



United Nations Environment Programme

Terminal Evaluation of the UNEP/UNDA Project DA/9999-08-01-
1570 Strengthening National and Institutional Capacities for
Mainstreaming Multilateral Environmental Agreements (MEAS)
into National Poverty Reduction Strategies

Evaluation Office

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Executive Summary

Background

The objective of the project was to promote the integration of Multilateral Environmental Agreements (MEAs) and/or environmental objectives into broader development frameworks, in order to facilitate the achievement of the Millennium Development Goals (MDGs) in South Sudan in Sub-Saharan Africa and Lao PDR in South East Asia. The project was designed to focus on the Convention on Biological Diversity (CBD), the United Nations Convention on Combating Desertification (UNCCD), and the United Nations Framework Convention on Climate Change (UNFCCC) since biodiversity, climate change and desertification issues seemed most pertinent in the countries selected and are also closely interrelated to each other.

Pilot studies, using integrated assessment methodologies based on the Millennium Ecosystem Assessment, were planned within the two countries, followed by activities to ensure that the knowledge gained through the integrated assessments feed into processes to implement environmental policies. The project was designed to be sustainable through the establishment of focal points within the Ministry of Environment and a national network of experts to provide expertise to ongoing projects funded by the donor community within the two countries.

UNEP was responsible for the overall project coordination and implementation. The project budget was US\$ 661,000. The original project period was 2 years (July 1st 2008 to June 30th 2010); however the project was granted a one year no-cost extension until December 2011.

Due to the political situation in South Sudan the decision was taken to focus on capacity building. A 5 day training workshop was held in Juba in June 2011. A pilot study has not been undertaken in South Sudan.

In Lao PDR the project became component 5 of the country's Poverty and Environment Initiative. The aim of the PEI in Lao PDR is to ensure that the country's rapid economic growth generates inclusive and sustainable development. Under the project an Expert Group has been established, who have received training through workshops and through the execution of a land use study in Oudomxay Province. The study has also been promoted through various public media channels.

Overview of Terminal Evaluation

The project has been evaluated against eleven criteria as it is standard for all GEF projects. A summary of the ratings for the project against the evaluation criteria is provided in the Table below. A separate rating has been provided for the two countries given that the degree of project implementation was very different.

The rating for South Sudan ranges from Highly Satisfactory (HS) to Highly Unsatisfactory (HU). This reflects the fact that while the project is highly relevant only one workshop was organized in South Sudan over the project period, key focal points were not established and the Government was not aware of the wider project and its broader objectives. While this is partly explained by the political and institutional changes in Southern Sudan, which have resulted in delays, the situation has clearly been compounded by weak project management and backstopping by UNEP Nairobi. Overall the project is rated as Unsatisfactory.

Overall the project is rated as Satisfactory (S) in Lao PDR – the project activities will all have been implemented by 2012 and there is general agreement that the project has raised awareness of the links between natural resource management, welfare and poverty reduction and built capacity in an important new topic for the country.

The evaluation of the project's effectiveness adopted the Review of Outcomes to Impacts (ROtI) methods. The RotI takes into consideration the fact that the project is focussed on capacity building in order to encourage / facilitate the introduction of sustainable management of ecosystem services into development plans and strategies and therefore attributing the impact of a two year project on the likely / actual change in environmental status is not straightforward. In terms of achieving its outcomes the project in **Lao PDR** is rated as 'A' that is 'the project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibility after project funding'. The project's rating on progress towards intermediate states is 'C' defined as 'the measures designed to move towards intermediate states have started but have not yet produced results.' In South Sudan outcomes are rated as D 'the projects intended outcomes were not delivered, and the intermediate states are therefore not rated.'

Table 1. Summary of Ratings

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
A. Attainment of project objectives and results		S			U	U	EO concur with evaluator's rating
1. Effectiveness	The project has been implemented and provides a good basis for follow up work	S		The project has only been partially implemented, however the Government is very supportive of follow up activities	MU		Rating for S Sudan was upgraded from U to MU after response to first draft, as evaluator agreed that government is enthusiastic about a follow on project. EO concur with evaluator's rating.
2. Relevance	The project is highly relevant to UNEP's wider remit and work areas given its focus on ecosystem services management and MEAS	HS		The project is highly relevant to UNEP's wider remit and work areas given its focus on ecosystem services management and MEAS	HS		EO concur with evaluator's rating
3. Efficiency	Strong links with the PEI have facilitated implementation	S		The project has only been partially implemented, no efficiency measures identified	U		EO concur with evaluator's rating

