mission. The evaluation also established that at the end of August 1999, a wide gap existed between UNEP's ambitions and efforts at the global level and the Programme's capacity to deliver and to help protect the marine environment from land-based activities.

primary vehicle promoting exchange of information and expertise between countries and regions, but these expectations have largely gone unfulfilled.

134. Realizing its limited resources and mandate, the Programme's coordination office has, in practice, wisely opted to support ongoing initiatives, such as the Regional Seas Programme. This approach, although realistic in the circumstances, made the Global Programme of Action's value added even less clear.

135. The 1995-1999 evaluation therefore recommends that UNEP conduct a fundamental review of the Global Programme of Action's mandate and institutional arrangements. Funds should be secured to revitalize the Programme and to make it the source of conceptual and practical guidance for national and regional authorities on the protection of the marine environment from land-based activities. This recommendation is currently being followed up.

136. The Global Programme of Action should concentrate on its core business, namely, the mobilization of new and additional financing for the protection of the marine environment from land-based activities taking into consideration existing initiatives and funding mechanisms.

(c) Support to strategic planning for the implementation of conventions

137. UNEP has registered a remarkable achievement in supporting the United Nations Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa, and in helping lay down the necessary foundations for its implementation.

138. As of December 2000, the project had identified 1,164 entities from all continents representing government organizations, research institutions, non-governmental organizations, and communities willing and able to support the implementation of the Convention to Combat Desertification. The project database, accessible on the Convention's home page, provides information on institutions involved in convention-related activities; and addresses specific convention provisions or articles as well as other topics related to drought and desertification.

139. Based on project outputs, the evaluation has established that the project provided the implementing consortium led by UNEP, the information required. The consortium has thus been able to identify subregional and thematic gaps, prepare a set of criteria and principles for evaluating networks, formulate a detailed methodology and work plan for conducting pilot in-depth surveys and identify issues to be addressed in succeeding phases.

140. During its first phase, the project has identified important information in various thematic and functional areas. This information and the activities carried out will support the implementation of the Convention to Combat Desertification.

141. The positive lessons learned from the institutional arrangements employed and the productive linkages forged will be detailed in the relevant sections of this report.

(d) Direct support to the implementation of convention provisions

142. In the area of direct support to the implementation of environmental conventions, UNEP, through GEF financing, has implemented and completed projects in four countries (Cameroon, Lesotho, Tanzania and Zambia). These projects aim to enable the countries to fulfil their commitments and obligations as specified in Articles 4.1 and 12.1 of the Convention on Climate Change which require countries to prepare and report their initial national communication based on the recommendations of the second meeting of the Conference of the Parties. Other enabling activity projects will be evaluated in 2001.

143. UNEP's input to the implementation of convention provisions focused on:

- (a) Technical literature and assessment models;
- (b) Technical comments on country sectoral reports;

(d) Organizing technical workshops and training programmes on a series of issues including preparing inventories of greenhouse gasses, abatement analysis, and vulnerability assessment and adaptation.

144. UNEP has successfully helped four countries to produce their initial national communications for submission to the Convention on Climate Change secretariat as required by the Convention. Furthermore, this activity helped the countries to build capacity and awareness at community and Government decision-making levels concerning climate change as it relates to sustainable development. These projects have achieved important results and outputs that have contributed to the joint objectives of the Convention on Climate Change, GEF and UNEP: enhancing capacity-building in climate change, laying a foundation for future projects on climate change and promoting country compliance with the provisions of the Convention.

145. The evaluation has, however, established some areas that need improvement. Although the specific context differed from country to country in terms of the existing enabling environment, the availability of national experts, and prior experience in addressing climate change issues, there were common constraints. These constraints impact on the quality of outputs, timely completion of activities, and integration into the sustainable development process of most of the countries assisted by UNEP under the subject projects. The main constraints observed across projects were the following:

(a) The completion of project activities was delayed from four to eight months mainly because project documents did not take into account such factors as:

- (i) Government procedures in the recruitment of project staff;
- (ii) Procurement procedures;
- (iii) The delay locally in reviewing research documents;
- (iv) Difficulty in applying models;
- (v) Poor quality of data;
- (vi) The need to carry out more activities than stipulated in the project document;
- (vii) The fact that most members of the national study team worked only on a part-time basis.

(b) Most of the models provided by and through UNEP were not readily applicable because they were not modified to suit local conditions;

(c) There was less than adequate national capacity available for climate change studies;

(d) Insufficient public awareness activities were carried out;

(e) There was inadequate funding;

(f) Less than adequate political support was demonstrated by Governments to provide projects with scientific, technical, policy and strategic guidance.

146. UNEP needs to address the above issues in order to improve the results of its assistance to beneficiary countries and to contribute to the long-term objectives of the Convention on Climate Change, GEF and UNEP. In particular, the following issues must be addressed:

(a) Appropriate training related to key project activities should be provided before the project commences (project implementation preparatory components);

(b) The number of sectors to be studied under each project could be reduced to allow more resources and time to be available for in-depth studies and better results;

conditions, such as the availability of appropriate technical expertise, the policy environment, or the political commitment expected;

(d) The capacity of Government decision makers should be enhanced to enable them to integrate climate change concerns into planning through the national plan of action and in order to promote policy action on UNEP-initiated activities. This issue should be addressed while the project is being implemented.

(e) UNEP and GEF should help maintain the momentum of climate change activities for such countries by providing targeted capacity-building in those areas that need strengthening as established in the Phase I enabling activity projects.

147. Most of the above constraints, concerns and recommendations have been repeated in previous annual evaluation reports. The current evaluation recommends that UNEP take stock of its experience in implementing this category of project and the respective evaluation reports in order to improve the design of future projects and the formulation of Phase II projects. Furthermore, UNEP should use the lessons learned from the individual project evaluations and implementation plans to design better projects in future.

148. Based on its experience in implementing the above cluster of projects, UNEP should work to maximize its impact, through the adoption and development of appropriate analysis, tools and technologies, and through integrating supportive policies into national sustainable development plans. It is critical for UNEP to utilize the knowledge gained to improve programme delivery and, in this way, to positively impact on environmental management.

(e) Capacity-building

149. Capacity development is one of the major tools UNEP employs to realize its catalytic role towards a better-managed environment. UNEP realizes that capacity-building is critical to efforts to effectively address environmental problems at the national and regional levels.

150. Most of UNEP's capacity-building projects are aimed at improving the capacities of individual institutions and the overall enabling environment in which organizations operate and interact.

151. The current report presents a synthesis of findings of two capacity-building projects and of seven other projects which had capacity-building components. An analysis of the in-depth evaluations would lead to the conclusion that overall, about 80 per cent of the capacity-building activities were successfully executed within the set time-frame.

152. Within the framework of UNEP's NETLAP, the inter-university network TREM has successfully implemented 11 training programmes on the management of a range of environmental problems. This programme developed curricula, training modules, research publications, case studies, and course materials, all of which the evaluation judged to be very effective. It has trained over 1,250 university lecturers, government development and regulatory officials, industrialists, representatives of non-governmental organizations and elementary school teachers.

153. The successful and well documented UNEP/NETLAP/TREM training programme in Thailand laid the institutional foundation for human resource development in environmental management focusing on strengthening the capacity of selected universities to provide education, training, and research services in the field of environmental management.

154. UNEP has acquired useful experience from this institution capacity-building programme in the areas of programme development, case studies, and training modules. The programme also brought together scientists, government policy makers, development programme implementors, and representatives of non-governmental organizations to assess their problems and seek solutions.

155. While this successful programme under NETLAP is still being tested, UNEP should consider replicating it in Africa with relevant modifications to meet local conditions and needs. The Regional Office for Africa (ROA) could borrow a leaf from this programme in Asia.

a minimum critical mass of expertise is the “learning-by-doing” approach used by projects to prepare the initial national communication related to the Convention on Climate Change. These projects, largely implemented by local organizations and consultants run parallel and simultaneous training workshops for individuals, institutions, research teams, government policy makers and non-governmental organizations focused on applying assessment model methodologies and policy development.

157. Despite their inadequacies, this type of training has contributed to the immediate execution of projects and to national awareness about the importance of climate change abatement measures to sustainable development in those countries. UNEP’s procedure of developing local long-term capacity, rather than bringing in international experts to cover capacity gaps as a short-term measure, has worked. The success in capacity-building of these projects is certainly something which UNEP should be proud of and seek to promote in other programme areas.

158. There is nevertheless a need for a more thorough assessment of both existing capacities and training needs during project design so as to determine the activities and resources required. Such preparatory and planning measures can make training more effective and allow future projects to be completed on time.

159. UNEP has accumulated a wealth of experience on both functional and thematic environmental capacity-building, and this has contributed to environmental policy development and action at the national, regional and global levels. The evaluation is therefore reiterating its 1999 recommendation: that UNEP conduct a comprehensive study on the capacity-building activities previously carried out, across subprogrammes, divisions, sectors, functions and regions, to assess their effectiveness and sustainability at the local, institutional and enabling environment levels. Such an exercise will give UNEP an opportunity to process its accumulated knowledge on capacity-building and to present systematic findings to its partners. Above all, UNEP can use the successful capacity-building models in other programme areas and in this way demonstrate to donors and partners its ability to find solutions to problems of environmental management.

2. Effectiveness and efficiency of structure and management

160. UNEP’s experience has repeatedly demonstrated that management structures employed in development, implementation, and monitoring and evaluation have an important impact on the effectiveness and efficiency of programme and project delivery. UNEP’s implementation structures are anchored on collaboration, participation and on maximization of impact and retention of capacity. UNEP also endeavors to consider local experience and the availability of local experts in order to put in place appropriate structures. Where these conditions cannot be fulfilled, the quality of outputs is likely to suffer and project completion to be delayed beyond the set time-frame.

161. In this connection, a very innovative management structure that was a key factor in successfully implementing the Convention to Combat Desertification project should be mentioned here. This global survey project adopted a decentralized bottom-up approach complemented by electronic communication. The main aspects of the strategy were the following:

(a) A consortium composed of 16 member organizations acted as the steering group and was collectively responsible for the implementation of the project;

(b) UNEP, as leader of the consortium, commissioned and subcontracted subprojects, and coordinated projects were formed;

(c) Steering and working groups were formed to look after selected regional or thematic issues and functional activities with one of the consortium members serving as the lead agency. Members of steering and working groups were selected according to their respective expertise and experience or existing linkages with particular subregions;

(d) Monitoring and reporting systems were designed to deal with the global scope of the project and the huge number of participants involved (members of the consortium, lead agencies, steering group, working groups, local partners and respondents);

and day-to-day communication;

(f) Lead agencies of the various working groups and regions similarly followed up the progress of activities at their respective levels;

(g) All communication, including reporting, review, comments, survey responses, and analysis of data, was conducted through e-mail, fax and the Internet.

162. This decentralized bottom-up institutional arrangement, complemented by the electronic means of communication, resulted in the success of this project. Furthermore, the unity of purpose and synergy among all members of the consortium greatly contributed to the effectiveness of the institutional arrangement adopted.

163. The benefits of this arrangement were:

(a) It allowed for parallel and simultaneous activities to be carried out across continents, subregions and countries, enabling a large volume of information to be collected directly from the institutions concerned in a relatively short period of time and at reasonable cost;

(b) It instilled a sense of common ownership and commitment to the implementation of the project among participants: consortium members, working groups, and respondents to surveys;

(c) Communication through e-mail, fax and the Internet offered flexibility and efficiency in the distribution of the questionnaire, collection of responses, reporting, consultation among the participating organizations and decision-making on issues related to project implementation without the need to resort to costly and time-consuming meetings.

164. The evaluation therefore concludes that UNEP has gained valuable experience, both in formulating the concept of its support to the Convention to Combat Desertification and in making the institutional arrangement to implement it. These procedures will be further refined in succeeding phases of the umbrella project. UNEP should therefore document the strengths and weaknesses of this institutional arrangement for refinement and possible replication. UNEP should be proud of this success, learn from it and popularize it as an effective strategy.

165. In 30 per cent of projects evaluated, the level of effectiveness of the institutional arrangement that supported project implementation was reported as inadequate. Several causes for these shortcomings were identified, the majority of which had already been reported in the 1999 annual evaluation report:

(a) Project completion overran beyond the planned time-frame due to unforeseen bureaucratic procedures;

(b) Project management lacked policy guidance from project steering committees often chaired by busy Government officials;

(c) Government decision makers responsible for integrating project outputs into national development plans failed to revise reports on time;

(d) Relevant government organizations did not participate in the process of project formulation;

(e) It was difficult to agree at what point in the course of implementation a project should be monitored for possible remedial measures;

(f) It was not easy to acquire and process primary data from non-focal government organizations.

166. The underlying cause of the above problems revolves around poor project design. UNEP must acknowledge these weaknesses and devise ways of rectifying them. In future, seminars or workshops should be held at which relevant stakeholders and experts participate in formulating project proposals. At such

made in order to minimize the number of unforeseen problems that can cause delays and less than satisfactory outputs and results.

167. A detailed study of some projects provides insight into how a mismatch of mission and institutional arrangements can affect the performance and delivery of global and regional initiatives.

168. The key to improving the delivery of new global initiatives, such as the Global Programme of Action, is to identify a niche and a proactive role, an enabling institutional, funding mechanisms, and an implementation strategy.

C. Self-evaluation fact sheets

169. UNEP uses self-evaluation fact sheets as a tool to appraise the progress of ongoing project implementation. These reports, prepared by project managers themselves, provide valuable information on the extent to which results and outputs are realized, the utilization of funds vis-à-vis outputs, whether or not the project activities have taken place on time and within the budget, the causes of deviations from the budget, and finally, the degree of project completion efficiency.

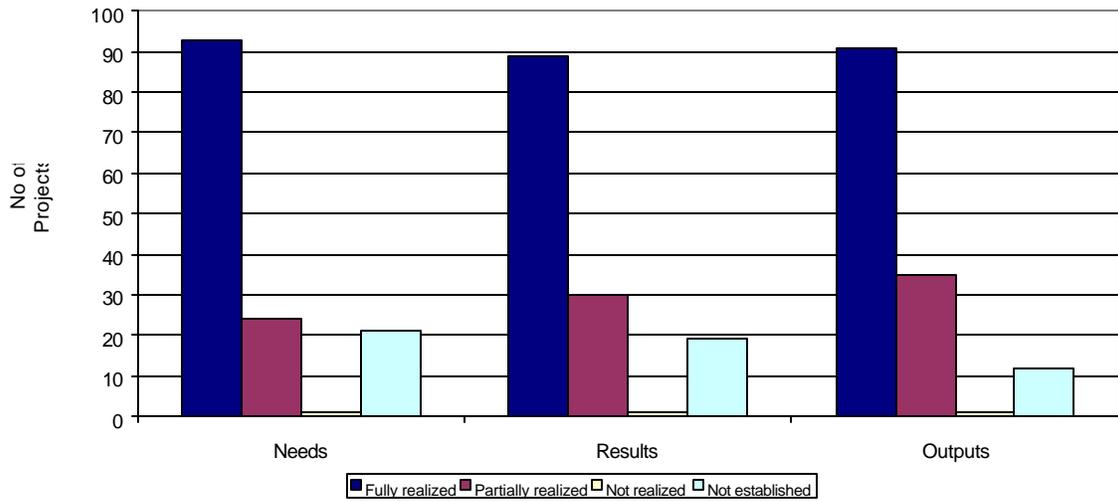
170. The evaluation presents an analysis of self-evaluation fact sheets based on these parameters to show the degree of effectiveness and efficiency of UNEP's ongoing projects for the reporting period.

1. Extent to which planned outputs and results have been achieved

171. This parameter seeks to determine whether or not projects have served the core objectives by achieving the expected results and outputs. An analysis of the information contained in the self-evaluation fact sheets reveals that about 65 per cent of projects fully met the needs identified and realized the results and outputs expected. Approximately 25 per cent of projects, on the other hand, partially met these targets (Figures IIIa and IIIb). These results constitute a significant achievement.

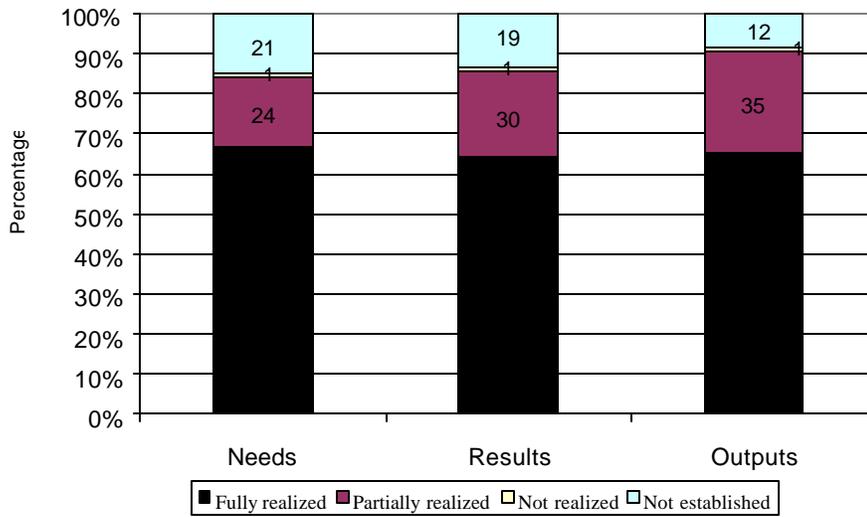
2. Utilization of funds vis-à-vis outputs

172. This criterion seeks to establish the relationship between funds utilized and outputs realized by the project at the time of preparing the self-evaluation fact sheet. As can be seen in Table 5, the level of performance is excellent. On the basis of the reports that were submitted, about 79 per cent of the respondents reported that they had used the funds budgeted to fully realize the expected outputs. This is a remarkable achievement.



Figures IIIa and IIIb

Extent of achievement



Comparison of expenditure to output

| | No. of projects | % |
|--|-----------------|------|
| Excellent (100% expenditure and 100% output completion) | 65 | 47% |
| Very good (100% expenditure and 80-99% output completion) | 14 | 10% |
| Good (100% expenditure and 50-79% output completion) | 3 | 2% |
| Poor (100% expenditure and less than 50% output completion) | 1 | 1% |
| Not established | 56 | 40% |
| Total | 139 | 100% |

3. Project execution within budget

173. Financial performance of projects is also related to the extent to which project activities are executed within the set budget. As shown in table 6 below, out of the projects completed, 36 per cent exceeded the initial budget and 16 per cent had a budget surplus on the completion date.

