



United Nations Environment Programme

Terminal Evaluation of Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa's Development (NEPAD)

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ACRONYMS

Acronym	Definition
AMCEN	African Ministerial Conference on Environment
AMCOW	African Ministerial Council on Water
AMU	Maghreb Arab Union
APAI	African Protected Areas Initiative
AU	African Union
CB	Capacity Building
CBD	Convention on Biological Diversity
CCD	Convention to Combat Desertification
CILSS	Permanent Inter-State Committee on Drought Control in the Sahel
COMESA	Community of East African States
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
GEF	Global Environment Facility
IGAD	Intergovernmental Authority on Development
IUCN	IUCN/The World Conservation Union
NEPAD	New Partnership for African Development
M & E	Monitoring and Evaluation
PCU	Project Coordination Unit
PSC	Project Steering Committee
PoW	Programme of Work
RIAA	Regional Implementation Annex for Africa
RECs	Regional Economic Communities
SADC	Southern African Development Community

SRAPs	Sub-Regional Action Plans (developed under the UN CCD)
SREAPs	Sub-Regional Environmental Action Plans
SRCC	Sub-regional Coordination Committee
TAG	Technical Advisory Group
TBD	To be determined
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

PROJECT IDENTIFICATION TABLE

Table 1: Project Summary Table

GEF project ID:	2520	IMIS number:	GFL/2328-2740-4793
Focal Area(s):	Multiple Focal Areas	GEF OP #:	12
GEF Strategic Priority/Objective:	CB2-Cross cutting capacity building	GEF approval date:	30 June 2004
UNEP Approval date:	22 July 2004	First Disbursement:	22 Jul 2004
Actual start date:	July 2004	Planned duration:	4.5 years
Intended completion date:	December 2008	Actual or Expected completion date:	December 2008
Project Type:	MSP	GEF Allocation:	USD 1,000,000
PDF GEF cost:	N/A	PDF co-financing:	N/A
Expected MSP/FSP Co-financing:	USD 2,445,000 (including co-financing to parallel activity I and II)	Total Cost:	USD 3,445,000
Mid-term review/eval. (planned date):	N/A	Terminal Evaluation (actual date):	April-June 2013
Mid-term review/eval. (actual date):	N/A	No. of revisions:	5
Date of last Steering Committee meeting:	2007	Date of last Revision*:	March 2010
Disbursement as of December 2012 (UNEP):	USD 678,046	Leveraged financing:	
Total co-financing realized as of December 2008:	USD 2,325,000		

EXECUTIVE SUMMARY

1. Capacity development is a major priority for the international development community. It is a central theme of the global environmental conventions and their implementing mechanisms and institutions including the Global Environment Facility (GEF). For Africa, lack of institutional capacity to implement global environmental conventions in a coordinated and strategic manner is one of the most compelling impediments to sustainable development. The UNEP-GEF "**Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa's Development (NEPAD)**" project was developed under the cross-cutting capacity development (building) initiative of the GEF, which supports capacity building as a means to improve individual and institutional performance for progress towards global environmental gains, as well as to help countries meet their requirements under the environmental conventions.¹
2. Capacity building was identified as a key element for the effective implementation of the NEPAD's environmental action plan that was endorsed by African ministers in 2003. This project presented a unique opportunity to implement NEPAD's own capacity building initiative which was submitted and adopted at the Partnership Conference on the Environment Initiative of NEPAD in December 2003². The capacity development initiative developed under the NEPAD Action Plan for the Environment was consistent in its objectives, scope and approach with the GEF Strategic Approach to Capacity Building approved by the Council at its meeting in November 2003. Both aimed to enhance the human and institutional capacities of countries to address global environmental challenges more effectively.
3. The UNEP-GEF project, "**Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa's Development (NEPAD)**", was developed with the following objectives:
 - i. to develop five sub-regional action plans (North Africa, Economic Community for West Africa States, Community of East Africa States, Economic Community of Central Africa States, Southern Africa Development Community) which will take into account activities identified by African Governments during the development of the NEPAD Environmental Action Plan to strengthen collaboration, capacity and action at the sub-regional level to implement the NEPAD Environmental Initiative;
 - ii. to develop a coordinated and strategic approach within the GEF and with other international and bilateral donors to assisting countries to implement the NEPAD Environmental Action Plan through a stocktaking of on-going assistance, identification of

¹ The GEF website : http://www.thegef.org/gef/capacity_development

² NEPAD Website: <http://www.nepad.org/climatechangeandsustainabledevelopment/climatechange/about>

- gaps in such assistance, and development of a process of consultation and exchange of information among interested donors; and
- iii. to strengthen the capacity of the African Regional Economic Communities and the NEPAD Secretariat to prepare and implement Sub regional environmental action plans(SREAPs) and to mainstream environmental issues into their regular activities.
4. The **“Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa’s Development (NEPAD),”** project was approved by the GEF Secretariat in June 2004 and implementation initiated in July 2004. According to the medium-sized project proposal the Executing Agencies (EAs) of the project were the African Development Bank and the Secretariat of NEPAD in collaboration with the African Union Commission. Subsequently the Project became internally executed by UNEP/DGEF, which monitored implementation of the activities undertaken during the execution of the project as well as providing technical and logistical backstopping to the process. NEPAD/ADB/AU had political oversight of the process in planning and execution of the Action Plan. UNEP/DGEF monitored implementation of the activities undertaken during the execution of the project and also served as implementing agency of the project. The project was completed in December 2008. Interviews with UNEP staff and managers indicate that UNEP backstopped the process fully due to the limited capacity of the newly formed NEPAD Secretariat.
 5. In accordance with UNEP/GEF M&E policies and procedures for all regular and medium-sized projects supported by the GEF, the **“Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa’s Development (NEPAD)”** the project now undergoes a final evaluation upon completion of implementation in order to measure performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback and knowledge sharing through results and lessons learned among UNEP, NEPAD, the GEF and their partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation.
 6. As stated in the Terms of Reference, evaluative evidence was assessed against GEF evaluation standards for Relevance, Effectiveness, Efficiency, Sustainability, Replication & Catalytic Role, as well as other factors affecting performance such as management and complementarity. Along these areas, the project was assessed with respect to a sufficient but minimal set of evaluation criteria, grouped in four categories: (1) Attainment of objectives and planned results; (2) Sustainability and catalytic role; (3) Processes affecting attainment of project results; and (4) Complementarity with the UNEP strategies and programs.
 7. The evaluation had some major limitations. The main limitation to the evaluation is that the project was completed, in 2008. Some five years have passed since completion. This caused some gaps in data collection, particularly with respect to gathering primary sources of evidence as there had been some turnover of task managers at UNEP and NEPAD. In addition, access to the coordinators at the five Regional Economic Communities (RECs), who were the main beneficiaries of the capacity building efforts of the project at sub regional level, was severely impacted by the fact that most had moved on, taking institutional memory with them. The evaluation relied heavily on the internet, and other secondary sources of information to gain insights on processes affecting project sustainability and catalytic role and outcomes to impact.

Another limitation was that the project had weak monitoring and reporting processes, and no formal review had been carried out to measure progress at mid-term.

Attainment of objectives and planned results

8. Overall rating for attainment of objectives and planned results is **Moderately Satisfactory (MS)**
9. The project attained most of its planned **outputs and activities**. It facilitated the preparation and development of five Sub-regional Environmental Action Plans (SREAPs). All five of the SREAPs, identified bankable projects to address gaps in the assistance given to African regions to implement international and regional environmental agreements. Through the process of preparation of the SREAPs, the project facilitated the development of a sub-regional programmatic approach and partnership through its extensive consultative processes. It also established a Technical Support Unit (TSU) at the NEPAD Secretariat whose function was to provide the technical and coordination support necessary to the Regional Economic Communities (RECs) of Africa (North Africa, Economic Community for West Africa States, Community of East Africa States, Economic Community of Central Africa States and the Southern Africa Development Community) to develop and prepare the SREAPs. The project also facilitated the establishment of a database at the TSU, intended to assist in strengthening interregional partnerships across Africa and disseminating best practices and lessons learned. Overall rating for **achievement of outputs and activities** is rated as **Satisfactory (S)**.
10. In terms of **relevance**, the evaluation rates the project as **Highly Satisfactory**. The evaluation concludes that the project was highly responsive to the capacity development articles of the Multi-lateral environmental agreements (MEAs) and assisting countries to implement the agreements. Assessment of documentation and semi structured interviews with key UNEP, NEPAD and GEF Secretariat personnel revealed that it was fully consistent with UNEP's mission and at the time, work programs and priorities, as well as with GEF strategy on cross cutting capacity development. The project was also highly responsive to and coherent with the sub regional priorities of African countries. Sub regional needs are incorporated in the NEPAD's Environment Initiative and Action Plan, which was endorsed by African leaders.
11. In terms of **effectiveness**, the evaluation gives an overall rating of **Moderately Satisfactory (MS)**. Firstly, the evaluation concludes that the project effectively facilitated its first objective i.e. the development five sub-regional environmental action plans (SREAPs) which took into account activities identified by African Governments during the development of the NEPAD Environment Action Plan to strengthen collaboration, capacity and action at the sub-regional level to implement the NEPAD Environment Initiative. The quality of the SREAPs was satisfactory and the plans were responsive to the NEPAD Action Plan of its Environmental Initiative. The project satisfactorily enabled improved communication and dialogue between African and development partners in the implementation of NEPAD, evidenced by the documented strategy meetings, workshops and other information exchange, consultation and dialogue processes supported by project, throughout the process of development of the SREAPs.

12. On the basis of assessment of documentation and semi-structured interviews with key personnel, the evaluation concludes that the project was partially effective in achieving its second objective i.e. developing a coordinated approach in donor assistance and identifying gaps and proposing pilot projects that address the gaps within the SREAPs for all the Regional Economic Communities (RECs). Although the process of gap analysis had already been occurring before project implementation, the project effectively leveraged these activities into the process of developing the SREAPs. The project also used the gap analysis to propose pilot projects to address the gaps in donor assistance. The project was however, not as effective as intended in terms of achieving better coordination of donor assistance to African Countries in the implementation of the NEPAD Environment Initiative. There was no evidence that the project set up adequate donor specific consultative processes such as a donor communication/coordination platform that would have at least created a space to engage donors and Africa leaders in forging a pathway towards achievement of this objective. In question is of course was the willingness of donors to formally engage with the project in this way at the time of project implementation.

13. The project was not as effective in achieving its third objective i.e. strengthening the capacity of the African Regional Economic Communities (RECs) and the NEPAD Secretariat to prepare and implement the five SREAPs and mainstream environment into their national activities. For example, two of the sub regional plans were prepared by the IUCN, an international NGO, thus rendering some doubts of the projects effectiveness in developing enough capacity within the RECs to actually prepare the SREAPs. There was also a continued lack of capacity, at the NEPAD Secretariat Technical Support Unit (TSU) to provide the necessary quality control and technical backstopping to the RECs. This is despite the fact that the project did assist in building human capacity at the NEPAD Secretariat by providing a technical advisor from UNEP and by providing support for staffing environmental units at regional level at the RECs.³ The project could have benefited from a baseline assessment that could have identified more accurately, the level of institutional and human capacity support needed at both the NEPAD Secretariat and at the RECs earlier on in project implementation.

14. In terms of the **Review of outcomes to impacts**, the project has been rated as **Moderately Unlikely (CC)** for **Overall likelihood of impact achievement at project end**. By project end, the project had achieved only one of three immediate outcomes. Because the project attained one of its main outcomes i.e. adoption of the SREAPs, the evaluation rated attainment of outcomes as a C (i.e. the project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding). However, the evaluation concludes that some measures designed to move towards intermediate states had started, but had not yet produced results. Thus the evaluation rated the project as a C for movement towards intermediate states. Measures designed to move towards intermediate state of countries

³ The recruitment of Environment and Natural Resources Coordinators in the RECs

mainstreaming environment into their regular national level activities included the implementation of a parallel project specifically designed to achieve this.⁴

15. Although the SREAPs were prepared and adopted, there was a lack of evidence to suggest that measures were taken by project completion to implement the SREAPs i.e. securing of financing from the GEF. However, despite having no funding secured at project end, some of the identified activities in the SREAPs have over the years been implemented by various donors. However, despite these new initiatives the SREAPs are not fully implemented and funding is still being sought by the regions and NEPAD to assist in this endeavour.⁵ (See para 25 and Sections on catalytic role in main report)
16. The project faced a number of challenges in moving towards achievement of intermediate states. There are reasons for this described in the paragraphs below on sustainability, some of which were beyond the control of the project. However, the project itself had not assessed risks adequately; in fact an analysis of risks and assumptions was absent in the project design, making the project overly ambitious from the onset and this contributed to the limited measures taken to move towards intermediate states.⁶
17. On a positive note, the project achieved outcome 1. It facilitated the adoption of five sub-regional action plans (SREAPs) that take into account activities identified by African Governments during the development of the NEPAD Environmental Action Plan to strengthen collaboration, capacity and action at the sub-regional level for implementation of the NEPAD Environment Initiative The preparation and adoption of the SREAPs at the highest political level, set the stage of identifying relevant and ambitious bankable projects that could be implemented at a regional level on the African continent.
18. As mentioned earlier, immediate outcomes 2 and 3 were not successfully achieved. Outcome 3, which involved the establishment of a Technical Support Unit (TSU) at the NEPAD Secretariat for technical backstopping and development of a data base for dissemination of lessons learned, was partially achieved. A database was created and contained a Directory of African Regional Contacts; there is however no evidence that the TSU was collecting or disseminating lessons learned. There was no evidence that the project facilitated outcome 2, "An initiative and agreement with donors and partners on a coordinated and strategic approach to addressing gaps identified in the gap analysis." This however, and as mentioned earlier, may have been out the control of the project and raises the question of the willingness of the donor community at the time to engage with the project and its partners at the time of implementation. The project may have also been overly ambitious in attaining to achieve this outcome by project end.

⁴ UNEP project " Capacity building for the integration of environmental management into national poverty reduction programmes" Funded by the Belgian Partnership , specifically aimed at building capacity to implement Multi-Lateral Environmental Agreements (MEAs) at national level

⁵ See NEPAD Agency annual Report 2011.

<http://www.nepad.org/system/files/NEPAD%202011%20Annual%20Report%20-%20FINAL.pdf>
and AMCEN 14/REF/2, REVIEW OF THE IMPLEMENTATION OF THE ACTION PLAN
OF THE NEPAD ENVIRONMENT INITIATIVE.

⁶ Described in the Project Concept Report of the Terminal Evaluation.

19. Going further along the path to impact, the evaluation concludes that the project was not very effective in strengthening collaboration, capacity and action to implement the NEPAD Environment Initiative that could lead to actual changes in African countries' ability to implement national environmental action programs and policies. It is evident that implementation of the SREAPs was not achieved successfully due to lack of funds, inadequate institutional capacity and understaffing at the Technical Support Unit (TSU), as well as the project not putting in place key mechanisms such as a coordinated approach to donor assistance for implementation of the NEPAD Environment Action Plan. It was difficult to assess the direct contribution of this project to actions undertaken by countries to draft national environmental action plans and policies. However, evidence of countries implementing plans/policies can be directly related to a parallel project that was implemented alongside this project, which specifically aimed at building capacity to implement Multi-Lateral Environmental Agreements (MEAs) at national level.⁷
20. Failure to successfully achieve the two immediate outcomes described in the preceding paragraphs led to difficulties in attaining the medium term outcomes as described in the TOC Diagram 1. on page 44. However, direct contribution/attribution to impact for capacity building projects in a short time of implementation of 5 years is difficult to attain let alone assess. Credit must be given to the project implementers for realizing this fact and using parallel projects implemented alongside this project to assist in catalyzing national level activities. Thus this project must be viewed as a first step towards achieving impact. The project implementers, however, were overly ambitious in project design in attempting to achieve most of its stated outcomes. However, the project has the potential to also be continued as an integral part of the implementation of the new and revised NEPAD Environment Action Plan currently being pursued by the NEPAD Secretariat in order to achieve full implementation of the SREAPs in a more coordinated manner.
21. In terms of **efficiency**, the project was relatively efficient in making use of / building upon pre-existing institutions, agreements and partnerships for implementation of its activities. The project did apply cost- or time-saving measures and used UNEP for oversight and financial backstopping relatively efficiently. The project did assign the UNEP project manager to the NEPAD Secretariat to serve as advisor on the project and other UNEP initiatives related to the African Union. However, despite this support the Technical Support Unit (TSU) experienced lack of capacity to efficiently use pre-existing institutions and partnerships particularly at the Regional Economic Communities (RECs) throughout its implementation. To be fair, institutional bottlenecks at the RECs themselves contributed to inefficient use of the pre-existing agreements and partnerships, particularly with respect to transfer of funds from the TSU to the RECs. The RECs themselves were more unprepared than anticipated institutionally to make more efficient use of the technical support provided by the TSU. Because the bulk of the funds were administered by the UNEP, with the TSU managing a small proportion, the evaluation has thus rated the project **Satisfactory (S)** for **efficiency**.

⁷ UNEP project " Capacity building for the integration of environmental management into national poverty reduction programmes" Funded by the Belgian Partnership.

Sustainability and catalytic role

22. **Financial Sustainability** of the results of project activities and outputs hinged on continued financial support to fully implement the SREAPs and to sustain mainstreaming activities and capacity development at regional and national levels. There is no evidence that financial resources necessary to implement the SREAPs were ensured at project end. According to interviews conducted by this evaluation, changes in funding modalities at the GEF Secretariat during the implementation of this project made it particularly difficult to obtain financing for the implementation of the SREAPs, which was to be the next logical step for this project. In September 2005, the GEF Council adopted the Resource Allocation Framework (RAF), a new system for allocating GEF resources to recipient countries, making it more difficult to obtain funding for regional approaches. Nevertheless the project could have made efforts to identify other sources of funding. The project implementers did not undertake a midterm evaluation. A midterm evaluation could have provided the necessary guidance to assist the project implementers and partners develop a strategy for raising funds.
23. The **Institutional sustainability** of the project results also depended on, and continues to depend on, the ability of the NEPAD to supply targeted guidance and technical support to the RECs in ways that ensure the relevance of the SREAPs at the highest political levels within the AU and NEPAD and at national level. Institutional sustainability also depends on the ability of UNEP, NEPAD and other partners to retain institutional memory. **Socio-political Sustainability** depended on Donor support for a coordinated approach in implementing the NEPAD Action Plan, which is important for providing a platform for cohesive policy-making, additional financing, and other follow-on activities and the political stability of the African regions. The likelihood of these factors not being achieved were not incorporated as risks into the project design and measures taken to minimize risks were not evident in the assessment of implementation. The evaluation thus rates **Sustainability** overall as **moderately unlikely (MU)** based solely on this project's achievements.
24. However, it must be emphasized that the SREAPs remain a significant part of the strategy with which the African continent can use to better implement international and regional environmental initiatives. Better sustainability of the results of this project can be achieved, if and when a follow up to this project is undertaken, taking into account the catalytic role of the project described below.
25. The projects **catalytic role** however has been moderately effective. First, the project was one of the first investments into implementing the NEPAD Environment Action Plan. In addition, although the project immediate outcomes were not adequately attained, there is some evidence (although mostly secondary), that there has been some uptake and use of the SREAPs after project end. Some of the bankable projects/programs identified in the SREAPs are being implemented by a number of donors today. For example the West, Southern, Eastern and Central African Regional Economic Communities SREAPs all projects related to land degradation as major priorities for their regions. In 2006 the GEF allocated under its Land Degradation Focal area, USD 150 million to the TerrAfrica Strategic Investment Program for sustainable land management in Sub-Saharan Africa (TerrAfrica/SIP). The North Africa and ECOWAS (West Africa) SREAPs identified sustainable land and water management

programmes in the Sahara and Sahel Green belt as a priorities for that region. The GEF has since partnered with the World Bank and other partners such as NEPAD and the AU to support the Great Green Wall Initiative, a multi-sectoral program covering among others land, water and forest management⁸. The exact or direct catalytic role of this project with respect to the development of these initiatives was difficult to assess, mainly due to the differing views of the partners interviewed during this evaluation. At best, these processes seem to have been developing at the same time and had some influence over each other. However, both the SREAPs project and subsequent initiatives being implemented can be directly linked to the catalytic role of the development and adoption of the NEPAD Environment Action Plan (EAP). However, despite these new initiatives the SREAPs are not fully implemented and funding is still being sought by the regions and NEPAD to assist in this endeavour.⁹ The evaluation rates **catalytic role and replication as Moderately satisfactory (MS)**.

Processes affecting attainment of project results

26. The projects mechanisms on **readiness and preparation** at design were **moderately satisfactory (MS)**. The implementation structure of using the NEPAD and the relevant bodies of the AU, such as the AMCEN, to support the political processes, served the project relatively well in ensuring political support at the highest level during implementation. Although the project design ensured political support and country driven-ness, it did not adequately assess at design stages, the capacities of partner institutions to effectively carry out their expected responsibilities as executing agencies.
27. Although **Supervision and backstopping** at UNEP was **Moderately Satisfactory (MS)**, the amount of supervision required to support the TSU at the NEPAD Secretariat and the RECs appears to have been underestimated. Financial management at the NEPAD Secretariat was not as satisfactory, evidenced by delays in disbursing funds to the Regional Economic Communities (RECs). The delays were in part also due to bottlenecks at the RECs themselves in terms of absorptive capacity of support from the project. In addition, some funds were unallocated at project end and there were delays in returning the unused funds from the NEPAD TSU to UNEP. However, a baseline could have been conducted during project preparation or implementation to assess the absorptive capacity of the RECs at the time. The project's expected and realized levels of in-cash and in-kind co-financing were met relatively well. Overall since the bulk of the administration of the project was managed by UNEP, and a smaller portion managed by the NEPAD Secretariat, **financial management and planning** is rated **Moderately satisfactory (MS)**.

⁸ SREAPS documents of the African RECs, NEPAD Report on Programmatic activities(2011) and GEF Website on Land Degradation Focal area.

⁹ See NEPAD Agency annual Report 2011.

<http://www.nepad.org/system/files/NEPAD%202011%20Annual%20Report%20-%20FINAL.pdf>
and AMCEN 14/REF/2, REVIEW OF THE IMPLEMENTATION OF THE ACTION PLAN OF THE NEPAD ENVIRONMENT INITIATIVE.