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
B. Sustainability of project outcomes		L			ML	U	Sustainability rating cannot be higher than lowest rating in this section. Institutional sustainability is deemed unlikely.
1. Financial	Finances from PEI Phase 2 earmarked for follow up work	HL		The project has only been partially implemented, however follow up funds have been partially secured	L	L	The rating for S Sudan was upgraded from U to L after response to first draft, as some funding has been obtained for a follow on project. EO concur with evaluator's rating.
2. Socio-political	Good political support and PEI framework will facilitate use of research materials	L		The project has only been partially implemented, and relationships with Government require development, but there is political will to continue with the work	ML	ML	The rating for S Sudan was upgraded from U to ML after response to first draft, as evaluator agreed that government is enthusiastic about a follow on project. EO concur with evaluator's rating.

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
3. Institutional framework	While institutions are still under development, the Government is committed to the PEI and its principles have already been included in the country's 7 th NSEDP	L		Expert Group was not established and institutional capacity building generally not advanced under project	U		EO concur with evaluator's rating.
4. Environmental	N/A			N/A			EO concur with evaluator's rating.
C. Catalytic role	There is strong interest in the project, champions at national and provincial level and funding secured for follow up work	HS		Pilot study not implemented, although interest in the topic is strong and partial funding for follow up work secured	MS		The rating for S Sudan was upgraded from U to MS after response to first draft, as evaluator agreed that government is enthusiastic about a follow on project. EO concur with evaluator's rating.
D. Stakeholders involvement	Very inclusive research project. Some public awareness activities	S		Communications with stakeholders throughout the project has been poor.	U		EO concur with evaluator's rating. See notes in P136, P159, P130
E. Country ownership / driven-ness	Strong ownership by NERI and broader Government support through the PEI	HS		National ownership of project has not materialized due to lack of awareness	U		EO concur with evaluator's rating. See P159

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
F. Achievement of outputs and activities	All activities are expected to be completed by June 2012	S		Project only partially implemented	U	MU	Rating for S Sudan has been raised as two project objectives were partially achieved (see P19)
G. Preparation and readiness	Project's objectives were feasible, but project document considered to be too complex rendering the project logic inaccessible	MS		Project considered to be ambitious and proper capacity assessment and implementation plan not undertaken in advance	HU		EO concur with evaluator's rating
H. Implementation approach	Good project management and adaptability in terms of project design and implementation	S		Decision taken to focus on capacity building was not conveyed to stakeholders	U		EO concur with evaluator's rating
I. Financial planning and management	Financial aspects of project in Lao PDR managed effectively	S		No country specific accounting of funds or awareness of budget allocations by national stakeholders	U		EO concur with evaluator's rating See P 143
J. Monitoring and Evaluation		S			HU		
1. M&E Design	A monitoring framework was provided in the project document, but many of indicators considered to be unrealistic within timeframe	U		A monitoring framework was provided in the project document, but many of indicators considered to be unrealistic within	U		EO concur with evaluator's rating

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
	of project			timeframe of project			
2. M&E Plan Implementation	Quarterly and Annual reports were completed in a comprehensive and timely manner	S		No quarterly reports. One annual report.	HU		EO concur with evaluator's rating
3. Budgeting and funding for M&E activities	Funds were allocated for the terminal evaluation	S		Funds were allocated for the terminal evaluation	S		EO concur with evaluator's rating
K. UNEP Supervision and backstopping	No technical review of documents by UNEP or comments on quarterly and annual reports.	MU		Weak project management and backstopping evident	HU		EO concur with evaluator's rating

Key Lessons Learnt

Strong project design is key to ensuring that projects are realistic, appropriately structured and that the right support, both technical and administrative, is provided. The **project document needs to clearly communicate the project logic**. The link between the project activities (capacity building in the assessment of ecosystems services and the implementation of a pilot study) and Multilateral Environmental Agreements and MDGs was not obvious to stakeholders. The inclusion of stakeholders in the planning phase and the use of the Theory of Change in the planning phases of projects would help clarify the project intervention logic.

A lesson from the Lao PDR experience is that getting the right composition of the **Expert Group** is important to the sustainability of the training and research efforts, as it is finding the right incentives to ensure their participation. Selection of members needs to be targeted. It is recommended that a TOR is developed for the group which explicitly states what qualifications prospective members should have and the criteria for selection.