Table 6
Financial utilization

| | No. of projects N=116 | Percentage |
|--|--------------------------|------------|
| Projects completed within budget | 52 | 45% |
| Projects showing budget overrun | 42 | 36% |
| Projects completed with less than funds budgeted | 18 | 16% |
| Not established | 4 | 3% |

174. Compared to the 1999 findings, while the number of projects which were completed within their allocated budgets improved by 2 per cent, those that varied increased by 7 per cent. The issue of projects exceeding their budget allocations is of concern to external auditors, and the management needs to tighten its budget control mechanism. Any excess expenditure should be approved by management, reflected in revisions and adequately explained in self-evaluation fact sheets.

175. As shown in table 7, the extent of deviation from allocated budgets is also of concern. 43 per cent of projects deviated by over 51 per cent, 24 per cent by between 21 and 50 per cent and 13 per cent by between 11 and 20 per cent. Such large budget deviations have an implication on both the project design process and the effectiveness of budget control mechanisms.

Extent of deviation from budget

| Range of deviation | No. of projects with budget overrun N = 42 | No. of projects completed with less than planned budget N= 18 |
|--------------------|---|--|
| Less than 10% | 6 (14%) | 6 (33%) |
| 11-20% | 6 (14%) | 2 (11%) |
| 21-50% | 8 (19%) | 6 (33%) |
| Over 51% | 22 (52%) | 4 (%) |

176. Some of the most common reasons why budgets deviated are listed in Table 8. 82.8 per cent of the reasons identified in the current annual report and 44 per cent in 1999 can be attributed to poor project design. The design process, therefore, leaves much to be desired and this shortcoming has been highlighted in evaluations ever since 1995. The senior management team should be committed to rectifying this weakness, and ensuring that the project design skills of programme officers are strengthened.

Table 8

Reasons for budget variance

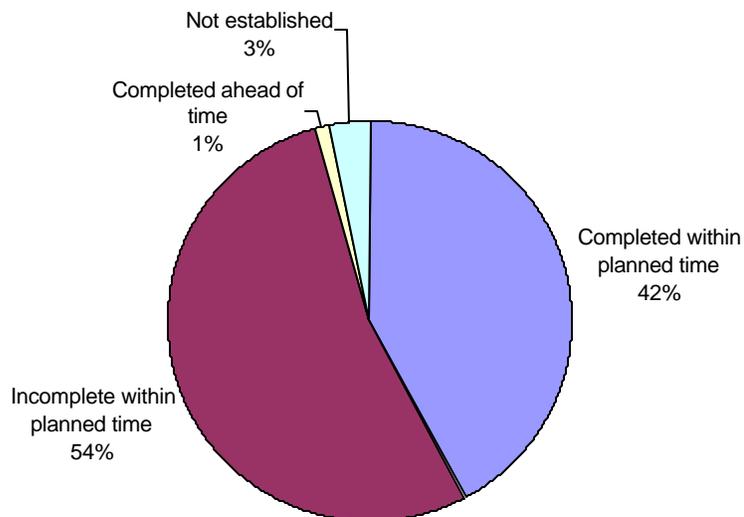
| | No. of projects N=116 | Percentage |
|--|--------------------------|------------|
| Additional activities/revisions/project extensions | 23 | 20% |
| Required funds overestimated | 10 | 9% |
| Required funds underestimated | 10 | 9% |
| Additional contributions from other partners/increase in their share of contribution | 5 | 4% |
| Decrease in budget allocation/failure to meet commitments | 4 | 3% |
| Activities cancelled/interrupted/postponed | 2 | 2% |

4. Project completion efficiency

177. For the current reporting period, the self-evaluation fact sheets reported that 43 per cent of projects were completed within the planned time compared with 32.9 per cent in 1999, which represented a significant improvement of 33 per cent (Figure V).

178. It should also be noted that for the current period, 54 per cent of the projects were not completed within the planned time-frame, compared to the 63.2 per cent reported in the 1999 annual evaluation. The current statistics represent a minor improvement but further progress should still be made in this area.

Project completion efficiency



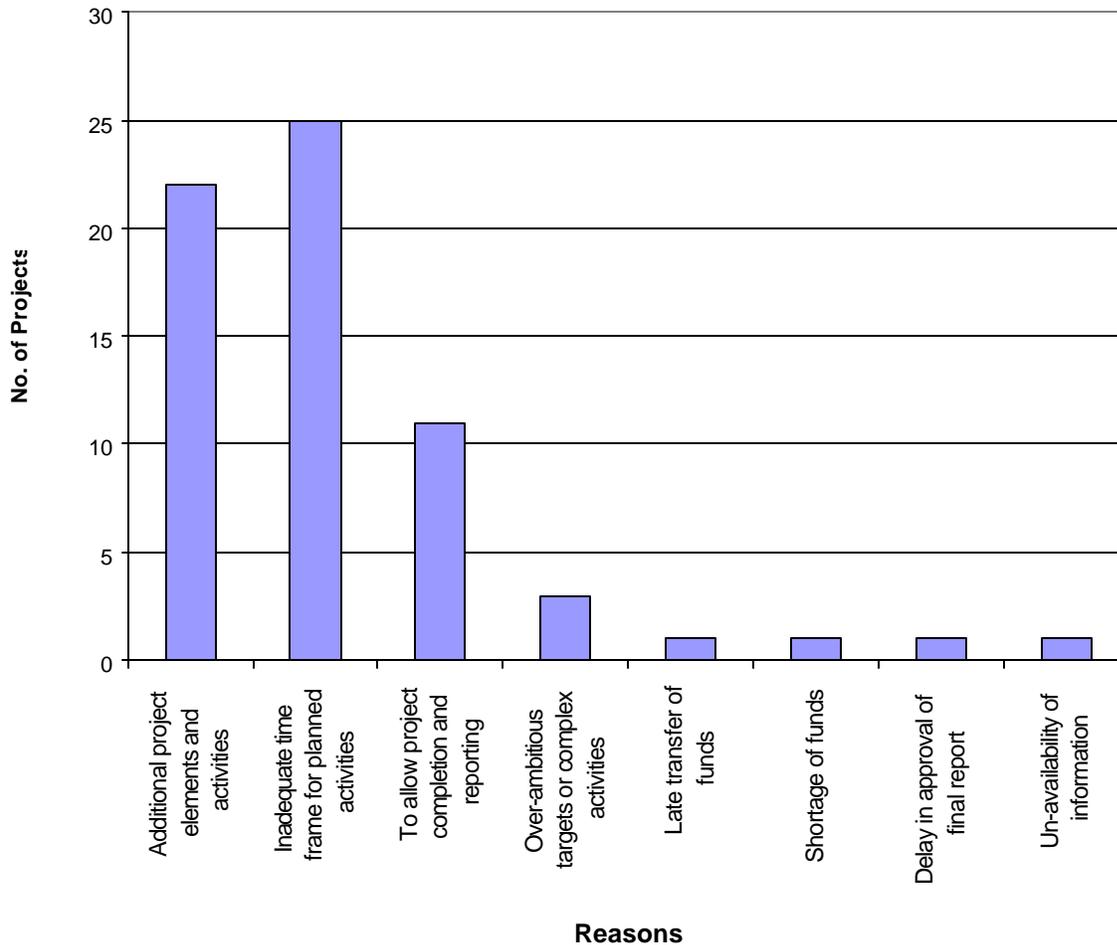
179. The most frequently recurring reasons cited for such variances are shown in Figure VI. The first three reasons (representing about 62 per cent) were: additional project elements and activities, inadequate time-frame for activities planned, and extensions to allow for project completion and reporting, which are all attributable to design weaknesses while the rest are related to coordination and planning. UNEP has experience in all these areas and it should be possible to accurately estimate the length of time a project requires to be completed. This knowledge must be factored into the design process to make project timetables more realistic.

180. Based on the above analysis, it is evident that UNEP projects have achieved a significant level of performance in terms of addressing identified environmental problems and achieving results and outputs. Nevertheless, serious recurring constraints also exist that impact on the quality of outputs, completion time, and optimal utilization of funds. Successive evaluation reports have repeatedly identified weakness in the design process as the main cause and the current evaluation report again underlines the need for UNEP senior management to take concrete action to improve this situation.

181. The management must utilize the above information in decision-making. The Project Approval Group and the Technical Review Committees must consider these issues and factor them into the project review and approval processes. Project managers should ensure that project schedules and time-frames are realistic. The Project Approval Group creates extra work for itself and makes uneconomical use of its time by approving projects with unrealistic schedules and time-frames, only for those projects to come back to it after a few months for project revisions.

Figure VI

Reasons for delay in project completion



VI. DEVELOPMENT OF ENVIRONMENTAL KNOWLEDGE PRODUCTS

182. The main pillar of UNEP's catalytic role is its effective intellectual leadership in the area of the environment. UNEP works to advance knowledge and understanding of environmental issues through supporting research activities and environmental assessment. Indeed, UNEP's role as the "environmental authority" is realized by the effectiveness and the quality of the intellectual leadership it provides in galvanizing environmental action to address global, regional and national environmental challenges through the development of appropriate environmental policy instruments. UNEP's knowledge products serve to build global and regional policy consensus and to mobilize environmental action.

183. The UNEP knowledge products can be broadly categorized into, on the one hand, scientific assessments of natural and man-induced phenomena impacting on the status of the environment; and on the other, the translation of such understanding and knowledge into environmental action and policy implementation. While the first category addresses the "what," the second category deals with the "how" of environmental management. The first category may lead to the elaboration of emerging issues on the basis

this respect, the UNEP knowledge products serve as early warning mechanisms on the environment. The second category of knowledge products deals with developing and refining policies and methods that implement environmental actions to respond to existing and emerging environmental problems at the global, regional and national levels.

184. The development of methodologies, technical guidelines and policy instruments is, therefore, one of UNEP's major tools that renders its catalytic role effective in realizing concrete environmental actions at the national, regional and global levels. UNEP develops such policy instruments in cooperation with relevant partners, including national and regional institutions, non-governmental organizations, the private sector, Governments, international financial and development institutions, and international environmental organizations. Joint development and application of these policy instruments ensure consensus in the policy development process, relevance of policies and sustainability of environmental action.

185. In line with the above broad UNEP scheme and strategy, subprogramme and in-depth project evaluations have reported on support activities aimed at developing new and refined knowledge products of the second category. In this regard, the divisional programme of DTIE and three projects have achieved significant results in developing, testing and replicating methodologies, guidelines and policy implementation frameworks. The three projects are:

- (a) The Strategic Action Programme for the Binational Basin of the Bermijo River;
- (b) A Participatory Approach to Managing the Environment: An Input to the Inter-American Strategy for Participation;
- (c) The Environmental and Socio-economic Impacts of Large Dams - a joint UNEP/WCD initiative.

186. DTIE's success in developing effective methodologies, guidelines, frameworks and policy instruments stands out. The following are some of the most successful environmental action tools that have been developed, applied, tested and refined:

- (a) Industrial estate framework: This incorporates technical guidelines for the implementation of cleaner production practices in order to reduce pollution and industrial risks given the concentration of industries;
- (b) Technical guidelines for the iron and steel industry sector: The guidelines include energy auditing for industrial facilities in order to support industries in sustainable resource management;
- (c) Voluntary initiatives: DTIE has played an active role in cooperation with governments and industries in the inception and promotion of legislation and industrial and tourism codes of conduct;
- (d) International Declaration on Cleaner Production: A mechanism which comprises provisions committing signatories to voluntarily commit themselves to good practices in cleaner and safer industrial production. Conscious and voluntary commitment to good environmental practices enhances effectiveness of environmental action. (182 entities, active environmental partners, have committed themselves to comply with the goals of the declaration);
- (e) Photovoltaic market transformation: DTIE, in cooperation with the World Bank and GEF, has taken a lead in establishing renewable energy electricity generating technologies and cost effective technologies;
- (f) Environmental Impact Assessment Material: UNEP organized a working group of experts to develop this manual, through a process involving stakeholders. The manual is currently being used to integrate environmental impact considerations into development planning. Several institutions base their activities on UNEP's work on impact assessment;
- (g) Studies on environmental impacts of trade liberalization: A synthesis report which takes stock of the situation characterizing trade, economics and environment in the countries concerned and also

being applied in similar studies in other countries;

(h) Valuation: DTIE has developed a series of environmental valuation tools, including: Current practices on valuation, a compendium of case studies on environmental valuation, economic values and the environment in developing countries, and economic instruments for environmental management. All these tools have been published, disseminated and are currently being used by academicians and policy makers;

(i) WTO-UNEP framework of Agreement: A document on trade, environment and development negotiated between WTO and UNEP. This global policy instrument seeks to advance sustainable development by addressing the role of trade;

(j) Integrated assessment of trade: The development of this assessment is at an advanced stage. The methodology aims to support sustainable development as related to trade. It is being developed through the now accepted and effective process that provides active partnership (and ownership) through expert working groups, consultation and contributions from relevant country experts;

(k) Developing an effective capacity to facilitate the development of legally binding environmental instruments: Based on the Rotterdam convention and the Convention on Persistent Organic Pollutants, DTIE has developed a replicable process in the conceptualization and facilitation of global environmental consensus and action;

(l) Chemicals management guidelines: DTIE has developed and disseminated several guidelines for identifying and managing PCBs, dioxin and furan.

187. As illustrated above, DTIE has developed, jointly with industry, Governments and other relevant stakeholders; tools and instruments, practices, guidelines, and codes of conduct as a means of translating knowledge into environmental action. Judging by the extent of their application and popularity, the evaluation has established that DTIE has succeeded, through its knowledge products, in influencing both Governments and the private sector to commit themselves to decisions and actions likely to improve human safety and protect the environment.

188. UNEP is clearly providing leadership in the production of intellectual instruments and tools to influence policies and galvanize action at the national, regional and global levels. In this way, it has an impact on environmental management. UNEP must take cognizance of its leadership in this area and replicate successful approaches in other programme areas. It must demonstrate to its donors, partners and collaborators that it is successfully developing tools and instruments that positively address environmental management rather than hiding behind a mask of false modesty.

189. Many of the tools and instruments referred to are still new and it is difficult to determine the degree to which they can be widely applied. Consequently, they need to be replicated, refined and tested under various circumstances and in various regional and national contexts.

190. Furthermore, it should be stressed that the degree of applicability and effectiveness of the methodologies, guidelines, codes of conducts, and economic and other instruments developed should be diligently monitored, assessed and refined in the light of lessons learned from their implementation and application. Just as much as this area of UNEP's activities is critical in the realization of concrete environmental benefits, consolidating UNEP's knowledge processing mechanisms is also indispensable. Such mechanisms should provide for distilling and disseminating lessons learned about the application of the tools and instruments in a more systematic manner.

191. As part of their response to the Agenda 21 provisions on sustainable development, GEF and OAS joined forces to proactively develop a Strategic Action Programme (SAP) for the Bermijo Binational Basin for follow-up action. According to the programme of action, a major output of the project was to be produced through a Transboundary Diagnostic Analysis (TDA), that is to say, a multidisciplinary, multisectoral, and participatory integrated approach.

purpose use of the basin resources. The development process and methodology of SAP for the Bermijo Basin provided a holistic assessment of the situation, including the identification of conflicts and priorities, as well as a useful framework for organizing relevant policy-focused research and public participation within the basin.

193. The evaluation has concluded that the process of developing SAP had the following benefits, which will contribute to the effective implementation of SAP itself:

(a) The project helped promote confidence-building measures between Argentina and Bolivia, resulting in shared perspectives and compatible information formats.

(b) The participatory approach used in the project conception and implementation brought together various stakeholders in Bolivia and Argentina, from federal Government organizations, provincial and Government departments, universities and academic institutions, non-governmental organizations of diverse origins and interests, and international organizations.

(c) The holding of workshops has promoted participation and created publicity, as well as serving as a means of simultaneously testing strategies and proposals. The workshops have also revealed possible objections to proposed projects and decisions and generated ample feedback relating to the needs, viewpoints, knowledge, ideals and fears of the basin communities. This feedback helped TDA and SAP to improve their perspectives and to refine their tasks and goals. In many cases, initial orientations and conceptions on many issues were modified through public participation and the pilot demonstration projects.

(d) The process went a long way towards integrating environmental issues into prevailing economic development models, even the widely differing models used in Argentina and Bolivia. Recognizing that economic development in both countries will translate into higher water demand and greater pressure on the basin's environment, SAP has incorporated mechanisms and strategies for integrating environmental issues into the complex socio-economic environment of the basin.

(e) The riparian governments agreed to review the feasibility of previous water projects in terms of their benefits and impacts to both countries, in the light of new knowledge and understanding gained in the process of developing SAP.

194. The SAP product has developed a framework for integrated river basin water resources management schemes, both within countries and in transboundary basins. In this way, the project has directly contributed towards the "water vision" adopted in March 2000 by the international community in the Hague, that called for appropriate political consultative processes in order to realize integrated water management.

195. The main features of the participatory approach adopted by the project in developing SAP can be replicated in other basins if local conditions are taken into account. The SAP framework will also be tested and further refined so as to make it even more appropriate.

196. It is therefore essential that the process, approach, and future implementation of the SAP framework be meticulously documented and carefully monitored to add to the existing knowledge on basin-wide sustainable development strategies. This information will be the foundation on which a knowledge base in this area can be built.