28. Finally, Overall rating for **Monitoring and Evaluation** is **Moderately Unsatisfactory (MU)**. According to UNEP, at the time of project preparation, the GEF's requirements for elaboration of monitoring and evaluation plans, including budgeting and funding during project preparation were quite different from what is expected today. Nevertheless, the evaluation concludes that the project's **monitoring plan and reporting** were insufficient to measure and track the attainment of the objectives and there was no evidence of a formal review to assess progress at mid-term. According to UNEP, there was no requirement to undertake a midterm review for projects of this type. However, the evaluator notes that a mid-term evaluation could have provided adaptive strategies, institutionally and politically, as well as improved project implementation which could have ensured more success in attaining results.
29. **Stakeholder participation** was **satisfactory (S)** based on the documentation of meetings and workshops, and the consultative processes throughout implementation. It is evident that the main beneficiaries of the project were involved in the preparation and development of the SREAPs and that regular consultative process were carried out with the involvement of high level African Government officials, which ensured the adoption of the SREAPs at the highest political level, i.e. AMCEN.

Complementarity with the UNEP strategies and programs

30. The project and its expected accomplishments and activities were fully aligned with the UNEP's programme of work at the time, as well as with the Bali Action Plan. The Governing Council of the United Nations Environment Programme (UNEP) decided in 1998 to include Africa among its five areas of concentration. Since then, priority has been given to Africa to address its increasing environmental challenges. The project was part of the UNEP sub-program for support to Africa at the time. As an implementing agency of the GEF, UNEP initially supported the preparation and finalization of the Action Plan for the Environment Initiative of NEPAD with the African Ministerial Conference on the Environment (AMCEN), secretariat of NEPAD, the African Union and the Commission of the African Union. The project was the next step towards implementation of the Action Plan. The project was fully aligned with the Bali Action Plan for capacity building and South-South cooperation which called for *facilitating countries in the South to identify and access available technologies, expertise, experiences, opportunities, best practices, methodologies, advisory services, training, etc. in order to strengthen the overall capacity building and technology support processes in these countries.*¹⁰ It is the assessment of this evaluation through semi-structured interviews and other documentation that the project neither addressed nor targeted gender issues systematically in its implementation. However, when linked to country level activities through the two parallel projects implemented alongside this project, gender sensitive activities were carried out at country level.

Conclusions and Recommendations

31. This evaluation concludes that the project has contributed to some important results, such as the development and adoption of five SREAPs that took into account the NEPAD Environment

¹⁰ Bali Action Plan

Initiatives Action Plan. The project also raised awareness of environment issues within NEPAD as it was developing its First Action Plan. The project helped plant the seeds for addressing identified gaps in donor assistance to Africa on environmental issues by identifying bankable projects to address those gaps within the SREAPs some of which have links to some projects being implemented by some donors today. However, by project completion, its achievements had not reached beyond the adoption of the SREAPs, although some activities of the parallel projects assisted in facilitating national level activities. In addition, lessons learned had not been published nor disseminated by the Technical Support Unit established at the NEPAD Secretariat.

32. Difficulties in reaching beyond its immediate outcomes can be attributed to the fact that risks were not incorporated into the project design and the fact that the project had not considered alternative mechanisms to secure funding for the SREAPs by project end. Funding issues may have been related to the global economic crisis and also to the change in funding modalities at the GEF Secretariat for GEF 4 that may have affected the ability to obtain funding for the bankable projects at regional level.
33. The reach of the projects results was also limited by a number of factors, such as inadequate administrative capacities at the NEPAD Technical Support Unit (TSU) and with institutional bottlenecks at the RECs in the process of developing and preparing the SREAPs as well as high staff turn-over at UNEP, and at the RECs after the project ended. In addition the complexities of achieving a coordinated approach in donor support as well as the political instability of some regions, such as North Africa, were also a limiting factor in sustaining the project's results. The project also faced a number of internal barriers to scaling up and replication, such as the relatively low levels of country capacity to implement activities at national level, and inadequate budgets in- country to fully mainstream the environment into regular development activities.¹¹
34. The Evaluation also concludes that, the SREAPs remain a significant part of the strategy with which the African continent can use to better implement international and regional environmental initiatives. The NEPAD is currently undertaking revisions of its Environment Action Plan (EAP) and if the recommendations and lessons learned given by this evaluation are taken on board and incorporated into a revised Action Plan, this could invigorate the SREAPs and could possibly ensure that the stakeholders work in a more coherent manner on environmental issues. Based on primary and secondary evidence, even though the NEPAD has since improved in terms of capacity and staffing at its environmental unit as a result of other initiatives that were implemented after this project, there is still a need to strengthen the capacity at the NEPAD Secretariat particularly in light of the review of its Environment Action Plan. In addition, better sustainability of the results of this project can be achieved, if and when a follow up to this project is undertaken, taking into account the catalytic role of the project.

¹¹ Evidenced by the Terminal Evaluation of UNEP project "Capacity building for the integration of environmental management into national poverty reduction programmes" Funded by the UNEP/Belgian Partnership

35. The evaluation has the following recommendations for future initiatives such as this project:

- a) **Recommendation 1:** Given that the SREAPs project was one of the first attempts to build capacity and coordination in implementing regional and multilateral environment agreements through the newly established NEPAD, there would be valuable lessons and knowledge sharing to be gained by examining the project through a broad lens, rather than just through the individual project lens of a terminal evaluation. The project has contributed specific results, as discussed in the evaluation, .but it would be highly useful to gain a perspective as to whether a regional approach is something that should continue to be supported under capacity building modalities, or if interventions at the country level are most effective. This could be pursued through a NEPAD/UNEP single or series of workshops to develop lessons learned documentation and knowledge sharing, and through publications to be generated out of this work.
- b) **Recommendation 2:** while the substantive aspects of the project had notable risks related to sustainability, the risks were not documented during project design or during implementation. Although, there was mention of some unpublished analyses having been done, these have certainly disappeared and faded away as “gray” literature unless they are appropriately archived and referenced for broader long-term availability. The most useful way to do this would have been by ensuring that the key project lessons referring to risks and assumptions outputs were posted in the appropriate location such as on the NEPAD database/website. This should have been done as soon as possible following project completion in order to strengthen the likelihood of sustainability of project results as much as possible. However this can still be done as NEPAD undergoes a review of its Action Plan.
- c) **Recommendation 3:** One of the weaknesses of the project was its ineffectiveness in forging an agreement with the donor community to implement the NEPAD Environment Initiative in a more coordinated manner. The development of a donor platform that actively engages all donors, African Leaders and other relevant stakeholders in a serious dialogue regarding funding gaps and coordination should be considered during the review of the NEPAD Action Plan. This would be a more effective way to garner an African –driven, donor supported plan for the next stages of the implementation of the NEPAD Action Plan.
- d) **Recommendation 4:** Funding for implementation of the SREAPs was not realized at project end. According to interviews conducted by this evaluation, changes in funding modalities at the GEF Secretariat made it particularly difficult to obtain funding for the implementation of the SREAPs which was to be the next logical step for this project. For this reason and others, the evaluation recommends that a future initiative project seeks to identify alternate sources of funding such as the private sector, both overseas and national/local investors to address funding gaps that cannot be filled by traditional donors, particularly in the current economic climate.

- e) **Recommendation 5:** If a follow on project is to be undertaken by the NEPAD and /or UNEP, it is recommended that a thorough baseline is conducted early on in the process to assess the current capacity of African regions/countries to implement international and regional environmental agreements.

- f) **Recommendation 6:** It is also important to assess the current feasibility of the SREAPs and the activities developed during the implementation of this project. A revision of each SREAP may be necessary for a future follow on initiative. It is expected that much has changed economically, politically and socially in terms of the needs of the African regions in this respect. Similarly, African regions /countries should embark on incorporating environmentally sound investment type initiatives in the identification of bankable projects. In this regard, private sector engagement early on in project design and subsequently during implementation would be advantageous for initiatives of this type.

- g) **Recommendation 7:** The evaluation also recommends that further strengthening of the Technical Support Unit at NEPAD in human and financial terms is required, to be able to facilitate implementation of the SREAPs, as well as monitor their implementation more effectively in the future.

Lessons learned

36. The evaluation deduced the following lessons learned for this project.

- a) **Lesson 1:** The project benefitted from the engagement of and garnering of support of high level political processes at the very onset of its design and implementation. This served the project well and contributed significantly to the adoption of the SREAPs by AMCEN. It is important that a future project of this type emulate this project on this aspect. The fact that a high level process was engaged from the outset gave legitimacy to the process at the beneficiary level i.e. the RECs, as well as garnering national level support for the consultative processes facilitated by this project. It is also essential in gaining national support to mainstream environment into national level activities. A parallel project facilitated mainstreaming into national levels and based on evidence garnered by this evaluation would have been far more difficult to implement if these processes had not had recognition at the highest political levels in AMCEN.

- b) **Lesson 2:** Operational challenges and political processes can often frustrate positive intentions. The project concept was well-grounded, had good intentions, and was opportunistic and relevant at the time. However, various operational issues created gaps in project implementation and contributed to uncertainty with respect to sustainability. Operational risks – especially in light of expectations for partner

institutions - need to be clearly and carefully analyzed at the project design phase, and appropriate risk mitigation measures identified from the beginning. In addition, assessment of institutional capacities of implementing/executing partners is an absolute necessity in the beginning to ensure effective management of finances and adequate provision of technical support to project beneficiaries for projects of this kind.

- c) **Lesson 3:** This project could have benefitted from a baseline assessment and a more adequate monitoring plan and process, as opposed to the half yearly and annual reporting that was used to measure progress. A Mid-term evaluation or review could have been helpful in re- strategizing its focus and for assessing performance to assist in the terminal evaluation. In addition, an effective and well-structured documentation process or platform could have been more useful for measuring project progress. Similar future projects should consider how to improve mechanisms to support the process of ensuring that beneficiary institutions develop a reporting requirement that informs policy-making, assesses progress on capacity development, and helps enable mainstreaming the environment into national activities.
- d) **Lesson 4:** Since it is difficult to attain measurable outcomes within the short time frame of most capacity development projects, it is important to ensure that the project design is not overly ambitious from the onset. For example, attempting to institutionalize an agreement with various donor agencies for a more coordinated approach to implementing the NEPAD Environment initiative in the project time frame was overly ambitious and even more so without carefully analyzing the willingness of donor agencies to collectively agree to such an approach beforehand. The project could have benefitted from designing a multi-phase process, rather than attempting to achieve many things at once. This could have also assisted in planning for follow-up financing and identifying possible financing sources from various avenues at each phase during the implementation process, which was absolutely critical for sustaining project results.

Overall the evaluation rates the **Project** as **moderately satisfactory (MS)**. A summary of evaluation ratings is given in Table 1 below.

Table 1: Project Terminal Evaluation Rating Summary

Criterion	Summary Assessment	Rating
A. Attainment of project objectives and results		MS
1. Effectiveness		MS
2. Relevance		HS
3. Efficiency		S
B. Sustainability of project outcomes		MU
1. Financial		MU
2. Socio-political		MU
3. Institutional framework		MU
4. Environmental		N/A
C. Catalytic role		MS

Criterion	Summary Assessment	Rating
D. Stakeholders involvement		S
E. Country ownership / driven-ness		HS
F. Achievement of outputs and activities		S
G. Preparation and readiness		MS
H. Implementation approach		MS
I. Financial planning and management		MS
J. Monitoring and Evaluation		MU
1. M&E Design		MU
2. M&E Plan Implementation		MU
3. Budgeting and funding for M&E activities		MU
K. UNEP Supervision and backstopping		MS
1. UNEP		MS

Most criteria rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

Rating of Attainment of project objectives and results. A compound rating is given to the category based on the assessment of relevance, effectiveness and efficiency. This aggregated rating is not a simple average of the separate ratings given to the evaluation criteria, but an overall judgement by the consultants. Relevance and effectiveness, however, will be considered as critical criteria. This means that the aggregated rating for Attainment of objectives and results may not be higher than the lowest rating on either of these two criteria. **Ratings on sustainability.** According to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions. **Ratings of monitoring and evaluation.** The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design) as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

I. I. EVALUATION BACKGROUND

A. Context

37. In October 2001, African heads of State adopted the New Partnership for African Development (NEPAD). NEPAD, an African Union (AU) strategic framework for socio-economic development, seeks to address critical challenges facing the continent: poverty, development and Africa's marginalization internationally. At the adoption of NEPAD, African leaders pledged, "...that they have a pressing duty to eradicate poverty and to place their countries, both individually and collectively, on a path of sustainable growth and development, and at the same time to participate actively in the world economy and body politic."¹² Under the leadership of the African Ministerial Conference on the Environment (AMCEN) and in close cooperation with the secretariat of NEPAD, the African Union and the Commission of the African Union, UNEP acting as an Implementing Agency of the GEF, provided support for the preparation and finalization of the Action Plan for the Environment Initiative of NEPAD which was adopted at the second Special session of AMCEN held in June 2003.
38. The Environment Initiative was endorsed by the second Assembly of Heads of State of the African Union held in July 2003. The overall objective of its Action Plan is to complement the relevant African processes, including the work program of AMCEN, with a view to improving environmental conditions in Africa and thus contribute to economic growth and poverty eradication. Capacity building was a key element of the initiative, stating that it "will build Africa's capacity to implement regional and international environmental agreements and to effectively address African environmental challenges within the overall context of the implementation of NEPAD". A capacity building initiative was submitted to and adopted by the Partnership Conference on the Environment Initiative of NEPAD in December 2003. The framework action plan also included a specific annex – the strategy plan for capacity-building-containing detailed ideas of how this should be put into practice. The project under evaluation – **"Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa's Development (NEPAD)"** - was responding to the priority activities for the implementation of the Action Plan.
39. The need for sub regional environmental action plans for NEPAD's Environment Initiative was highlighted upon adoption of an Action Plan on the Environment Initiative at the second special meeting of AMCEN held in Maputo, Mozambique on 10-12 June 2003. The sub regional plans were expected to take into account the specific needs and circumstances of the African regions. More than 200 project concepts were identified with 68 considered as priority projects by a high-level preparatory meeting, attended by 800 African experts and held in Algiers on 15-16 November 2003. They were submitted to the Partnership Conference on the Environment Initiative of NEPAD held in Algiers on 15-16 December 2003 with the participation of 1200 delegates.

¹² NEPAD Website: <http://www.nepad.org/climatechangeandsustainabledevelopment/climatechange/about>

40. It is within this context that at the GEF Council held on 19-21 November 2003 “*Several Council members noted the importance of capacity building in implementing the Environment Initiative of NEPAD and urged the GEF to be a partner in these efforts*” (Paragraph 65 of the Co-chair Summary). The GEF Council identified several ways in which the GEF could support the implementation of the Action Plan¹³ and it was suggested that support could begin with a cross cutting across focal area medium-size project that would provide a coordinated approach and implementation plan for the Action Plan together with the preparation of five sub regional environmental action plans. The plans were based on the 8 programmatic areas¹⁴ and activities identified in the regional action plan.
41. The GEF cross cutting capacity building medium-size project supports targeted capacity building across all focal areas¹⁵. It is a cost effective means of addressing capacity building needs at a systemic or institutional level that are not unique to any one focal area. By creating synergies, such as improved coordination and collaboration, it reduces overlap and duplication of activities and improves the implementation of the conventions, while at the same time catalyzing the mainstreaming of MEAs into national policy, management or financial and legislative frameworks.
42. The NEPAD initiative presented a unique opportunity for collaboration in the African region, through the GEF and its Implementing and Executing Agencies, to enable cooperation with the countries and regional organizations participating in the initiative. This would ensure the effective programming and integration of GEF resources and activities to assist African countries to implement their commitments under the global and regional environmental conventions.
43. Changes in project context since design: Context and relevance did not change, as responding to capacity building needs remained, and continued to be a key element of NEPAD’s work program, as well as a regional priority.

B. The Project

Rationale, objectives, components, intervention areas and target groups

44. The Project was designed to strengthen the capacity of African institutions to implement global environmental conventions using a regional capacity development approach. Specifically, the project was expected to strengthen the capacity of Africa’s sub regions to implement the NEPAD Environment Initiative and Action Plan and to mainstream the environment into national activities. This would ultimately lead to improved environmental conditions and poverty reduction in Africa. The project would build capacity institutionally within NEPAD and the Regional Economic Communities (RECs) to enable action at the sub-regional level and improve coordination of donor funded activities in implementing the Action Plan.

¹³ See GEF Council paper 2003.

¹⁴ The 8 programmatic areas of the Action plan are: Land degradation, drought and desertification; Conserving Africa’s wetlands; Prevention, management and control of invasive species; Conservation and sustainable use of marine, coastal and freshwater resources; Combating climate change in Africa; Transboundary conservation or management of natural resources;

¹⁵ The GEF’s focal areas are Biodiversity, climate change (mitigation & adaptation), chemicals, sustainable forest management (and REDD+), ozone layer depletion, international waters and land degradation.

45. The UNEP-GEF project, "Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa's Development (NEPAD)", was developed with the following objectives:

- a) to develop five sub-regional action plans (North Africa, Economic Community for West Africa States, Community of East Africa States, Economic Community of Central Africa States, Southern Africa Development Community) which will take into account activities identified by African Governments during the development of the NEPAD Environmental Action Plan to strengthen collaboration, capacity and action at the sub-regional level to implement the NEPAD Environmental Initiative;
- b) to develop a coordinated and strategic approach within the GEF and with other international and bilateral donors to assisting countries to implement the NEPAD Environmental Action Plan through a stocktaking of on-going assistance, identification of gaps in such assistance, and development of a process of consultation and exchange of information among interested donors; and
- c) to strengthen the capacity of the African Regional Economics Communities and the NEPAD Secretariat to prepare and implement Sub regional NEPAD environmental action plans and to mainstream environmental issues into their regular activities.

46. The project had 3 main project components:

- i) Preparation of Sub-Regional Environmental Action Plans
- ii) Stocktaking exercise, identification of gaps and identification of bankable projects
- iii) Technical Support Unit

47. The expected project outcomes were:

Outcome 1: Five Sub- regional Environmental Action Plans for Maghreb Arab Union (UMA), Economic Community of West African States (ECOWAS), Community of East African States (COMESA), Community of East African States (ECCAS) and Southern African Development Community (SADC) prepared and finalized and submitted for adoption by AMCEN and the relevant organs of NEPAD and the African Union.

Outcome 2: A comprehensive overview of on-going bilateral and multilateral interventions of relevance to the Action Plan on the Environment initiative of NEPAD and its regional environmental action plan will be finalized. It will contain a gap analysis and bankable projects will be identified aimed at filling the gaps from the list of priority projects and others projects submitted to the Partnership Conference of NEPAD held in Algiers on 15-16 December 2003. A dialogue between Africa and its partners will be enhanced at the Second Partnership Conference on the environment initiative of NEPAD to be held in Dakar, Senegal in December 2004.

Outcome 3: Capacity of the African Regional economics communities and the Secretariat of AU/NEPAD enhanced through the provision of technical support provided by the technical support unit of the project.

Project Milestones

48. The project was initiated in July 2004 and completed in December 2008. The project was a GEF financed Medium-Sized project (MSP). The project received GEF CEO Approval during GEF -3 phase.
49. The project's key milestone dates are shown in Table 1 below. The project development period did not include a PDF. The project development period from GEF approval (June 2004) to project start up in July 2004 was about a month. Project's Inception workshop was held fairly quickly at UNEP, Nairobi in September 2004. Project activities begun almost immediately in September with the first in a series of technical training workshops held back to back with the inception workshop. Previous GEF program evaluations have determined that the average for GEF MSPs from PDF-A to implementation start (up to 2006) was approximately 30 months (2.5 years).¹⁶ Thus, if considering the official project implementation start, this project was faster than the average of course taking into consideration that it did not go through the PDF phase. In total for the project, from implementation start to project operational closing spanned a total period of 54 months (4.5 years). The project was completed 6 months after expected date of completion.

Table 2: Project Milestones

Milestone	Actual date [B]
3. CEO Approval	June 22, 2004
4. Agency Approval (Prodoc signature)	July 22, 2004
5. Implementation Start (first disbursement)	July, 2004
6. Mid-term Review	None
7. Terminal Evaluation Completion	June 2013
8. Project Operational Completion	December, 2008

¹⁶GEF Evaluation Office. 2007. "Joint Evaluation of the GEF Activity Cycle and Modalities," Evaluation Report No. 33. Washington, D.C.: GEF Evaluation Office.

Implementation arrangements and main partners

50. The project was implemented and executed by UNEP/DGEF in Nairobi. According to the medium-sized project proposal for GEF funding, the Executing Agencies (EAs) of the project were the African Development Bank and the Secretariat of NEPAD in collaboration with the African Union Commission. The UNEP was Lead Agency for Project Execution and Management which included day to day management Coordination with GEF, IAs, RECs, and NEPAD and AU. Supporting agencies for project execution were International NGOs (such as IUCN). The Organizations named as executing agencies on the project document for GEF funding (i.e. AU, NEPAD, and AFDB) were indicated as providing support and advice for general policy guidance relating to the MSP and AMCEN programme of work. This was the arrangement adopted during implementation of the project. The African Development Bank and the African Union provided political oversight for the project in collaboration with the AMCEN Secretariat based at UNEP Headquarters in Nairobi.
51. Project oversight and implementation was led by a GEF Inter-Agency Task Force Committee. According to documentation provided to the evaluation, Five Inter-Agency Task force meetings for the project were held in 2005, on the margins of the expert consultative meetings to evaluate the expert meetings, update on project implementation, and agree on a way forward for the finalization of the SREAPs. The preparation of the SREAPs was led by the RECs with technical backstopping provided by the NEPAD Secretariat's Technical Support Unit. The project also signed a Memorandum of Understanding with IUCN for the preparation of the draft sub-regional action plans for the five sub-regions.