Communicating **conceptual frameworks such as the Ecosystem Services Framework** is important as a tool for raising awareness and changing the way people think about the contribution of different ecosystems to human welfare. It is understood that many of these services cannot be quantified or monetized in countries such as Lao PDR and South Sudan due to data limitations and the research studies therefore need to carefully prioritize which services are important to focus on in the first instance.

Project management, monitoring and communications is critical to project success. Given that UNEP has very few country project offices, it make sense **to link with existing programmes** such as the PEI, which can be closely monitored in country by partner organizations such as UNDP in Lao PDR. In countries where there is a UNEP country project office, this is not necessarily sufficient to ensure good project management, and it is important that effective backstopping is provided by the Regional offices.

Key Recommendations

The key recommendation for the UNEP project team is to initiate and support follow on work in South Sudan and Lao PDR, and potentially new pilot countries, building on the lessons learnt under this project. Follow on work is required to ensure the progress made by the project is capitalised upon, and supports the long timeframe required to achieve the intended project impacts, as set out in the ROTI framework.

Country specific recommendations relevant to any follow on work designed and initiated by the Government and donors are provided below.

Lao PDR

Enhanced capacity development. It is recommended that the capacity building in environmental economics is continued in PEI Phase 2, in order to further develop this in-country expertise, which is currently quite limited, and move towards generating evidence on the environment and social costs of investments that will enable decision makers to make optimal long term decisions for the country.

Structure of the Expert group. The structure and working arrangements for the Expert Group need to be reconsidered to improve the effectiveness and sustainability of the group.

Development of evidence base. More detailed research is needed to develop the evidence base. However this research should be carefully targeted at key investment

decisions to be made (and thereby inform the investment approval process), types of investments / impacts that are likely to commonly occur¹, or important policy areas.

South Sudan

On-going capacity building is required. The Ministry of Environment has expressed a wish to have a full time technical person based in the MOE to help build capacity and guide a future research study. Given that this will be the first study in ecosystem services valuation such close technical involvement seems prudent.

It is important that the proposed study of the Sudd wetlands is developed collaboratively with stakeholders. There is a strong interest in this work across Government Departments, International Organizations and the Universities.

Given that this will be the first environmental economics study for the country, it is important that the study presents a strong conceptual framework and plan for building up the evidence base overtime. International peer review should be built into all stages of the study.

Communications and project management will be very important going forward. There is a need for a strong UNEP focal point in country combined with effective backstopping from UNEP Nairobi. It should be noted that the current UNEP representative in Juba is overstretched, so is unlikely to be able to adequately manage a future research study without additional support.

¹ This would allow a repository of data to be built up that could be transferred to provide indicative values for new sites.

Table of Contents

1.	Evaluation Background	1
1.1	Context	1
1.2	The project.....	5
1.3	Scope, Objective and Methods	6
1.3.1	Scope and methods	6
1.3.2	Objective.....	6
2.	Project Performance and Impact	7
2.1	A: Attainment of objectives and planned results.....	7
2.1.1	A1: Effectiveness	7
2.1.2	A2: Relevance	26
2.1.3	A3. Efficiency	26
2.1.4	Summary of ROtI analysis	26
2.2	Sustainability and Catalytic Role	28
2.2.1	B: Sustainability	28
2.2.2	C: Catalytic role and replication	29
2.3	Processing Affecting Attainment of Project Results.....	29
2.3.1	D: Stakeholder participation/ public awareness.....	29
2.3.2	E: Country Ownership and Drivenness.	30
2.3.3	F: Achievement of outputs and activities	30
2.3.4	G Preparation and readiness	31
2.4	H: Implementation approach and adaptive management	32
2.4.1	Implementation approach	32
2.4.2	Adaptive management	32
2.4.3	I: Financial planning and control.....	33
2.4.4	J: Monitoring and evaluation	35
2.4.5	K: UNEP supervision and backstopping.....	35
2.5	Complementarities with UNEP strategies and programmes	36
3.	Conclusions and Recommendations	38
3.1	Conclusion	38
3.2	Lessons Learned	44
3.3	Recommendations	45
3.3.1	Lao PDR	45