197. Another methodology UNEP jointly developed and implemented with OAS was "A Participatory Approach to Managing the Environment: An Input to the Inter-American Strategy for Participation (ISP)". The overall goal of ISP is to promote transparent, effective, and responsible public participation in decision-making and in the formulation and execution of policies related to sustainable development in the Americas. The project was designed to further refine and consolidate the institutional approach of meaningful stakeholder participation in environmental decision-making related to biodiversity and international waters at the local, national and regional levels in the Americas. The underlying premise of the ISP approach is that an inclusive decision-making process is the key to long-term and stable solutions to sustainable development.

complementary components and activities, including:

(a) **Public Demonstration Sites:** These sites are integrated development projects situated in various countries. They provide direct experience about participation in various socio-economic and ecological contexts; information about the mechanics of participation under various conditions; and valuable data for comparing the effectiveness of different strategies for garnering citizen participation in environmental and sustainable development decision-making. The demonstration sites proved that treating sustainable development as a participatory process, in which protecting natural resources is only one component of a larger package of socio-economic activities necessary for long-term quality of life, provides a more powerful model than the conservation-focused methodology;

(b) **Legal Component:** The aim of this component was to establish a baseline summary and assessment of existing environment-related legal and institutional frameworks that affect citizen participation. Such a baseline is critical for setting national and regional goals and for measuring progress towards those goals. The findings have been included in the policy and action parts of the refined ISP frameworks. The component activities have also triggered national and regional dialogue on the legal status of citizen participation in the planning of sustainable development;

(c) **Capacity-building:** The project organized regional technical seminars on participatory methods for the management of biodiversity and coastal and water resources in transboundary watersheds. Concentrating on participation and case studies, the training programme has increased the knowledge and capacity of beneficiaries. The appraisal of these capacity-building activities has been incorporated in the final ISP framework;

(d) **Review and analysis of various consultative forum models:** The review concluded that some existing models have the potential of providing opportunities for genuine citizen participation in the environmental and development policy formulation process. However, it was established that the principal impediments are the ambiguity of legislation supporting existing participation forums. The review concluded that the success of the process as well as the level of civic participation is dependent on : strengthened legal framework; developing institutional capacity; and lobbying the legislature to recognize the forums as legitimate bodies for formulating and influencing national policy on sustainable development. The review forum, which also included legal analysis, resulted in a series of lessons learned and recommendations, which have been summarized in the ISP framework document. The resulting guidelines and recommendations provide practical tools for developing effective forums at the local and national level. The outcomes of the review, as documented in the ISP framework, are intended to be replicated through the follow-up implementation and further refined in light of experience.

199. The recommendations and guidelines on developing effective consultative forums should be further developed into a hands-on, participatory training programme targeting appropriate leaders at the local and national levels.

200. The ISP framework document is based on actual experience and case studies from OAS member countries and the work to produce it lasted two years. The outcomes and recommendations should be widely applicable in the hemisphere since they were developed through a participatory process generated by the very stakeholders they are intended to benefit, not by an external panel of experts.

201. The refined ISP framework represents, therefore, an important step toward encouraging OAS member countries to use responsible and effective public participation in environmental and sustainable development decision-making. Additional elements in the framework will be further refined based on regular monitoring and evaluation.

202. UNEP's support to the refinement of the ISP framework enhances environmental knowledge and effectiveness of policy implementation in the area of sustainable development through inclusive stakeholder participation.

guidelines and policies on the construction, operation and decommissioning of large dams. The activities carried out by UNEP in support of this project, form an integral part of the published framework on the management and operation of large dams.

204. The policies and guidelines that make up the document contribute to fulfilling UNEP's mandate with respect to promoting the sustainable utilization of the world's freshwaters, as set forth in chapter 18 of Agenda 21. The project has also provided UNEP with the opportunity to create a framework that extends and refines UNEP's Environmentally Sound Management of Inland Waters process initially developed to promote the integrated environmental management of river basins.

205. UNEP's participation was critical to the success of this project in terms of: providing a substantial portion of the project cost, bringing to the project a proven track record in environmental policy development, and enabling the project to access instruments and knowledge. The linkages forged and data acquired by the project through DEPI facilitated the completion of the project and greatly enhanced the quality of its outputs.

206. In spite of UNEP's critical role in making this project a success, the evaluation has noted that UNEP has not gained the visible public recognition it deserves.

207. It remains for UNEP to not only promote awareness concerning the policies and guidelines of this project, but also to take a proactive role in their implementation and operationalization. The convening of inter-agency seminars and the Third Water Forum would provide opportunities for sharing and promoting the programmes of action included in the policies and guidelines contained in the final project output - "Dams and development: a new framework for decision-making".

208. UNEP has developed a new and refined series of methodologies, frameworks, and policy guidelines, in collaboration with its partners, that support policy development, institutional capacity-building, and awareness-raising in the interests of a better managed environment. The development of such instruments reflects UNEP's invaluable role as the United Nations authority on environmental issues. This achievement further confirms that UNEP is providing intellectual leadership in mobilizing the international community for environmental action by advancing environmental knowledge and developing appropriate policy instruments.

209. In order for UNEP to maintain and consolidate its intellectual leadership in the development of environmental knowledge products and policy implementation tools, it should consider:

(a) Extending the application of its knowledge products as widely as possible, both thematically and geographically;

(b) Developing systematic monitoring and feedback mechanisms to assess the performance and effectiveness of these knowledge products in the light of experience gained through implementation;

(c) Giving a higher profile to its environmental knowledge production activities and products. These products should be publicized through the Internet and in other ways to ensure that their wider utilization contributes to a better managed global environment;

(d) Proving its intellectual leadership to donors and partners by providing the international community with environmental knowledge through appropriate tools, guidelines and policy instruments.

VII. IMPACT

210. UNEP's strategic objective is for its programmes and activities to make an impact on the environment. However, the precise determination of the criterion of impact as compared with the criteria of appropriateness and relevance and of effectiveness and efficiency poses difficulties for the following reasons:

cycle, as impact is inherently a long-term result;

(b) UNEP's interventions are not always preceded by the collection of baseline data on the environmental problems being targeted and in these circumstances, it is difficult to measure the precise impact of the intervention;

(c) UNEP is not alone in endeavoring to solve environmental problems; hence it is not easy to establish the specific impacts of its activities on the environment.

211. For the above reasons, it is difficult to measure the impact in the short-term of UNEP's programmes and projects on the environment.

212. In the absence of verifiable impact indicators, secondary parameters nevertheless exist that provide fairly firm evidence that UNEP's interventions will eventually create a positive impact on the environment. These parameters relate to the impact of UNEP's activities on Governments, regional organizations, United Nations partners, industry, local authorities, non-governmental organizations, and communities by influencing them to develop more appropriate policies, take actions and measures, adopt tools and instruments, and develop and implement national and regional action plans that improve the quality of the environment. In addition, by promoting knowledge about the environment and implementing appropriate approaches and methodologies, UNEP is having an impact on environmental policies and action and, in the long-term, on the quality of the environment.

213. The UNEP subprogrammes and projects evaluated in this report have initiated processes and realized significant results and outputs that have improved environmental knowledge as well as empowering environmental actors with appropriate capacities and policies. These achievements have galvanized Governments, international development institutions, non-governmental organizations, partners and communities into carrying out actions favourable to the environment. It therefore seems evident that UNEP projects have indeed positively impacted on the environment.

A. Subprogramme and divisional evaluation

1. Development of guidelines, tools, instruments, policies and codes of practice

214. UNEP has developed a large number of tools, ranging from safety guidelines for identifying and managing polychlorinated biphenyls (PCBs) to environmental valuation tools, for use by Governments, non-governmental organizations, partners, and communities in executing their respective roles to address environmental problems.

215. DTIE's innovative voluntary initiatives, developed in partnership with private industry, non-governmental organizations and Governmental organizations include the International Declaration on Cleaner Production, eco-labeling in the tourist industry, and industrial and tourism codes of conduct. These policy instruments serve to influence policies and encourage actions that promote human safety and protect the environment. The voluntary nature of those initiatives shows that UNEP has succeeded in persuading both Governments and the private sector to commit themselves to make policies and to take decisions aimed at improving human safety and protecting the environment.

216. The impact, however, of all the instruments, tools, guidelines, methodologies and approaches (both new and existing) cannot be easily measured. The challenge for UNEP is, therefore, to:

- (a) Continue extending the application of such tools, both geographically and thematically;
- (b) Formalize feedback mechanisms of lessons learned from applying the tools so as to refine them;
- (c) Disseminate information about the tools to enable them to be more widely applied;
- (d) Establish baselines and bench marks to enable future measurement to be done.

217. Distilling and consolidating information and knowledge on a continuous basis would provide a further opportunity for UNEP and its partners to put forward practical solutions for specific environmental problems as well as to explain the impact of those solutions on the environment. Given the usefulness of the tools UNEP has developed, often in cooperation with its partners, there is need for a systematic follow-up to see how the tools are performing. Such a follow-up would consist of documenting experiences about what works well and what does not with a view to learning from these experiences and also demonstrating that UNEP is coming up with solutions about how to manage the environment.

2. Policy support activities and outputs - conventions, regional arrangements and national legislation

218. The subprogramme and division evaluated have made important contributions in influencing Governments, industry, non-governmental organizations, and communities to adopt appropriate policies that promote action for a better managed environment at the national, regional and global levels.

219. The adoption of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the successful completion of the intergovernmental negotiations on persistent organic pollutants commit Governments to collectively work to protect the world's population and environment from toxic pesticides, chemicals, and pollutants. These binding instruments have become the basis for national policies aimed at managing chemicals.

220. UNEP's support has resulted in enhancing the knowledge and negotiation skills of participants from developing countries regarding the issue of chemicals. Moreover, there is evidence that some of these countries have developed the capacity to take measures to protect their peoples and the environment from toxic chemicals. Thailand, for example, has carried out monitoring and has developed an inventory of dioxin/furan releases. Gambia, Nepal and a number of other developing countries have compiled inventories of equipment containing PCBs while inventories detailing stockpiles of obsolete pesticides are complete in over 50 countries in Africa, West Asia, Latin America, and the Caribbean. Finally, a number of countries with economies in transition have begun compiling inventories of chemical emissions. The foregoing measures are all important steps in formulating and implementing sound chemicals management policies to protect human health and the environment.

221. UNEP has also facilitated investment in renewable energy efficiency programmes in 13 African countries following the priorities identified by the nineteenth session of the Governing Council. Similar programmes were also implemented in 17 countries in Asia, Latin America, Central and Eastern Europe, and the Small Island Developing States. Through these programmes, UNEP has influenced Governments and pertinent international and regional financial and development institutions to incorporate environmental considerations in their development policies in order to contribute to a better managed environment and to sustainable development.

222. The impact of UNEP's support can also be assessed in terms of improvements made in national legislation, in strengthening enforcement mechanisms and in helping promote wider participation in international conventions. In this respect, UNEP's successful activities in support of Chapter 8 of Agenda 21 that called for integrating environment and development into decision-making can be cited. The Environmental Law Programme for Asia and the Pacific has assisted Governments to implement international legal instruments and to develop regional environmental arrangements. Under the UNEP Montevideo Programme for the Development and Periodic Review of Environmental Law, I, II, and III, UNEP has assisted Governments in Asia and the Pacific to achieve a wide degree of compliance with multilateral environmental agreements. The support given by UNEP and the partner countries has included identifying the underlying causes of non-compliance and providing assistance in establishing and strengthening domestic laws and capacity-building in drafting laws and formulating enforcement mechanisms so as to improve compliance with international environmental obligations. One prominent achievement was the support UNEP gave to 10 countries of Asia and the Pacific in developing national environmental legislation. Another was the assistance UNEP gave to the Myanmar Government to help establish the Ministry of Environment and to formulate national environmental laws. At the regional level, UNEP has helped ASEAN to formulate its Haze Pollution Agreement.

environmental arrangements and conventions is the effectiveness with which they are implemented nationally. The answer to this question will also determine the extent to which the implementation of legislation is devolved to regional and local administrations. Moreover, the impact of environmental conventions can be determined according to whether or not implementation; compliance, monitoring and enforcement mechanisms; and enabling institutional structures are supported with appropriate human and institutional capacities and an enabling environment. A need therefore exists for continued support of capacity-building, particularly in developing countries, if environmental conventions are to translate into practical policies and actions that impact on the environment. There is nevertheless a good chance that the environmental laws drafted up to now by governments with UNEP's support will be effective and that they will lead to environmental improvements since they were developed in response to the needs and priorities identified by Governments and other stakeholders.

3. Capacity-building

224. The subprogramme and division evaluated have undertaken extensive capacity-building activities at both regional and national levels geared towards empowering Governments, communities, non-governmental organizations and other stakeholders with the capacity to develop appropriate policies and to act, demand and advocate in favour of environment-friendly policies.

225. These activities have improved capacities as well as the understanding of various environmental issues and, in many cases, they have triggered action, particularly in the drafting of legislation and creating of structures for the better management of the environment.

226. Some areas identified by the evaluation, however, need further improvement and emphasis in order to ensure sustained efforts to address environmental problems at the national and regional levels. UNEP should strengthen its approach in capacity-building in the following ways:

(a) Whenever possible, the "training of trainers" approach should be used, in order to reduce UNEP's workload in the short-term and to create a "ripple effect" in the long-term. After some time, local institutions will be in a position to take over the capacity-building activities currently being done by UNEP and thus free UNEP to concentrate on environmental activities.

(b) Given the invaluable experience UNEP has gained through NETLAP's capacity-development framework on environmental management through local and regional institutions in Asia and the Pacific, it should use the lessons learned there to further develop this approach through replicating and refining it in other regions of the world.

(c) UNEP should explore innovative capacity-building initiatives that go beyond the boundaries of specific project requirements. The UNEP/UNIDO joint initiative on Cleaner Production Centres, the UNEP/FAO initiative on the management of chemicals and pesticides, and the UNEP/GEF enabling activities on the implementation of the Convention on Climate Change are good examples.

227. The current annual evaluation report repeats the recommendations made in the 1999 Annual Evaluation Report that UNEP should develop good practices in capacity-building based on the positive and negative lessons learned from the capacity-building activities carried out over the years. UNEP needs to process and consolidate the vast knowledge it has gained through implementing its programmes and projects with the view to maximizing its impact on the environment through improved capacity-building approaches and strategies. It must distill this knowledge and translate it into intellectual products, to be disseminated to the international community and used to address environmental management issues.

B. In-depth project evaluations

228. In carrying out in-depth project evaluations, it is not easy to assess the impact of particular project outputs and results on the environment. In addition to the problem of determining impact in the course of project implementation, most of the projects evaluated do not incorporate monitoring and evaluation systems or follow-up activities. This shortcoming was also reported in the 1999 Annual Evaluation Report.

impact on Governments, global environmental policy consensus, and global and regional environmental knowledge.

1. Impact on targeted policies of beneficiary Governments

230. About 70 per cent of the projects evaluated are involved in assisting Governments to develop their capacities in environmental management and in implementing provisions of specific conventions. These activities, which include capacity-building, have enabled Governments to enhance their understanding of the dynamics of environmental issues and sustainable development and to develop and adopt appropriate integrated development policies.

231. The project carried out by Thailand's inter-university network, THAITREM, has laid the institutional foundation for Thailand's human resource development in environmental management by strengthening the capacity of 48 universities to provide education, training and research services in the field of environmental management. UNEP's capacity-building project addressed a range of urban environmental issues and refined management tools. The evaluation concluded that this project has empowered Thailand with the necessary capacity to support and implement sustainable development policies. The same is true of the Malaysian Training and Research on Environmental Management programme, which has produced similar products and impacts.

232. The UNEP projects that support enabling activities for the implementation of the Convention on Climate Change have assisted the Governments of Cameroon, Lesotho, Tanzania and Zambia to prepare their initial national communications as required by the Convention. The project implementation approach, featuring learning-by-doing, using local consultants and involving a wide range of stakeholders, has enhanced overall awareness on climate change issues and improved the capacity of Government officials to integrate climate change considerations into national development plans through the preparation of national plans of action, the major product of the enabling activities.

233. It is, however, recommended that UNEP should in future conduct follow-up activities in order to measure and assess the actual impact of the above projects on the environment.

2. Impact of the United Nations Environment Programme projects on global environmental policy consensus

234. Consistent with its global and regional mandate, UNEP has made a considerable impact on enhancing global understanding of environmental issues and on encouraging appropriate responses through its catalysis, support and facilitation in the conceptualization, negotiation and implementation of environmental conventions. Environmental conventions have now become standard global policy frameworks on the basis of which national, regional and global environmental funding mechanisms are established and actions taken. UNEP's support to environmental conventions has, therefore, positively impacted on the management of the regional and global environment.

235. In this regard, the evaluation has established that UNEP's contribution has been critical to the existence and functioning of the Nairobi Convention. UNEP continues to support the organization of intergovernmental and Conference of the Parties meetings, by providing staff and facilities as well as guidance and technical advice in the review and revitalization of convention activities. UNEP's support has been of great value, particularly because of the inadequate capabilities, including financial contributions, of participating countries (Contracting Parties) to implement the convention.

236. Similarly, UNEP provides significant support to the improvement of capacity and understanding of biodiversity issues, at the regional and global levels, through an independent international debate mechanism, GBF. This forum brings together stakeholder groups with diverse interests and views from all over the world. The forum has clearly benefited the Convention on Biological Diversity by facilitating cooperation and partnership through debate and development of networks and by bringing related environmental issues, for example, wetlands and climate change, to the attention of the Conference of the Parties. Indeed, GBF is increasingly being recognized by Governments as a very useful mechanism to

contribution could be further improved if its participation is broadened and the mechanism linking it to the intergovernmental process strengthened.

237. Following the successful role it played in the negotiation of the Convention to Combat Desertification, UNEP has embarked on the important process of implementing the Convention provisions. It has undertaken a preliminary global survey to establish a global network linking research institutions, advocacy organizations, and communities willing and able to contribute to the implementation of the Convention to Combat Desertification. Through this activity, UNEP, in cooperation with the Convention secretariat, intends to pool knowledge and expertise, strengthen partnerships and cooperation, and develop regional and global plans of action to mitigate drought and desertification.

238. The foregoing activities indicate that UNEP is making a definite impact on the development of global environmental policy consensus and action. Environmental conventions, once fully ratified, are legally binding commitments among signatories. Being concluded through a long process of voluntary participation and negotiation, they are expressions of the highest level of environmental policy consensus and offer an assurance for appropriate environmental action. At the same time, UNEP and the convention signatories need to give greater attention to building capacity in developing countries and countries with economies in transition, in order to help develop environmental legislation as well as compliance and enforcement mechanisms. UNEP and its partners should also strengthen monitoring systems and mechanisms to assess the impact of conventions on the global environment.