Financing (amounts and sources)

52. The cost of the project is described below:

Table 3: Project Costs

Cost of the Project:		
	US\$	%
Cost to the GEF Trust Fund	1,000,000	32
Co-financing:		
	<i>In-cash</i>	
Belgium	1,780,000	
Norway	500,000	
Denmark	85,000	
Libya	30,000	
AMCEN Trust Fund	20,000	
Algeria	30,000	
Sub-total for co-financing	2,445,000	68
Total Cost	3,445,000	100

53. The “Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa’s Development (NEPAD),” project was initiated in July 2004. The project was a GEF financed Medium-Sized project (MSP). As per GEF policy for MSPs, total GEF grant amounted to USD1million with expected in kind and cash co-financing of USD2, 445,000. According to the project documents and Co- financing Report as of December 2012, all disbursements were grants provided by governments and other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries and were linked to two parallel projects funded by the Belgium and Norway. Total co financing realized by the project; as of December 2012 was USD 2,325,000. Co- financing sources are described in the table 2 below

Table 3: Co-financing Sources ¹⁷

Co-financing (Type/Source)	IA own Financing (US\$)		Government (US\$)		Other* (US\$)		Total (US\$)		Total Disbursement (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual ¹⁸
– Grants			2,425,000	2,305,000	20,000	20,000	2,445,000	2,325,000	2,325,000	2,325,000
– Loans/Concessional (compared to market rate)										
– Credits										
– Equity investments										
– In-kind support										
– Other (*)										
Totals			2,425,000	2,305,000	20,000	20,000	2,445,000	2,325,000	2,325,000	2,325,000

Modifications to design before or during implementation

54. In 2004 the Project Document was reviewed and revised based on request from the NEPAD Secretariat for project to support enhancing capacity of the RECs. There were no known modifications to the design of the project during implementation. A Sub-Project Agreement signed with the NEPAD Secretariat, provided funding from reallocated funds from the Umbrella MSP to support recruitment of Senior Environmental and Natural Resource Experts in 4 of the RECs and a long term consultant for North Africa (AMU). It was believed that this recruitment would help strengthen the limited capacity of the RECs to implement the action plan.

¹⁷ UNEP. Co financing Report December 2012.

¹⁸ These are figures as at Dec 2012. Actual figures to be confirmed upon closure of Belgium-funded project.

C. Evaluation objectives, scope and methodology

55. As stated in the Terms of Reference (TOR), the overall objectives of the evaluation was to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, NEPAD, the GEF and their partners
56. The evaluation used evaluative evidence to assess against the standard GEF evaluation standards for Relevance, Effectiveness, Efficiency, Sustainability, Replication & Catalytic Role, as well as other factors affecting performance such as management and complementarity. Along these areas, the project will be assessed with respect to a sufficient but minimal set of evaluation criteria, grouped in four categories: (1) Attainment of objectives and planned results; (2) Sustainability and catalytic role; (3) Processes affecting attainment of project results; and (4) Complementarity with the UNEP strategies and program
57. Based on the terms of reference the evaluator established key evaluation questions that reviewed the overall relevance of the project within the broader context of the NEPAD Environment Initiative and Action Plan as well as its relevance at the regional level for Africa. At the global level, the evaluation assessed whether the project was aligned with global priorities, as well as the priorities of UNEP, and the GEF, and whether - after 4 years of operation and 5 years since it ended - it is still relevant and if it has contributed to intended impacts. Please refer to Annex 2 for a comprehensive description of evaluation criteria and key questions.
58. The evaluation also assessed whether the design and concept of the project, was indeed **relevant** to the participating countries and beneficiaries. The evaluation also assessed complementarity with the UNEP strategies and programs focusing on the extent to which the project complemented UNEP strategies and programs, including the incorporation of gender in its activities and promoting south-south cooperation.
59. With regards to **effectiveness**, the evaluation assessed the extent to which the project achieved its results such as intended activities, outputs and impacts. It will assess the achievements at the immediate outcome level. Although indicators were not included in project documentation explicitly, the evaluator suggests evaluation indicators within the evaluation matrix in addition to resources that served as reference.

60. Under the **efficiency** criterion, the evaluation consultant undertook an examination of project delivery mechanisms vis-à-vis institutional and management arrangements that provided additional evidence on the extent to which the project has been able to develop and execute processes and structures that are conducive to reaching objectives. It reviewed the timeliness of intended outputs and activities against intended deadlines suggested in the project document. An analysis of whether the project achieved efficiency in leveraging intended changes through partnerships and using a minimal amount of finances, time, and/or other resources was carried out. This assessment particularly looked at the efficiency of the project in providing technical support along with other services and assessed the causes behind and effects of UNEP assuming responsibility as executing agency, such as the type of support provided and the impact this had on the capacities of the regional economic communities.
61. Under the **Sustainability and catalytic role** criteria, the evaluation team assessed whether the benefits gained by NEPAD and regional programs in Africa through the project are likely to have been sustained beyond its life. The evaluation measured outcomes to impacts using the ROTI approach to assess progress made towards achieving project's main objective and towards the three main outcomes of its the implementation, assess causal pathways and likelihood of impact in the long term. The evaluation focused on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assessed efforts and achievements in terms of replication and up-scaling of project lessons and good practices.
- 60 With regards to processes affecting attainment of project results the evaluation assessed project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation(M & E)systems.
- 61 Since the project termination date occurred in 2008, the evaluation, as much as possible, entailed an examination of the depth and scope of reach of the program in contribution to regional and member countries' capacities to include environment in their own development activities. The evaluation used evidence-based triangulation to draw conclusions and to establish findings and provide key lessons learned. Furthermore, the evaluation helped enable gaining insight on gaps in the project to provide remedial actions for future projects. The evaluation also assessed in collaboration with UNEP staff of the appropriateness of the evaluation of the projects monitoring and evaluation plan and implementation, which was deemed unfeasible because of the relatively small sample size of representatives from the RECs.

Data Collection and Analysis

- 62 Both primary and secondary data were collected as part of the evaluation process. Primary data was gathered through qualitative methods, including desk reviews, and semi-structured interviews. Secondary data was obtained mainly from the UNEP EO and UNEP task manager and FMO, NEPAD secretariat, and, relevant partners and other organizations.
- 63 Beyond the project's materials, the evaluator also examined relevant documentation on capacity development, NEPAD's Environment Initiative and Action Plan, socio-economic and environmental conditions in Africa and on current regional policies, strategies, multilateral agreements, approaches to capacity development among UN Agencies and other relevant entities. In relation to the factors affecting programme performance, the evaluator also consulted limited supporting materials on the relative effectiveness of management structures and administrative oversight, such as institutional evaluations or research on the relative effectiveness of various options.
- 64 The evaluator made field visits to UNEP HQ in Nairobi and the NEPAD Secretariat in Johannesburg, to hold in-person semi-structured interviews with UNEP staff and NEPAD Secretariat staff. No field visits were made to reach out to RECs coordinators.
- 65 Data analysis and triangulation of information included the comprehensive analysis of key relevant quantitative and qualitative data through the integration and comparison of findings from in-person and telephone interviews, and documentation review, respectively. The evaluation matrix served as a guiding framework for the evaluator to analyse information, ensure verification of data, and begin the articulation of key findings and lessons learned toward reaching outcomes, as well as formulate conclusions and recommendations.
- 66 The evaluation had three phases: (i) the inception phase, which aimed to plan and scope the evaluation, and develop the evaluation tools; (ii) the data collection phase, which used appropriate data collection methods and tools to collect pertinent information; and, (iii) the data analysis and reporting phase, which aimed to synthesise and analyse all collected data and present it in an evaluation report, with clear conclusions and recommendations. Due to insufficient sample size the evaluation did not use a survey method to gain further insights into the project implementation.

Limitations of the evaluation

- 67 The main limitation to the evaluation is the fact that the project was completed five years ago in 2008.¹⁹ This caused some gaps in data collection particularly with respect to task managers at UNEP and NEPAD, and accessing the coordinators at the five RECs, who were the main beneficiaries of the capacity building efforts of the project at sub regional level, and who had moved on, taking institutional memory with them. Despite several attempts by the evaluator and the UNEP EO, only one person from the RECs (SADC representative) availed themselves for an interview. This severely impacted the ability to conduct a survey as well. The evaluator spent a considerable amount of time trying to locate key personnel and to rely on the internet, and other secondary sources of information to gain insights. The evaluator consulted a wide variety of

¹⁹ GEF guidelines indicate that Terminal Evaluations be conducted within six months before or after project completion. See 'Guidelines for GEF Agencies in Conducting Terminal Evaluations'. 2008. GEFEO. Available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/Policies-TEguidelines7-31.pdf>

documentation from a variety of sources and relied on as many secondary sources as available. The quality and availability of data supplied to/found by the evaluator, such as the projects progress reports was sometimes inadequate to fully provide evidence for some aspects of the evaluation. This included information pertaining to quality of trainings and consultative meetings.

II. PROJECT PERFORMANCE AND IMPACT

A. Attainment of objectives and planned results

68 The evaluation rates the overall **attainment of objectives and planned results** as **Moderately Satisfactory (MS)**.

Outputs

69 The following section will discuss the extent to which the project succeeded in producing planned outputs. The projects planned outputs and their realizations are described in Table 5 below.

Table 4: Outputs

Component	Planned Outputs	Actual/Realized outputs
Component I Preparation of Sub-Regional Environmental Action Plans	Five sub-regional environmental action plans developed and approved at the regional level.	Five SREAPs were developed and approved from each of the RECs.
Component II Stocktaking exercise, gaps analysis and finalisation of bankable projects	<ul style="list-style-type: none"> Bankable projects to correct identified capacity deficiencies with respect to NEPAD sub-regional environmental action plan implementation developed Programmatic Approach and Partnership Development 	<ul style="list-style-type: none"> Bankable projects to correct identified capacity deficiencies were developed and described or listed in each SREAP. A programmatic approach and partnership development process was initiated. (See number of meetings/trainings in Annex 7.)
Component III Technical Support Unit	Technical Support Unit established and functional	A functional Technical Support Unit was established at the NEPAD Secretariat.

70 The project attained its planned **outputs** satisfactorily. It facilitated the preparation and development of five SREAPs, identified gaps in the assistance provided to African countries and all the SREAPs prepared identified bankable projects to address gaps and developed a sub regional programmatic approach and partnership through an extensive consultative process; as well as established a Technical Support Unit at the NEPAD Secretariat with a database to disseminate best practice and lessons learned. Rating for attainment of **outputs** is **Satisfactory (S)**.

- 71 The quality of each of the SREAPs was satisfactory for each of the five RECs. The SREAPs related identified bankable projects with well described regional capacity deficiencies and funding gaps. The process for identifying gaps in the assistance provided to African countries was not carried out by the project itself, but rather these activities were either already in-process or already been undertaken through various other channels and processes. The project however, must be commended for leveraging these activities into the process of development of the SREAPs.
- 72 The project documents included a timeline against which to measure progress and timeliness of achieving outputs but gave no indicators against which to measure progress. Upon assessment of related documents and interviews with appropriate project staff, it can be said that the process of SREAPs development was initiated early in project implementation with the completion of the zero drafts 6 months into project implementation, although there had been a slow start with the SREAP for North Africa due to difficulties with identifying the right consultant. The problem was addressed eventually, a consultant recruited and draft SREAPs prepared. At about the same time, an MOU was signed with IUCN to draft the SREAPs. At least two of the SREAPs were written as official IUCN documents (Central Africa and East Africa/IGAD).
- 73 A Technical Support Unit (TSU) was established at the NEPAD Secretariat to provide technical backstopping to the RECs during the process of development and preparation of the SREAPs. The TSU was functional and was able to develop a database, which contained a directory of Environmental Experts in the regions. It also provided technical support to the RECs in development of the SREAPs. However, the actual process of developing the SREAPs was not without some difficulties. Capacities at NEPAD were still in infancy for the TSU to effectively and efficiently manage funds and other administrative processes required to provide adequate support to the RECs who also faced institutional incapacities as well. Despite, the support of UNEP assigning a Technical Advisor to assist the TSU in managing its assigned tasks during the implementation of the project, first in Nairobi and then in Pretoria, the NEPAD Secretariat continued to have limited capacity to play this role efficiently, resulting in the delays with regards to timely preparation of the final SREAPs.
- 74 For example, the UNEP progress reports indicate slow feedback from countries in some of the sub-regions with respect to providing statistical information and feedback due to poor communication facilities and constant change in staffing arrangement in some of the government departments. This caused some delay in the revision of the Action plans but eventually the inputs from the countries were received. The project team took considerable amounts of time and persistent effort using various means of communication to make contact and communicate effectively with the countries and RECs. The final SREAPs were delivered, with bankable projects identified, and had been adopted by African Ministers by project end in December 2008. Unfortunately the TSU's capacity to incorporate lessons learned during the process of developing

the SREAPs into the database for dissemination to a wider audience was not realized by project end. A baseline assessment could have helped identify these limitations at the NEPAD and the RECs. This could have assisted the project in possibly modifying the type and amount of support given to the TSU and the RECs much earlier on in project implementation. Further strengthening of the TSU at the NEPAD Secretariat would also be required to implement the SREAPs in a future project.

- 75 The project also embarked on several consultative/dialogue processes that aimed at developing partnerships and a programmatic approach to implementing the NEPAD Action Plan. The project used existing platforms such as the AMCEN Ministerial meetings (10th and 11th) that increased interactions between developers of the SREAPs and the highest political level in Africa. Meetings of the Inter agency task force, consultative meetings of experts and project steering committee were held back to back with these meetings and others to ensure efficiency and adequate stakeholder involvement. Several milestones were reached in cooperation and partnership with whom to support the implementation of the SREAPs. These included 1) Support to the development and signing of an MOU between the NEPAD Secretariat, the Secretariat of the Convention on Biological Diversity and the Government of Portugal to collaborate in support for the implementation of the NEPAD sub-regional environmental action plans and 2) Drafted, in collaboration with the Secretariat of the Convention on Biological Diversity, the framework for the Tripartite Agreement between the Congo, Amazon and Asean Basins for Forest Management, which is a major milestone for south to south cooperation by the project. Number and type of meetings held during the duration of implementation provided in Annex 7.

Relevance

- 76 In this section the evaluation assesses the extent to which the project was aligned with the needs of the NEPAD, African Regions and other intended beneficiaries and also consistent with intended global, national and local policies and priorities. The evaluation answered the following questions;
- To what extent does the NEPAD project align with global priorities as identified in the environmental conventions?
 - To what extent does the NEPAD project align with GEF and UNEP priorities and policies?
 - To what extent does the project align with regional development priorities and policies?
 - Does the project provide relevant lessons and experiences for other similar projects in the future?
- 77 Overall, with respect to **relevance** the evaluation rates the project as **Highly Satisfactory**

Alignment with Global priorities as identified in the environmental conventions

- 78 The project was aligned with global priorities of the MEAs. The GEF is a designated financial mechanism for the United Nations CBD, UNFCCC, and UNCCD. As such, projects funded by the GEF must be relevant to and support the implementation of these conventions. The evaluation

concludes that the project was highly responsive to the capacity development articles of the Multi-lateral environmental agreements (MEAs) and assisting countries to implement the agreements.²⁰

Alignment with GEF and UNEP priorities and policies

- 79 Assessment of documentation and semi structured interviews with key UNEP, NEPAD and GEF Secretariat personnel revealed that the project was fully consistent with UNEP's mission at the time, as well as with its work programs and priorities as well as with GEF strategy on cross cutting capacity development.
- 80 The project was well aligned with UNEP's programme support for Africa at the time it was designed. According to the documents assessed as well as with interviews the Governing Council of the UNEP decided in 1998 to include Africa among its five areas of concentration. Since then priority had been given to Africa to address its increasing environmental challenges. The project document indicates that the project was part of the UNEP sub program on Support to Africa and semi structured interviews provided evidence that UNEP as implementing agency of the GEF initially supported the preparation and finalization of the Action Plan for the Environment Initiative of NEPAD with the African Ministerial Conference on the Environment (AMCEN), secretariat of NEPAD, the African Union and the Commission of the African Union. This particular project was the next step towards implementation of the Action Plan. The project was accompanied by a parallel UNEP activity promoting synergies at national level among the three Rio Conventions with a view of contributing to poverty alleviation, separately financed by Belgium and Norway.
- 81 The project was also developed under the cross cutting capacity development (building) initiative of the GEF. Under its cross cutting capacity building initiative, the GEF supports capacity building as a means to improve individual and institutional performance for progress towards global environmental gains, as well as to help countries meet their requirements under the environmental conventions.

Project alignment with regional development priorities and policies

- 82 The project was also highly responsive to and coherent with the sub regional priorities of African countries. Capacity building was identified as a key element for the effective implementation of the NEPAD's environmental action plan which was endorsed by African ministers in 2003. This project presented a unique opportunity to implement NEPAD's own capacity building initiative which was submitted and adopted at the Partnership Conference on the Environment Initiative of NEPAD in December 2003. The capacity development initiative developed under the NEPAD Action Plan for the Environment was consistent in its objectives, scope and approach with the GEF Strategic Approach to Capacity Building approved by the Council at its meeting in November 2003. Both aimed to enhance the human and institutional capacities of countries to address global environmental challenges more effectively. Sub regional needs are incorporated in the NEPAD's Environment Initiative and Action Plan, which is endorsed by African leaders.

²⁰ Websites and articles of the UNFCCC, CBD, UNCCD

Relevant lessons and experiences for other similar projects in the future

83 The project's lessons learned are relevant for future projects of this kind for Africa and as well other regions facing the same capacity building issues. Although publishing of and dissemination of lessons learned was a the major undeliverable of the project , the evaluation recommends that this is done as soon as possible, particularly since the NEPAD is currently reviewing the implementation of its Action Plan in preparation for the next phase of its implementation.

Effectiveness

84 For this section the evaluation assessed the extent to which the NEPAD project attained its objectives using the following questions and component objectives as described in Table 6 below.

- Did the project effectively facilitate developing five sub-regional action plans which take into account activities identified by African Governments during the development of the NEPAD Environment Action Plan to strengthen collaboration, capacity and action at the sub-regional level to implement the NEPAD Environment Initiative?
- Did the project effectively facilitate strengthening the capacity of the African Regional Economic Communities and the NEPAD Secretariat to prepare and implement Sub regional NEPAD environmental action plans?
- Did the project effectively facilitate better coordination of donor assistance to African Countries in the implementation of the NEPAD Environment Initiative? Did the project effectively enable improved communication and dialogue between African and development partners in the implementation of NEPAD Environment Initiative?

Table 6: Component Objectives

Components	Component objectives
<u>Component I</u> Preparation of Sub-Regional Environmental Action Plans	To develop five sub-regional action plans on the environmental initiative of NEPAD that assist countries to implement national environmental action programmes and policy approved at the regional level and adopted by AMCEN and the relevant organs of the African Union and NEPAD.
<u>Component II</u> Stocktaking exercise, identification of gaps and identification of bankable projects	To develop a coordinated and strategic approach within the GEF and with other international and bilateral donors to assisting countries to implement the NEPAD Environmental Action Plan through a stocktaking of on-going assistance, identification of gaps in such assistance, and development of a process of consultation and exchange of information among interested donors.
<u>Component III</u> Technical Support Unit	To strengthen the capacity of the African Regional Economics Communities and the NEPAD Secretariat to prepare and implement Sub regional NEPAD environmental action plans and to mainstream environmental issues into their regular activities

85 In terms of **effectiveness**, the evaluation gives an overall rating of **moderately satisfactory**.

Objective 1: To develop five sub-regional action plans on the environmental initiative of NEPAD that assist countries to implement national environmental action programmes and policy approved at the regional level and adopted by AMCEN and the relevant organs of the African Union and NEPAD.

86 The evaluation concludes that the project effectively facilitated the development and adoption of five SREAPs, which took into account activities identified by African Governments during the development of the NEPAD Environment Action Plan to strengthen collaboration, capacity and action at the sub-regional level to implement the NEPAD Environment Initiative. The quality of the SREAPs was satisfactory and the plans were responsive to the NEPAD Action Plan for the Environmental Initiative. This was facilitated despite delays in the process leading to the development of the SREAPs. The Final SREAPs were delivered, with bankable projects identified, and had been adopted by African Ministers by project end in December 2008. The project's engagement of AMCEN, NEPAD and the relevant organs of the African Union for political oversight of the development of the SREAPs proved successful. Adoption of the SREAPs was done at the highest Ministerial level through the AMCEN by project end.

Objective 2: To develop a coordinated and strategic approach within the GEF and with other international and bilateral donors to assisting countries to implement the NEPAD Environmental Action Plan through a stocktaking of on-going assistance, identification of gaps in such assistance, and development of a process of consultation and exchange of information among interested donors.

87 On the basis of assessment of documentation and semi-structured interviews with key personnel, the evaluation concludes that the project was effective in leveraging the process for identifying gaps in the assistance provided to African countries from activities, which was already in-process that were already been undertaken through various other channels and processes. The gap analysis assisted in proposing pilot projects that address gaps within the SREAPs for all the RECs. The project satisfactorily enabled improved communication and dialogue between African and development partners in the implementation of NEPAD, evidenced by the documented strategy meetings, workshops and other information exchange, consultation and dialogue processes supported by project, throughout the process of development of the SREAPs.

88 However, the project has not been as effective as intended in terms of achieving better coordination of donor assistance to African Countries in the implementation of the NEPAD Environment Initiative. There is no evidence to suggest that the project set up adequate donor specific consultative processes such as a donor communication/coordination platform that would have at least created a space to engage donors and Africa leaders in forging a pathway towards achievement of this outcome. This however, may have been out the control of the project and raises the question of the willingness of the donor community at the time to engage with the project and its partners during implementation. It also raises the question of the project's assessments of this risk at the design phase. The project also may have been overly ambitious in attempting to achieve this outcome by project end. A list of meetings is available in Annex 7.