3.3.2	South Sudan	46
4.	Annexes	48
4.1	Annex 1. Evaluation TORs	48
4.2	Annex 2: The Evaluation Framework	95
4.3	Annex 3: Evaluation program	102
4.4	Annex 4: Bibliography	104
4.5	Annex 5: Review of project design	107
4.6	Annex 6: Assessment of project design by evaluation criteria	110
4.7	Annex 7: CV of consultant	119
4.8	Annex 8: Outstanding areas of disagreement between project team and evaluator	128

Project Identification Table

Project ID:	ROA 1570	Project Code	DA/9999-08-01
Focal Area(s):		Implementation	UNEP Division of Environmental Policy Implementation (DEPI) in cooperation with UNEP regional office for Asia and Pacific (ROAP) and UNEP regional office for Africa (ROA).
Thematic Subprogramme	Subprogramme 3 on Environmental Policy Implementation and Subprogramme 2 on Environmental law and conventions.	Total Cost	US\$661,000
Programme Element	Ecosystem Services Economics	Project Duration	2 years (plus one year no cost extension)
Geographic scope	Southern Sudan and Lao PDR	Actual start date:	July 1 st 2008
		Completion date:	June 30th 2010 (extended to December 2011)

1. Evaluation Background

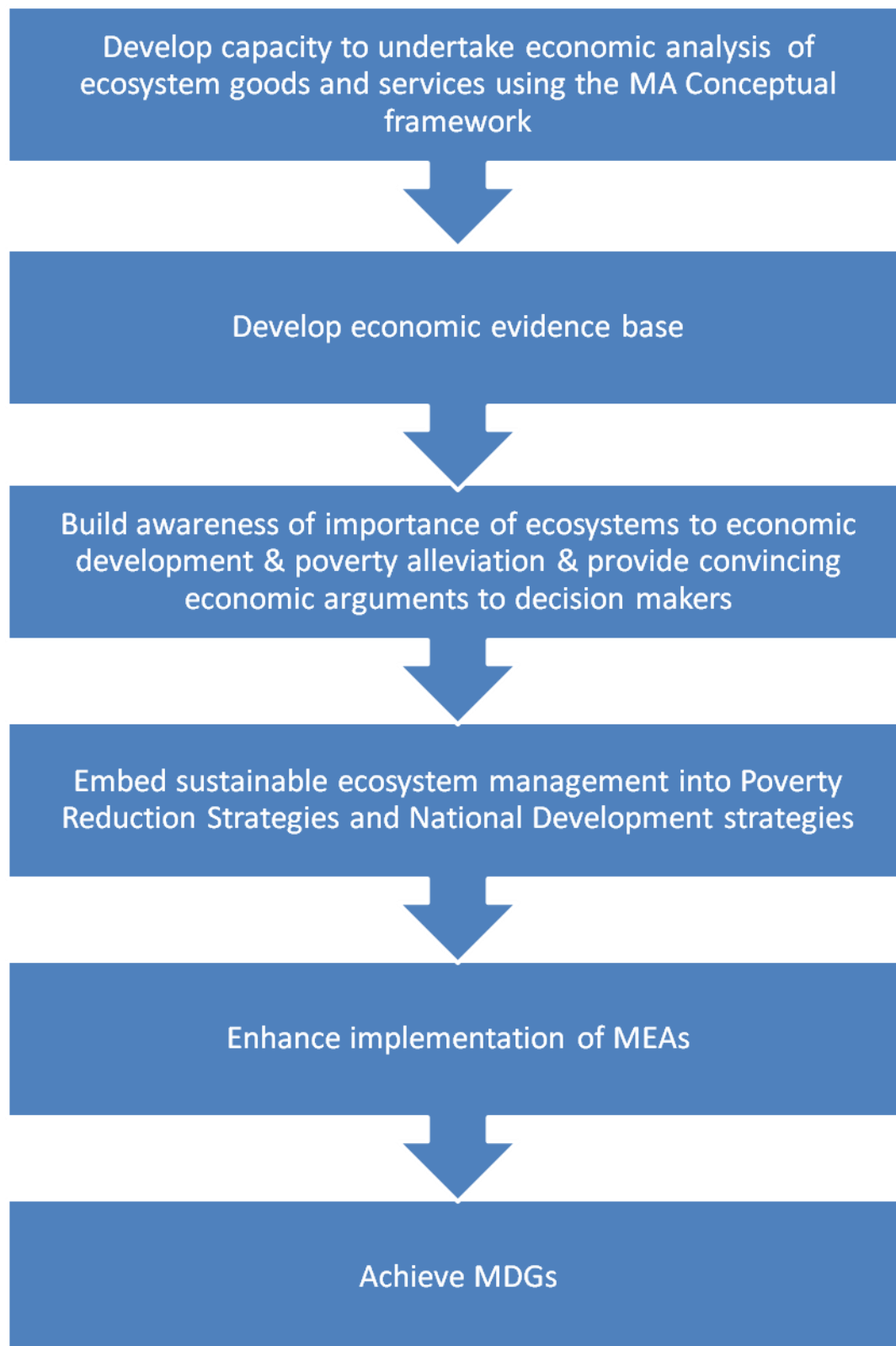
1.1 Context

1. The objective of the project was to promote the integration of Multilateral Environmental Agreements (MEAs) and/or environmental objectives into broader development frameworks, in order to facilitate the achievement of the Millennium Development Goals (MDGs) in South Sudan in Sub-Saharan Africa and Lao PDR in South East Asia. The project was designed to focus on the Convention on Biological Diversity (CBD), the United Nations Convention on Combating Desertification (UNCCD), and the United Nations Framework Convention on Climate Change (UNFCCC) since biodiversity, climate change and desertification issues seemed most pertinent in the countries selected and are also closely interrelated to each other.
2. The project was designed in 2008 motivated by the fact that less than 5% of countries committed to achieve the Millennium Development Goals (MDGs) were expected to meet MDG 7 by 2015². Achieving MDG 7 with a focus on environmental sustainability is considered to be fundamental for achieving all the MDGs, and in particular MDG1, aiming at eradicating extreme poverty and hunger and MDG 4, targeted at reduced child mortality.
3. MEAs offer a potentially strong entry point for mainstreaming environmental issues within national planning processes as they share many common goals with MDGs and are legally binding instruments. The project design therefore sought to strengthen the link between ecosystem services (managed under MEAs) and the achievement of MDGs
4. The project design recognizes the need for efforts related to the MEAs and environmental policies to be more development oriented, by promoting the integration of their objectives within broader development frameworks such as MDGs and poverty reduction strategies, and promoting 'win-win' approaches that support both, development goals and MEA and/or environmental objectives.