3. Impact on environmental knowledge

239. In line with its mandate, UNEP has provided intellectual leadership to the international community in building and refining knowledge on diverse environmental issues. UNEP continues to contribute to developing scientific and empirical knowledge and information on the state of specific and integrated environmental situations, both regional and global; appropriate policy responses and instruments; and policy implementation methodologies, such as national and regional environmental plans of action, guidelines, approaches and institutional frameworks. The growing use of UNEP's knowledge products by Governments and regional organizations, multilateral financial and development institutions, donor countries, and United Nations organizations provides clear evidence that UNEP is indeed improving understanding and knowledge about the management of the global environment. The environmental policies adopted and actions being taken by diverse environmental actors on the basis of UNEP's environmental knowledge products will, therefore, impact on the realization of a better managed environment.

240. UNEP has made a significant contribution to the development of environmental knowledge products. It supported SAP for the Bermijo Binational Basin by employing TDA that is multidisciplinary, multisectoral, and participatory. Both the development process and the product (SAP) have increased knowledge and provided a functioning approach for managing the basin acceptable to the two countries. These UNEP knowledge products - TDA and SAP - have complemented the "water vision" adopted by the international community in the Hague that called for the use of an appropriate political consultative process and a scientific interdisciplinary approach to realize integrated water management. The knowledge acquired can be replicated in other basins for wider environmental impact.

241. UNEP has also contributed to the advancement of knowledge on the desirability and institutionalization of stakeholder participation in environmental management and sustainable development planning, as part of ISP. The methodology itself focused on participatory methods for the management of biodiversity and coastal and water resources in transboundary watersheds, a complex ecosystem with interacting and conflicting uses shared by two sovereign states. Once again, this project made significant contributions in advancing knowledge and understanding about integrated coastal and water resource management and in refining the participatory approach, ISP.

242. The OAS permanent executive committee of the Inter-American Council for Integrated Development has, in fact, already adopted the ISP framework as a strategy in the institutionalization of citizen participation in integrated development planning. This UNEP project has, therefore, made a positive impact on the advancement of knowledge and regional policy consensus in the field of integrated sustainable development in transboundary river basins.

for Decision-making," developed along with WCD, provides a framework within which construction and subsequent operation of large dams can take place with reduced or minimal impact on both people and the environment. The guidelines seek to balance the needs of communities with the need to maintain the structure, function and ecological integrity of the global ecosystem. The new framework has created a novel mechanism that ensures participation by a wide range of stakeholders with the objective of finding a common ground in the debate surrounding dams. The document was published in the year 2000 and was received by the world community with acclaim.

244. In view of the increasing concern over the impact of dams on sustainable development, this framework contributes to the existing knowledge on relevant issues. By using this framework, Governments and development finance institutions will be able to develop appropriate policies and legislation in their respective decision-making processes that could positively impact on sustainable development.

245. It is therefore evident that UNEP has made important contributions to advancing knowledge on environmental issues. It should continue to promote awareness through its guidelines, processes, approaches, and frameworks as well as take an active and proactive role in their internalization and operationalization at regional and global levels. UNEP should also continue refining its knowledge products by applying them widely, carrying out systematic follow-up, and incorporating lessons learned. Above all, UNEP must demonstrate that it is providing intellectual leadership by producing appropriate tools, guidelines and policy instruments. The documentation of UNEP's experiences and the production of quality knowledge products will demonstrate to donors and partners alike that UNEP is the lead agency in the area of the environment.

C. Self-evaluation fact sheets

246. The self-evaluation fact sheets analysed during the current evaluation reveal that UNEP projects have made an impact on enhancing linkages with other United Nations organizations, non-governmental organizations, and communities; that they have improved knowledge and understanding about the environment; helped generate funding from collaborating organizations for environmental activities; and influenced Governments to adopt environment-friendly policies and actions.

1. Impact on collaboration and linkages

247. The positive impacts of project activities and results reported by the self-evaluation fact sheets included the following:

- (a) UNEP provided an enabling framework for developing cooperation and collaboration among countries and collaborating agencies in the area of environmental management;
- (b) UNEP's project results and processes generated interest among other institutions and many project initiatives were replicated;
- (c) UNEP helped to pool national, regional and international expertise and to create networks;
- (d) UNEP widened the environmental constituency;
- (e) UNEP provided a forum for scientists and Government officials to interact in regions and in countries.

2. Impact on funding for environmental projects

248. Funding for environmental projects has been impacted in the following manner:

- (a) UNEP attracted funding from collaborating and participating United Nations agencies, non-governmental organizations, and regional organizations;
- (b) UNEP projects generated interest, funding and technical commitment from donors and partners;

- (c) UNEP generated budgetary commitment from counterpart contributions.

3. Impact on environmental knowledge and widening use of UNEP environmental products

249. Knowledge about the environment and the use of UNEP environmental products have been impacted in the following manner:

- (a) UNEP has enhanced awareness about environmental issues among a range of stakeholders (institutional and governmental) and influenced local and national Governments to launch environmental projects;
- (b) UNEP has helped improve international knowledge, agenda-setting and sustainable development planning by creating regional forums;
- (c) UNEP has enhanced the overall environmental management capabilities of participating countries and ownership of the process;
- (d) UNEP has facilitated the dissemination of environmental information and assessment to decision makers at the global, regional and national levels;
- (e) An increased demand for UNEP's expertise, methodology and guidelines on environmental issues or processes has been observed;
- (f) Opportunities exist for UNEP's methodology to be tested and refined in various parts of the world;
- (g) UNEP has encouraged countries to develop integrated environmental and development plans of action.

VIII. THE ROLE OF EVALUATION IN STRATEGIC MANAGEMENT

250. Evaluation plays a strategic role in UNEP's continuous effort to improve programme and project delivery. Evaluation serves as an essential instrument of meeting the programme accountability requirement of the United Nations General Assembly and the Governing Council through a transparent and independent assessment, that identifies strengths and weaknesses and achievements and failures of programmes in order to improve future policy and programme/project formulation and design. Evaluation is also a valuable management tool for senior management and programme/project managers. The value of evaluation is, however, only realized when evaluation outputs, lessons learned, constraints identified and associated policy-related and programmatic recommendations are acted upon and internalized by all concerned.

251. This chapter will be devoted to the lessons learned and constraints encountered by UNEP subprogrammes and projects as identified by the evaluation.

252. The extent to which lessons have been internalized, constraints rectified and the recommendations of individual evaluations and the 1999 Annual Evaluation Report implemented by programme or project managers and senior management will also be assessed. In this manner, it will be possible to see how effective UNEP is as a learning organization. The evaluation will thus determine whether UNEP has an effective and functioning knowledge management framework that supports the internalization of lessons learned.

A. Lessons learned

253. Over the years, programme and project evaluations have identified diverse lessons to be learned from activities such as capacity-building, awareness-raising, development and refinement of environmental knowledge products, policy development and implementation, programme and project design, and coordination and management. Building upon these lessons, relating to thematic or functional

programme delivery and its impact on the environment.

254. A synthesis of lessons learned, identified by evaluations carried out in the year 2000, is presented in the box below. These lessons pertain to good practices that proved effective in realizing the expected results and outputs. They relate to: issues that should be considered in designing programmes and projects; issues to consider in establishing project management structures and coordination and monitoring mechanisms; improved approaches in the design and implementation of the Global Environment Outlook (GEO) process; and factors that enhance effective collaboration in the implementation of UNEP programmes. Most of the lessons cited here have been repeatedly mentioned in previous programme/project evaluations, self-evaluation fact sheets and annual evaluation reports. The problems and constraints listed below will give an insight as to what extent lessons learned have been internalized throughout the UNEP system.

1. Design

- Rigor in project planning and design ensures that project extensions and other problems related to design are avoided.
- Considering contingency planning in the implementation of project components by carefully analysing consequences and impacts should sufficient funds not be secured provides flexibility and maximizes project delivery.
- Project objectives should be linked hierarchically with divisional and UNEP mission to result in concrete environmental benefits.
- There is need to conduct in-depth feasibility studies aimed at developing project concepts in project formulation. The project concepts should correctly assess the potential opportunities and threats in project implementation.
- Assessment of institutional capacity including a thorough evaluation of past and present performance of executing national agency/collaborating centers and implementing agencies is important in the design of projects to avoid unexpected drawbacks in the course of project implementation.
- Involvement of stakeholders in project formulation, implementation and evaluation of results ensures sustainability.
- The final output of environmental assessment and information designed to meet user needs ensures utility in influencing policy makers, beneficiaries and environmental advocacy.
- Incorporating sustainability-enabling measures in project formulation ensures continuity of project-initiated process.
- Clear institutionalization strategy of a programme or process or project in the course of planning and implementation, at the regional/national levels as appropriate ensures long-term effect.
- Use of precise tools for assessing project time-frame at the design stage ensures the realization of planned project results.
- Encouraging national authorities to make financial contributions to environmental projects creates a sense of ownership and commitment in the course of implementation.
- The effective means of achieving consensus in polarized environmental conflict and debates is empowering communities through community issue identification, directed by impartial technical evaluation of subject environmental issues, broadly based participatory decision-making within a well defined issue-oriented framework, a predetermined time-frame, and a focus on commonalties rather than differences.

- In attempts to preclude and resolve communal conflicts arising from conflicting uses of natural resources, using a combination of international experts and local experts is a highly effective assessment approach, which ensures the results of recommendations reflect the local economic, social and cultural conditions. This approach also gives the assessment outcome local credibility, acceptability of consensually reached solutions and helps to build local expert capacity and expertise.
- The development of regional strategies is an effective tool for harmonizing efforts to solve common environmental problems, sharing institutional capabilities, and building partnerships using optimum financial resources.
- When project concept responds to national and regional needs, it has a better chance of succeeding.
- Holding consensus-building workshops for Government officials, non-governmental organizations, the private sector and communities ensures ownership, relevance and compliance with environmental legislation.

2. Collaboration and partnerships

- Innovative linkages and partnerships can result in effective synergy in developing environmental projects.
- Effective communication mechanisms among partners and clear designation of responsibilities in the process of implementation of joint projects improve project delivery.
- Increased partnerships in the implementation of divisional work plans create a multiplier effect of UNEP's capacity to cover the widest range of theories and relevant regional and national environmental issues.
- Partnerships with other organizations are one of the best ways to secure funds for environmental programmes.
- Joint institutional efforts, within a collaborative framework, provides an opportunity to share capacities, including human and financial resources, and maximizes coverage.

3. Impacts

- UNEP should promote the development of regional and national baseline data in order to assess the impact of its projects and programmes and make comparisons.

4. Capacity-building

- UNEP's capacity-building activities achieve results when they focus on building appropriate national indigenous capacities and regional institutions (universities, national focal points, national designated authorities, collaborating centres, cleaner production centres and non-governmental organizations.)
- Provision of practical application of theories, in the form of case studies, in training programmes enhances results.
- Regional training of trainers in environmental management is cost-effective.

5. Programmatic

- UNEP's increased role in the provision of guidance and methodology for the preparation and reporting of environmental information improves standardization of information for comparative analysis, serves as a basis for creating appropriate policy responses and facilitates the solution of transboundary disputes.

and the regional offices leads to confusion between global and regional priorities and activities.

- The institutionalization of effective and timely monitoring and evaluation mechanisms enables programme managers to take corrective action when necessary to set project implementation on course.
- Ensuring political commitment throughout the project cycle is a critical contributing factor for the success of projects.
- Communication and consultation between UNEP regional offices, the UNEP headquarters and collaborating centres/national and regional executing agencies should be strengthened as this will make a difference in the effective facilitation of programme implementation.
- Competent project management leadership is one of the vital contributing factors to the success of a project.
- UNEP's continued guidance in the course of project implementation is vital for project delivery.
- Understanding the institutional differences and peculiarities impacting on project implementation, between UNEP and collaborating and implementing agencies, facilitates planning and implementation.
- Relieving the substantive unit responsible for project implementation from project administration by streamlining the latter ensures effective and efficient project implementation.

6. Environmental assessment

- When outputs of the GEO process include regional and national environmental concerns, the interest and motivation of relevant actors is maintained and they actively participate in the process.
- Experience attests that there is a need to re-design the GEO process from short-term arrangements (projects) to longer-term (GEO Programme).
- The integrated environment assessment approach, through a global, collaborative, and participatory process has proved that it can deliver a quality global environmental outlook report.

B. Problems and constraints

255. Subprogramme and in-depth project evaluations, as analyzed in previous sections of the present report, confirmed that subprogrammes and projects have faced institutional and programmatic constraints that impacted on project delivery. The major constraints included: mismatch of programme and project objectives with institutional structures and funding; lack of targeted capacity-building to support implementation; failure to provide the required assessment models and tools for use by consultants in implementing projects; and failure of partner Government officials to provide sufficient policy guidance at the project formulation and implementation stages. Details of the problems and constraints are presented on the following pages.

256. These problems and constraints do, to varying degrees, lead to delayed completion, budget deviation and, at times, less than satisfactory results and outputs.

257. According to reports contained in the self-evaluation fact sheets, 37.4 per cent, 35.1 per cent, and 26.5 per cent of problems and constraints encountered by subprogrammes and projects related to financial, programmatic and institutional issues respectively.

258. As mentioned earlier, 37 per cent of the self-evaluation fact sheets submitted were for projects completed in the mid 1990s when UNEP faced severe funding difficulties; hence financial problems ranked as the most serious constraint reported. Relatively fewer serious financial constraints were reported by subprogrammes/projects which were ongoing in the year 2000. This indicates that if the annual evaluation is to provide current information, managers must fill up the self-evaluation fact sheets on time.

representing the most serious problem. These constraints included shortage of qualified staff; lack of appropriate collaboration modalities with partner organizations; tight time-frames; underestimation of time required to execute planned activities; delays in providing models and in some cases, the provision of inappropriate models; over-ambitious expectations; poor communication between UNEP, executing agencies and partners; and lack of an integrated approach to programme/project development. These constraints, to varying degrees, resulted in delays in project commencement and/or completion, failure to influence Governments to adopt intended policies, and unsatisfactory results and outputs. According to the evaluation, such problems can be attributed to shortcomings in programme/project design; failure to use precise tools to assess assumptions, time estimates and required resources; poor coordination; and lack of follow-up to assess specific conditions of the project environment. These constraints have been reported by successive annual evaluation reports, but no serious action has been taken to rectify the weaknesses identified. The Programme Coordination and Management Unit is now planning to hold a training workshop on project design and it is hoped that if managers attend, the impact will be positive.

PROBLEMS ENCOUNTERED

| Problem | Causes of problem | Consequences | Percentage |
|--------------------------|--|---|------------|
| FINANCIAL | | | |
| Insufficient funding | <ul style="list-style-type: none"> • Not enough funds allocated for activities – underestimation of activities • Failure of expected funding to materialize | <ul style="list-style-type: none"> • Rephasing activities. Reduction of the number of activities that could be implemented. Under-exploitation of implementing agency's potential. | 19% |
| Late transfer of funds | <ul style="list-style-type: none"> • Lack of efficient harmonization in financial transfer procedures of participating organizations • Slow bureaucratic processing between regional offices and UNON • Insufficient gestation period for project | <ul style="list-style-type: none"> • Delays in the work plan and postponing of commitments with Governments • Efficiency and effectiveness of the programme reduced • Delay in getting started | 10% |
| Scarce funding resources | <ul style="list-style-type: none"> • Lack of reliable long-term and steady contributions to UNEP's Environmental Fund so as to ensure continuity of activities – strategic funding deficiency of UNEP • Dependence on voluntary financial contributions | <ul style="list-style-type: none"> • Risk of losing the institutional and financial investments UNEP made during the last years • Abandoning vital activities | 5% |

| Problem | Causes of problem | Consequences | Percentage |
|--|--|---|------------|
| Lack of resources for long-term activities | <ul style="list-style-type: none"> • Time spent by staff in preparing project proposals to leverage funds needed for implementing activities • Unrealistic funding expectations • Addition of unforeseen activities • Controversy over respective roles on visibility of participating agencies • Lack of optimal allocation of budget items • Unrealistic geographical scope of the project • Inability to move to more proactive activities | <ul style="list-style-type: none"> • Time that could be used in advisory services and other technical assistance considerably reduced • Difficulty in doing all programme/project activities on time • Compromise in both quality and quantity of project outputs • Budget allocation to activities that are not priority • Failure to fully implement the strategy • Delay in introducing additional technologies to support decision-making for sustainable development • Missed opportunities | 0.7% |
| Lack of workable charge back system | | <ul style="list-style-type: none"> • Danger to sustainable service | 2% |
| Lack of general purpose funding for travel, maintenance etc. | <ul style="list-style-type: none"> • Most counterpart funds tied to specific activities, shortage of environment funds | <ul style="list-style-type: none"> • Staff stress, missed opportunities, lack of flexibility | 0.7% |
| INSTITUTIONAL | | | |
| Shortage of sufficient and appropriate professional staff | <ul style="list-style-type: none"> • Greater demand for services than previously envisaged • Discontinuation of staff (staff turnover) • Reorganization of programme management • Delay in staff recruitment | <ul style="list-style-type: none"> • Lost opportunities for developing additional and required products in collaboration with regional institutions • Low level of project activities and reduced capacity of implementing unit • Delayed realization of outputs • Substantial time lost • Outputs below standard | 10% |

| Problem | Causes of problem | Consequences | Percentage |
|--|---|--|------------|
| Difficulties in getting timely responses and feedback from collaborating experts and national institutions | <ul style="list-style-type: none"> • Management of subject environmental issue not internalized in the national agencies • Institutional bureaucracy • Lack of information in the national environmental agencies about GEO process • Weak governmental support at the national level (lack of political commitment) • Political priorities at government level which may not reflect technical priorities • Low level of investment by national institutions in the monitoring of project activities and outputs • Reluctance of some countries to provide requested data on time (for GEO process) | <ul style="list-style-type: none"> • Policy formulation fragmented and sectoral • Less than satisfactory outputs • Change of priorities • Delays in implementation | 8% |
| Inadequate capacity/skills of participating institutions or lack of direction to carry out the assignment – revealed as the project progressed | <ul style="list-style-type: none"> • Institutions were new to the GEO process • Lack of guidance and follow-up by UNEP pertinent and substantive units • Framework of the project beyond the existing capacity of participating institutions/collaborating centres (overestimation of participating institutions) • Over-ambitious expectations | <ul style="list-style-type: none"> • More input from UNEP required than anticipated • Unfocused outputs | 7% |
| Problems of cooperation between participating institutions | <ul style="list-style-type: none"> • Rivalry and competition • Lack of appropriate operating modalities for participating agencies | <ul style="list-style-type: none"> • Failure of project to implement as planned | 3% |
| Late approval of projects | <ul style="list-style-type: none"> • Prolonged bureaucratic procedures | <ul style="list-style-type: none"> • Delay in implementation of activities | 3% |
| Poor project coordination | <ul style="list-style-type: none"> • Difficulty in establishing focal point in countries where there is more than one institution dealing with environment (multiplicity of Government departments) • Over-commitment of consultants | <ul style="list-style-type: none"> • Delayed project implementation | 2% |
| Lack of knowledge on good practices on certain environmental issues | <ul style="list-style-type: none"> • Poor exchange of information and knowledge processing | <ul style="list-style-type: none"> • Impact less than potentially achievable and project outputs and process unsustainable | 1% |