Objective 3: To strengthen the capacity of the African Regional Economic Communities and the NEPAD Secretariat to prepare and implement Sub regional NEPAD environmental action plans and to mainstream environmental issues into their regular activities

- 89 The African Union identified the African Regional Economic Communities (RECs) as the vehicle for implementing the new NEPAD Action Plan including its environment component. There was however wide recognition that the capacities of the regional economic communities had to be strengthened for them to effectively take on this role. The NEPAD Heads of State Implementation Committee meeting at the Summit in Algiers on 22-23 November 2004 restated capacity needs of the RECs and requested the NEPAD Secretariat to address this as a matter of priority. A key activity under the UNEP/DGEF MSP was the provision of training to the sub-regional economic communities and the national focal points of the various multilateral environmental conventions and projects relating to them to assist with their implementation. UNEP/DGEF organized a series of technical training workshops programmed from 2004 to 2007. The project assisted the RECs in providing support for staffing environmental units at regional level. A sub project agreement was signed on 10 January 2005 between UNEP/DGEF and the NEPAD Secretariat under the umbrella of the UNE/GEF MSP. The recruitment of Environment and Natural Resources Coordinators in the RECs was to enhance the capacities of the African Regional Economic Communities to implement the Environment Initiative of NEPAD including the development of the sub-regional environmental action plans of NEPAD.
- 90 The Sub-project Agreement had a budget of US\$ 300,000 comprising US\$100,000 reallocated from the Stocktaking Activity and additional co-funding of US\$ 200,000 secured by UNEP from Norway (US\$100,000) and the UNEP Irish Fund (US\$100,000). However, the effectiveness of the training and capacity building efforts with respect to strengthening the capacity of the African Regional Economic Communities and the NEPAD Secretariat to prepare and implement Sub regional NEPAD Environmental Action Plans seemed to not have been as adequate as intended, as evidenced by the signing of an MOU with IUCN, an international NGO, to prepare the five SREAPs. There is documented evidence from two of the sub regional plans that they were prepared by the IUCN, thus rendering some doubts of capacity development (building) within the RECs to actually prepare the SREAPs themselves, and with the quality control and effectiveness of technical backstopping at the NEPAD Secretariat Technical Support Unit.
- 91 According to an assessment of the project's annual progress reports, communication delays persisted throughout the process of developing the SREAPs which also had some bearing on the effectiveness of the feedback mechanism at the NEPAD Secretariat TSU.²¹ Despite, the support of UNEP assigning a Technical Advisor to assist the TSU in managing its assigned tasks during the implementation of the project, the NEPAD Secretariat continued to have limited capacity to play its role efficiently. However, this was also in part due to an underestimation of the level of lack of capacity at the RECs themselves in efficiently playing the role of preparing the SREAPs. It also appears that the RECs were unprepared institutionally to make more efficient use of the technical support provide by the TSU. A baseline assessment could have helped identify this gap and

²¹ UNEP. Progress reports

assisted the project in possibly modifying the type and amount of support given to the TSU and the RECs much earlier on in project implementation.

Review of Outcomes to Impacts (ROtI)

- 92 The evaluation assessed the extent to which the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behavior. A Theory of Change (ToC) analysis was presented in the inception report of the evaluation based on project design, other documents provided by the UNEP/DGEF and briefings at the UNEP Evaluation Office in Nairobi. The analysis mapped the possible pathways of change from outputs to expected outcomes and intended impact. The evaluator developed and used the TOC diagram to guide the assessment as described in Diagram 1 below which maps out the Theory of change for the project with identified impact drivers and assumptions that underlie the project's logic.
- 93 The evaluation also used the following criteria to assess the likelihood of achieving impacts.
- To what extent did strengthened collaboration, capacity and action to implement NEPAD Environment Initiative and sub-regional environmental action plans lead to changes in countries' ability to implement national environmental action programmes and policies?
 - To what extent were the SREAPs prepared conducive to changes at the regional level?
- 94 In terms of the **Review of outcomes to impacts**, the project has been rated as **Moderately Unlikely (CC)** for **Overall likelihood of impact achievement**. By project end, the project had achieved only one of three immediate outcomes. Because the project attained one of its main outcomes i.e. adoption of the SREAPs, the evaluation rated attainment of outcomes as a C (i.e. the project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding). However, the evaluation concludes that some measures designed to move towards intermediate states had started, but had not yet produced results. Thus the evaluation rated the project as a C for movement towards intermediate states. Measures designed to move towards intermediate state of countries mainstreaming environment into their regular national level activities included the implementation of a parallel project specifically designed to achieve this.²² However, although the SREAPs were prepared and adopted, by project completion, there was no evidence of securement of financing from the GEF to fully implement the SREAPs. The project faced a number of challenges in moving towards achievement of intermediate states. There are reasons for this described in the paragraphs below on sustainability, some of which were beyond the control of the project. However, the project had not assessed risks adequately; in fact an analysis of risks and assumptions was absent in the

²² UNEP project "Capacity building for the integration of environmental management into national poverty reduction programmes" Funded by the Belgian Partnership, specifically aimed at building capacity to implement Multi-Lateral Environmental Agreements (MEAs) at national level

project design, making the project overly ambitious from the onset and this contributed to the limited measures taken to move towards intermediate states.

Expected Projects impact

- 95 GEF projects are designed to attain Global environmental benefits which are defined as “*lasting improvements in the status of an aspect of the global environment that safeguards environmental functioning and integrity, as well as benefiting human society*”²³. The projects intended impact is the global environmental benefit to which it is expected to contribute. As stated in the design the projects intended impact is *Enhanced protection of the environment in Africa*. The Capacity building efforts of this project were intended to lead to achieving this impact. To achieve impact, countries were expected to have mainstreamed environmental issues into national level activities as illustrated by intermediate state 2 in Diagram 1.²⁴

Project outcomes

- 96 The project partially attained its **immediate outcomes**. First of all , the project successfully facilitated Outcome 1; the adoption of five sub-regional action plans that take into account activities identified by African Governments during the development of the NEPAD Environmental Action Plan to strengthen collaboration, capacity and action at the sub-regional level for implementation of the NEPAD Environment Initiative. However, there was no evidence that the project facilitated outcome 2, “An initiative and agreement with donors and partners on a coordinated and strategic approach to addressing gaps identified in the gap analysis.” Outcome 3, which involved the establishment of a Technical Support Unit (TSU) at the NEPAD Secretariat for technical backstopping and development of a database for dissemination of lessons learned, was partially achieved. A database was created and contained a Directory of African Regional Contacts; there is however no evidence that the TSU was collecting nor disseminating lessons learned. The evaluation has been unable to assess the extent to which the project strengthened collaboration, capacity and action to implement NEPAD Environment Initiative and whether sub-regional environmental action plans led to actual changes in countries’ ability to implement national environmental action programs and policies. It is evident that implementation of the SREAPs was not achieved successfully mostly due to lack of funds

Causal logic from Outputs to Outcomes

- 97 To achieve its immediate outcomes the project delivered four outputs which were intended to deliver three outcomes. The causal logic is described below and illustrated in Diagram 1:
- 98 **Output 1:** Preparation and development of the Five SREAPs refers to the technical and backstopping support given by the project to achieve immediate outcome 1: The adoption of five sub-regional action plans that take into account activities identified by African Governments during the development of the NEPAD Environment Action Plan to strengthen collaboration, capacity and action at the sub-regional level to implement the NEPAD Environment Initiative.

²³ ROTI Practitioner’s Handbook, GEF, 2009

²⁴ Intermediate State 2: “Environmental issues mainstreamed into national level activities”

- 99 **Output 2:** Identification of gaps in the assistance provided to countries in the African region and identification of Bankable projects to correct gaps and Output 3: Development of a sub regional programmatic approach and partnership, through a consultative process, meetings/conferences refers to the technical support and consultative processes supported by the project to attain immediate outcome 2 : An initiative and agreement with donors and partners on a coordinated and strategic approach to addressing gaps identified in the gap analysis.
- 100 **Output 3:** Establishment of a Technical Support Unit at the NEPAD Secretariat with a database to disseminate best practice and lessons learned refers to the capacity development support given by the project to the NEPAD Secretariat to achieve specifically immediate outcome 3: Effective and efficient Technical Support Unit sustained and disseminating lessons learned and best practices and to support the attainment of immediate outcomes 1 and 2.

Assumptions and Drivers from Outputs to Outcomes

- 101 At project design there was an assumption that political cooperation existed at AMCEN and the relevant bodies of the AU and NEPAD and that political stability in the African regions and countries would prevail in order to achieve outputs and ultimately immediate outcomes. Political cooperation at AMCEN did exist at the time and ensured with the support of the AMCEN Secretariat at UNEP Head office that adoption of the SREAPs was made at the highest political levels. The AU and NEPAD were relatively new institutions established with expectations of high levels of political cooperation and goodwill prevailing amongst African Nations at the time and in the future. The project put into place oversight and technical backstopping support at UNEP, funding from the GEF and other donors and high level support from NEPAD, key drivers that played a role in supporting the regional communities to develop the SREAPs. This was provided through the Project coordinator at UNEP, who also advised the NEPAD Secretariat's TSU and a Task and Fund Manager at UNEP. The evaluation found that the main conditions - i.e assumptions and drivers of for successful attainment of immediate outcomes – included:
- Institutional uptake /capacity built for development of SREAPs that take into account NEPAD action plan
 - The NEPAD Technical Support Unit functional and effectively providing support to the RECs for development of the SREAPs
 - Willingness by donors to agree to and implement a more coordinated donor assistance strategy
 - Political will at the RECs and relevant bodies of the AU to adopt the SREAPs
 - Political stability maintained in the regions and
 - The RECs accessing the database to inform them of best practice
- 102 The evaluation found that the technical backstopping at the NEPAD Secretariat was not as effective as intended and that this in addition to the complexities of achieving coordinated donor support eventually contributed to the uneven levels of attainment of outcomes. Only immediate outcome 1: The adoption of five sub-regional action plans that take into account activities identified by African Governments during the development of the NEPAD Environmental Action Plan to strengthen collaboration, capacity and action at the sub-regional level to implement the NEPAD Environment Initiative was successfully achieved at project end.

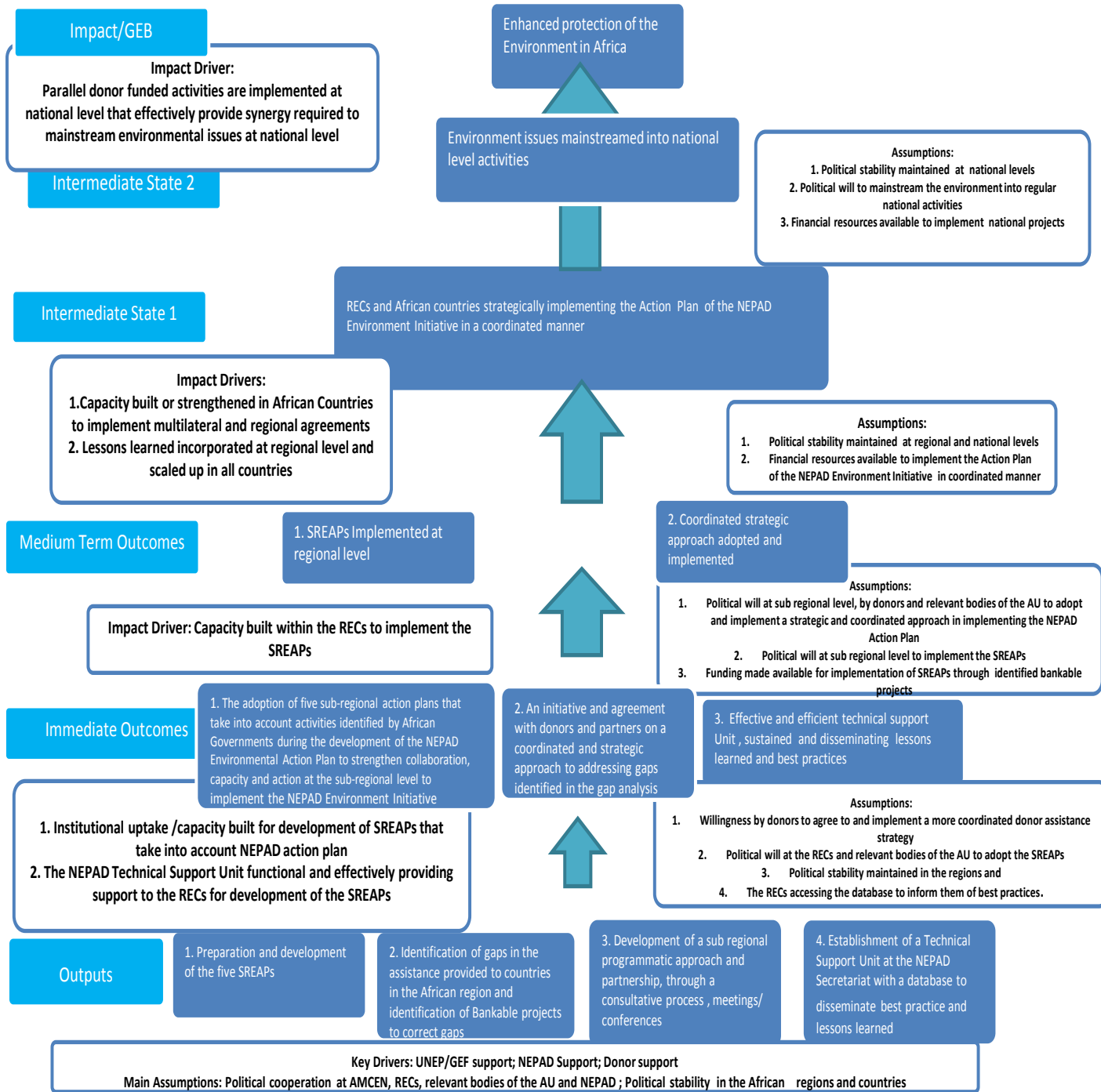
Causal logic from Outcomes to Impacts

- 103 The evaluation identified the path from outcomes to impact through two medium term outcomes and two intermediate states. Assuming that the immediate outcomes had been successfully met, the process would have led to **medium term outcomes** 1 and 2 respectively : 1)SREAPs Implemented at regional level and 2) Coordinated strategic approach adopted and implemented, under the assumptions that political will at sub regional level, by donors and relevant bodies of the AU to adopt and implement a strategic and coordinated approach in implementing the NEPAD Action Plan existed and political will at sub regional level to implement the SREAPs was sustained and finally that funding was made available for implementation of SREAPs through identified bankable projects . The evaluation found whilst there may have been political will at sub regional level and relevant bodies of the AU to adopt and implement a strategic and coordinated approach in implementing the NEPAD Action Plan, there was no evidence to suggest that there was this will amongst the donors. This can be partially attributed to the fact that no donor specific communication/dialogue processes were initiated by the project and also due to external factors such as the global economic crisis which was beginning to occur around the same time that the project was being implemented(see para 74 under effectiveness).
- 104 Achieving these medium term outcomes also depended upon an impact driver: Capacity built within the RECs to implement the SREAPs. The project did contribute in providing human resources support through trainings and the recruitment of Environment and Natural Resources Coordinators in the RECs to enhance the capacities of the African Regional Economic Communities to implement the Environment Initiative of NEPAD, including the development of the sub-regional environmental action plans of NEPAD. However, due to limitations already described in this document, it was difficult for the project to assess the quality of the training and whether it was sufficient to have enabled the RECs to implement the SREAPs had they been financed. Attainment towards impact also depended upon the attainment of two intermediate states namely, 1) RECs and African Countries strategically implementing the Action Plan of the NEPAD Environment Initiative in a coordinated manner and 2) Environment issues mainstreamed into national level activities.
- 105 To achieve Intermediate State 1 , the following conditions had to be met(impact drivers and assumptions);
- Capacity built or strengthened in African Countries to implement multilateral and regional agreements
 - Lessons learned incorporated at regional level and scaled up in all countries
 - Political stability maintained at regional and national levels
 - Financial resources available to implement the Action Plan of the NEPAD Environment Initiative in coordinated manner
- 106 To achieve intermediate State 2 , the following conditions had to be met (impact drivers and assumptions)
- Political stability maintained at national level,
 - Political will to mainstream the environment into regular national activities
 - Financial resources available to implement national projects.

- 107 A key impact driver between intermediate state 1 and 2 was that parallel donor funded activities are implemented at national level that effectively provide the synergy required to mainstream environmental issues at national level.
- 108 Failure to successfully achieve two of the immediate outcomes led to a failure to attribute the projects outcomes to the medium term outcomes as described in the Diagram 1. Thus potential for achieving impacts based solely on this project's achievement of outcomes is significantly low. Nevertheless the project facilitated the preparation and adoption of the SREAPs at the highest political level, which set the stage in at least identifying bankable projects that could be implemented at a regional level. In this respect, the project' seems to have played a role although difficult to assess in catalyzing subsequent donor funded initiatives that seem to have had links with the process of developing the SREAPs such as the "Great Green Wall Initiative" and the TerrAfrica Program(mentioned in Para 25, 108 and 121-123).
- 109 Going further along the path to impact, the evaluation concludes that the project was not very effective in strengthening collaboration, capacity and action to implement the NEPAD Environment Initiative that could lead to actual changes in African countries' ability to implement national environmental action programs and policies. It is evident that implementation of the SREAPs was not achieved successfully due to lack of funds, inadequate institutional capacity and understaffing at the Technical Support Unit (TSU), as well as the project not putting in place key mechanisms such as a coordinated approach to donor assistance for implementation of the NEPAD Environment Action Plan. It was difficult to assess the direct contribution of this project to actions undertaken by countries to draft national environmental action plans and policies. However, evidence of countries implementing plans/policies can be directly related to a parallel project that was implemented alongside this project, which specifically aimed at building capacity to implement Multi-Lateral Environmental Agreements (MEAs) at national level.²⁵
- 110 Risks and assumptions described above and illustrated in the TOC diagram were not identified at project design but were extremely instrumental in the project's inability to move beyond its immediate outcomes and this made the project overly ambitious from the onset.

²⁵ UNEP project " Capacity building for the integration of environmental management into national poverty reduction programmes" Funded by the Belgian Partnership.

Diagram 1: Theory of Change Diagram



Efficiency

- 111 Overall, the project was relatively **efficient** in making use of / building upon pre-existing institutions, agreements and partnerships for implementation of its activities. The project did apply cost- or time-saving measures and used UNEP for oversight and financial backstopping relatively efficiently. The inception workshop was combined with the sub-regional workshops and Inter-Agency task force workshop was combined with the sub-regional workshops. The stocktaking and gap analysis activities were found to be either already in-process or already been undertaken and all were pulled together during execution of this project hence saving costs to the project. Although there were delays in disbursements of funds to the RECs from the NEPAD Secretariat for development of the SREAPs, the SREAPs were finalized by project end. The project realized most of its in-kind and cash co-financing as shown in table 3 and 4 and secured it from a variety of donors.
- 112 The project did assign the UNEP project manager to the NEPAD Secretariat to serve as advisor on the project and other UNEP initiatives related to the African Union. However, despite this support the TSU experienced lack of capacity to efficiently use pre-existing institutions and partnerships particularly at the RECs throughout its implementation. Institutional bottlenecks at the RECs themselves contributed to inefficient use of the pre-existing agreements and partnerships, particularly with respect to transfer of funds from the TSU to the RECs. The RECs themselves were more unprepared than anticipated institutionally to make more efficient use of the technical support provided by the TSU. In addition the bulk of the funds was administered by the UNEP, with the TSU managing a small proportion. The evaluation has thus rated the project **Satisfactory (S)** for **efficiency**.

B. Sustainability and catalytic role

- 113 The evaluation assessed the extent to which the project has ensured the likelihood of continued benefits after the program ends. It used the following criteria to evaluate the likelihood of financial, socio-political and institutional sustainability;
- To what extent were the continuation of project results and the eventual impact of the project dependent on continued financial support?
 - To what extent was the continuation of project benefits dependent on socio-political factors?
 - Were there any environmental risks that could have undermined the future flow of project impacts and Global Environmental Benefits?
 - To what extent did the sustenance of the results and onward progress towards impact depend on issues relating to institutional frameworks?

- 114 The evaluation concludes that risks were not incorporated into the project design, and measures taken to minimize risks were not evident in the assessment of implementation. In addition as described below the financial sustainability at project end was not secured, and issues with institutional frameworks particularly capacity development, staff turnover and loss of institutional memory at the NEPAD and the RECs continued to plague the projects benefits five years after completion. The evaluation thus rates overall **sustainability** as **Moderately Unlikely (MU)**.
- 115 However, it must be emphasized that the SREAPs remain a significant part of the strategy with which the African continent can use to better implement international and regional environmental initiatives. The NEPAD is currently undertaking revisions of its EAP and this could invigorate the SREAPs and could possibly improve the sustainability of this projects benefits significantly particularly with respect to securing financial resources. It is also important for the NEPAD revision process to assess the current feasibility of the SREAPs and the activities developed during the implementation of this project. A revision of each SREAP may be necessary for a future follow on initiative. It is expected that much has changed economically, politically and socially in terms of the needs of the African regions in this respect. In addition, better sustainability of the results of this project can be achieved, if and when a follow up to this project is undertaken, taking into account the more positive catalytic role of the project.
- 116 Credit must be given to the project implementers for using parallel projects implemented alongside this project to assist in catalyzing national level activities. Thus this project must be viewed as a first step towards catalyzing and achieving sustainability of the benefits of capacity development to assist African regions in implementing regional and international agreements through the SREAPs.

Financial Resources

- 117 There is no evidence to suggest that the project had secured funding for implementation of the SREAPs from the GEF by project end. Sustainability of the results of project activities and outputs hinged on continued financial support to fully implement the SREAPs and to sustain mainstreaming activities and capacity development at regional and national levels. Evidence gathered during semi structured interviews indicated that funding for the SREAPs, which were the main outcomes of the project, was not delivered. Although the parallel activity funded by Belgium initiated some activities at the national level, the interaction between these two projects seemed haphazard at best.
- 118 Sustainability also depended on socio- economic factors in African countries and globally particularly on the ability of Donors to provide the necessary funding required to sustain project results. At project end the global economic crisis was at its peak and may have affected donor capabilities to provide grants. This issue will continue to be a risk to sustainability as NEPAD seeks to implement the next phase of the NEPAD Action Plan. Additionally the GEF had revised its funding modalities for GEF 4 and this affected the ability to fund the implementation of the SREAPs. According to interviews conducted by this evaluation, changes in funding modalities at

the GEF Secretariat during the implementation of this project made it particularly difficult to obtain funding for the implementation of the SREAPs, which was to be the next logical step for this project. In September 2005, the GEF Council adopted the Resource Allocation Framework (RAF), a new system for allocating GEF resources to recipient countries, making it more difficult to obtain funding for regional approaches. Nevertheless the project could have made efforts to identify other sources of funding and a midterm evaluation could have provided the necessary guidance to assist the project implementers and partners develop a strategy for raising funds.

Institutional Framework

- 119 The sustainability of the project results also depended on, and continues to depend on, the ability of the NEPAD to supply targeted guidance and technical support to the RECs in ways that ensure the relevance of the SREAPs at the highest political levels within the AU and NEPAD and at national level. Lack of institutional capacity at the RECs and government agencies plagued the project during implementation and is likely to continue for future projects and implementation of national activities. However, with recent economic growth being reported for Africa and the return of the African Diaspora community there is a likelihood that institutional capacity may improve. Based on primary and secondary evidence, even though the NEPAD has since improved in terms of capacity and staffing at its environmental unit as a result of other initiatives that were implemented after this project, there is still a need to strengthen the capacity at the NEPAD Secretariat particularly in light of the review of its Environment Action Plan.