5. A key element in promoting the integration of environmental policies into key development documents was to develop the **evidence base on the economic value of ecosystem services**. Such evidence would help dispel the common perception that environmental management / conservation entails a cost burden, by demonstrating that in some cases it represents the long term optimal development option.
6. In order to develop this evidence base, the capacity of national stakeholders to assess the value of ecosystem services first needs to be developed; and this capacity development is a strong focus of the project. Capacity development was also needed in the use of market-based instruments such as payments for ecosystem services which could assist the countries to comply with the MEA and/or environmental objectives while contributing also to the achievement of broader development objectives.

²MDG 7 aims to ensure environmental sustainability, by integrating the principles of sustainable development into country policies and programmes, by increasing sustainable access to safe drinking water and basic sanitation, and by improving the life of urban population living in slum conditions. In addition, the project will contribute to MDG1 and MDG 4 because of the high level of inter-linkage between these two objectives with MDG 7 (Project Document, 2008)

7. The project also sought to address the low level of implementation of MEAs. MEA strategies and action plans developed by Member Countries have not been effective in reversing the degradation of environment, mainly because they have not influenced planning in economic sectors due to their lack of integration with other national institutions and planning mechanisms, leading to limited political interest, resources and support for their fulfillment.
8. The project was designed to be implemented in line with the Global Strategy for Millennium Ecosystem Assessment (MA) follow up, drafted through an inter-divisional task force, which was endorsed by the participation to the MA Partners' Meeting held at Stockholm in October 2007.
9. Pre-requisites for achieving the project objectives were recognized to be:
 - Engagement of economic sectors in the MEA and/or environmental policies' processes to forge links with mainstreaming development planning, establishing stronger links with sectoral policies and plans to promote greater coherence.
 - Development of institutional mechanisms to ensure cross-sectoral cooperation among environment, planning and other sectoral ministries,
 - Enhancement of the capacity of national stakeholders to apply various tools and undertake integrated assessments to have sufficient understanding on the economic and social values of ecosystem services and their links with natural capital, economic and human development.
10. The project design logic, based on the original project design set out on the project document, is set out in Figure 1.