| Problem | Causes of problem | Consequences | Percentage |
|--|--|--|------------|
| Difficulty in building a harmonized environmental assessment network among countries in a region | <ul style="list-style-type: none"> • Environmental assessment not fully internalized in the national agencies | <ul style="list-style-type: none"> • Policy formulation fragmented and sectoral | 1% |
| Lack of ability of implementing agency to handle allocated funds | <ul style="list-style-type: none"> • Failure to assess the capacity of the implementing agency. | <ul style="list-style-type: none"> • Nil return | 0.7% |
| Lack of mandate, role and visibility of implementing agency | <ul style="list-style-type: none"> • Insufficient resources to translate the agency's mandate and role into action among beneficiaries | <ul style="list-style-type: none"> • Limited programme results | 0.7% |
| Excessive centralization in regional offices of many operational aspects of programme delivery | <ul style="list-style-type: none"> • Lack of autonomy and flexibility to determine and carry out project activities according to regional needs | <ul style="list-style-type: none"> • Less than effective project delivery | 0.7% |
| Lack of agreement between funding and implementing institutions on project concept and output | <ul style="list-style-type: none"> • Failure to get project approved | <ul style="list-style-type: none"> • Nil return | 0.7% |
| Additional consultation with the participating countries which took time | <ul style="list-style-type: none"> • Unresolved issues that crop up in the course of implementation | <ul style="list-style-type: none"> • Delay in final programme delivery | 0.7% |
| Difficulty in obtaining clear instructions/ feedback and inputs from divisions at the UNEP headquarters and participating national/regional institutions | <ul style="list-style-type: none"> • Management/staff weaknesses • Documents and their revisions not arriving in regional offices from headquarters on time • Different political priorities • Delay in the provision of materials and methodologies | <ul style="list-style-type: none"> • Delays in activities, project output and frustrations of programme managers • Changing of priorities • Activities rescheduled for following year | 6% |

| Problem | Causes of problem | Consequences | Percentage |
|---|---|---|------------|
| PROGRAMMATIC | | | |
| Lack of capacity to meet all requests to support national institutions (success hazard) | <ul style="list-style-type: none"> • Success of UNEP's activities generated requests for support beyond its capacity to meet them | <ul style="list-style-type: none"> • Frustration of the countries requesting for specific assistance | 0.7% |
| Scope of programme/project narrow | <ul style="list-style-type: none"> • Lack of integrated approach to programme/project development | <ul style="list-style-type: none"> • Reduced impact on sustainable development | 0.7% |
| Lack of regular meetings with collaborating centres | <ul style="list-style-type: none"> • Lack of funding for regional coordination meetings | <ul style="list-style-type: none"> • Difficulty in coordination of action and clarification of procedures that could otherwise speed up the process to deliver project products | 7% |
| More staff time than anticipated required to coordinate project | <ul style="list-style-type: none"> • Underestimation of staff time required | <ul style="list-style-type: none"> • Rescheduling of project activities | 3% |
| Project implementation time-frame too short | <ul style="list-style-type: none"> • Tight production schedule • Estimation over-ambitious | <ul style="list-style-type: none"> • Less than satisfactory end product | 3% |
| Lack of appropriate technical tools on time | <ul style="list-style-type: none"> • Lack of planning and programming • Tools not included in the original project document • Complex procurement procedures | <ul style="list-style-type: none"> • Delay in getting started and delivery of output | 3% |
| The need to adopt methodologies and approaches to produce reports at the regional and national levels | <ul style="list-style-type: none"> • Methodology developed for global level • Schedule very tight with no room to accommodate time changes or variations | <ul style="list-style-type: none"> • Failure of outputs to reflect the national and regional needs to assess the environmental situation or the impact of regional and national policies • Delay of outputs | 1% |

260. In 26.5 per cent of the self-evaluation fact sheets submitted, institutional problems were cited as the most serious constraint. This type of constraint is caused by the institutional inadequacies of participating agencies, be they the beneficiary government organizations or the programmes or projects. Such constraints can result from failure to harmonize the participating organizations' internal policies and procedures during the design process; failure to arrange for thorough preparation before embarking on implementation; or failure to correctly assess the institutional capacity of executing agencies which can bring about unexpected hiccups and surprises. While UNEP cannot, by itself, create an enabling environment, recognizing the importance of institutional factors and taking them into account in the design and implementation process would avoid some of the negative impacts so far observed.

261. The foregoing constraints have, to varying degrees, affected programme and project delivery in terms of delayed commencement and completion, poor quality of outputs and results and concerns as to whether the necessary capacity to sustain the process created and results achieved has been created.

262. The evaluation has established that the underlying cause of most of the above problems is weakness in the design process. These problems often occur in the course of implementation and become a source of frustration for the managers. As reiterated in previous annual evaluation reports, UNEP needs to institutionalize the systematic and prior appraisal of project concepts and implementation strategies in order to arrive at implementable project documents.

263. One fundamental question is, however, whether UNEP has a sufficiently institutionalized knowledge management framework to enable the entire UNEP system to benefit from lessons learned. The ideal knowledge management framework is one that consolidates, disseminates and follows up the implementation of recommendations and internalization of lessons learned throughout the organization. Given that the same problems seem to recur despite the lessons that have been learned and highlighted in past evaluations, it is evident that UNEP needs to do more to institutionalize knowledge management. This can be achieved in various ways as indicated in the following section.

C. Linking evaluation outputs to strategic management and decision-making

264. Evaluations done in the year 2000 have identified lessons which can be learned. If these are acted upon, UNEP's programme delivery can be considerably improved. UNEP's performance, however, in internalizing the lessons already reported in the 1999 Annual Evaluation Report has not been impressive.

265. Out of the 12 in-depth and desk project evaluations carried out in 1999, programme managers have submitted plans to implement evaluation recommendations for only 7 (58 per cent). The rest have failed to do so although the Evaluation and Oversight Unit has provided management response documents in order to expedite the process. In terms of recommendations, programme managers have submitted their proposals for only 73 (54 per cent) out of 134 recommendations. Furthermore, out of the proposals submitted by the programme managers, only 43 (32 per cent) confirmed starting implementation of the evaluation recommendations. The Evaluation and Oversight Unit is required to submit progress reports on the implementation of evaluation recommendations based on programme managers' reports; here again, by the end of the year, such reports were only available for three out of the 12 in-depth project evaluations carried out. This means that Evaluation and Oversight Unit was unable to establish whether or not the recommendations made had indeed been implemented. This laxity should be a matter of concern to the UNEP management and it should not be allowed to go unchecked.

266. The status of implementation of the 1999 subprogramme evaluation recommendations is much better than that of the in-depth project evaluations. Out of a total of 31 recommendations made in four subprogramme evaluations, programme managers have confirmed drawing up implementation plans for 26 (90 per cent).

267. As regards the policy, funding and programmatic recommendations, the UNEP senior management has made plans to implement nine of them although it is difficult to confirm the exact status of most of the plans. It appears that there is a degree of serious weakness on the part of the management to enforce compliance with evaluation recommendations and this is one of UNEP's greatest shortcomings.

programme delivery has improved. Several such improvements can be mentioned here. UNEP's decision to separate the Regional Office for North America's regional function from the international liaison and inter-agency functions have enabled an equal focus to be maintained on each of these important functions. Another example relates to the recommendation made by the in-depth evaluation on the effectiveness of UNEP's role in implementing its mandate in the African region through regional and subregional cooperative frameworks and advisory services. Following this recommendation, UNEP embarked on revitalizing ROA, in the year 2000.

269. In other areas, however, UNEP has not implemented similarly useful evaluation recommendations and consequently, the same problems recur and are reported in successive evaluations. It is therefore clear that UNEP needs to seriously consider reviewing existing knowledge management systems, particularly as they relate to evaluation outputs and environmental knowledge products.

270. Reaffirming the strategic role of evaluation in enabling UNEP to learn programmatic and policy-related lessons, the UNEP senior management has taken positive steps (Instruction Ref: 01(116), 2 April 2001) to streamline the existing evaluation feedback mechanisms in order to ensure that recommendations are implemented on time and that accountability is maintained. This document specifies that implementation plans relating to programmatic recommendations should be adopted and agreed by the Deputy Executive Director in a meeting attended by Director, Regional Director Programme Manager and the Head of the Evaluation and Oversight Unit. The recommendation implementation plans adopted will be used by the Evaluation and Oversight Unit to monitor and report back to the Deputy Executive Director and management. Policy-related recommendations are, on the other hand, compiled and presented for consideration and decision to the Senior Management Group every six months, in June and December. The procedures described here replace those used previously that required all evaluation recommendations to be reviewed and decided upon by the Senior Management Group. The new approach is more efficient and should ensure a greater degree of implementation of evaluation recommendations.

271. While the above measures will help programme managers implement and monitor evaluation recommendations, they may not go far enough to institutionalize a broader knowledge management framework. UNEP should put in place a knowledge management system, through which lessons learned by specific programmes or projects are shared throughout UNEP. Such a mechanism would allow the other divisions, programmes and projects to benefit from lessons learned elsewhere in UNEP. To achieve this goal, the lessons learned should be disseminated to functional divisions through various instruments such as publications and workshops.

272. This knowledge management system must also be linked to the Joint Inspection Unit's recommendations that require all programmes to report their evaluation and oversight recommendations to their governing bodies through a subsidiary body (the Committee of Permanent Representatives in the case of UNEP). Such a system would make UNEP more accountable to the Governing Council.

IX. CONCERNS

273. From the analysis presented in the foregoing chapters, the present annual evaluation report identifies a number of policy and programmatic concerns of strategic significance that affect present and future UNEP divisional and project delivery. Some of the strategic concerns that UNEP needs to address in order to improve the impact of its activities on the environment are discussed in the following section.

A. Policy framework

1. United Nations Environment Programme policy framework

274. The evaluation has established that, among the various divisions of UNEP, including DPDL and DTIE, there is a lack of clarity and consensus as regards a number of issues related to policy and policy development. This situation is manifested by the absence of a feedback mechanism between what happens on the ground, through divisional activities, and the policy development process.

what happens on the ground and thus remain grounded in reality, all of which will improve the work of the various specialist sectors. UNEP's policy development process should be influenced by both bottom-up and top-down feedback while programme implementers should contribute to and participate in policy development, formulation and change.

276. The role of UNEP's central policy development mechanism, DPDL, and the issues it ought to address as opposed to the policy issues that should be addressed at the sectoral levels needs to be clearly understood and defined. A UNEP-wide policy framework should be developed in order to define how the various levels should contribute to policy development. While policy development is a multi-stakeholder and multi-level or sectoral process, it must be driven and managed from a central point, in this case, DPDL.

277. The advantage of such a framework is that policies developed by all the sectors will conform to and support the organizational policy, while providing the flexibility necessary for sectors to execute programmes and activities efficiently. This framework will also allow for the participation of implementers and specialists in policy development as well as ensuring that the various UNEP programmes are coherent and complementary and that they support its mission. For these reasons, the issues of policy development and clarifying the roles and responsibilities of all the divisions in relation to policy development need to be addressed.

2. Internal linkages

278. As mentioned in the 1999 Annual Evaluation Report, the present report confirms that UNEP's external linkages forged with other United Nations organizations, non-governmental organizations, regional and international development and financial institutions, regional and international centres of excellence, and the private sector have borne fruit. These linkages have promoted the formulation of joint programmes and projects, the mobilization of funding for a range of activities including capacity-building, awareness-raising, policy development and the development of environmental knowledge products. Such linkages help spread the UNEP message and expand the environmental constituency at national, regional and global levels.

279. Within UNEP itself, on the other hand, the divisions and projects did not forge strong linkages with one another, this despite the provision, at the divisional programme of work level, that internal linkages should be forged in the process of implementing strategies and activities. Such internal linkages are meant to promote integrated programmes through operational interactions and inputs among the functional divisions during the design and implementation of programmes. It would therefore appear that creating a functional structure without the necessary mechanisms, enabling environment and management culture to make the structure workable has led to a situation where the functional structure exists on paper but does not operate as it should.

280. Within the present UNEP functional structure, collaboration between divisions in formulating and implementing programmes and projects is a critical factor if results are to be achieved. In this structure, thematic and sectoral issues are crosscutting with responsibilities and resources, including expertise, scattered across divisions. The evaluation has, nevertheless, observed varying degrees of reluctance on the part of divisions to participate in crosscutting activities or to create internal linkages. Such reluctance can be attributed to fear of loss of autonomy, concerns over budgetary commitments (or lack thereof) and competition between divisions for scarce human and financial resources.

281. Good programme delivery can be ensured if the UNEP headquarters provides for the participation of regional offices early in the programme development process. Furthermore, UNEP would benefit from stronger links between the various divisions and the global programmes, such as Chemicals, the Global International Waters Assessment, the Global Programme of Action and the Multilateral Environmental Agreements. The stronger the linkages with the regional offices, the better the results of activities at the regional, subregional and national levels will be.

282. Therefore, UNEP needs to develop formal internal linkage mechanisms in order for internal collaboration to go beyond responding on an ad hoc and a case-by-case basis.

comprising staff from each of the divisions with experience and knowledge of specific biosphere components. There would be, for example, a freshwater team, a terrestrial team, and an atmosphere team. These teams would utilize UNEP's existing human and financial resources and thus limit duplication across divisional lines while capitalizing on the breadth of knowledge contained within the organization. This arrangement would contribute to strengthening the organizational structure of UNEP by encouraging an holistic outlook among staff and by fostering the development and implementation of projects amongst divisions within an agreed programmatic envelope.

3. Knowledge management

284. In conformity with its mandate and mission, UNEP has demonstrated its intellectual leadership in environmental matters, as evidenced by the many environmental knowledge products it has developed, including methodologies, technical guidelines, national and regional frameworks of action, national and regional policy instruments, voluntary initiatives, implementation approaches, and environmental assessment models. All of these translate environmental knowledge into appropriate action resulting in a better quality environment.

285. UNEP's environmental knowledge products are now the standard reference for assessing the environment, building policy consensus and promoting action at the global, regional and national levels.

286. The evaluation has, however, observed that environmental knowledge products, which undergo continuous development, application and refining through testing across thematic, functional and geographic lines, require an elaborate knowledge management mechanism. As discussed in the preceding chapter, the evaluation has established that in UNEP, there is a recurrent lapse in implementing evaluation recommendations and in internalizing lessons learned from implementation of programmes. The recurring constraints reported by subprogramme and in-depth project evaluations and the self-evaluation fact sheets point to the need to institute a UNEP system-wide knowledge management framework.

287. UNEP's intellectual leadership is a strategic asset attained through experience and which should be further consolidated and improved to ensure a more sustained impact of UNEP's role on the environment. To this end, UNEP should review its existing knowledge management framework with the view of providing for broader and more effective institutionalization of organizational learning. Such a knowledge management mechanism or framework should distil lessons learned from the implementation of environmental activities and the application of environmental knowledge products, disseminate these lessons to relevant users, and follow up their implementation and internalization.

288. With senior management commitment and managed by the Evaluation and Oversight Unit in cooperation with the Programme Coordination and Management Unit and the divisions, such a knowledge management framework could prove a strategic management tool and make a difference in the impact of UNEP activities on the environment.

B. Programmatic issues

1. Impact

289. It is difficult to measure the impact of UNEP's activities on the environment in the short-term. The evaluation can nevertheless confirm that UNEP's activities: capacity-building, support to the development and implementation of environmental conventions, development of environmental knowledge products, and development of global environmental policy consensus have all had a considerable impact. Through these activities, UNEP has influenced Governments, non-governmental organizations, the private sector, communities and other United Nations organizations to adopt appropriate policies and to take action. Such actions have a direct impact on the environment. The evaluation therefore concludes that UNEP's impact is either improving the quality of the environment or is, at least, slowing down the rate of environmental deterioration.

on the environment. The critical factor in measuring impact is the establishment of baseline data and monitoring mechanisms for environmental improvements through follow-up activities. Since it may not be possible to undertake such an exercise for all activities carried out, it is recommended that UNEP conduct selective impact assessments using rapid assessment methodologies to provide basic data to improve the future design of projects and concepts. In addition, support can be provided to Governments and local non-governmental organizations to build their capacity to conduct impact assessments and report on sustainable development planning.

2. Mismatch of mission and enabling institutional arrangements

291. The matching of mission objectives with institutional arrangements, including funding, is a critical factor which can enable UNEP's initiatives to achieve the results intended. Subprogramme and in-depth project evaluations, however, have revealed that some UNEP projects and activities did not achieve the results intended or were unable to exploit existing opportunities due to a mismatch of mission and institutional arrangements.

292. The evaluation has established that there is a need for UNEP to seriously review the reasons why existing entities are under-performing before launching new initiatives. In this connection, there are several questions that should be asked. What is the particular gap that the initiative should bridge? Will there be a reliable funding mechanism and an effective implementation strategy? Who will the collaborating partners be? The answers to these critical questions will help ensure clarity of mission and relevance, avoid duplication of roles and activities, and enhance complementarity and cooperation with existing entities engaged in related environmental activities.

3. Convention-supporting activities

293. UNEP has provided support to a number of conventions. It has facilitated intergovernmental negotiations, helped develop and coordinate convention programmes, participated in strategic planning for the implementation of conventions and provided direct support to the implementation of convention provisions.

294. Pertinent subprogramme and in-depth project evaluations have all revealed that UNEP has achieved the intended results in terms of building national and regional capacities for the implementation of convention provisions and, to varying degrees, in integrating project processes and results into national sustainable development planning.