Socio-political sustainability

- 120 Socio political factors that may affect the sustainability of the project include political will to implement the SREAPs at regional and country level and political stability in the regions and countries. In addition, it depended on political will of African countries to adopt the SREAPs and donor support politically for a coordinated approach in implementing the NEPAD Action Plan which is important for providing a platform for cohesive policy-making, additional financing, and other follow-on activities. The project did not manage to attain this support and did not pursue establishing a formal donor dialogue platform to ensure this. Based on evidence provided to the evaluation, this platform was not initiated by the project itself. However, from interviews with key personnel at NEPAD, the NEPAD Secretariat is beginning the process of developing such a platform as a lesson learned from implementing this project.²⁶

Catalytic role and Replication

- 121 The projects catalytic role however has been moderately effective. First, the project was one of the first investments dedicated to implementing the NEPAD Environment Action Plan. Although the project immediate outcomes were not adequately attained, there is some evidence (although mostly secondary), that there has been some uptake and use of the SREAPs after project end. For example, some of the ideas in the bankable projects/programs identified in the SREAPs are being implemented by a number of donors today. Two prominent examples include the TerrAfrica

²⁶ Interview with Esterine Lisinge Fotabong, NEPAD Secretariat April 22nd, 2013. Johannesburg.

Strategic Investment Program Sustainable land management in Sub-Saharan Africa (TerrAfrica/SIP) and “The Great Green Wall initiative” which is a program under TerrAfrica. The development of these initiatives seemed to have been occurring at the same time as the development of the SREAPs suggesting links between the processes.

- 122 For the example, the North Africa and ECOWAS (West Africa) SREAPs identified Sustainable land and water management programmes in the Sahara and Sahel Green belt as priorities for their region. The GEF has since partnered with the World Bank and other partners such as NEPAD and the AU to support the Great Green Wall Initiative which seeks to address among other priorities deforestation and water resources management in the Sahara and Sahel regions. The idea of “The Great Green Wall initiative” “project”²⁷, was originally envisioned in 2005 by the former President of the Federal Republic of Nigeria, Chief Olusegun Obasanjo and strongly supported by President Abdoulaye Wade of Senegal.
- 123 The West, Southern, Eastern and Central African Regional Economic Communities SREAPs all listed projects related to land degradation as a major priority for their regions. In 2006 the GEF allocated USD 150 million to the TerrAfrica Strategic Investment Program for Sustainable land management in Sub-Saharan Africa (TerrAfrica/SIP)^{28,29}. Other initiatives currently being implemented that seem to have links with the process of development of the SREAPs and the EAP include the Congo Basin Convergence Plan on Forests which aims to alleviate poverty and address climate change through reducing the rate of deforestation.³⁰ The TerrAfrica program has injected a fair amount of funding towards the implementation of the NEPAD Environment Action Plan through providing the financing of projects that address land degradation in Africa.³¹ In addition, the NEPAD currently serves as Secretariat to the TerrAfrica project.³²
- 124 The exact or direct catalytic role of this project with respect to the development of these initiatives was difficult to assess, mainly due to the differing views of the project partners interviewed during this evaluation. At best, these processes seem to have been developing at the same time and had some influence over each other. However, both the SREAPs project and subsequent initiatives being implemented can be directly linked to the catalytic role of the development and adoption of the NEPAD Environment Action Plan (EAP) and are now being

²⁷ See <http://www.thegef.org/gef/great-green-wall>

²⁸ The Project Task Manager strongly asserts that the \$150 million investment through the TerrAfrica Strategic Investment Program should be regarded as a catalytic effect of the project. However, the evaluation could not find sufficient evidence to state that this investment would not have occurred in the absence of the project. The UNEP evaluation Office observes that catalytic effects of this nature are extremely difficult to attribute and often are the result of a combination of effects from multiple sources.

²⁹ SREAPs documents of the African RECs, NEPAD Report on Programmatic activities (2011) and GEF Website on Land Degradation Focal area.

³⁰ Interview, Ms Estrine-Lisinge Fotabong, NEPAD Secretariat

³¹ Source: UNEP task manager for the SREAPs project 08/14/2013

³² SREAPs documents of the African RECs, NEPAD Report on Programmatic activities (2011) and GEF Website on Land Degradation Focal area.

called flagship programs of the EAP. The evaluation rates catalytic role and replication as **Moderately Satisfactory (MS)**.

C. Processes affecting attainment of project results

- 125 The projects mechanisms on **readiness and preparation** at design were **Moderately Satisfactory (MS)**. The implementation structure of using the NEPAD and the relevant bodies of the AU, such as the AMCEN, to support the political processes, served the project relatively well in ensuring political support at the highest level during implementation. Although the project design ensured political support and country driven-ness, it did not adequately assess at design stages, the capacities of partner institutions to effectively carry out their expected responsibilities as executing agencies.
- 126 Although **Supervision and backstopping** at UNEP was **Moderately Satisfactory (MS)**, the amount of supervision required to support the TSU at the NEPAD Secretariat and the RECs appears to have been underestimated. Financial management at the NEPAD Secretariat was not as satisfactory, evidenced by delays in disbursing funds to the Regional Economic Communities (RECs). The delays were in part also due to bottlenecks at the RECs themselves in terms of absorptive capacity of support from the project. In addition, some funds were unallocated at project end and there were delays in returning the unused funds from the NEPAD TSU to UNEP. However, a baseline could have been conducted during project preparation or implementation to assess the absorptive capacity of the RECs at the time. The project's expected and realized levels of in-cash and in-kind co-financing was met relatively well. Overall since the bulk of the administration of the project was managed by UNEP and a smaller portion managed by the NEPAD Secretariat, **financial management and planning** is rated **Moderately Satisfactory (MS)**.

Monitoring and Evaluation

- 127 The Review of projects design quality (see Annex 6) and presented in the Inception Report, rated the monitoring design as Moderately Unsatisfactory (MU) and the evaluation design as Moderately Unsatisfactory (MU). Overall, the M&E Design of the project did not offer, in the opinion of the evaluation team, sufficient plans and tools for an effective monitoring and evaluation of the project. According to UNEP, at the time of project preparation, the GEF's requirements for elaboration of monitoring and evaluation plans during project preparation were quite different from what is expected today. Nevertheless, the project's monitoring plan and reporting was still insufficient to measure and track the attainment of the objectives. The project's logical framework marginally captured the key elements of the Theory of change of the project. SMART indicators were absent as well as appropriate means of verification and identification of assumptions. Milestones are mainly described in terms of timelines/deadlines and measured internally via half/yearly reports (mainly outputs) with performance indicators

absent in project design document. The projects baseline is implicitly described throughout rationale, but was not quantified or related to any indicators.

- 128 The project at design notes that evaluation would be on the basis of: execution performance, output delivery, and project impact. It further elaborated that "Evaluation of the project's success in achieving its outcomes would be monitored continuously throughout the project through semi-annual progress reports, annual summary progress reports, a mid-term and final evaluation all of which would use descriptions and timing of expected outputs by project component" . However, the evaluation found the quality of the summary reports to be lacking in terms of providing complete evaluative evidence for the Terminal evaluation.
- 129 Although the projects document noted that the M&E process would include a mid-term review assessment and end-of-project assessment undertaken by independent review teams, there is no evidence of a formal review to assess progress at mid-term. According to UNEP staff, for MSPs such a review/evaluation at mid-term is done only when the task manager has concerns on project implementation or potential risk which will disrupt the progress. It is the finding of this evaluation that a mid-term review would have been highly beneficial for this project and could have provided adaptive strategies, institutionally and politically, and as well as improved the flexibility that could have ensured more success in attaining results. In addition, this terminal evaluation has been conducted five years after project completion, mainly due to the Evaluation Office's backlog. Overall rating for **Monitoring and Evaluation** is thus **Moderately Unsatisfactory (MU)**.

Stakeholder participation

- 130 **Stakeholder participation** was **satisfactory (S)** based on the documentation of meetings and workshops, and the consultative processes throughout implementation. It is evident that the main beneficiaries of the project were involved in the preparation and development of the SREAPs in some way and that regular consultative process were carried out with the involvement of high level African Government officials, which ensured the adoption of the SREAPs at the highest political level, i.e. AMCEN.

D. Complementarity with UNEP programmes and strategies

- 131 The project and its expected accomplishments and activities were fully aligned with the UNEPs programme of work at the time, as well as with the Bali Action Plan. The Governing Council of UNEP decided in 1998 to include Africa among its five areas of concentration. Since then, priority has been given to Africa to address its increasing environmental challenges. The project was part of the UNEP sub- program on support to Africa at the time.
- 132 UNEP as an implementing agency of the GEF initially supported the preparation and finalization of the Action Plan for the Environment Initiative of NEPAD with the African Ministerial Conference on the Environment (AMCEN), the Secretariat of NEPAD, the African Union and the Commission of the African Union. The project was the next step towards implementation of the Action Plan. The project was fully aligned with the Bali Action Plan for capacity building and South-South cooperation which called for facilitating countries in the South to identify and access available technologies, expertise, experiences, opportunities, best practices,

methodologies, advisory services, training, etc. in order to strengthen the overall capacity building and technology support processes in these countries.

- 133 It is the assessment of this evaluation through semi-structured interviews and other documentation that there is no evidence, that the project neither addressed nor targeted gender issues systematically in its implementation. However, when linked to country level activities through the two parallel projects implemented alongside this project, gender sensitive activities were carried out at country level activities.

III. CONCLUSIONS AND RECOMMENDATIONS

A. Conclusions

- 134 This evaluation concludes that the project has contributed to some important results, such as the development and adoption of five Sub Regional Action Plans (SREAPs) that took into account the New Partnership for African Development (NEPAD) Environment Initiatives Action Plan. The project also raised awareness of environment issues within NEPAD as it was developing its First Action Plan. The project helped plant the seeds for addressing identified gaps in donor assistance to Africa on environmental issues by identifying bankable projects to address those gaps within the SREAPs, some of which have links to some projects being implemented by some donors today. However, by project completion, its achievements had not reached beyond the adoption of the SREAPs, although some activities of the parallel projects assisted in facilitating national level activities. In addition, lessons learned had not been published nor disseminated by the Technical Support Unit established at the NEPAD Secretariat.

Recommendation 1: Given that the SREAPs project was one of the first attempts to build capacity and coordination in implementing regional and multilateral environment agreements through the newly established NEPAD, there would be valuable lessons and knowledge sharing to be gained by examining the project through a broad lens, rather than just through the individual project lens of a terminal evaluation. The project has contributed specific results, as discussed in the evaluation, but it would be highly useful to gain a perspective as to whether a regional approach is something that should continue to be supported under capacity building modalities, or if interventions at the country level are most effective. This could be pursued through a NEPAD/UNEP single or series of workshops to develop lessons learned documentation and knowledge sharing, and through publications which publications that have not yet been done to be generated out of this work

- 135 Failure to reach beyond its immediate outcomes can be attributed to the fact that risks were not incorporated into the project design and the fact that the project had not considered alternative mechanisms to secure funding for the Sub –Regional Action Plans (SREAPs) by project end.

Recommendation 2: While the substantive aspects of the project had notable risks related to sustainability, the risks were not documented during project design or during implementation. Documenting some of the assumptions and actual risks that the project encountered during implementation can be useful, particularly if they are made accessible to relevant audiences. This is likely to have continued relevance for NEPAD and the Regional Communities particularly with NEPAD undergoing a review of its Action Plan and at the national level as countries strive to mainstream the environment into their development activities. Although, there was mention that some unpublished analyses had been done, these have certainly disappeared and faded away as "gray" literature unless they are appropriately archived and referenced for broader long-term availability. The most useful way to do this would have been most likely by ensuring that the key project lessons referring to risks and assumptions were posted in the appropriate location such as on

the NEPAD database/website. This should have been done as soon as possible following project completion in order to strengthen the likelihood of sustainability of project results as much as possible, but this can still be done as NEPAD undergoes a review of its Action Plan.

- 136 The reach of the projects results was also limited by a number of factors, such as inadequate administrative capacities at the NEPAD Technical Support Unit(TSU) and with institutional bottlenecks at the RECs in the process of developing and preparing the SREAPs as well as high staff turn-over at UNEP, and at the RECs after the project ended. In addition the complexities of achieving a coordinated approach in donor support as well as the political instability of some regions, such as North Africa, were also a limiting factor in sustaining the project's results. The project also faced a number of internal barriers to scaling up and replication, such as the relatively low levels of country capacity to implement activities at national level, and inadequate budgets in- country to fully mainstream the environment into regular development activities.³³

Recommendation 3: One of the weaknesses of the project was its ineffectiveness in forging an agreement with the donor community to implement the NEPAD Environment Initiative in a more coordinated manner. The development of a donor platform that actively engages all donors, African Leaders and other relevant stakeholders in a serious dialogue regarding funding gaps and coordination should be considered during the review of the NEPAD Action Plan. This would be a more effective way to garner an African –driven, donor supported plan for the next stages of the implementation of the NEPAD Action Plan.

Recommendation 4: Funding for implementation of the SREAPs was not realized at project end. The evaluation recommends that future projects seek to engage the private sector to address funding gaps that cannot be filled by traditional donors, particularly in the current economic climate. Similarly, African regions /countries should embark on incorporating environmentally sound investment type initiatives in the identification of bankable projects.

- 137 The SREAPs remain a significant part of the strategy with which the African continent can use to better implement international and regional environmental initiatives. The NEPAD is currently undertaking revisions of its Environment Action Plan and if the recommendations and lessons learned given by this evaluation are taken on board and incorporated into a revised Action Plan, this could invigorate the SREAPs and could possibly ensure that the stakeholders work in a more coherent manner on environmental issues. Based on primary and secondary evidence, even though the NEPAD has since improved in terms of capacity and staffing at its environmental unit as a result of other initiatives that were implemented after this project, there is still a need to strengthen the capacity at the NEPAD Secretariat particularly in light of the review of its Environment Action Plan. In addition, better sustainability of the results of this project can be achieved, if and when a follow up to this project is undertaken, taking into account the catalytic role of the project.

Recommendation 5: If a follow on project is to be undertaken by the NEPAD and /or UNEP, it is recommended that a thorough baseline is conducted early on in the process to assess the current capacity of African regions/countries to implement international and regional environmental agreements.

³³ Evidenced by the Terminal Evaluation of UNEP project "Capacity building for the integration of environmental management into national poverty reduction programmes" Funded by the UNEP/Belgian Partnership

Recommendation 6: It is also important also to assess the current feasibility of the SREAPs and the activities developed during the implementation of this project. A revision of each SREAP may be necessary for a future follow on initiative. It is expected that much has changed economically, politically and socially in terms of the needs of the African regions in this respect. Similarly, African regions /countries should embark on incorporating environmentally sound investment type initiatives in the identification of bankable projects. In this regard, private sector engagement early on in project design and subsequently during implementation would be advantageous for initiatives of this type.

Recommendation 7: The evaluation also recommends that further strengthening of the Technical Support Unit at NEPAD in human and financial terms is required, to be able to facilitate implementation of the SREAPs, as well as monitor their implementation more effectively in the future.

138 The project's ratings are given below in Table 7 below.

Criterion	Summary Assessment	Rating
A. Attainment of project objectives and results (par. 57-90)	The project attained its planned outputs moderately Satisfactorily but only one of three expected immediate outcomes. It facilitated the preparation, development and adoption of five SREAPs, and all the SREAPs identified bankable projects to address gaps and developed a sub regional programmatic approach and partnership through an extensive consultative process; as well as established a Technical Support Unit at the NEPAD Secretariat with a database. It was satisfactorily efficient and was highly relevant.	MS
1. Effectiveness (par. 71-76)	The Project has been satisfactorily successful in achieving one of its immediate Outcomes, since the five SREAPs developed were adopted at ministerial level, though the mechanisms of implementation need generally to be improved. Two of its expected immediate outcomes were not realized by project end.	MS

Relevance (par. 63-70)	The project was highly responsive to the capacity development articles of the Multi-lateral environmental agreements (MEAs), the GEF and UNEP programs and to African sub regional priorities at the time.	HS
Efficiency (par. 88/ 40-43)	The activities implemented have been executed relatively efficiently. The project was relatively efficient in making use of / building upon pre-existing institutions, agreements and partnerships for implementation of its activities. The project did apply cost- or time-saving measures and co-financing was mostly realized.	S
B. Sustainability of project outcomes		MU
1. Financial (par. 91-92)	No evidence of secured funding for the implementation of the SREAPs. Financial problems for donors due to the economic crisis and changes in GEF financing modalities reduced the likelihood of sustainability of project results, particularly with respect to implementing the SREAPs, which suffered considerable limitations. With continued fiscal problems in the capitals of traditional donor countries, it may not be politically feasible in the near term to secure the funding levels required to sustain the projects results to impacts.	MU
Socio-political (par. 93-95)	Although African political support for the SREAPs was realized, Donor socio-political support for a coordinated approach in implementing the NEPAD Action Plan which is important for providing a platform for cohesive policy-making, additional financing, and other follow-on activities was not evidently realized at project end. Socio-political sustainability is likely to	MU

	be highly conditioned by the political agenda of those who are governing the country.	
Institutional Framework (par. 93)	The sustainability of the project results also depended on, and continues to depend on, the ability of the NEPAD to supply targeted guidance and technical support to the RECs in ways that ensure the relevance of the SREAPs at the highest political levels within the AU and NEPAD and at national level. Lack of institutional capacity at the RECs and government agencies plagued the project during implementation and is likely to continue for future projects and implementation of national activities.	MU
Environmental		N/A
C. Catalytic role (par. 95)	The projects catalytic role however has been moderately effective. Although the project immediate outcomes were not adequately attained, there is some evidence (although mostly secondary), that there has been some uptake and use of the SREAPs after project end	MS
D. Stakeholders involvement (par. 101)	It is evident that the main beneficiaries of the project were involved in the preparation and development of the SREAPs in some way and that regular consultative processes were carried out with the involvement of high level African Government officials, which ensured the adoption of the SREAPs at the highest political level, i.e. AMCEN.	S
E. Country ownership / driven-ness (par. 63-68/29-34)	The adoption of the SREAPs at the highest level of the AMCEN is significant evidence of country/regional ownership of the project. The development of the SREAPs was done with the participation of the African RECs.	HS

	ownership of the process.	
F. Achievement of outputs and activities (par. 57-62)	The level of attainment of the outputs and their quality has been satisfactory.	S
G. Preparation and readiness (par. 96)	Although the project design ensured political support and country driven-ness, it had not adequately assessed at design stages the capacities, and therefore the potential roles and responsibilities, of partner institutions in anticipation of the execution of its specific activities.	MS
H. Implementation approach (par. 42/96)	The implementation structure of using the NEPAD and , the relevant bodies of the AU, such as the AMCEN, to support the political processes, served the project relatively well in ensuring political support at the highest level during its implementation. However, there were some inconsistencies in planned executing arrangements and actual arrangements during implementation.	MS
I. Financial planning and management (par. 44-45/97)	Although financial management and planning at UNEP was relatively satisfactory, the quality of supervision and administrative and financial support to project by executing partners were not as effective as intended. The project experienced delays in disbursement of funds by executing partners. However only a small proportion of the funds were administered by the TSU at the NEPAD secretariat.	MS
J. Monitoring and Evaluation		MU
M&E Design (par. 98-100)	The M&E Design did not offer sufficient plans and tools for an effective monitoring and evaluation of the projects.	MU
M&E Plan Implementation (par. 98-100)	No evidence of a formal review to assess progress at mid-term that	MU

	could have provided adaptive strategies, institutionally and politically, as well as improved the flexibility that could have ensured more success in attaining results. Monitoring mechanisms were implemented through internal annual and half yearly progress reports. The information reported in the progress reports was not adequate to provide the necessary information for adaptive management.	
Budgeting and funding for M&E activities (par.98-100)	There was no explicit budgeting for M&E in the ProDoc.	MU
K. UNEP Supervision and backstopping		MS
UNEP (par. 42/96)	The Project became internally executed by UNEP/DGEF, which monitored implementation of the activities undertaken during the execution of the project moderately satisfactorily. UNEP/DGEF also served as implementing agency of the project. However, UNEP had underestimated the level of supervision required for executing agencies such as the NEPAD which led to administrative difficulties.	MS
Overall Rating		MS

B. Lessons Learned

136 The evaluation deduced the following lessons learned for this project.

- a) **Lesson 1:** The project benefitted from the engagement of and garnering of support of high level political processes at the very onset of its design and implementation. This served the project well and contributed significantly to the adoption of the SREAPs by AMCEN. It is important that a future project of this type emulate this project on this aspect. The fact that a high level process was engaged from the outset gave legitimacy to the process at the beneficiary level i.e. RECs as well as garnering national level support for the consultative processes facilitated by this project. It is also essential in gaining national support to mainstream environment into national level activities. A parallel project

facilitated mainstreaming into national levels and based on evidence garnered by this evaluation would have been far more difficult to implement if these processes had not had recognition at the highest political levels in AMCEN.

b) **Lesson 2:** Operational challenges and political processes can often frustrate positive intentions. The project concept was well-grounded, had good intentions, and was opportunistic and relevant at the time. However, various operational issues created gaps in project implementation and contributed to uncertainty with respect to sustainability. Operational risks – especially in light of expectations for partner institutions - need to be clearly and carefully analyzed at the project design phase, and appropriate risk mitigation measures identified from the beginning. In addition, assessment of institutional capacities of implementing/executing partners is an absolute necessity in the beginning to ensure effective management of finances and adequate provision of technical support to project beneficiaries for projects of this kind.

c) **Lesson 3:** This project could have benefitted from a more adequate monitoring plan and processes, as opposed to the half yearly and annual reporting that was used to measure progress. A Mid-term evaluation or review could have been helpful in re- strategizing its focus and for assessing performance to assist in the terminal evaluation. In addition, an effective and well-structured documentation process or platform could have been more useful for measuring project progress. Similar future projects should consider how to improve mechanisms to support the process of ensuring that beneficiary institutions develop a reporting requirement that informs policy-making, assesses progress on capacity development, and helps enable mainstreaming environment into national activities.

d) **Lesson 4:** Since it is difficult to attain measurable outcomes within the short time frame of most capacity development projects, it is important to ensure that the project design is not overly ambitious from the onset. For example, attempting to institutionalize an agreement with various donor agencies for a more coordinated approach to implementing the NEPAD Environment Initiative in the project time frame was overly ambitious and even more so without carefully analyzing the willingness of donor agencies to collectively agree to such an approach beforehand. The project could have benefitted from designing a multi-phase process, rather than attempting to achieve many things at once. This could have also assisted in planning for follow-up financing and identifying possible financing sources from various avenues at each phase during the implementation process, which was absolutely critical for sustaining project results.