295. Evaluations have also raised some concerns, particularly with regard to support provided to countries to fulfil their commitments and obligations as required by the relevant provisions of the Convention on Climate Change. According to the evaluations, there is need to:

(a) Provide appropriate training related to key project activities before the start of project implementation;

(b) Consider reducing the number of sectors covered in each project to make more resources and time available for in-depth studies and better quality results;

(c) Enhance the capacity of Government decision makers to integrate climate change concerns into the national planning process through national plans of action in order to promote policy action.

296. UNEP should take stock of its experience and lessons learned in implementing all previous projects in support of the Convention on Climate Change, in order to improve the design of similar projects and the formulation of Phase II projects.

297. Another important concern that needs to be addressed is how to more effectively ascertain compliance of provisions as stipulated in the conventions at the national and global levels. Compliance and enforcement are important features of intergovernmental agreements and international conventions on the environment.

298. Successive annual evaluation reports have endeavored to bring to the attention of the senior management the failure of most UNEP divisions to submit end of year self-evaluation reports.

299. By not submitting self-evaluation fact sheets for ongoing projects, UNEP is also failing to comply with Governing Council decisions GC 2/15 of 28 May 1984, 13/1 of 23 May 1985 and 14/1 of 17 June 1987, which all stipulate that UNEP projects must be evaluated. Moreover, UNEP is not using the evaluation mechanism to learn from experience to improve its policies and project delivery. It has not operationalized a functioning knowledge management framework under which evaluation findings are acted upon by the entire UNEP system to improve project delivery and thereby make an impact on the environment.

300. The 1999 Annual Evaluation Report had recommended specific measures related to apportioning responsibilities among divisional directors, programme managers and the Evaluation and Oversight Unit with regard to overall responsibility and follow-up in order to ensure compliance; the actual preparation of self-evaluation fact sheets; and facilitation, monitoring and reporting. Unfortunately, however, the UNEP senior management did not address these recommendations.

301. It is therefore once again stressed that UNEP must comply with Governing Council programme accountability requirements with respect to self-evaluation fact sheets. Moreover, UNEP cannot afford to deny itself the benefits of information that the process of self-evaluation can provide for the design and implementation of future projects.

5. Project design

302. Successive annual evaluation reports have detailed institutional and programmatic problems and constraints, whose underlying causes have been established to be deficiency in programme and project design. As presented in greater detail in Chapters V and VIII, the current annual evaluation report has observed similar problems. The evaluation has also established that these recurring institutional and programmatic constraints are impeding the delivery of UNEP programmes and projects.

303. The Evaluation and Oversight Unit therefore calls on the UNEP senior management to address these concerns by taking concrete actions to rectify deficiencies in the programme and project design process. Detailed recommendations are to be found in the last chapter of this report.

X. FINDINGS AND RECOMMENDATIONS

A. Policy framework

1. United Nations Environment Programme policy development process

(a) Finding

304. The evaluation has established that, among UNEP's policy makers in DPDL and in the other divisions, there is a lack of clarity and consensus as regards policy development. There would also appear to be no functioning feedback mechanism that could facilitate upward or downward flow of information relating to implementation of policies and the provision of policy guidance.

305. For these reasons, the evaluation, therefore, concludes that there is no clear or working mechanism that allows programme implementers to participate in policy development, formulation and change; and that, at the same time, ensures that activities conform to the UNEP policy framework.

(b) Recommendation

306. UNEP should review its existing policy development process with the view to defining:

under its mandate;

(b) Those policy issues which should be addressed at the divisional and sectoral levels;

(c) The interactions that should be supported by formal feedback mechanisms and anchored in a UNEP-wide policy development process and framework.

307. A UNEP policy framework developed through such a process and interaction would ensure that policies developed by sectors and divisions conform to and support the organizational policy, while providing the necessary flexibility for sectors to develop and execute programmes and activities efficiently.

2. Internal linkages

(a) Finding

308. UNEP specifies that at the divisional programme of work level, internal and external linkages should be forged to effectively implement strategies and activities. Internal linkages, which consist of operationalizing interactions and inputs among the functional divisions during the design and implementation of programmes, are important in promoting integrated programmes.

309. Although external linkages are generally well developed, the strategy of forging internal linkages has not been uniformly or sufficiently adhered to. The evaluation has observed that the internal linkages between divisions and projects that do exist are weak and at best created on a case-by-case basis.

310. The failure by divisions to foster appropriate internal linkages denies them the opportunity to benefit from one another's expertise and experience; reduces the environmental scope and issues each division can address; and thus minimizes the extent of UNEP's environmental impact.

(b) Recommendation

311. The evaluation recommends further strengthening and institutionalizing internal linkage mechanisms by taking the following measures:

(a) Establishing "programme teams" comprising staff from each of the divisions with appropriate and relevant experience on various sectoral or thematic issues;

(b) Charging the teams with the responsibility of reviewing pertinent proposals to ensure, during the design phase, the integration of relevant environmental issues, coherence and complementarity of these proposals with related programmes or projects;

(c) Ascertaining that internal linkages have been applied, both during the design of a project and during its implementation phase. The Programme Coordination and Management Unit, representing senior management, would be entrusted with this responsibility. It would check the linkage requirement defined for a particular programme element in the pertinent divisional programme of work;

(d) Adhering to the linkage requirement as one of the prerequisites for approval of project proposal documents.

312. The above procedures could strengthen the organizational structure of UNEP by encouraging a holistic approach and fostering interdivisional joint development and implementation of programmes and projects, all of which could improve the impact of UNEP activities on the environment.

(a) Finding

313. The evaluation has established that, in conformity with its mandate and mission, UNEP is providing intellectual and scientific leadership to the international community on the environment as evidenced by the many environmental knowledge products it has developed. These products include methodologies, technical guidelines, national and regional frameworks of action, national and regional policy instruments and mechanisms, voluntary initiatives, policy implementation approaches, and environmental assessment models. These products translate environmental knowledge into appropriate actions resulting in a better quality environment.

314. Indeed, UNEP's environmental knowledge products are now the standard reference for assessing the environment, building environmental and sustainable development policy consensus and promoting action at the global, regional and national levels.

315. There is, however, a need for UNEP to do more to institutionalize a system-wide knowledge management framework as demonstrated by the following evidence:

(a) The recurring problems reported every year by subprogramme and in-depth project evaluations and self-evaluation fact sheets that negate lessons identified by past evaluations. These recurring constraints continue to impede project delivery;

(b) The continuing gaps in the implementation of evaluation recommendations;

(c) The failure by divisions to submit self-evaluation fact sheets for ongoing projects and the failure of senior management to enforce the requirement. Non-compliance with this requirement is denying UNEP strategic and operational management information to improve future policy making;

(d) The long process of developing, applying, testing, and refining UNEP's environmental knowledge products across thematic, functional, and geographic lines. It is clear that such a complex activity requires a more robust system-wide knowledge management mechanism.

316. The foregoing findings point to the need for a functioning knowledge management system that consolidates, disseminates and follows up the implementation of recommendations and internalization of lessons learned and the development, testing and refinement of knowledge products throughout the UNEP system.

(b) Recommendation

317. The evaluation, therefore, recommends that UNEP initiate a major review of its existing knowledge management framework. The review should address issues, including: mechanisms of distilling lessons learned from implementing environmental activities and new knowledge gained from applying environmental knowledge products; sharing and disseminating such lessons and new knowledge to both internal and external users; and following up their implementation, internalization and use.

318. This system-wide comprehensive review should aim to determine the extent to which the UNEP knowledge management framework supports the UNEP mission of impacting on the global environment through the interacting processes of "environmental assessment, policy development and environmental action."

319. The evaluation proposes that the system-wide review should consider the following recommendations:

(a) It is the responsibility of the senior management to ensure that subprogramme and in-depth project evaluation recommendations are implemented. The measures taken to expedite the process will be assessed at the end of 2001. In order to ensure compliance with the evaluation recommendations, the management should, in accordance with Evaluation and Oversight Unit's implementation progress report, consider taking strong measures in respect of those divisions and programme managers who fail to comply.

(b) As regards lessons learned and constraints identified, the evaluation recommends that the Evaluation and Oversight Unit, jointly with the Programme Coordination and Management Unit and relevant divisions, work to consolidate, distill and share the end product with internal and external users through an accessible format and medium. This process should be aimed at:

- (i) Consolidation : The Evaluation and Oversight Unit consolidates lessons learned and constraints identified in subprogramme and in-depth project evaluations and self-evaluation fact sheets.
- (ii) Distilling Knowledge: The Evaluation and Oversight Unit analyses lessons learned and constraints in terms of their recurrence, scope, system-wide implications and their underlying causes in a special report. The report is distributed through the Deputy Executive Director to all divisions for their comment. The Evaluation and Oversight Unit, in cooperation with divisions and the Programme Coordination and Management Unit, organizes a workshop with the Evaluation and Oversight Unit reports and the feedback from the divisions serving as the main resource material. The workshop assesses the integrity, usefulness and value added, relevance and applicability of future policy and project design. Depending on the significance of the issues and need, external experts and resource persons can be invited to participate in such workshops.
- (iii) Sharing and Dissemination: The outcome of the workshop is published as a UNEP knowledge product with the title "Evaluation Digest" and widely distributed internally and externally. Depending on findings of evaluations, the Evaluation and Oversight Units "Evaluation Digest" can focus on thematic, functional and programmatic issues; such as, integrated coastal area management, water basins, environmental awareness-raising, capacity-building, and environmental assessment and impact.

(c) While the substantive divisions and programme managers are primarily responsible for managing the application and refinement of environmental knowledge products, the Evaluation and Oversight Unit and the Programme Coordination and Management Unit should also have a role in facilitating the distilling of knowledge gained from such activities and in following up their dissemination and internalization within the UNEP system. It is therefore recommended that:

- (i) The Evaluation and Oversight Unit initiates the process of distilling the refinements, improvements and new knowledge gained from the evaluation of a particular environmental knowledge product. It compiles and consolidates refinements reported by evaluations and terminal reports and organizes a workshop where the substantive division responsible, other divisions, Programme Coordination and Management Unit, specialist resource persons and participant organizations (implementing and collaborating agencies) are represented;
- (ii) The outcome of the workshop, which identifies relevant refinements, is published as an update to the original knowledge product. The update is published by the substantive division, as a UNEP publication, and disseminated internally and externally for implementation and internalization;
- (iii) The substantive divisions are the owners of the process, the Evaluation and Oversight Unit is the facilitator and monitors application and results through future evaluations, while the Programme Coordination and Management Unit ensures that future project proposal designs use, consider, or incorporate the latest refinements of a relevant knowledge product.

320. The foregoing specific recommendations can form part of the comprehensive UNEP knowledge management framework review proposed in paragraphs 317 to 319 of this report.

1. Impact

(a) Finding

321. As discussed in greater detail in the 1999 Annual Evaluation Report, the current report also recognizes the difficulties involved in determining the impact of UNEP activities on the environment (chapter VII), particularly within the subprogramme or project life cycle. The evaluation also recognizes that, in practice, it may not be possible for UNEP to undertake impact assessment for all its activities.

322. Since UNEP's strategic objective is, however, to make an impact on the environment, the evaluation insists that UNEP should continue to explore possibilities of measuring that impact. Project outputs and results are not, after all, an end in themselves but they should contribute to a better environment and this can be determined by impact assessment. Such impact assessment should measure UNEP's catalytic role in encouraging others to adopt approaches and solutions developed by UNEP to better manage the environment.

(b) Recommendation

323. Considering the various assessment methodologies being developed and refined in the GEO process and the concurrent institutional capacity-building activities and methodologies being developed by other substantive divisions and partner organizations, UNEP should increasingly focus on impact assessment activities. For example,

(a) UNEP should conduct more impact assessment activities than before;

(b) Programme managers should use rapid assessment methodologies to establish baseline data during the project formulation to serve as a basis for future impact assessment;

(c) Projects should incorporate in the project document relevant impact assessment capacity-building components for participating national or regional organizations;

(d) UNEP should utilize follow-up activities to assess impact;

(e) UNEP should assess and document its catalytic role and demonstrate that its knowledge products are influencing Governments, other United Nations organizations, non-governmental organizations, and the private sector to manage the environment better.

2. Design

(a) Finding

324. As discussed in greater detail in chapters V and VIII, manifestations of weakness in the project design process reported in past annual evaluation reports have also been revealed in the present subprogramme and in-depth project evaluation reports.

325. The programmatic and institutional constraints identified affect programme and project delivery in terms of delayed commencement and completion and failure to achieve the quality of results and outputs expected. Consequently, the evaluation has raised concerns as to whether the capacity to sustain the processes created and results achieved have been retained. Therefore, the evaluation underlines the need for the UNEP management to take concrete measures to improve design and thereby enhance the delivery and impact of UNEP's projects.

326. The following recommendations are therefore put forward:

(a) UNEP should institutionalize systematic appraisal of project concept and implementation strategy to arrive at implementable project documents;

(b) The Project Approval Group should take stricter measures in reviewing and approving project proposals to ascertain that the project formulation framework includes the tools for assessing assumptions, project duration estimates and resources required, as stipulated in the UNEP Project Formulation, Approval, Monitoring and Evaluation Manual.

(c) Programme and project managers should establish appropriate coordination and follow-up mechanisms, assess the institutional capacity of executing and cooperating agencies selected to implement projects and harmonize the participating organizations' respective internal policies and procedures as they relate to project implementation.

Terms of reference for the 2000 annual evaluation report

The purpose of the 2000 Annual Evaluation Report is to provide a comprehensive analysis and objective assessment of UNEP's performance in 2000. The main objectives are to share the evaluation results with Governments and for UNEP to use the report as a management tool. This evaluation report is also one of UNEP's accountability measures to its Governing Council, donors, partners and the United Nations.

The evaluation report is a summary of programme delivery during 2000 and focuses on the main issues arising from the analysis, rather than merely listing the findings of each evaluation. The thematic approach will allow the major themes that occur in the evaluations to be clearly understood and will enable UNEP to determine the overall outcome of its activities. Emphasis will be placed on the impacts of evaluation on programme and project management and policy formulation.

The 2000 Annual Evaluation Report produced by the Evaluation and Oversight Unit will cover aspects of UNEP's work by analysing and summarizing the results of subprogramme and division and project evaluations and self-evaluation fact sheets submitted to the Evaluation Unit during 2000 (see attached list). Discussions with key members of UNEP staff will complement the review of evaluation reports, project documents, progress reports and publications. Wherever applicable, statistical analysis shall be applied to some aspects of evaluations, such as budget variance and project/programme duration. The evaluation report will also assess if and how the recommendations of the 1999 Annual Evaluation Report have been implemented and what impact they have had on UNEP's programme delivery in 2000.

Specifically, this evaluation report will provide a summary of the projects evaluated in a logical sequence, which embodies the main facets of "evaluation"; relevance, effectiveness, efficiency and impact. It will also provide a summary of the actions taken following the recommendations of the 1999 Annual Evaluation Report and the Management response to that report.

1. Relevance and appropriateness:

To determine the relevance of subprogrammes and projects in terms of the 1998-1999 and 2000-2001 work programmes, taking note of the overall priorities and plans of UNEP, including UNEP's mandate and the decisions of the Governing Council. It should be determined:

- whether the objectives of the subprogrammes are pertinent to the goals set out for UNEP and if the projects represent a suitable and appropriate means of achieving those aims;
- whether the expected outcomes and results of the subprogrammes or projects contribute to the attainment of the UNEP objectives and long term goals;
- whether the subprogrammes and projects are appropriate for achieving the UNEP priorities;
- whether strategic planning measures within the subprogramme/project are relevant modes of operation. This includes an examination of the logical sequence and nature of activities in relation to the work programme;
- whether the quality and the usefulness of project outputs contribute towards the attainment of results and overall objectives;
- whether the subprogramme/project appropriately respond to identified environmental needs and problems.

2. Effectiveness and efficiency

To review the effectiveness of subprogrammes and projects, by:

- assessing the management and financial systems which affected subprogramme and project implementation;
- investigating the operational mechanisms with emphasis on how UNEP supports activities/projects;

- institutional arrangements, including how effectively UNEP has collaborated with other agencies and organizations and how these affect subprogramme or project implementation;
- determining UNEP's efficiency in programme delivery through the examination of subprogramme and project implementation.

3. Impact

To examine the impact being created by UNEP in the sustainable management of the environment:

- examining the catalytic function fostered by UNEP, including where possible, a presentation of how this has influenced policies, strategies and other activities of the cooperating agencies, Governments and partners;
- determining the progress made in attaining long-term results and how these results have impacted the environment;
- assessing the value of subprogramme or project results from any follow-up processes, such as, monitoring and reporting;
- evaluating the usefulness and impact of outputs, including where possible, the opinions of recipients and beneficiaries;
- judging the contribution of outputs and activities to the improvement of environmental quality and the implementation of sustainable development.

4. Policy and strategic management

To examine the impact of UNEP's evaluation process on the development of policy, strategic management and programming:

- If and how evaluation influences policy development;
- If and how evaluations contributes to strategic management;
- If and how evaluation results impact future programming.

In addition, the report will set out the outcomes and methods of improvement arising from the analysis. This is to be achieved through several steps.

- (a) State the major areas of concern arising from the analysis, separating the issues into:
 - policy concerns, such as institutional arrangements, administrative procedures and funding arrangements;
 - subprogramme and project concerns, such as implementation, management, attainment of results, and monitoring and follow-up.
- (b) Prepare recommendations, addressing both the policy concerns and the subprogramme and project concerns, that:
 - draw on the lessons learned from the successful implementation of relevant and effective subprogrammes and projects;
 - formulate responses that can be implemented efficiently and with available resources.
- (c) Review the implementation of the recommendations made in the 1998 Annual Evaluation Report by:
 - reviewing implementation of the UNEP management response to the 1999 Annual Evaluation Report and how this has impacted programme delivery in 2000.
 - reviewing the implementation plan set out in the 1999 Annual Evaluation Report;
 - reviewing the individual implementation plans for relevant subprogrammes and programme elements;
 - assessing implementation progress from information received by the Evaluation Unit and information from the subprogrammes and programme elements;

management of projects and subprogrammes, including the identification of aspects of project management that have improved as a result of learning from the evaluations. Examples must be given to demonstrate this impact;

- determining if and how evaluation recommendations have impacted the quality of project documents.
- (d) Set out a course of action necessary for UNEP to implement the 2000 recommendations and any outstanding matters from the previous year, taking into account the policy and subprogramme changes required.

Evaluation Schedule

The evaluation will be for a duration of 10 weeks spread over 12 weeks. A draft report will be submitted eight weeks after the commencement of the assignment. UNEP will take two weeks to give feedback on the draft and a further one week will be used to finalize the final document.

Report outline

Executive summary - Not more than five pages.

1. Introduction
 - Mandate
 - Objectives and priorities.
2. Purpose and methodology of the evaluation.
3. Appropriateness and relevance.
4. Effectiveness and efficiency.
5. Impact created by UNEP in the sustainable management of the environment.
6. Policy and strategic management.
7. Constraints/problems.
8. Lessons learned.
9. Recommendations.
10. Annexes.

12 April 2001

List of evaluations for 2000

Divisions and subprogrammes

1. Division of Technology, Industry and Economics (Paris office, Economics and Trade in Geneva and Chemicals in Geneva)
2. Environmental Impact Evaluation of ELI/PAC Evaluation in Asia and the Pacific (ROAP).

In-depth project evaluations

1. GF/5300-97-03 - A Participatory Approach to Managing the Environment: An Input to the Inter-American Strategy for Participation (ISP).
2. GF/1200-98-10 – Global Biodiversity Forum (GBF): Broadening Support for the Implementation of the Convention on Biological Diversity - Phase II.
3. CP/5220-97-08 – Training on Environmental Management for Industry and Business in Thailand.
4. GF/1100-97-07 – Strategic Action Programme for the Binational Basin of the Bermijo River.
5. FP/1100-98-11 – Support to Global Programme of Action for the Protection of the Marine Environment from land-based activities.
6. GF/2200-96-16 - LESOTHO: Enabling Activities for the Implementation of the United Nations Framework Convention on Climate Change.
7. GF/2200-97-45 – Assistance to Selected Non-Annex 1 Parties for the Preparation of Initial Communications – CAMEROON
8. GF/2200-97-40 – Assistance to Selected Non-Annex 1 Parties for the Preparation of Initial Communications – ZAMBIA
9. GF/2200-97-43 – Assistance to Selected Non-Annex 1 Parties for the Preparation of Initial Communications – TANZANIA
10. In-depth Evaluation of EA/1100-98-03 – Eastern African Coordinating Unit for the Eastern African Action Plan of the Nairobi Convention and its Protocols.
11. In-depth Evaluation of MT/1100-99-06: Joint Initiative of World Commission on Dams and United Nations Environment Programme (Environmental and Socio-economic Impacts of Large Dams).

Desk project evaluations

12. CP/1300-98-03 – Survey and Evaluation of Existing Networks to Support the Implementation of the Convention to Combat Desertification
13. CP/5220-98-02 – Economic Evaluation of Environmental Impacts on Urban and Industrial Sectors in Thailand

List of self-evaluation fact sheets and terminal reports for 1999

1. FP/CP/4330-96-06 Information Unit for Conventions (IUC)
2. ME/XM/1100-98-07 Support to the Blue Plan Regional Activity Centre (BP/RAC)
3. CP/1300-97-01 Wind Erosion in Africa and Western Asia - Problems and Control Strategies
4. GF/1100-97-15 Rescue Plan for the Cap Blanc Colony of the Mediterranean Monk Seal
5. FP/5024-00-01 Regional Office for Latin America and the Caribbean
6. FP/5540-99-01 Early Warning of Emerging Threats to the World's Freshwater Resources
7. FP/5100-96-25 Production of GEO 1
8. ME/1100-98-09 Technical support to the implementation of MEDPOL - PHASE III programme
9. FP/CP/5300-96-01 Co-ordination of Public Awareness, Education and Outreach to Major Groups activities
10. CP/5100-97-70 Capacity-building in Integrated Modeling and Assessment to Support Regional Environmental Policy Setting Process and Global Environmental Outlooks – Terminal Report
11. GF/1200-98-88 Support to the Preparation of a National Biosafety Framework
12. FP/CP/5100-97-82 Global Environment Outlook 2: Participation of Bangladesh Centre for Advanced Studies (BCAS)
13. FP/CP/6106-83-03 Demonstration Project for Increasing Legume Protein Production in Small Farms through Biological Nitrogen Fixation (Sudan)
14. FP/0312-95-15 Support for the preparation of Global Strategies and Action Plans for Elephant and Rhinoceros
15. FP/0312-94-14 Conservation of Biological Diversity in Wildlands and Protected areas of Latin America and the Caribbean
16. FP/6105-93-04 Assistance for the Preparation of Biodiversity Country Study in Mozambique
17. FP/1002-95-04 Indicators of sustainable development Phase II
18. GF/5300-97-03 A Participatory Approach to Managing the Environment: An Input to the Inter-American Strategy for Public Participation (ISP)
19. FP/0313-94-36 The Wetlands of South America: An Agenda for Biological Diversity Conservation and Policy Development
20. FP/0312-94-18 African National Parks and other Protected Areas in the Next Century
21. CP/0312-95-14 Study of the Blue-Fronted Amazon in Argentina and its breeding and habitat selection

22. GF/1200-98-74 Support to the Preparation of a National Biosafety Framework
23. GF/RA/8201-91-01 Support to the Scientific and Technical Advisory Panel (STAP) of the Global Environmental Facility (GEF) – Terminal
24. ME/1100-98-08 Technical Support for the Implementation of the Health-Related Aspects of the Mediterranean Action in the Framework of the MED POL Programme for Pollution Prevention and Control
25. FR/1300-97-01 Sustainable Management and use of Natural Resources
26. GF/1100-97-04 Global International Waters Assessment (PDF-B)
27. GF/1200-98-79 Support to the Preparation of a National Biosafety Framework
28. FP/5100-96-23 GEO1: Regional Assessment and Policy Consultation – Terminal Report
29. FP/5510-98-07 Coordination of Regional Inputs into GEO-2, Including a Regional Policy Consultation on GEO-2 for Latin America and the Caribbean
30. FP/9101-96-56 Support and Service Environmental and Natural Resources Environmental Networks (ENRIN) – Capacity-building for Environmental Assessment, Reporting and Geo-referenced Database Management in Latin America and the Caribbean
31. FP/1200-98-09 Models for Integrated Management of Himalayan System
32. FP/5240-96-01 Support for the Implementation of UNEP's Programme of Work in Latin America and the Caribbean
33. FP/CP/RA/03/3100-96-01 International Register of Potentially Toxic Chemicals – UNEP/CHEMICALS
34. FP/CP/5100-97-71 Global Environment Outlook 2: Participation of the Regional Environmental Centre for Central and Eastern Europe (REC)
35. PO/3100-97-03 International Action on Persistent Organic Pollutants
36. FP/CP/5100-97-81 Global Environment Outlook 2: Participation of the Asian Institute of Technology
37. GF/1200-98-81 Support to the Preparation of a National biosafety Framework
38. FP/CP/5100-97-75 Global Environment Outlook 2: Participation of the University of Chile in GEO-2
39. FR/1300-97-01 Support of Desertification Control Activities in the Commonwealth of Independent States (CIS)
40. CP/5100-97-76 Global Environment Outlook 2: Participation of the Brazilian Institute of the Environment and Renewable Natural Resources (IBAMA)
41. CG/5400-96-02 Use of Geographic Information Systems in Agricultural Research Management, Phase II
42. FP/CP/5400-96-01 Design and Operation of the Integrated UNEP Environmental Information Service - Terminal Report

43. RA/5400-96-10 Mercure-Bringing into Operation - Terminal Report
44. FP/1400-96-02 ENRIN Africa: Support and Service Regional Environment and Natural Resources Information Networks for Environmental Assessment, Reporting and Database Management - Terminal Report
45. FP/RA/5550-98-01 Environmental Assessment, Regional Networks and UNEPNet/MERCURE – Terminal Report
46. FP/5100-97-01 UNEP/SCOPE Collaboration in Support of GEO 2: Emerging Environmental Issues
47. FP/1001-95-02 Support the Earth Report
48. FP/5100-96-26 Cooperation with WRI as a UNEP Collaborating Centre for International Environmental Assessment, Reporting and Forecasting
49. FP/1400-96-29 Preparatory Assistance for Environmental Information Systems Development
50. FP/5100-96-01 Management, Co-ordination of Environment Assessment, Including the System-wide Earthwatch Co-ordination - Terminal Report
51. FP/5510-99-05 Cooperation with WRI as a UNEP Collaborating Centre for International Environmental Assessment, Reporting and Forecasting
52. FP/5540-99-07 Upgrade of the UNEP Web sites – Terminal
53. FP/5510-98-11 Reefs at Risk Report
54. CP/5510-98-04 Global Environment Outlooks for the Lome Countries of the Caribbean and Indian Ocean – Terminal
55. CP/5510-98-08 Global Environment Outlook for the South Pacific
56. FP/5510-98-05 Co-ordination of Regional inputs into GEO-2, Including a Regional Policy Consultation on Geo-2 for West Asia – Terminal
57. FP/1004-95-07 Establishment of GRID-Compatible Data Centre at the Regional Centre for Services in Surveying, Mapping and Remote Sensing (RCSSMRS), Nairobi
58. FP/1400-96-01 ENRIN: Support and Servicing of Regional Environment and Natural Resource Information Networking for Assessment and Reporting – Terminal
59. FP/4310-99-01 Integrated Waste Management in Indian and Atlantic Oceans
60. FP/5100-96-22 Global Environment Outlook: Review of GEO I by the World Resources Institute (WRI)
61. FP/EL/0702-94-05 Environmental Law and Institutions in Africa – Terminal Report
62. MT/5510-93-13 Youth Edition of GEO
63. FP/9101-94-59 Cooperation with World Resources Institute in the Publication of "World Resources 1996-1997", Indicator and Scenario Development Activities

Mediterranean Interest

65. FP/0401-94-20 Support for the group of Experts on Scientific Aspects of Marine Environment Protection (GESAMP) - Terminal Report
66. GF/1100-98-17 Integrated Water Resource Management and Sustainable Development of the San Juan River Basin and its Coastal Zone
67. FP/4306-96-01 Implementation of the Programme for the Development and Periodic Review of Environmental Law for the 1990's (Montevideo Programme)
68. FP/5530-99-06 Development of a Collaborative Institutional and Data Framework for State of Environment Assessment and Reporting for Southern Africa
69. FP/1400-96-28 SADC Environment Information Systems (EIS) Development Support Programme; Networking and Regional Database
70. FP/CP/5100-97-78 Global Environment Outlook: Participation of the India Musokotwane Environment Resource Centre for Southern Africa (IMERCSA)
71. FP/1400-96-39 Establishing and Strengthening In-country Training Capacity and Infrastructure for Environmental Resource Information Management, Uganda
72. ET/5240-96-02 Environmental Training Network for Latin America and the Caribbean
73. GF/1200-95-53 Conservation of Graminae and Associated Arthropods for Sustainable Agricultural Development in Africa
74. GF/1100-95-47 UNEP Support to GEF Capacity-building in Integrated Assessment of Climate Change in Developing Countries and Countries with Economies in Transition
75. GF/1100-95-59 Biodiversity Conservation and Integration of Traditional Knowledge on Medicinal Plants in National Primary Health Care Policy in Central America and Caribbean
76. GF/1100-96-41 Transboundary diagnostic analysis including identification of pollution hot spot areas
77. CT/1200-98-13 Provision of Trade Monitoring Technical Services to CITES Secretariat
78. GF/ME/1100-96-03 Formulation of a Strategic Action Programme for the Mediterranean Sea, to address pollution from land-based activities
79. GF/1200-98-86 Support to the Preparation of a National Biosafety Framework
80. FP/0202-95-08 Support to the Washington Global Programme on Protection of the Marine Environment from Land-based Activities
81. FP/WA/5101-89-01 Assessment and Control of Pollution in the Coastal and Marine Environment of West and Central African Regions
82. FP/5101-93-05 Coastal Erosion (EAF/10) and Environmental Impact Assessment (EAF/11) in the Eastern African Region - Case Studies

Mediterranean Action Plan in the framework of the MED POL Programme for Pollution Prevention and Control

84. ME/XM/6030-00-07 ERS/RAC assistance to Mediterranean Countries for widening the knowledge and understanding of Mediterranean environment state and changes, through the use of remote sensing
85. ME/XM/6030-00-12 Support to Regional Activity Centre for Specially Protected Areas (SPA/RAC)
86. BL/3010-00-06 Post Conflict Environmental Assessment in Albania
87. MT/1100-99-06 Joint Initiative of the World Commission on Dams and the United Nations Environment Programme (Environmental and Socio-economic Impacts of Large Dams)
88. ME-6030-00-13 Technical support to the implementation of MEDPOL - Phase III programme
89. ME/XM/6030-00-18 Support to the Blue Plan Regional Activity Center
90. FP/CP/6105-90-01 Support to the Conservation and Management of Biological Diversity
91. FP/6105-90-02 Support the Assessment of the International Biosphere Reserve Network and for the further Implementation of the Action Plan for Biosphere Reserves
92. FP/9101-88-83 Support for the Publication and Promotion of "Caring for the Earth: A Strategy for Sustainable Living"
93. GF/1100-97-14 Integrated Management of the Water Resources of the Rio Sao Francisco Basin and its Coastal Zone
94. GF/1100-96-13 Water Resources Management in the Bermijo River Binational Basin
95. GF/1100-97-13 Integrated Management of the Upper Paraguay River Basin and Strategy for the Conservation of the Biodiversity in its Aquatic Ecosystems
96. FP/6105-91-02 Meeting between the African Elephant Range States and Donors on Financing of the Conservation of African Elephant
97. FP/CP/CM/0313-91-01 Assessment of Biological Diversity and Microclimate of The Tropical Forest Canopy: Phase 1
98. FP/0312-94-13 UNEP Elephant and Rhinoceros Conservation Facility
99. FP/6105-93-09 United National Report on the Protected Areas of the World
100. FP/6105-90-03 Scientific Management of Ecotones in a Changing Environment
101. FP/6105-93-06 Support to the Workshop Programme of the 19th Session of the IUCN General Assembly
102. FP/6105-92-01 Support to the IV World Congress on National Parks and Protected Areas
103. IM/0902-95-09 UNEPOZONE Action Programme to Implement Montreal Protocol
104. IM/2105-91-02 UNEPOZONE Action Programme to Implement Montreal Protocol

105. FP/9101-96-57 Europe: Support and servicing of regional environment and natural resource information networking (ENRIN) for assessment and reporting national surveys and project formulation
106. FP/RA/5550-98-01 Environmental Assessment, Regional Networks and UNEPNet/MERCURE – Terminal Report
107. FP/1010-00-01 Work programme for the Division of Environmental Information, Assessment and Early Warning - Latin America and the Caribbean component
108. EL/0702-94-06 Environmental Law and Institutions in Africa - Terminal Report
109. FP/6105-93-07 Biodiversity of Small Island Developing States
110. FP/9101-86-97 Strategic Resource Planning in Uganda
111. FP/9101-86-94 Conservation and Management of Plant Genetic Resources and Wild Relatives
112. RA/0302-94-04 First Meeting of Tiger Range States on the Conservation of the Tiger
113. FP/1200-98-14 Support to Cairo MIRCEN for Enhancing the Microbial Culture Collection Service and for Manpower Training and Research in Applied Environmental Biotechnology
114. FP/6105-84-02 Improving Management of Wildlife and Protected Areas
115. FP/1200-98-08 Partnership in Capacity Building for Sustainable National Plant Genetic Resources of Programmes
116. CP/5100-97-79 Global Environment Outlook 2: Participation of the Network for Environment and Sustainable Development in Africa (NESDA)
117. FP/CP/5100-97-77 Global Environment Outlook 2: Participation of the University of Costa Rica, Foundation for Research (FUNDEVI), on behalf of the University of Costa Rica
118. ME/RA/0401-94-04 Support to the Blue Plan Regional Activity Centre (BP/RAC)
119. FP/1200-98-01 Caring for Biological Resources
120. FP/EA/5101-01 Protection and Management of the Marine and Coastal Areas of the Eastern African Region - EAF/5
121. FP/0403-94-19 Protection of the Marine Environment from Land-based Activities – Terminal Report
122. ME/RA/0401-94-09 Support to the Regional Activity Centre for the Priority Actions Programme
123. ME/XM/1100-98-05 The Mediterranean Action Plan: Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea
124. ME/XM/6030-00-10 Support to the Regional Activity Centre for Priority Actions Programme
125. FP/AH/CP/5230-96-01 Support to Regional and Subregional Cooperation (ROE)

the use of Depleted Uranium (DU) during the Kosovo Conflict, 1999

127. FP/RA/CP/3000-00-01 The Environmental Policy Implementation
128. PP/3100-98-02 Fifth session of the Intergovernmental Negotiation Committee for an international legally binding instrument for the application of the Prior Informed Consent (PIC) procedure for certain Hazardous Chemicals
129. RA/5240-99-01 Programme for the Establishment of a Regional Environmental Unit in Central America
130. FP/1300-96-01 Caring for Land Resources Implementation of UNEP 1996-1999 Programme
131. BL/3010-00-07 Post Conflict Environmental Assessment in the Former Yugoslav Rep of Macedonia
132. FP/1300-86-01 Programme for the Establishment and Operation of the Regional Coordination Unit for Latin America and the Caribbean of the Convention to Combat Desertification
133. ME/CA/RA/0401-94-03 The Mediterranean Action Plan
134. GF/6105-92-65 Assistance for the preparation of a Biodiversity Country study in Jordan
135. FP/9101-98-52 Division of Environmental Information & Assessment Programme Coordination - Terminal Report
136. PP/3100-98-05 Conference of Plenipotentiaries on the Convention on the Prior Informed Consent Procedure for certain Hazardous Chemicals and Pesticides in International Trade -Terminal Report
137. PP/3100-96-04-04 Development of protocols for Prior Informed Consent (PIC)
138. GF/RA/8201-92-05 UNEP's Participation in the Global Environmental Facility (GEF) – General Support -Terminal Report
139. GF/1100-96-42 Critical Habitats and Ecosystems and Endangered Species in the Mediterranean Sea as part of the Transboundary Diagnostic Analysis