IV. ANNEXES

ANNEX 1. EVALUATION TORs

TERMS OF REFERENCE

Terminal Evaluation of the Project “Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa’s Development (NEPAD)”, GEF 2520

I. PROJECT BACKGROUND AND OVERVIEW

A. Project General Information³⁴

Table 1. Project summary

GEF project ID:	2520	IMIS number:	
Focal Area(s):	Multiple Focal Areas	GEF OP #:	12
GEF Strategic Priority/Objective:	CB2-Cross cutting capacity building	GEF approval date:	30 June 2004
UNEP Approval date:	22 July 2004	First Disbursement:	22 Jul 2004
Actual start date:	July 2004	Planned duration:	4.5 years
Intended completion date:	December 2008	Actual or Expected completion date:	December 2008
Project Type:	MSP	GEF Allocation:	USD 1,000,000
PDF GEF cost:	N/A	PDF co-financing:	N/A
Expected MSP/FSP Co-financing:	USD 2,445,000 (including co-financing to parallel activity I and II)	Total Cost:	USD 1,135,000
Mid-term review/eval. (planned date):	N/A	Terminal Evaluation (actual date):	March-June 2013
Mid-term review/eval. (actual date):	N/A	No. of revisions:	5

³⁴ Source: UNEP GEF Medium Sized Project Proposal, Request for GEF Funding

Date of last Steering Committee meeting:	2007	Date of last Revision*:	March 2010
Disbursement as of 30 June 2012 (UNEP):	USD 678,046	Leveraged financing:	
Total co-financing realized as of 30 June 2012:	USD 2,170,600		

SECTION I OF THE EVALUATION TORS HAVE BEEN TAKEN OUT BY THE EO AND ARE AVAILABLE ON REQUEST.

II. TERMS OF REFERENCE FOR THE EVALUATION

A. Objective and Scope of the Evaluation

1. In line with the UNEP Evaluation Policy³⁵, the UNEP Evaluation Manual³⁶ and the Guidelines for GEF Agencies in Conducting Terminal Evaluations³⁷, the terminal evaluation of the Project “Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa’s Development (NEPAD)” is undertaken at the end of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, NEPAD, the GEF and their partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project’s intended outcomes, which may be expanded by the consultants as deemed appropriate:

- (a) How successful was the project in supporting African sub-regional economic communities to prepare sub-regional NEPAD environmental action plans? Was the capacity of the economic communities and NEPAD Secretariat to prepare and implement the action plans and to mainstream environmental issues into their regular activities eventually strengthened by the project?
- (b) To what extent the sub-regional action plans identified and prioritized the environmental issues of relevance to the sub-region in line with the NEPAD environmental action plan? Was an implementation plan including resource mobilization developed?
- (c) How successful was the project in strengthening collaboration and capacity at the sub-regional level to implement the NEPAD Environmental Initiative?

³⁵ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

³⁶ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

³⁷ http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

- (d) Was the strategic approach developed within the GEF and with other international and bilateral donors to assisting countries to implement the NEPAD Environmental Action Plan successful?
- (e) To what extent the Technical Support Unit was effective and efficient tool for the implementation of the Action Plan and sub-regional action plans?

B. Overall Approach and Methods

2. The terminal evaluation of the Project “Development of Sub-Regional Environmental Action Plans of the New Partnership for Africa’s Development (NEPAD)” will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP GEF Coordination Office (Nairobi).

3. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.

4. The findings of the evaluation will be based on the following:

- (a) A **desk review** of project documents³⁸ including, but not limited to:
 - Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining to environmental action plans; Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
 - Project reports such as progress and financial reports from countries to the EA and from the EA to UNEP; Steering Committee meeting minutes; annual Project Implementation Reviews and relevant correspondence;
 - Documentation related to project outputs.
- (b) **Interviews**³⁹ with:
 - Project management and execution support;
 - UNEP Task Manager and Fund Management Officer (Nairobi);
 - NEPAD Agency and sub-regional economic communities;
 - Relevant staff of GEF Secretariat;
 - Representatives of other multilateral agencies and other relevant organisations.
- (c) **Country visits.** The consultant will visit Nairobi to meet with the UNEP staff involved in project execution and implementation and the Evaluation Office and Johannesburg to meet with NEPAD staff involved in the project.

C. Key Evaluation principles

5. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources)

³⁸ Documents to be provided by the UNEP and UNDP are listed in Annex 7.

³⁹ Face-to-face or through any other appropriate means of communication

to the extent possible, and when verification was not possible, the single source will be mentioned⁴⁰. Analysis leading to evaluative judgements should always be clearly spelled out.

6. The evaluation will assess the project with respect to a **minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with the UNEP strategies and programmes. The lead consultant can propose other evaluation criteria as deemed appropriate.

7. **Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 3 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

8. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between **what has happened with** and **what would have happened without** the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

9. As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, **the “why?” question** should be at front of the consultants’ minds all through the evaluation exercise. This means that the consultants needs to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today.

D. Evaluation criteria

1. Attainment of Objectives and Planned Results

10. The evaluation should assess the relevance of the project’s objectives and the extent to which these were effectively and efficiently achieved or are expected to be achieved.

- (a) *Achievement of Outputs and Activities:* Assess, for each component, the project’s success in producing the programmed outputs as presented in Table A1.1 (Annex 1), both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success

⁴⁰ Individuals should not be mentioned by name if anonymity needs to be preserved.

of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section 3 (which covers the processes affecting attainment of project objectives). The achievements under the regional and national demonstration projects will receive particular attention.

- (b) *Relevance*: Assess, in retrospect, whether the project's objectives and implementation strategies were consistent with: i) Sub-regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation; and iii) the relevant GEF focal areas, strategic priorities and operational programme(s).
- (c) *Effectiveness*: Appreciate to what extent the project has achieved its main objective **to enable African countries to implement multilateral and regional environmental agreements through a capacity building initiative** and its component objectives as presented in Table 2 above. To measure achievement, use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section 3.
- (d) *Efficiency*: Assess the cost-effectiveness and timeliness of project execution. Describe any cost- or time-saving measures put in place in attempting to bring the project to a successful conclusion within its programmed budget and (extended) time. Analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, compare the cost and time over results ratios of the project with that of other similar projects. Give special attention to efforts by the project teams to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency.
- (e) *Review of Outcomes to Impacts (ROI)*: Reconstruct the logical pathways from project outputs over achieved objectives towards impacts, taking into account performance and impact drivers, assumptions and the roles and capacities of key actors and stakeholders, using the methodology presented in the GEF Evaluation Office's ROI Practitioner's Handbook⁴¹ (summarized in Annex 8 of the TORs). Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as regards to: i) strengthened collaboration, capacity and action to implement NEPAD Environment Initiative and sub-regional environmental action plans and the likelihood of those leading to changes in countries' ability to implement national environmental action programmes and policies.

2. Sustainability and catalytic role

11. **Sustainability** is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results

⁴¹ http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RoTI_handbook.pdf

will be sustained and enhanced over time. Application of the ROTI method will assist in the evaluation of sustainability.

12. Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
- (b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources⁴² will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- (c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?
- (d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?

13. **Catalytic Role and Replication.** The *catalytic role* of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP and the GEF also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

- (a) *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at a national and sub-regional level;
- (b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;

⁴² Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

- (c) contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
- (d) contributed to *policy changes* (on paper and in implementation of policy);
- (e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;
- (f) created opportunities for particular individuals or institutions (“*champions*”) to catalyze change (without which the project would not have achieved all of its results).

14. *Replication*, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

3. Processes affecting attainment of project results

15. **Preparation and Readiness.** Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? Were lessons learned and recommendations from Steering Committee meetings adequately integrated in the project approach? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed⁴³?

16. **Implementation Approach and Adaptive Management.** This includes an analysis of approaches used by the project, its management framework, the project’s adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- (a) Assess whether during project implementation supervision and management duties within UNEP were separated in a suitable manner;
- (b) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (c) Assess the role and performance of the units and committees established and the project execution arrangements at all levels;

⁴³ <http://www.thegef.org/gef/node/4562>

- (d) Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.
- (e) Evaluate the effectiveness and efficiency of project management by the EA and how well the management was able to adapt to changes during the life of the project;
- (f) Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and IA supervision recommendations;
- (g) Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems;
- (h) Assess the extent to which MTE recommendations were followed in a timely manner, if applicable.

17. **Stakeholder⁴⁴ Participation and Public Awareness.** The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (a) the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?
- (b) the degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;
- (c) how the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) engaged key stakeholders environmental management etc..

18. The ROTI analysis should assist the consultants in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and objectives to impact.

19. **Country Ownership and Driven-ness.** The evaluation will assess the performance of the Governments of the countries involved in the project, namely:

- (a) in how the Governments have assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various contact institutions in the countries involved in the project and the timeliness of provision of counter-part funding to project activities;

⁴⁴ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- (b) to what extent the political and institutional framework of the participating countries has been conducive to project performance. Look, in particular, at the extent of the political commitment to enforce (sub-) regional agreements promoted under the project;
- (c) to what extent the Governments have promoted the participation of communities and their non-governmental organisations in the project; and
- (d) how responsive the Governments were to UNEP and NEPAD Secretariat's supervision and follow up actions.

20. **Financial Planning and Management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (b) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- (c) Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- (d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

21. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by the EA or IA to prevent such irregularities in the future. Appreciate whether the measures taken were adequate.

22. **UNEP Supervision and Backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:

- (a) The adequacy of project supervision plans, inputs and processes;
- (b) The emphasis given to outcome monitoring (results-based project management);

- (c) The realism and candour of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- (d) The quality of documentation of project supervision activities; and
- (e) Financial, administrative and other fiduciary aspects of project implementation supervision.
- (f) The separation of project supervision and management functions and the presence of clear lines of responsibility, reporting and accountability within UNEP.

23. **Monitoring and Evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (a) *M&E Design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:
 - Quality of the project logframe as a planning and monitoring instrument; analyse/compare logframe in Project Document, revised logframe (2008) and logframe used in Project Implementation Review reports to report progress towards achieving project objectives;
 - SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
 - Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
 - Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
 - Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
 - Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.
- (b) *M&E Plan Implementation.* The evaluation will verify that:
 - the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;

- annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
- projects had an M&E system in place with proper training, instruments and resources for parties responsible for M&E.

4. Complementarities with UNEP strategies and programmes

24. UNEP aims to undertake GEF funded projects that are aligned with its own strategies. The evaluation should present a brief narrative on the following issues:

- (a) *Linkage to UNEP's Expected Accomplishments and POW 2011-2012.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROtI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS)⁴⁵/ Programme of Work (POW) 2011/12 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist.
- (b) *Alignment with the Bali Strategic Plan (BSP)*⁴⁶. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- (c) *Gender.* Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- (d) *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

E. The Consultants' Team

25. For this evaluation, one independent consultant will be hired, preferably from the project sub-regions. The consultant will have the following expertise and experience in:

- (a) Evaluation of environmental projects;

⁴⁵ <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

⁴⁶ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

- (b) Environmental field with a high-level degree in Environmental Sciences, Environmental Law, or Management (or related disciplines);
- (c) Capacity and institution building;
- (d) Working in the African sub-regions.

26. The **Consultant** will be responsible for coordinating the data collection and analysis phase of the evaluation, and preparing the main report. (S)He will ensure that all evaluation criteria are adequately covered by the team.

27. *By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of their contract) with the project's executing or implementing units.*

F. Evaluation Deliverables and Review Procedures

28. The **Consultant** will prepare and submit an inception report to the UNEP Evaluation Office before starting fieldwork or desk based phone/email interviews. See Annex 2(a). Inception Report Outline for annotated Table of Contents of the Inception Report. The main text of the Inception Report should not be longer than 16 pages.

29. The inception report lays the foundations for the main evaluation. Its purpose is to develop an evaluation framework that includes:

30. A review of the quality of project design to help identify how project design impacts on project implementation and performance;

31. An analysis of the project's theory of change, creating a baseline which can be used to assess the actual project outcomes and impacts (expected and unexpected) during field visits and interviews;

32. A detailed plan for the evaluation process.

33. The main components of the inception report are:

34. **Review of the Quality of Project Design:** The review of project design is done on the basis of the project document and log frame. The Team Leader should also familiarize her/himself with the history and wider context of the project (details available on UNEP and GEF website, documentation from past projects etc). The analysis should be used to complete the 'Template for assessment of the quality of project design' (in the Annex 9 of the TORs). The rating system follows the Evaluation ratings used for the main evaluation (also described in the annex of the TORs).

35. **Theory of Change Analysis:** Annex 8 of the TORs on Introduction to Theory of Change/Impact pathways, the ROTi Method and the ROTi results score sheet describes in details the Theory of Change approach. The Theory of Change analysis should be captured in a Theory of Change diagram, found in the annex. The diagram can be shared with project stakeholders in the course of the evaluation, as tool to aid discussion. Please note that the ratings requested in the annex are not needed in the inception report's Theory of Change analysis. The team leader should complete the ratings after the field visits/interviews. The ToC diagram and ratings should be incorporated in final evaluation report.

36. **Evaluation Process Plan:** The evaluation process plan is based on a review of the project design, theory of change analysis and also of all the project documentation (listed in TORs). The evaluation plan should include: summary of evaluation questions/areas to be explored/questions raised through document review; description of evaluation methodologies to be used.; list of data sources, indicators; list of individuals to be consulted; detailed distribution of roles and responsibilities among evaluation consultants (for larger evaluation teams); revised logistics (selection of sites to be visited)/dates of evaluation activities.

37. **The main evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2 (b). It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate.

38. **Report summary.** The Consultant will prepare a 15-slide presentation summarizing the key findings, lessons learned and recommendations of the evaluation, if necessary.

39. **Review of the draft evaluation report.** The Consultant will submit the zero draft report, according to the tentative schedule in Annex 10, to the UNEP EO and revise the draft following the comments and suggestions made by the EO. The EO will then share the first draft report with the UNEP GEF Coordination Office (Nairobi) and the UNEP Division of Environmental Policy Implementation (DEPI). The UNEP Task Manager will forward the first draft report to the other project stakeholders, in particular NEPAD, for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the consultant for consideration in preparing the final draft report. The Consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The Consultant will prepare a **response to comments** that contradict the findings of the evaluation team and could therefore not be accommodated in the final report. This response will be shared by the EO with the interested stakeholders to ensure full transparency.

40. Consultations will be held between the consultant, EO staff, the UNEP/GEF, UNEP/DEPI, and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.

41. **Submission of the final Terminal Evaluation report.** The final report shall be submitted by Email to:

Segbedzi Norgbey, Head
UNEP Evaluation Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: +254-20762 3387
Email: segbedzi.norgbey@unep.org

42. The Head of Evaluation will share the report with the following persons:

Maryam Niamir-Fuller, Director
UNEP/GEF Coordination Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel: +254-20 762 4686
Email: maryam.niamir-fuller@unep.org

Ibrahim Thiaw, Director
Division of Environmental Policy Implementation (DEPI)
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P. O. Box 30552, 00100
Nairobi, Kenya
Tel: +254 20 7624782
Email: ibrahim.thiaw@unep.org
<http://www.unep.org/depi>

Mohamed Sessay, Task Manager,
Division of Environmental Policy Implementation (DEPI)
UNEP
P. O. Box 30552, 00100
Nairobi, Kenya
Tel: +254 20 7624294
Email: Mohamed.sessay@unep.org

43. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

44. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 5.

45. The UNEP Evaluation Office will also prepare a **commentary** on the final evaluation report, which presents the EO ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report. These ratings are the final ratings that the UNEP Evaluation Office will submit to the GEF Office of Evaluation.

G. Resources and Schedule of the Evaluation

46. This Terminal Evaluation will be undertaken by one independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and they will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for their travel, obtain documentary evidence, meetings with stakeholders, field visits, and any other logistical matters related to their assignment. The UNEP Task Manager will provide logistical support (introductions, meetings, transport, lodging etc.) for the country visits where necessary, allowing the consultant to conduct the evaluation as efficiently and independently as possible.

47. The **Consultant** will be hired for 12 weeks of work spread out during March-June 2013. (S)he will travel to Nairobi, Kenya and to Johannesburg, South Africa.

ANNEX 2. THE EVALUATION FRAMEWORK

4.1 Scope of Work

- 1 As stated in the Terms of Reference (TOR), the overall purpose of the evaluation is to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, NEPAD, the GEF and their partners.
- 2 Based on evidence gathered along the evaluation criteria described below, the analysis will include determining the nature and extent of progress made towards achieving the project's main objectives since its inception in 2004, as well as the achievement towards the main outcomes of its implementation with the view to provide lessons learned for future initiatives. The evaluation will thereby elaborate on the key evaluation questions as stated in the TOR, and which are expanded upon below in Table 1 and in the evaluation matrix presented in Annex 3.
- 3 Evaluative evidence will be assessed against the standard GEF evaluation standards for **Relevance, Effectiveness, Efficiency, Sustainability, Replication & Catalytic Role**, as well as other factors affecting performance such as management and complementarity. Along these areas, the project will be assessed with respect to **a sufficient but minimal set of evaluation criteria**, grouped in four categories: (1) Attainment of objectives and planned results; (2) Sustainability and catalytic role; (3) Processes affecting attainment of project results; and (4) Complementarity with the UNEP strategies and programs.
- 4 The evaluation will review the overall **relevance** of the project within the broader context of the NEPAD Environment Initiative and Action Plan as well as its relevance at the regional level for Africa. At the global level, the evaluation will assess whether the project was aligned with global priorities, as well as the priorities of UNEP, and the GEF, and whether - after 4 years of operation and 5 years since it ended - it is still relevant and if it has contributed to intended impacts. The evaluation will also assess whether the design and concept of the project is indeed **relevant** to the participating countries and beneficiaries. The evaluation will assess **complementarity** with the UNEP strategies and programs focusing on the extent to which the project complemented UNEP strategies and programs, including the incorporation of gender in its activities and promoting south-south cooperation
- 5 With regards to **effectiveness**, the evaluation will assess the extent to which the project has achieved its **results** such as intended activities, outputs and impacts. It will assess the achievements at the immediate outcome level. Although indicators were not included in project documentation explicitly, this report suggests evaluation indicators within the evaluation matrix in addition to resources that will serve as reference.
- 6 Under the **efficiency** criterion, the evaluation consultant will do an examination of project delivery mechanisms vis-à-vis institutional and management arrangements that will provide additional evidence on the extent to which the project has been able to develop and execute processes and structures that are conducive to reaching objectives. It will review the timeliness of intended outputs and activities against intended deadlines suggested in the project document. An analysis of whether the project achieved efficiency in leveraging intended changes through partnerships

and using a minimal amount of finances, time, and/or other resources will be carried out. This assessment will particularly look at the efficiency of the project in providing technical support along with other services and will look at the causes behind and effects of UNEP assuming responsibility as executing agency, such as the type of support provided and the impact this had on the capacities of the regional economic communities.

- 7 Under the **Sustainability and catalytic role criteria**, the evaluation team will assess whether the benefits gained by NEPAD and regional programs in Africa through the project are likely to have been sustained beyond its life. The evaluation will measure outcomes to impacts using the ROTI approach to assess progress made towards achieving project’s main objective and towards the three main outcomes of its the implementation, assess causal pathways and likelihood of impact in the long term. The evaluation will focus on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices.
- 8 With regards to **processes affecting attainment of project results** the evaluation will assess project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation(M & E)systems.

Table 2: Evaluation Criteria and Key Evaluation Questions

Evaluation Criteria ⁴⁷	Definition	Key Evaluation Questions
1. Attainment of Objectives and Planned Results		
A. Outputs Achieved	Extent to which the project succeeded in producing planned outputs	To what extent were the planned outputs produced?
B. Relevance	Extent to which the project is aligned with the needs of the NEPAD, African Regions and other intended beneficiaries and also consistent with intended global, national and local policies and priorities.	To what extent does the project align with global priorities as identified in the environmental conventions?
		To what extent does the project align with GEF and UNEP priorities and policies?
		To what extent does the project align with regional development priorities and policies?
		Does the project provide relevant lessons and experiences for other similar projects in the future?
C. Effectiveness		
	The extent to which the NEPAD project has attained its objectives?	Did the project effectively facilitate developing five sub-regional action plans which take into account activities identified by African Governments during the development of the NEPAD Environment Action Plan to strengthen collaboration,

<p>Has the project achieved its main objective to enable African countries to implement multilateral and regional environmental agreements through a capacity building initiative?</p>	<p>capacity and action at the sub-regional level to implement the NEPAD Environment Initiative?</p> <p>Did the project effectively facilitate strengthening the capacity of the African Regional Economic Communities and the NEPAD Secretariat to prepare and implement Sub regional NEPAD environmental action plans?</p> <p>Did the project effectively facilitate better coordination of donor assistance to African Countries in the implementation of the NEPAD Environment Initiative. Did the project effectively enable improved communication and dialogue between African and development partners in the implementation of NEPAD Environment Initiative?</p>
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<p>D. Outcomes to impacts</p>	<p>Extent to which the project has to date contributed, and is likely in the future to further contribute to <u>changes in stakeholder behaviour.</u></p>	<p>To what extent did strengthened collaboration, capacity and action to implement NEPAD Environment Initiative and sub-regional environmental action plans lead to <u>changes in countries' ability to implement national environmental action programmes and policies?</u></p> <p>To what extent were the SREAPs prepared conducive to changes at the regional level ?</p>
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<p>E. Efficiency⁴⁸</p>	<p>Extent to which the NEPAD project resources were used and processes were designed for maximum value per unit of input.</p>	<p>To what extent were cost- or time-saving measures put in place in attempting to bring the project to a successful conclusion within its programmed budget?</p> <p>To what extent did the project make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?</p> <p>To what extent did the project leverage additional resources?</p>
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2. Sustainability and catalytic role⁴⁹

⁴⁸ According to GEF M&E policy, 'relevance', 'effectiveness' and 'efficiency' will each be rated on a 6-point scale.