Annex IV

Implementation plan for the recommendations of the 1999 annual evaluation report

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
|--|--|---|--|--|--|
| STRUCTURAL FINDINGS AND RECOMMENDATIONS | | | | | |
| 1. Funding the environmental programme | | | | | |
| <p>(a) Trust funds have overtaken the Environment Fund as the primary UNEP funding resource since the 1998-1999 biennium, becoming a major funding source for the environment programme. The greater portion of the global environmental programme is being funded by trust funds, which are not directly controlled by the UNEP Governing Council. The Executive Director does not have flexibility in the use of trust funds either since these are earmarked;</p> | <p><u>Recommendation 1</u></p> <p>It is recommended that, in line with the management study, UNEP should initiate a comprehensive study that reviews the principles and procedures related to determination the areas of activities trust funds and counterpart contributions cover and how they are solicited and negotiated. Another complementary study addressing procedures governing the approval, extension, monitoring and reporting of these extrabudgetary resources should also be carried out. The aim of the two complementary studies should be to make recommendations that enhance stability in funding and the effective utilization of these resources in order to implement the global environmental programme. The resulting proposals should be discussed with donors and the relevant issues subjected to Governing Council decisions.</p> | <p>UNEP Secretariat should present a proposal for resource mobilization for the consideration and approval of the UNEP Governing Council</p> | <p>Realization of pertinent Governing Council decisions adopting UNEP's new resource mobilization strategy aimed at securing a reliable and stable funding mechanism that enables UNEP to meet its mandate and accomplish its mission for a better managed global environment.</p> | <p>Feb 2001 (21st Session of the UNEP Governing Council)</p> | <p>Executive Director</p> |
| <p>(b) Trust funds are not, however, drawing money away from the Environment Fund. The decline in the Environment Fund contributions is not due to an increase in trust funds because they result from different and very often unrelated decisions and considerations;</p> | <p>The proposed studies should take into account the UNEP draft strategy for resource mobilization in order to avoid duplication and consider policy and procedural areas not addressed by parallel studies.</p> | <p>UNEP should launch two management studies to further help mitigate its existing structural deficiency in funding by the effective utilization of extra-budgetary resources.</p> <p>1) Review of principles and procedures related to the determination of the areas of activities trust funds and counterpart contributions cover and how they are solicited and negotiated.</p> | <p>UNEP equipped with comprehensive knowledge and with recommended actions to enhance effective utilization of trust funds.</p> | <p>1st quarter 2001</p> | <p>The Senior Management Group, the Evaluation and Oversight</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| <p>(c) The report recognizes that UNEP can no longer survive without trust funds;</p> <p>(d) Under the current policy and management, trust funds could impact on and change the percentages allocated by the Governing Council. Since trust funds are earmarked, they do to a certain degree skew the Governing Council's approved priorities;</p> <p>(e) Finally, trust funds are not being managed in a manner commensurate with their role and size within the overall funding structure of UNEP's global environmental programme. They should no longer be taken as a supplementary funding source to the Environment Fund, as originally envisioned by the relevant General Assembly resolution. The evaluation recognizes that the proposed UNEP resources mobilization strategy is a positive step in the right direction.</p> | <p>It is recommended that the intended review should include a comprehensive strategy paper on predictable funding and resource mobilization, for submission to the Governing Council, on the basis of the proposals made in the draft strategy for resource mobilization and taking into account the results of the management study on trust funds and counterpart contributions, the outcome of the two complementary studies proposed by the present annual evaluation report and lessons learned from the experiences of other United Nations agencies, such as FAO and UNICEF.</p> <p>The present recommendation recognizes the recommendations put forward by Governing Council members at the recent Global Ministerial Environment Forum/sixth special session of the Governing Council, held in Malmö from 29 to 31 May 2000, calling for the consolidation of the trust funds that UNEP currently operates and for UNEP to develop a strategy on trust funds.</p> <p>The issue of non-predictable funding for UNEP must also be taken beyond the Governing Council back to the General Assembly, which established the Environment Fund as a voluntary contribution. The General Assembly should be requested to address this issue and come up with a more reliable</p> | <p>2) Review procedures governing the approval, extension, monitoring and reporting of extra-budgetary resources.</p> <p>NB – The Senior Management Group is also expected to take decisions on the findings and recommendations obtained in the Report of the Working Committee on the implementation of the study on trust funds and counterpart contributions. The report was submitted to the Deputy Executive Director on behalf of the Working Committee on 29 August 2000.</p> <p>Findings and recommendations in the above report, if adopted by the Senior Management Group, could initiate, <i>inter alia</i>:</p> <ul style="list-style-type: none"> Request to the General Assembly to increase the regular budget to UNEP; Appropriate instructions aimed to address programmatic issues that could enhance effective | <p>UNEP to take actions recommended to enhance the utilization of extra-budgetary resources.</p> | <p>1st quarter 2001</p> <p>2nd quarter 2001</p> | <p>Unit and Divisions concerned</p> <p>The Evaluation and Oversight Unit and Divisions concerned</p> <p>The Senior Management Group, the Evaluation and Oversight Unit and Divisions concerned</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| | funding mechanism for the programme on environment. Present experience shows that the arrangements as they stand are inadequate for funding a global environmental programme. | use of available funds; <ul style="list-style-type: none"> • A review of the existing and desired level of harmonization of the various environmental funding mechanisms in order to enable UNEP to deliver the global environmental programme. | | | |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| 2. Prioritization considerations at the design level | | | | | |
| <p>Under the current environment of unpredictable funding, the exercise of prioritizing and maintaining priorities through the life cycle of the subprogrammes has become difficult. As a consequence of the reduced flow of resource commitments, subprogramme activities and projects are often wholly postponed, suspended or are partially reduced. Such imposed revisions affect the ranking of the prioritization frame set in the programme of work, thereby degrading the overall intended impact of subprogramme or project activities originally set in the programme of work.</p> | <p><u>Recommendation 2</u></p> <p>Project design processes could help to mitigate or minimize the effect of such imposed measures by applying programme and project design approaches that isolate the effects of disruption, postponement, suspension or non-performance of subprogramme elements and components to those directly affected only. The structured or modular design approach offers such an advantage.</p> <p>Conceptually, the prioritization frame of subprogrammes and projects designed on the basis of the structured design approach, where appropriate (considering the size and duration of implementation of projects), could minimize the effects of disruption on specific components to the overall ranking of priorities of the subprogramme or the UNEP programme.</p> <p>Therefore, UNEP may need to explore and experiment additional subprogramme and project design approaches, including the structured or modular design approach that could mitigate the negative effects on the prioritization of programmes of work approved by the Governing Council.</p> | <p>UNEP should initiate a process to review existing programme/project design approaches and explore the applicability of new design approaches including structured or modular design</p> | <p>Identified programme/project design proposals that could mitigate the negative effects of unreliable funding impacting on the prioritization of work approved by the Governing Council</p> | <p>December 2001</p> | <p>Divisions, PAG, PCMU, the Evaluation and Oversight Unit</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| | While the above remains relevant in the short term, the long-term solution is for the Governing Council to match the approved programmes of work with the needed financial resources. | | | | |
| 3. Sustainability | | | | | |
| <p>In UNEP, the concept of sustainability is a core consideration in project implementation. Few projects, however, explicitly incorporate any activities that implement sustainability or follow-up action to assess whether or not the particular project will ensure the sustainability of activities or outputs upon completion of the project.</p> <p>In this important area, although most project evaluations have revealed the implementation of activities or use of outputs by targeted Governments and institutions, it is not clear, in most cases, whether Governments have incorporated such activities and policies in their respective national priority structures and thus ensured budgetary allocations (from public or private sources or through cooperation). Similarly it is not clear whether the integrated approach to the mitigation of most environmental problems at the</p> | <p><u>Recommendation 3</u></p> <p>UNEP should, therefore, address the issue of sustainability at the subprogramme and project design level, by incorporating follow-up activities in the project document that seek to establish the extent of sustainability achieved by a particular process or activity initiated by a project, with the ultimate aim of maximizing the value added of UNEP's investment.</p> <p>The follow-up exercise should seek to determine sustainability by assessing such indicators as: institutional capacity, enabling environment and financial sustainability. Above all, these mechanisms must measure whether or not UNEP's activities and outputs result in a policy change, which translates into improved environmental management.</p> | <p>Incorporate follow-up activity(ies) in the project document that assess the extent of sustainability achieved as a result of the project's input or a process the project initiated.</p> | <p>Appropriate instructions given to programmes and divisions.</p> <p>UNEP benefits from lessons learned on how its projects contribute to sustainability of environmental projects it implements or supports</p> | <p>1st quarter 2001</p> | <p>PCMU and divisions</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| <p>national level has been sufficiently internalized by ministries other than the focal ministry. In other words, UNEP does not know whether its activities and outputs have resulted in real changes that translate into better environmental management.</p> | | | | | |
| <p>4. Managing change</p> | | | | | |
| <p>Although the last three bienniums have been characterized by rapid structural changes in UNEP, it is too early to determine the effect of the latest change from a sectoral to a functional structure.</p> <p>The evaluation has, however, observed operational difficulties in the management and coordination of ongoing projects within the framework of the new structure, which developed under the previous structure.</p> | <p><u>Recommendation 4</u></p> <p>In future, whenever new structures are introduced, clear and effective transitional modalities that fuse existing and new procedures should be developed and put into effect on time. The performance of thematic and functional areas of activities has to be continuously monitored and reviewed in order to ensure synergy, throughout the design, implementation and evaluation of subprogrammes and projects.</p> | <p>Create a working committee, representing all programme divisions, to review and determine how the synergy of thematic and functional areas of activities, under the present new UNEP functional structure, is being effectively maintained.</p> | <p>UNEP appropriately geared to give balanced focus to functional and thematic environmental activities in conformity to its mandate and mission.</p> | <p>2nd quarter 2001</p> | <p>The Senior Management Group, Divisions, PCMU, and the Evaluation and Oversight Unit</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| B. BROAD ACTIVITIES | | | | | |
| 1. Capacity-building | | | | | |
| <p>Capacity-building is one of the major activities of UNEP. Concern has been expressed in the evaluation however, that project implementation reports do not provide information that could assist management to conclusively establish the effectiveness of individual activities. Furthermore, UNEP needs to determine whether individual training is more effective and creates more impact on sustainability than institutional capacity-building in dealing with environmental problems. UNEP needs to know what mix to apply between traditional training workshops and institutional capacity-building.</p> | <p><u>Recommendation 5</u></p> <p>The evaluation recommends that the Evaluation and Oversight Unit conduct a comprehensive study in the year 2001 on capacity-building activities UNEP has carried out over the past 10 years (1990-2000), across subprogrammes, divisions, sectors, functions and regions, to assess their effectiveness in terms of achieving sustainable capacity.</p> <p>The study should develop a framework for an appropriate approach to capacity-building in light of the positive and negative lessons learnt from carrying out capacity-building activities over the years.</p> <p>When such a study is undertaken, the following points may be considered:</p> <p>(a) A clear definition of capacity-building;</p> <p>(b) The establishment of indicators to assess the performance of capacity-building projects;</p> | <p>Develop comprehensive terms of reference and carry out evaluation on UNEP's system-wide experience on environmental capacity-building approaches, practices and activities.</p> | <p>A UNEP guideline on best practices and appropriate approaches for the implementation of effective environmental capacity-building activities.</p> | <p>3rd quarter 2001</p> | <p>The Evaluation and Oversight Unit and DPDL</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| | <p>(c) The appraisal of capacity-building projects conducted by other agencies for comparison purposes;</p> <p>(d) The full involvement of all UNEP divisions concerned;</p> <p>(e) Useful lessons and experiences learnt from other agencies (e.g. the ongoing study on the capacity-building aspect of GEF projects implemented by UNEP).</p> | | | | |
| 2. Publications and policy documents | | | | | |
| <p>Publications in UNEP form one of the major pillars of the organization's outputs. UNEP publishes numerous regular and one-off quality publications, journals, bulletins and policy documents for use by various target groups: researchers, development scientists, lecturers, Government officials and non-governmental organizations. There is no conclusive finding, however, as to what extent these publications are used and the impact they create on environmental action by Governments and other users.</p> | <p><u>Recommendation 6</u></p> <p>The evaluation recommends that the Evaluation and Oversight Unit in collaboration with Communication and Public Information and the relevant divisions, conduct a follow-up study in 2001 to determine the range of users of the various UNEP publications and the impact of such publications on the development of appropriate environmental policies and the promotion of action. Furthermore, the Evaluation and Oversight Unit should design an e-mail questionnaire, as part of the proposed study, to establish the effectiveness and impact of reports and publications on the environment.</p> | <p>Develop appropriate evaluation terms of reference and carry out evaluation of UNEP publications to determine the range of users and the impact of the publications on the development of consensus, appropriate environmental policies, and the promotion of action.</p> | <p>Lessons learned in the area of environmental publications registered for reviewing future strategies in the use of publications.</p> <p>Practical recommendations made to improve the efficacy of UNEP publications including, design, content, targeting, means of dissemination and distribution.</p> | <p>3rd quarter of 2001</p> | <p>The Evaluation and Oversight Unit, Communication and Public Information, and Earthprint</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| | <p>The Evaluation and Oversight Unit and Communication and Public Information should ask the UNEP publications distribution agency, based in the United Kingdom, to submit regular reports on the institutional buyers and subscribers of the publications. Such reports could then be used by the study to assess whether or not the publications are reaching the intended targets.</p> | | | | |
| <p>3. Assessment, development of databases and dissemination of information</p> | | | | | |
| <p>UNEP develops assessment tools and methodologies, databases and metadata as well as information systems to help Governments formulate policies, strategies and action plans to prevent environmental problems or mitigate their effects. Subprogramme evaluations, in-depth project evaluations and self-evaluation fact sheets have all revealed that such information is used to varying degrees by the targeted users.</p> | <p><u>Recommendation 7</u> The evaluation recommends that UNEP facilitate the effective access to such information by developing countries by providing technical assistance, including information technology transfer, in cooperation with United Nations and non-United Nations partners that have expertise in this area.</p> | <p>Explore possibilities and develop programmes for providing relevant technical assistance on Information Technology to enhance the capacities of developing countries to access and to also contribute to the growing volume and variety of environmental information and assessment tools.</p> | <p>Enhanced capacity of developing countries in managing the environment.</p> | <p>3rd quarter 2001</p> | <p>The Senior Management Group, United Nations agencies, World Bank</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| 4. Policy development and promotion of action | | | | | |
| <p>UNEP supports the building of a consensus on environmental issues at the global, regional and national levels through: its role as coordinator in the development of multilateral environmental conventions and provision of assistance in their implementation; regional arrangements; the development and application of various analytical tools and methodologies used for assessment and policy development; guidelines and action plans; environmental legislation, frameworks, studies and implementation approaches.</p> <p>The evaluation has observed inadequate financial and human resources, a lack of participation of all relevant stakeholders in the process of developing national policy instruments, a failure to solicit political commitment at the highest level possible throughout the project life-cycle as constraints impact negatively on the effective delivery of policy instruments. During the bienniums under review, these problems resulted in project budget overruns and an extension of completion dates.</p> | <p><u>Recommendation 8</u> The evaluation recommends that during the design process, project documents should try to appraise estimates and assumptions based on a thorough analysis of current situations, using more precise and appropriate forecasting tools. Such a thorough appraisal is particularly necessary when the environmental policy development process adopts an integrated and multidisciplinary approach involving many stakeholders.</p> | <p>Initiate a review process of analytical tools employed by UNEP in establishing assumptions and forecasts that impact on implementation of projects.</p> | <p>Better appraisal tools available for UNEP for use in the design of programmes and projects.</p> | <p>2nd quarter 2001</p> | <p>PCMU Programme Divisions</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| C. MANAGEMENT | | | | | |
| Self-evaluation fact sheets | | | | | |
| <p>In pursuance of Governing Council decisions GC 2/15 of 28 May 1984, 13/1 of 23 May 1985 and 14/1 of 17 June 1987, all UNEP projects must be evaluated. In order to meet this requirement UNEP requires all projects to prepare end of year self-evaluation reports.</p> <p>Although self-evaluation fact sheets are improving in terms of substance and number, less than 30 per cent of active projects submit their self-evaluation fact sheets, which indicates that UNEP is not benefiting from its experience.</p> <p>The evaluation reiterates that there is a clear need to strengthen the strict application of this management tool in order to both improve the performance of subprogrammes and assess the effectiveness and impact of subprogramme and project outputs.</p> <p>The evaluation therefore concludes that UNEP is not sufficiently using the evaluation mechanism to learn from experiences gained from the implementation of programmes and projects to improve policies and</p> | <p><u>Recommendation 9</u></p> <p>UNEP should make it clear that divisional directors are responsible for ensuring that their staff prepare self-evaluation fact sheets for all projects under their management. Not fulfilling this requirement means UNEP is not adhering to Governing Council decisions.</p> <p>Each division must write into their programme of work the preparation of self-evaluation fact sheets as part of the programme outputs and deliverables. The divisional directors must hold all their programme officers accountable for producing these self-evaluation fact sheets.</p> <p>It is recommended that at the beginning of each year, the Evaluation and Oversight Unit on behalf of the Deputy Executive Director provide each divisional director with a list of all active projects in the division, which must fill up self-evaluation fact sheets at the end of the year. The Evaluation and Oversight Unit will update the list at the beginning of each quarter.</p> | <ul style="list-style-type: none"> - In order to fully comply with pertinent Governing Council Decisions, UNEP management to remind divisions with a circular or directive to complete self-evaluation fact sheets for all ongoing projects under their management. - Divisions to include the preparation of self-evaluation fact sheets in their respective programme of work as outputs and deliverables. - To facilitate monitoring, the Evaluation and Oversight Unit to provide each division with a list of all active projects in the division for which self-evaluation fact sheets should be prepared at the end of the year. | <p>UNEP will be in a better position to systematically learn from experience gained from the implementation of programmes and projects through this vital management tool.</p> | <p>January 2001</p> <p>February 2001</p> <p>January 2001</p> | <p>Deputy Executive Director</p> <p>Divisions</p> <p>Evaluation and Oversight Unit</p> |

| Findings | Recommendations | Action required | Expected results | Date of completion | Responsible Unit |
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| project delivery. The United Nations Environment Programme (UNEP) management team is not systematically learning from its past and present experience with a view to improving the design and implementation of future programmes and projects. | | | | | |

Key

PAG: Project Approval Group
 PCMU: Programme Coordination and Management Unit