⁴⁹ According to GEF M&E policy, sustainability will be rated on a 4-point scale.

A. Sustainability	Extent to which the project has ensured the likelihood of continued benefits after the program ends	<p>To what extent were the continuation of project results and the eventual impact of the project dependent on continued financial support?</p> <p>To what extent was the continuation of project benefits dependent on socio-economic factors?</p> <p>Were there any environmental risks that could have undermined the future flow of project impacts and Global Environmental Benefits?</p> <p>To what extent did the sustenance of the results and onward progress towards impact depend on issues relating to institutional frameworks and governance?</p>
B. catalytic Role and replication	To what extent did the project lead to upscale of new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits	<p>To what extent has the project catalyzed behavioural changes?</p> <p>To what extent has the project provided incentives (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour?</p> <p>To what extent has the project contributed to institutional changes?</p> <p>To what extent has the project contributed to policy changes (on paper and in implementation of policy)</p> <p>To what extent has the project contributed to sustained follow-on financing (catalytic financing) from Governments, the GEF or other donors?</p> <p>To what extent has the project created opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not have achieved all of its results)?</p> <p>To what extent has the project’s lessons and experiences been replicated or scaled up?</p>
3. Processes Affecting attainment of project Results		<p>How effective were the project’s mechanisms on readiness and preparation at design?</p> <p>To what extent did the project management framework adapt to changing in</p>

		conditions during implementation?
		To what extent did the project address stakeholder participation and public awareness?
		To what extent has country ownership and driven-ness been addressed by the project?
		To what extent did the project address Financial Planning and Management?
		To what extent was UNEP effective in providing supervision and administrative and financial support to the project?
		To what extent were the project's monitoring plan applied and evaluation tools effective?
4.Complementarities with UNEP strategies and programmes	The extent to which the project complemented UNEP strategies and programs	<p>To what extent was the project linked to UNEP's Expected Accomplishments and POW at the time?</p> <p>To what extent was the project aligned with the Bali Strategic Plan (BSP)⁵⁰?</p> <p>To what extent was Gender incorporated in the project?</p> <p>To what extent did the project catalyse south-South cooperation?</p>

Since the project termination date occurred in 2008, the evaluation will, as much as possible, entail an examination of the depth and scope of reach of the program in contribution to regional and member countries' capacities to include environment in their own development activities. The evaluation will use evidence-based triangulation to draw conclusions and to establish findings and provide key lessons learned. Furthermore, the evaluation will help enable gaining insight on gaps in the project to provide remedial actions for future projects. The evaluation will also assess in collaboration with UNEP staff of the appropriateness of the evaluation of the projects monitoring and evaluation plan and implementation.

4.2 Proposed methodology

4.2.1 Evaluation Approach

- 9 Bearing in mind the main objectives of this assignment, the evaluation will be based on the following pivotal principles to ensure a fair evaluation:
- *Focus on results:* Expected results, performance indicators, as well as potential risks are identified to ensure coherent and integrated results based management (RBM) that helps frame this evaluation.
 - *Learning by doing:* The evaluator will adapt RBM principles, tools and indicators (i.e. the evaluation matrix), based on the needs and context of this evaluation, with the aim of increasing the potential for learning and focus on the achievements of the project.

⁵⁰ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

- *Collaborative approach:* The evaluation process will ensure a consultative and collaborative approach with the UNEP staff members and other relevant stakeholders.
 - *Evidence-based:* The evaluation will aim to gain insights and conclusion based on a variety of data and data collection methods, which are mainly qualitative, to ensure the reliability and validity of the evaluation results (triangulation)
- 10 Furthermore, the evaluation consultant will ensure the task is delivered under the following approach:
- Extensive preparation and review of available relevant documentation, including annual work plans, yearly and half-yearly progress reports by UNEP, as well as reports highlighting good practices and lessons learned. This will enable the evaluation to reflect on key issues and achievements, and make the analysis more targeted and relevant, while also leaving room for unanticipated results.
 - Whereas the evaluation would like to gain a sub regional/national view from all participants, due to evident time and budget constraints, interviews will only be conducted with key project staff at NEPAD Secretariat, UNEP and relevant GEF Secretariat staff. Interviews with the regional economic communities will be conducted upon availability of key persons who have since moved on from their positions.⁵¹

4.2.2 Data Collection

- 11 Both primary and secondary data will be collected and analysed as part of the evaluation process. Secondary data will be obtained mainly from the UNEP EO and UNEP task manager and FMO, NEPAD secretariat, and where possible, relevant partners and other organizations. Primary data will be gathered through qualitative and quantitative methods, including desk reviews and semi-structured interviews. The field visits to Nairobi and Johannesburg will enable the evaluator to meet with the main project staff involved in the project implementation. This will allow an in-depth analysis of the context surrounding and influencing the sub-programme, its relevance, effectiveness, efficiency, impacts and sustainability, as well as the level of involvement of the different stakeholders, and synergies with other on-going actions at the regional and sub-regional level.
- 12 **Documentary analysis.** Key project design and implementation documents will be desk reviewed during the inception phase and then further in-depth reviewed prior to field visits in order to properly understand the context of the Project. Findings from the Inception review have informed the methodology and enabled refinement of the evaluation framework by filling information gaps and helping to identify further data collection needs. The preliminary list of project documents received by the review team is contained in Annex 4 of the inception report.
- 13 **Key Informant interviews.** In-person interviews with UNEP staff will be conducted to help orient the evaluation team and inform the further development of this inception report. Subsequent interviews during the data collection phase will be primarily semi-structured, based on the evaluation matrix presented in Annex 3. Annex 5 provides an initial list of interviewees, which will be further elaborated throughout the inception and data collection phases. Annexes 6 and 7 provide a draft invitation letter for requesting interviews and a preliminary interview protocol, respectively.

⁵¹ The evaluator also considered with the UNEP project team the potential usefulness and appropriateness of additional methodological aspects, such as a stakeholder survey or questionnaire. Again this depended on sample size of and availability of key persons particularly at regional economic communities

4.3 Evaluation Phasing

- 36 The evaluation will follow three phases in order to allow for an iterative process, while ensuring formal decisions at key stages of the evaluation process. Once the methodology is agreed between stakeholders with the approval of the inception report, the evaluation team will be able to consult with appropriate internal actors such as UNEP and NEPAD Secretariat staff and other partner organization staff, at each of the following stages of the evaluation in order to fine tune focus of some data collection efforts, if required, to ensure maximum relevance to stakeholders. This is part of the participatory approach for this analysis of the project. The main steps of the evaluation will be:

4.3.1 Inception Phase

4.3.1.1 Preliminary documentation review & phone interviews

- 37 In order to prepare this inception report, the evaluator has conducted a preliminary documentation review to help clarify the context surrounding the programme and has begun to identify the main challenges of the evaluation mission(s) and information gaps to be filled. As mentioned earlier, in addition, interviews (see Annex 5) will be conducted with key current and former UNEP staff and managers and NEPAD staff to discuss their respective roles and responsibilities in the project, help identify its relative strengths and challenges more, as well as inform the evaluator as to what additional areas and or questions they would like the evaluation to address.

4.3.1.2 Preparation of the review matrix

- 38 On the basis of the documentation review, a review matrix has been elaborated. The evaluation matrix is a key tool for data collection and analysis. It includes the evaluation questions as set in the terms of reference, following the three main sections, i.e. Relevance, Performance and Factors Affecting Performance (each with coinciding sub-sections). The review matrix details the most relevant qualitative and quantitative indicators that will inform the review questions, data collection methods, and respective information sources.

4.3.1.3 Inception report

- 39 The inception report is prepared on the basis of preliminary literature review and first contacts with key informants. This second draft inception report is submitted for comments and exchanges with UNEP EO and other relevant staff, and provides these key stakeholders with the opportunity to inform and help finalize the methodology. This report will be updated internally to reflect the improved understanding of the assignment, which will be incorporated into the detailed work plan for the mandate.

4.3.2. Data Collection and Analysis Phase

4.3.2.1 In-depth documentation review

- 40 Comprehensive desk review will enable the evaluator to reflect main issues and achievements, while also leaving room for unanticipated results. In addition to informing the indicators and key areas of analysis, the desk review process involves, to a limited extent, refining the evaluation approach and matrix, within the evaluation team, by highlighting new information and identification of gaps.

- 41 The evaluator will conduct an in-depth analysis of the project's key documents – background documents (on UNEP and NEPAD, UNEP partnerships with key actors), strategy and planning documents (PoW, annual and half yearly reports), project documents, project progress and financial reports, and all the other documents provided by the UNEP EO staff and managers - in order to inform the review matrix and subsequent analysis.
- 42 Beyond the project's materials, the evaluator will also examine relevant documentation on capacity development, NEPAD's Environment initiative and Action Plan, socio-economic and environmental conditions in Africa and on current regional policies, strategies, multilateral agreements, approaches to capacity development among UN Agencies and other relevant entities. In relation to the factors affecting programme performance, the evaluation team may also consult limited supporting materials on the relative effectiveness of management structures and administrative oversight, such as institutional evaluations or research on the relative effectiveness of various options.

4.3.2.2 Field visits

- 43 The evaluator made field visits to UNEP HQ in Nairobi and the NEPAD Secretariat in Johannesburg, to hold in-person semi-structured interviews with UNEP staff and NEPAD Secretariat staff. These will enable the evaluator to deepen analysis and understand the key determinants of programme implementation history, the strengths and weaknesses of the project, context, and how beneficiaries and other key stakeholder especially perceive the programme effectiveness, sustainability and impact. The field visits will also help the evaluator to assess limitations and opportunities presented by regional and institutional challenges, address cross-cutting issues (such as gender), and identify possible areas and means for which the project could have been improved and lessons learned.

4.3.2.3 Data analysis and triangulation of information

- 44 This stage will include the comprehensive analysis of key relevant quantitative and qualitative data through the integration and comparison of findings from in-person and telephone interviews, and documentation review, respectively. The evaluation matrix will serve as a guiding framework for the evaluator to analyse information, ensure verification of data, and begin the articulation of key findings and lessons learned toward reaching outcomes, as well as formulate conclusions and recommendations.

4.3.3 Reporting Phases

4.3.3.1 Draft Report

- 45 This first draft report will be submitted to the UNEP EO tentatively by 24 May, 2013, (there were initial delays in signing of contract) and then revision of the draft will be done following the comments and suggestions made by the EO.

4.3.3.2 Final Report

- 46 On the basis of analysis and exchanges with UNEP and partners on the draft report, a final evaluation report will be submitted tentatively by June 14, 2013. It will be no more than approximately 35 pages of text (excluding executive summary and annexes), and will incorporate, whenever possible, the clarification points, factual information as well as relevant observations, views and suggestions expressed by the programme partners and respective reviewers.

4.4 Overview of Potential Limitations and Mitigation Measures

- 47 The main potential limitation to the evaluation is the fact that the project was closed five years ago in 2008.⁵² This is likely to cause some gaps in data collection particularly with respect to, task managers at UNEP and NEPAD, and accessing the coordinators at the five Regional Economic Communities (RECs), who were the main beneficiaries of the capacity building efforts of the project at sub regional level, and who have most likely moved on, taking institutional memory with them. This severely impacts the potential to conduct a survey or questionnaire as well. The evaluator may have and spend some time trying to locate key personnel and to rely on the internet, and other secondary sources of information to gain their insights. Potential limitations and mitigation measures are listed in the Table 3 below.

Table 3: Potential Limitations and Mitigation Measures

Data Collection Method	Potential Constraint and Limitation	Mitigation Strategy
<i>Documentation Review</i>	Depending on the quality and availability of data supplied to/found by the evaluator, the documentation review may yield incomplete results	The evaluator will aim to gather a wide variety of documentation from a variety of sources to complete any missing information.
	Project documents are not always designed to facilitate the conduct of an evaluation.	The evaluator will triangulate with other data collection methods.
<i>Interviews</i>	Interviews can sometimes be time-consuming in terms of planning and logistics	The evaluator will use a systematic approach to invite interviewees to schedule their interviews.
	Differences in time zones will entail a special challenge in planning interviews.	The evaluator will ensure that contact with interviewees is done with enough advance time to ensure that the planning of interviews can be done mainly through email, in order to ease the time pressure for the interviewee.
	There is a potential for the evaluator to bias responses.	The evaluator will provide a formal setting for the interviews, whereas each question will be asked following a strict interview protocol.
	There is potential for evaluator to find difficulty in contacting persons who were directly involved in the project, <i>as 5 years have elapsed since project closure.</i>	The evaluator will aim to consult a wide variety of documentation from a variety of sources and may have to rely on secondary sources.

4.7.1 Revised Timeline and Deliverables

Table 4: Projected timeline and deliverables

Milestone	Date	Remarks
Contract starts	2 April 2013	Contract signed April 15, 2013

⁵² GEF guidelines indicate that Terminal Evaluations be conducted within six months before or after project completion. See 'Guidelines for GEF Agencies in Conducting Terminal Evaluations'. 2008. GEFEO. Available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/Policies-TEguidelines7-31.pdf>

Inception report sent to EO	19 April	Draft Inception Report
Mission to Nairobi and Johannesburg	21-28 April	Completed
Inception report sent to EO	2 May	2 nd Draft Inception Report
Zero draft evaluation report to EO	20 May	Agreed with UNEP
First draft evaluation report to EO	24-27 May	Agreed with UNEP
Comments on first draft collated by EO and sent to consultant	7 June	Agreed with UNEP
Final report to EO	14 June	Tentative
Contract ends	30 June 2013	Tentative

ANNEX 3. EVALUATION PROGRAM AND INTERVIEWEES

Organization	Name and Title	Place visited/phone interview/dates
UNEP		
<i>Project management and execution support</i>	Mohamed Sessay Chief ,GEF Biodiversity/Land Degradation/Biosafety Unit & Portfolio Manager DEPI-GEF	<i>Nairobi /April 24-26 2013</i>
	Sandeep Bhambra, Fund Management Officer	<i>Nairobi /April 24-26 2013</i>
<i>UNEP Task Manager and Fund Management Officer (Nairobi);</i>	David Ombisi, Focal point for the African Ministerial Conference on the Environment (AMCEN)	<i>Phone interview/May 6 2013</i>
	Alexandra Karekaho, Programme Officer, Division of Regional Cooperation (DRC)	<i>Nairobi /April 24-26 2013</i>
<i>Former UNEP staff</i>	Peter Acquah , Retired, Former UNEP- AMCEN Secretariat	<i>Phone interview/25 April, 2013</i>
	Sekou Toure , Former Director of UNEP's regional office for Africa	<i>Phone interview/ May 2 2013</i>
NEPAD Secretariat, AU, and Regional Economic Communities		
<i>NEPAD Environmental Program</i>	Esterine Lisinge Fotabong, NEPAD Environment Program Lead	<i>Johannesburg(Midrand) /April 22 2013</i>
<i>Staff of the AU, RECs</i>	Alex Banda, SADC, Gaborone, Botswana	<i>Phone interview /May 14 2013</i>
Multilateral Organizations		
Global Environment Facility Secretariat	Walter Lusigi, Former GEF focal point for NEPAD project	<i>Phone interview/May 9, 2013</i>

ANNEX 4. BIBLIOGRAPHY

Documents provided by UNEP Task Manager:

- Project design documents
- Project Progress reports, including financial reports submitted
- Annual Project Implementation Reports
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Project revision documentation.
- Budget revision and documentation.

Other documents consulted:

- Bellamy, Jean-Joseph and Kevin Hill, 2010. "National Capacity Self-Assessments: Results and Lessons Learned for Global Environmental Sustainability", Global Support Programme, Bureau for Development Policy, United Nations Development Programme, New York, USA.
- Bellamy, Jean-Joseph and Kevin Hill (2010), "Monitoring Guidelines of Capacity Development in Global Environment Facility Projects", Global Support Programme, Bureau for Development Policy, United Nations Development Programme, New York, USA.
- Bernstein, Stephan and Jutta Brunnée, 2011. "Options for Broader Reform of the Institutional Framework for Sustainable Development: Structural, Legal and Financial Aspects."
- Datta, Ajoy, Louise Shaxson, and Arnaldo Pellini, 2012. "Capacity, complexity and consulting: Lessons from managing capacity development projects," Overseas Development Institute, London. Working Paper 344, March 2012.
- GEF, 2010. "Cross-cutting Capacity Development Strategy," GEF Secretariat, Washington, D.C.
- GEF Evaluation Office, 2011. "Evaluation of GEF National Capacity Self-Assessments (NCSA)," Unedited version of final report, October 2011. GEF (2003) Strategic Approach to Enhance Capacity Building
- GEF (2006) The GEF Monitoring and Evaluation Policy
- GSP, 2008: Monitoring Capacity Development in GEF operations: A framework to monitor capacity development initiatives. Global Support Programme for Capacity Development for Environmental Management.
- GEF (2008) Second Progress Report on the Implementation of the GEF Strategic Approach to Capacity Development.
- NEPAD Website:
<http://www.nepad.org/climatechangeandsustainabledevelopment/climatechange/about>

ANNEX 5. SUMMARY CO-FINANCE INFORMATION AND A STATEMENT OF PROJECT EXPENDITURE BY ACTIVITY

Co-financing (Type/Source)	IA own Financing (US\$)		Government (US\$)		Other* (US\$)		Total (US\$)		Total Disbursement (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual ⁵³
- Grants			2,425,000	2,305,000	20,000	20,000	2,445,000	2,325,000	2,325,000	2,325,000
- Loans/Concessional (compared to market rate)										
- Credits										
- Equity investments										
- In-kind support										
- Other (*)										
Totals			2,425,000	2,305,000	20,000	20,000	2,445,000	2,325,000	2,325,000	2,325,000

⁵³ These are figures as at Dec 2012. Actual figures to be confirmed upon closure of Belgium-funded project.

Expenditures by GEF Components					
Component 1		Budget	Committed	Total	Remarks
	Inception W/shop	30,000.00		-	Inception w/shop was combined with the sub-regional workshops
	SRAP UMA	20,000.00		108,462.72	
	SRAP ECOWAS	150,000.00		129,829.14	
	SRAP COMESA	200,000.00		88,905.69	
	SRAP ECCAS	100,000.00		98,710.25	
	SRAP SADC	150,000.00		104,026.45	
	Inter-Agency W/shop	50,000.00		-	
Component 2					These activities were either already in-process or already been undertaken and all we needed to do was to pull them all together during execution of this project hence saving costs to the project..
	Stocktaking	50,000.00		-	
	Identification of gaps	20,000.00		-	
	Bankable projects	30,000.00		-	
Component 3					For Terminal Evaluation If not utilised by the closure of project, these funds will be returned to GEF.
Management	Technical Support	150,000.00		148,113.00	
	Steering Project	50,000.00	50,000.00	50,000.00	
Un-allocated			271,952.73	271,952.73	
Total		1,000,000.00	321,952.73	1,000,000.00	

ANNEX 6. THE REVIEW OF PROJECT DESIGN

Annex 6: Template for the assessment of the Quality of Project Design – UNEP Evaluation Office September 2011

Relevance	Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?	HS. The project document notes that <i>“The Governing Council of the United Nations Environment Programme decided in 1998 to include Africa among its five areas of concentration. Since then priority has been given to Africa to address its increasing environmental challenges.”</i>	A. Project summary-rationale C.2 project design C1. Program designation and conformity E - institutional coordination and support
Does the project form a coherent part of a UNEP-approved programme framework?	HS. The project document indicates that the project is part of the UNEP sub program on Support to Africa; The document provides evidence that UNEP as implementing agency of the GEF initially supported the preparation and finalization of the Action Plan for the Environment Initiative of NEPAD with the African Ministerial Conference on the Environment (AMCEN), secretariat of NEPAD, the African Union and the Commission of the African Union. This particular project was the next step towards implementation of the Action Plan.	A. Project summary-rationale C1. Program designation and conformity C.2 project design
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?	S. The project document indicates that this project was accompanied by a parallel UNEP activity promoting synergies at national level among the three Rio Conventions with a view of contributing to poverty alleviation, separately financed by Belgium and Norway.	A. Project summary-rationale
Are the project’s objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	A. Project summary
	ii) the UNEP	A. Project

	mandate and policies at the time of design and implementation?	evidence that capacity development is a central theme to the work of UNEP.	summary C1. Program designation and conformity
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	HS. The document states that the planned activities are in line with the various strategic approaches for the GEF. This includes a) recommendations associated with the third replenishment of the GEF and the Beijing Declaration of the GEF Assembly in October 2002, GEF At the GEF Council held on 19-21 November 2003. The project design is also in line with GEF Cross cutting capacity initiative, as it is Multi focal and targeted towards institutional strengthening.	A.Project summary
	iv) Stakeholder priorities and needs?	HS. The project is responding to the priority activities for the implementation of the Action Plan identified, agreed and submitted to Africa's partners by the African Ministers of the Environment and other stakeholders such as the African Union and the African Economic Commissions	C1. Program designation and conformity
Overall rating for Relevance		HS	
Intended Results and Causality			
	Are the objectives realistic?	MS. Some objectives are realistic within the time frame of the project, with others are over ambitious, for example, achieving a coordinated approach to donor assistance in implementing the NEPAD initiative within the time frame of the project.	A.Project summary – outcomes
	Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?	MU. Although a timeline describing intended outputs, activities and outcomes is described in the document, a clearly presented theory of change or intervention logic is absent from the document.	A.Project summary – outcomes
	Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	MS. The project is designed to achieve some of its short term outcomes within its time frame.	A.Project summary – outcomes
	Are the activities designed within the project likely to produce their intended results?	S. The activities designed were likely to achieve intended results at the output and immediate outcome levels. The project design includes mechanisms such as several consultations and communication between partners that could have increased the likelihood of producing	A.Project summary – outcomes

	results.	
Are activities appropriate to produce outputs?	S. The activities were designed with intention of maximizing collaboration and coordination between African stakeholders to develop plans, priority bankable projects and establishment of central technical unit within NEPAD and thus to produce outputs.	A. Project summary – outcomes
Are activities appropriate to drive change along the intended causal pathway(s)?	S. The intended activities were designed to maximize collaboration and coordination between African stakeholders to develop plans, priority bankable projects and establishment of central technical unit within NEPAD which in turn would lead to immediate outcomes.	A. Project summary – outcomes
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	MU. Impact Drivers, assumptions and capacities are not described for each pathway. In fact there are largely absent in the design.	
Overall rating for Intended Results and causality	MS	
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	S. The establishment of an efficient Technical Support Unit was included in the design, to provide technical support to the African countries GEF Focal Points and to the African Regional Economic Communities and the AU/NEPAD Secretariat on issues of relevance to the Action Plan and sub-regional action plans on the environment initiative of NEPAD.	A. Project summary – rationale E - institutional coordination and support
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	HS. The project was built upon existing agreements, institution and partnerships between UNEP, the GEF and NEPAD. The project intended to use NEPAD an already established wholly African partnership/entity charged with fostering coordination, synergy and coordination between Environmental African initiatives to implement activities which would in turn increase project efficiency.	A. Project summary – rationale E - institutional coordination and support
Overall rating for Efficiency	S.	
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	S. The project design intended that sustainability of the activities be promoted through the mainstreaming of the environment initiative into the regular activities of the African Regional Economics Communities. In addition the project document indicates that a third Assembly of Heads of State, to be held in	C3. Sustainability

	Addis Ababa on 6-7 July 2004, was likely to adopt a five year strategic program with a half billion USD budget mainly devoted to the implementation of NEPAD.	
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	MS. The project document does not explicitly identify social or political factors, although it is implicit within the design that positive political will and factors already existed with the NEPAD partnership to ensure sustainability. The main premise of this project as stated in the project document is <i>"indeed to further develop the capacity of the five sub-regional African economic commissions so that they are in a better position to continue the implementation of NEPAD's Action Plan on the Environment."</i> The design does promote many activities that would foster stakeholder awareness by building in many forms of dialogue between stakeholders as well as ensuring the adoption of the SREAPs and mainstreaming environment into the regular activities of the African Regional economics Communities.	C3. Sustainability
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	MS. Funding is required to sustain outcomes and benefits. However, funding sources to maintain the outcomes was not identified at project design. However, a parallel activity funded by Belgium and Norway was expected to drive impacts at the national level. In addition, the project document suggests that the third Assembly of Heads of State, to be held in Addis Ababa on 6-7 July 2004, would adopt a five year strategic program with a half billion dollar budget mainly devoted to the implementation of NEPAD.	C3. Sustainability
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	MU. The project document does not specifically identify financial risks, however, risks identified by reviewing of project documents by evaluator include the availability of co-financing for bankable projects promised by other donors and whether the half billion dollar budget originally foreseen by the project that would be devoted to the implementation of NEPAD would materialize.	C3. Sustainability Financing 1. Financing plan
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional	MS. The project design identifies and describes the need for adoption of the sub regional plans to ensure sustainability. A technical unit and help desk established	C3. Sustainability Project summary- rationale

<p>agreements, legal and accountability frameworks etc. required to sustain project results?</p>	<p>within NEPAD would [provide technical backstopping to the RECs for development of the SREAPs and subsequently disseminate lessons learned. It also implies that since NEPAD Environment Initiative and Action plans were adopted at the level of Heads of State, this provide enough political will required to ensure sustainability.</p>	<p>C.2 project design C1. Program designation and conformity E - institutional coordination and support</p>	
<p>Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?</p>	<p>MU. The project design does not identify environmental factors that can influence future flow of project benefits. Even though this was not described in the project design, it seems that none of the project outputs or higher level results were likely to affect sustainability of project benefits negatively.</p>	<p>SUMMARY-rationale C.2 PROJECT DESIGN C1. PROGRAM DESIGNATION AND CONFORMITY</p>	
<p>Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):</p>	<p>i) technologies and approaches show-cased by the demonstration projects;</p>	<p>Not applicable.</p>	<p>Na</p>
<p></p>	<p>ii) strategic programmes and plans developed</p>	<p>S. The project design foresaw catalysis of behavior change in the following ways: It intended to focus on strengthening collaboration among African countries on issues of common interest at regional, sub regional levels, providing a framework for promoting South-South cooperation, promoting the exchange and dissemination of good practices and lessons learned between Africa as a whole and its sub regions through duplication, replication and the further development of experience.</p>	<p>C3. Sustainability Project summary-rationale C.2 project design C1. Program designation and conformity</p>
<p></p>	<p>iii) assessment, monitoring and management systems established at a national and sub-regional level</p>	<p>S. The project design included a data base on best practice and lessons learned within the technical support unit established at the NEPAD Secretariat.</p>	<p>C3. Sustainability Project summary-rationale C.2 project design C1. Program designation and conformity</p>
<p>Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or</p>	<p>S. The design foresaw Adoption of Sub regional plans by Governments and AMCEN as adequate measures for mainstreaming environment into the regular activities of the African Regional Economics Communities and thus</p>	<p></p>	

mainstreaming of project-piloted approaches in any regional or national demonstration projects]	demonstration projects.	
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?	S. The project design does not describe measures for policy changes at sub regional level. However, it does incorporate in its design, changes in policy for coordination of donor support and in implementing the NEPAD Environmental Action Plan through a gap analysis approach to assess donor support. The project intended to foster an “Initiative and agreement on a co-ordinated and strategic approach and consultative process to addressing gaps in donor support.	C3. Sustainability Project summary-rationale C.2 project design C1. Program designation and conformity
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	MS. The project design seems to rely heavily on The third Assembly of Heads of State to be held in Addis Ababa on 6-7 July 2004 to adopt a five year strategic program with a half billion dollar budget mainly devoted to the implementation of NEPAD. Follow on financing was expected from donors through the funding of identified bankable projects to implement the SREAPs.	C3. Sustainability Project summary-rationale C.2 project design C1. Program designation and conformity
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?	S. African Ministerial Conference on the Environment (AMCEN), The Secretariat of NEPAD, the African Union, and the Commission of the African Union.	C3. Sustainability Project summary-rationale C.2 project design C1. Program designation and conformity
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	S. Ownership is already institutionalized through The Action Plan on the Environment Initiative of NEPAD which is an African owned process. The document indicates that it was “ <i>prepared and finalised through an interactive process under the leadership of AMCEN and in close collaboration with the Secretariat of NEPAD as well as the active participation of more than 800 African experts. The planned activities have been endorsed by the African Ministers at their meetings held in Cairo, Egypt on 21-22 October 2003 as well as their High-level Preparatory meeting of the Partnership Conference held in Algiers on 15-16 November 2003. The project was submitted to the Partnership Conference</i>	C3. Sustainability Project summary-rationale C.2 project design C1. Program designation and conformity

	<p>on the Environment Initiative of NEPAD held in Algiers, Algeria 15-16 December 2003". The project also incorporates the participation of local stakeholders in developing both SREAPs and identification of pilot bankable projects intending to ensure ownership at the sub regional and national level.</p>	
Overall rating for Sustainability / Replication and Catalytic effects	Design on sustainability is MU and Likelihood of Sustainability based on assessment of design is MU ⁵⁴	
Risk identification and Social Safeguards		
Are critical risks appropriately addressed?	U. The project design is weak in terms of appropriately addressing critical risks.	Project document
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	U. Specification of assumptions as factors affecting achievement of project results that are beyond the control of the project is mainly absent from the design as well as identification of potentially negative environmental, economic and social impacts of projects.	Project document
Are potentially negative environmental, economic and social impacts of projects identified?	U. Identification of potentially negative environmental, economic and social impacts of projects is mainly absent from the design.	Project document
Overall rating for Risk identification and Social Safeguards	U	
Governance and Supervision Arrangements		Implementation plan
Is the project governance model comprehensive, clear and appropriate?	S. The project document indicates that <i>"the participatory approach that guided the preparation of the Action plan on the environment initiative of NEPAD as well as the NEPAD spirit will continue to guide the implementation of this project"</i> . This provides evidence of an adequate governance model from which to build upon.	Implementation plan
Are roles and responsibilities clearly defined?	MS. Roles and responsibility at project design were defined, but not adequately. For instance the project document indicates that some of the roles would be defined during implementation. The document also indicates that <i>"A GEF Inter-agency Implementation Committee comprising the GEF Secretariat, UNEP,</i>	Implementation plan

⁵⁴ According to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions.

	<p><i>UNDP, the World Bank, the African Development Bank and the Secretariat of NEPAD will oversee the implementation of the project. The GEF interagency implementation committee will keep AMCEN informed of progress. The first meeting will be held in Tripoli on 28 June 2004 at the margins of the 10th meeting of AMCEN. The first meeting will agree on the role and responsibility of the GEF partners and finalize the draft Implementation Plan contained below. It has been already agreed that the World Bank in collaboration with the African Development Bank will take the lead in the implementation of the component two of the project related to the issues related to the bilateral and multilateral donors. Inter-agency task forces with the participation of the African regional Economics Communities, the African Union, the Secretariat of NEPAD and the United Nations Economic Commission for Africa as well as the members of the GEF Inter-agency Implementation Committee will be established for the preparation of sub regional NEPAD environmental Action Plans. A Technical Advisory Committee may be established to guide the operations of the Technical Support Unit.”</i></p>	
<p>Are supervision / oversight arrangements clear and appropriate?</p>	<p>S. Oversight arrangements marginally defined in design. The project document does indicate that UNDP/DGEF would take overall responsibility for implementation of activities and for overall supervision, providing guidance on linkages with related UNEP/GEF funded activities. It also indicated that UNEP/DGEF would monitor implementation of the activities undertaken during project execution and responsibility for financial and progress reporting to the GEF. The document indicates that “A GEF Inter-agency Implementation Committee comprising the GEF Secretariat, UNEP, UNDP, the World Bank, the African Development Bank and the Secretariat of NEPAD will oversee the implementation of the project. The first meeting will be held in Tripoli on 28 June 2004 at the margins of the 10th meeting of AMCEN. The first meeting will agree on the role and responsibility of the GEF partners and finalise the draft</p>	<p>Implementation plan Project document, Section4: Institutional Framework</p>

	<i>Implementation Plan.</i> ” However, UNEP’s supervisory role is not clearly spelt out in the project document.	
Overall rating for Governance and Supervision Arrangements	MS	
Management, Execution and Partnership Arrangements		
Have the capacities of partner been adequately assessed?	U. The project design is weak on assessment of the capacities of partners to implement activities, as well as with the execution arrangements, and specification of roles and responsibilities of internal and external partners Financial Planning / budgeting based on those relative (unknown) capacities.	Implementation plan
Are the execution arrangements clear?	MU. The project document is vague on the execution arrangements. Although the project document indicates that the African Development Bank and NEPAD with the AU Commission as executing agencies, this arrangement has not been clearly specified in the documents reviewed. It does indicate that this would be specified at the first meeting of implementation.	
Are the roles and responsibilities of internal and external partners properly specified?	MS. In the project documents reviewed, it is implied that roles would be specified at the inception meeting. The first meeting will be held in Tripoli on 28 June 2004 at the margins of the 10 th meeting of AMCEN. The first meeting will agree on the role and responsibility of the GEF partners and finalize the draft Implementation Plan.	Implementation plan
Overall rating for Management, Execution and Partnership Arrangements	MU	
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning	MS. The project financial design is appropriate. Co- financing arrangements have been identified with no obvious deficiencies in the budgets / financial planning .However, budgets for monitoring and evaluation not specified.	Financing 1. Financing plan
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential	MS. Resource mobilization potential is linked to NEPAD’s budget i.e. <i>“The third Assembly of Heads of State to be held in Addis Ababa on 6-7 July 2004 would likely adopt a five year strategic program with a half billion USD budget mainly devoted to the implementation of NEPAD”</i> and to	Financing 1. Financing plan of project document “Request for GEF Funding” and Internal UNEP

	<i>some in-cash and in-kind co-financing from Belgium, Norway, Denmark, Libya and Algeria respectively totaling about 2.4m USD, double the GEF contribution of 1m USD. This funding is also linked to parallel activities.</i>	Project document
Financial and administrative arrangements including flows of funds are clearly described	S. A financing plan and sources of co-financing are listed in the project document.	Financing 1. Financing plan
Overall rating for Financial Planning / budgeting	MS.	
Monitoring		
Does the logical framework: <ul style="list-style-type: none"> capture the key elements in the Theory of Change for the project? have 'SMART' indicators for outcomes and objectives? have appropriate 'means of verification' adequately identify assumptions 	MU. The project's logical framework marginally captured the key elements of the Theory of change of the project. However, SMART indicators were absent as well as appropriate means of verification and identification of assumptions.	C.6 monitoring and evaluation plan
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	MS. Milestones are mainly described in terms of timelines/deadlines and measured internally via half/yearly reports (mainly outputs) with performance indicators absent in project design document.	C.6 monitoring and evaluation plan
Is there baseline information in relation to key performance indicators?	MS. The projects baseline is implicitly described throughout rationale, but not quantified or related to any indicators.	C.6 monitoring and evaluation plan
Has the method for the baseline data collection been explained?	Not applicable.	C.6 monitoring and evaluation plan
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??	Unable to assess as collection of baseline data is mostly not applicable to this project.	C.6 monitoring and evaluation plan
Has the time frame for monitoring activities been specified?	S. Monitoring and evaluation were intended to be undertaken under UNEP guidelines for monitoring and evaluation at the time. A review of project documents indicates that monitoring of activities through regular reporting at each milestone in the projects implementation timeline would be carried out. There is also indication that a report on the status of implementation of the project will be submitted to the regular meetings of AMCEN and the relevant organs of the African Union and NEPAD and that a midterm evaluation and final	C.6 monitoring and evaluation plan

	assessment would be carried out.	
Are the organisational arrangements for project level progress monitoring clearly specified?	MU. The project documents reviewed indicate that reports on the status of implementation of the project would be submitted to the regular meetings of AMCEN and other relevant organs of the African Union and NEPAD. Final reports would be submitted to the GEF.	C.6 monitoring and evaluation plan
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	MU. No budget available in Project design documents reviewed.	C.6 monitoring and evaluation plan
Overall, is the approach to monitoring progress and performance within the project adequate?	MU.	
Overall rating for Monitoring	MU.	
Evaluation		
Is there an adequate plan for evaluation?	MS. The project at design notes that evaluation would be on the basis of: execution performance, output delivery, and project impact. It further elaborates that <i>“Evaluation of the project’s success in achieving its outcomes will be monitored continuously throughout the project through semi-annual progress reports, annual summary progress reports, a mid-term and final evaluation all of which will use the following description and timing of expected outputs by project component”</i>	C.6 monitoring and evaluation plan
Has the time frame for Evaluation activities been specified?	MU. No specification of Evaluation activities	C.6 monitoring and evaluation plan
Is there an explicit budget provision for mid-term review and terminal evaluation?	MU. Although the projects document notes that the M&E process will include a mid-term review assessment and end-of-project assessment undertaken by independent review teams, there is no explicit budget for this available in the documents reviewed.	C.6 monitoring and evaluation plan
Is the budget sufficient?	Unable to Assess.	
Overall rating for Evaluation	MU	

ANNEX 7. MEETINGS HELD DURING PROJECT IMPLEMENTATION

No	Meeting Type	Venue	Dates	# of Participants
1	1st Training Workshop	UNEP, Nairobi Kenya	20-25 September 2004	60 participants
2	Training workshop	Africa Institute for Capacity Development (AICAD), Jommo Kenyatta University, in Nairobi, Kenya	21- 25 November 2005	
3	Five Inter-Agency Task force meetings for the project were held on the margins of the expert consultative meetings to evaluate the expert meetings, update on project implementation, and agree on a way forward for the finalization of the SREAPs			
4	Consultative Meeting of Experts for West Africa	Abuja, Nigeria	12-16 April 2005	
5	Consultative Meeting of Experts for Eastern Africa	Djibouti City, Djibouti	10-14 May 2005	
6	Consultative Meeting of Experts for Central Africa	Libreville, Gabon	14-18 June 2005	
7	Consultative Meeting of Experts for North Africa	Algiers, Algeria	3-6 July 2005	
8	2nd Technical Training Workshop	Nairobi,	21-25 November 2005	50
9	Consultative Meeting of Experts for Southern Africa	Gaborone, Botswana	12-16 July 2005	
10	3rd Technical Training Workshop	UNEP, Gigiri Nairobi	23rd – 25th August 2006,	43

11	Ministerial Meeting for the Adoption of the NEPAD Sub-Regional Environment Action Plan, IGAD Environment Outlook and IGAD Environment Strategy		Nairobi, Kenya 28th – 30th March 2007	
12	10 th Session of African Ministerial Conference on Environment	Sirte , Libya	The Expert Meeting from the 26 to the 28 June and the Ministerial segment from the 29_ 30 June 2004	
13	11th Session of AMCEN: A Tentative calendar for the High-level Ministerial Meetings to adopt the SREAPs	Brazzaville	2006	

8. BRIEF CVs OF THE CONSULTANT

SUSAN TAMBI MATAMBO

EDUCATION

Yale School of Forestry and Environmental Studies (FES). New Haven, CT. Master of Environmental Management (MEM). May 2004. Concentration: Global Environmental Change Science and Policy - **Independent Research:** Domestic Policy Responses to International Environmental Regimes

University of Zambia. Lusaka. Zambia. BSc. 2000

PROFESSIONAL EXPERIENCE

Evaluation Consultant, Fifth Operational Program Study (OPS5). Global Environment Facility Evaluation Office (GEFEO). August 2012 –Present. Washington, DC.

Impact Evaluation:

- Conducting impact evaluations of GEF funded environmental projects (biodiversity, forestry and climate change) for the GEFs Fifth Operational Program Study (OPS5).

Thematic Evaluation(Climate Change Adaptation)

- Undertaking a quality-at-entry review of a sample of projects approved to implement NAPAs to assess the extent to which they respond to key issues identified by NAPAs and project design quality.
- Undertaking a quality-at-entry review of a sample of Multi-Trust Fund (GEF/SCCF/LDCF) projects at the PIF and CEO endorsement stage to assess the extent to which they mainstream resilience to adaptation to climate change in project design.
- Undertaking a quality-at-entry review of a sample GEF projects approved in GEF-5 before and after the approval of the GEF Gender Mainstreaming Policy in May 2011.

International Policy Coordinator. United States Climate Action Network (USCAN). Washington DC. August 2011-December 2012.

- Lead author and project manager for publications on UNFCCC climate negotiations for use by policy makers.
- Coordinated climate policy advocacy strategies with US NGOs before, during and after UNFCCC negotiations.
- Organized US Congressional briefings on climate change around the major UNFCCC negotiations.
- Lead coordinator of relevant meetings with US Government Representatives.

Consultant. Environmental Impact Assessment. Wydah Consulting Ltd. Lusaka, Zambia. July 2011.

- Conducted training on International Finance Corporation (IFC) EHS/ agribusiness guidelines to a venture capitalist firm investing in the agricultural sector in Zambia.
- Conducted training on compliance with international and domestic environmental law to a venture capitalist firm investing in the agricultural sector in Zambia.

Lead Author and Independent Consultant, Climate Change Adaptation. World Resources Institute (WRI). World Resources Report (WRR) 2010-2011. June 2010- April 2011. Washington, DC.

- Lead researcher and author of two case studies on climate change adaptation in Nepal and Namibia published in the WRR 2010-2011.

Evaluation Consultant, Climate Change and Development: Global Environment Facility Evaluation Office (GEFEO). July 2010 –October 2010. Washington, DC.

- Conducted web based research on climate change evaluations (mitigation and adaptation) published by the major aid agencies, in preparation for two major evaluations funded by the GEFEO.
- Successfully created a Microsoft Access database/inventory of the 500 evaluations.
- Prepared a report on the "Inventory of Climate Change Evaluations" widely distributed on a web-based community of practice on climate change evaluations in January 2011.

Evaluation Consultant, Fourth Operational Program Study (OPS4): Global Environment Facility Evaluation Office (GEFEO). September 2008 –September 2009. Washington, DC.

- Successfully conducted impact evaluations of GEF funded environmental projects (biodiversity, forestry and climate change) for the GEFs Fourth Operational Program Study (OPS4).Published in November 2009.

Program Officer. Secretariat of the Global Environment Facility (GEF). August 2004- August 2006. Washington DC.

- Successfully reviewed a selection of incoming proposals worth millions of dollars from across the globe submitted by UN agencies, World Bank and International Finance Corporation (IFC).
- Contributed to the development of the GEF biodiversity Strategy.
- Assisted in the development of tracking tools for monitoring the GEF biodiversity portfolio.
- Produced communication and outreach materials for the GEF biodiversity team.

NGO/Partnership Specialist and office coordinator, Wildlife Conservation Society (WCS) International. Community based natural resources management and sustainable agriculture Project. USAID funded project. Lusaka, Zambia.1999-2002.

- Managed local community natural resource management programs.
- Fostered strong working relationships between the national government, private sector, community based and international organizations.

HONORS AND AWARDS

1. World Bank SPOT award for excellence in professional duties. May 2005.
2. Fred M. Packard International Parks Merit Award for Young Professionals.
5th World Parks Congress, September 2003.

SPECIAL SKILLS

Knowledge of international and US climate change policy, experience working with US government agencies, experience working with US based and developing country NGOs, experience with UNFCCC negotiations, interagency coordination, extensive knowledge of multilateral funding agencies.

WB Safeguards Policy Training:

- World Bank Safeguards Policies – Overview
- Processing Integrated Safeguard Data Sheet, ISDS
- Technical Assistance Projects - Application of Safeguards
- Environmental Assessment of Large Infrastructure Projects
- Legal Safeguard Policies
- Community Driven Development [CDD] and Safeguards Policies

PUBLICATIONS

1. US Climate Action Network (2012). Doha Climate Negotiations Briefing Book. Washington DC. Available online
<http://www.usclimatenetwork.org/resource-database/doha-climate-negotiations-briefing-book>
2. US Climate Action Network (2011). Durban Climate Negotiations Briefing Book. Washington DC. Available online
<http://www.usclimatenetwork.org/resource-database/durban-climate-negotiations-briefing-book-2011>
3. Matambo, S. and Shrestha, A.B. (2011). "World Resources Report Case Study. Nepal: Proactive Decision Making in Response to Glacial Hazards. World Resources Report, Washington DC. Available online
<http://www.worldresourcesreport.org/nepal-responding-proactively-glacial-hazards>
4. Matambo, S. and Seely, M.(2011). "World Resources Report Case Study. Tools for Local-Level Decision Making in Namibia. World Resources Report, Washington DC. Available online
<http://www.worldresourcesreport.org/case-studies/namibia-combating-land-degradation-tools-local-level-decision-making>
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7. Jachmann.H and Matambo, S. (1998). An Aerial sample Survey of the Central Luangwa Valley. Environmental Council of Zambia. Lusaka, Zambia