Figure 1. The project design logic – steps to facilitating the achievement of MDGs



11. According to the project document, South Sudan was selected based on the findings of the Post Conflict Environmental Assessment (PCEA) by UNEP in 2005/2006, and South Sudan's interest and commitment to sustainably use the environment for development³. The project aimed to assist in implementing some of the key recommendations of the PCEA related to ecosystems management, including R10.9 for developing and implementing an integrated management plan for the Sudd wetlands, R9.6 for undertaking an awareness raising programme regarding deforestation, and, R9.6 on managing the charcoal trade.
12. Due to the political situation in South Sudan, and that the national election, census and referendum occurred within the project period and were the main focus of the Government and of International Organizations, the decision was taken to focus on capacity building. A pilot study has *not* been undertaken in South Sudan.
13. Lao PDR was chosen because of the demand by the Environment Ministry for support in building the knowledge base on the links between ecosystem services and development and to use the information to catalyze greater efforts to comply with the MEAs. The project document states that Lao PDR had the opportunity to address the issue of contributions of biodiversity to national economy through the National Biodiversity Strategy and Action Plan (NBSAP); however there had been only limited effort to realize such a potential through activities to mainstream conservation, sustainable use and economic planning. At the project design stage the project was therefore seen as an opportunity to address this.
14. In Lao PDR the project became component 5 of the country's Poverty and Environment Initiative⁴. The aim of the PEI in Lao PDR is to ensure that the country's rapid economic growth generates inclusive and sustainable development. The PEI is focused on embedding poverty-environment concerns in all kinds of investment activities, and strengthening the capacity of national and provincial authorities to plan and manage investment in a manner that seeks to maximize pro-poor and pro-environmental outcomes. The programme consists of five mutually reinforcing outputs (or components)⁵:
 - Output 1: Integrate poverty reduction and environmental sustainability linkages in the 7th National Socio Economic Development Plan (NSED) 2011-2015.
 - Output 2: Enhance capacities of national and provincial authorities to plan and manage investments for poverty reduction and sound environmental management.

³ The PCEA was published in 2007 and the Sudan Integrated Environment Programme (SIEP) started in July 2009, with its project office in Juba established shortly after. This office was tasked with carrying out the activities specified in the SIEP log frame.

⁴ The Poverty and Environment Initiative (PEI) is a global UN programme that supports country-led efforts to mainstream poverty-environment linkages into national development planning, from policymaking to budgeting, implementation and monitoring. The PEI recognises the strong relationship between environmental sustainability and pro-poor growth and poverty reduction. PEI provides financial and technical assistance to governments to set up analytical, institutional and capacity strengthening programmes with the aim of influencing policy and budgets and bringing about enduring institutional change by increasing the understanding of country poverty environment linkages.

⁵ See Bann, 2011 for more information.

- Output 3: Support the strengthening of the Environmental and Social Impact Assessment (ESIA) Department of the Ministry of Natural Resources and Environment MoNRE.
- Output 4: Increase National Assembly members' understanding of poverty reduction and environmental management.
- **Output 5: Environmental economic studies to facilitate policy makers' access to policy relevant research products on poverty-environment linkages for their informed decision-making.**

1.2 The project

15. The main activities planned under the project were the development of training modules on integrated assessment, the organization of a number of training workshops in both countries, the establishment of a network of experts and the execution of pilot studies within the two countries. The pilot studies were to use integrated assessment methodologies based on the MA in selected ecological hotspots and to focus on water related ecosystem services. These activities were to be followed by initiatives to ensure that the knowledge gained through the integrated assessments fed into processes to implement environmental policies. The project activities are described and analyzed in detail in section 2.1.
16. The project was designed to be sustainable through the establishment of focal points within the Ministry of Environment and a national network of experts to provide expertise to ongoing projects funded by the donor community within the two countries.
17. The project was implemented by UNEP Division of Environmental Policy Implementation (DEPI) in collaboration with other UN and international as well as intergovernmental, governmental and national organizations with expertise in related fields and in both countries. The key organizations involved in the project were:
 - **International organizations:** UNEP Regional Office in Africa (ROA); UNEP Regional Office in Asia and the Pacific (ROAP); Centre for Environmental Economics and Policy in Africa (CEEPA), who were involved in training in South Sudan; and the International Institute for Sustainable Development (IISD, Canada), who are developing outreach materials for the project.
 - **National Organizations (Sudan)** - Government of South Sudan Office (GOSS), in line Ministries.
 - **National Organizations (Lao PDR)** - Ministry of Planning and Investment (MPI) and National Economic Research Institute (NERI). NERI chaired the Expert Group drawn from a number of Government institutions and the University of Laos and led the pilot study as discussed in Section 2.1
18. UNEP was responsible for the overall project coordination and implementation. The project budget was US\$ 661,000. Funding was provided by UNDA. The budget allocated to Lao PDR was US\$207,400, the original budget allocated to South Sudan is not clear.
19. The original project period was 2 years (July 1st 2008 to June 30th 2010), however the project was granted a one year, no cost extension until December 2011 for the following reasons:

- Political and institutional changes in Southern Sudan causing delays in identifying focal points for the project and also in the implementation of workshops and case study;
- The complex process of securing full participation by the respective countries took longer than expected; and,
- Difficulties in establishing the local expert working groups and ensuring the ownership of the project by the respective national governments, is a complex procedure that took longer than previously expected.

1.3 Scope, Objective and Methods

1.3.1 Scope and methods

20. This evaluation was undertaken between January and April 2012. The evaluation included:

- A desk-based review of available technical reports and management records for the project including: The project document; Annual Work Plans and Budgets; Quarterly Reviews; project progress and financial reports; workshop reports; minutes of meetings; all reports relating to the economic study undertaken in Lao PDR; and, relevant correspondence. A list of documents reviewed is provided in Annex 4;
- Country visits to Lao PDR (Vientiane and Oudomxay), South Sudan (Juba) and Kenya (Nairobi) to discuss the project with stakeholders. Interviews were held with a range of stakeholders including: Project management and execution support staff in Lao PDR and South Sudan; Country lead execution partners and other relevant partners; UNEP Project Manager and Fund Management Officer (Nairobi); Representatives of other multilateral agencies and other relevant organizations. A list of stakeholders consulted is provided in Annex 3.

21. An Inception report was prepared ahead of the country visits to provide a foundation for the terminal evaluation of the project. The Inception report focused on three key components:

- Initial theory of change analysis (based on the project design)
- Initial review of the quality of project design
- Development of the evaluation process and framework

22. The initial theory of change analysis was refined in consultation with stakeholders in Lao PDR.

23. Given that the project was only partially implemented in South Sudan and that the two countries are at different stages of development, the two countries have been evaluated individually.

1.3.2 Objective

24. In line with the UNEP Evaluation Policy⁶ and the UNEP Evaluation Manual⁷ this terminal evaluation assesses project performance (in terms of relevance, effectiveness and

⁶<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

efficiency), and determines 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, GOSS and NERI. Therefore, the evaluation seeks to identify lessons of operational relevance for future project formulation and implementation.

25. The key high level question the evaluation set out to answer was: How successful was the project in strengthening the capacity at the national and local level to mainstreaming MEA objectives into MDGs and national poverty reduction strategies in South Sudan and Lao PDR?
26. More specifically, did the project result in:
 - a) *Improved capacities* at the national level in mainstreaming MEA and/or environmental obligations within national sustainable development plans and poverty reduction strategies.
 - b) *Improved understanding* of policy makers who are involved in the implementation of MEA and/or environmental objectives and poverty reduction strategies on the links among ecosystem services, natural capital, economic development and human development, and their importance for achieving the MEA and/or environmental obligations.
 - c) *Improved awareness* of policy makers on the MA and its recommendations for effective environmental and development policy making, and their capacities to integrate them into actual policy making processes

2. Project Performance and Impact

27. This section provides the main evaluation of the project. As discussed in section 1.3, the analysis is based on a review of project documents and reports and interviews with project staff and stakeholders. The methodology follows that proposed by the Terms of Reference (Annex 1). The project was evaluated against eleven criteria as is standard for all GEF projects. A discussion of the project's performance against each criteria, A-K, is provided below.

2.1 A: Attainment of objectives and planned results

28. This sub-section assesses the extent to which the project's major objectives were effectively and efficiently achieved, or are expected to be achieved, and their relevance. Project effectiveness is discussed in section 2.1.1, relevance in 2.1.2 and efficiency in section 2.1.3.

2.1.1 A1: Effectiveness

29. In order to assess the effectiveness of the Project, the **Review of Outcomes to Impacts (ROtI)** method has been adopted, as recommended in the Terms of Reference. This is the standard evaluation format for GEF projects and includes two main outputs: (i) an

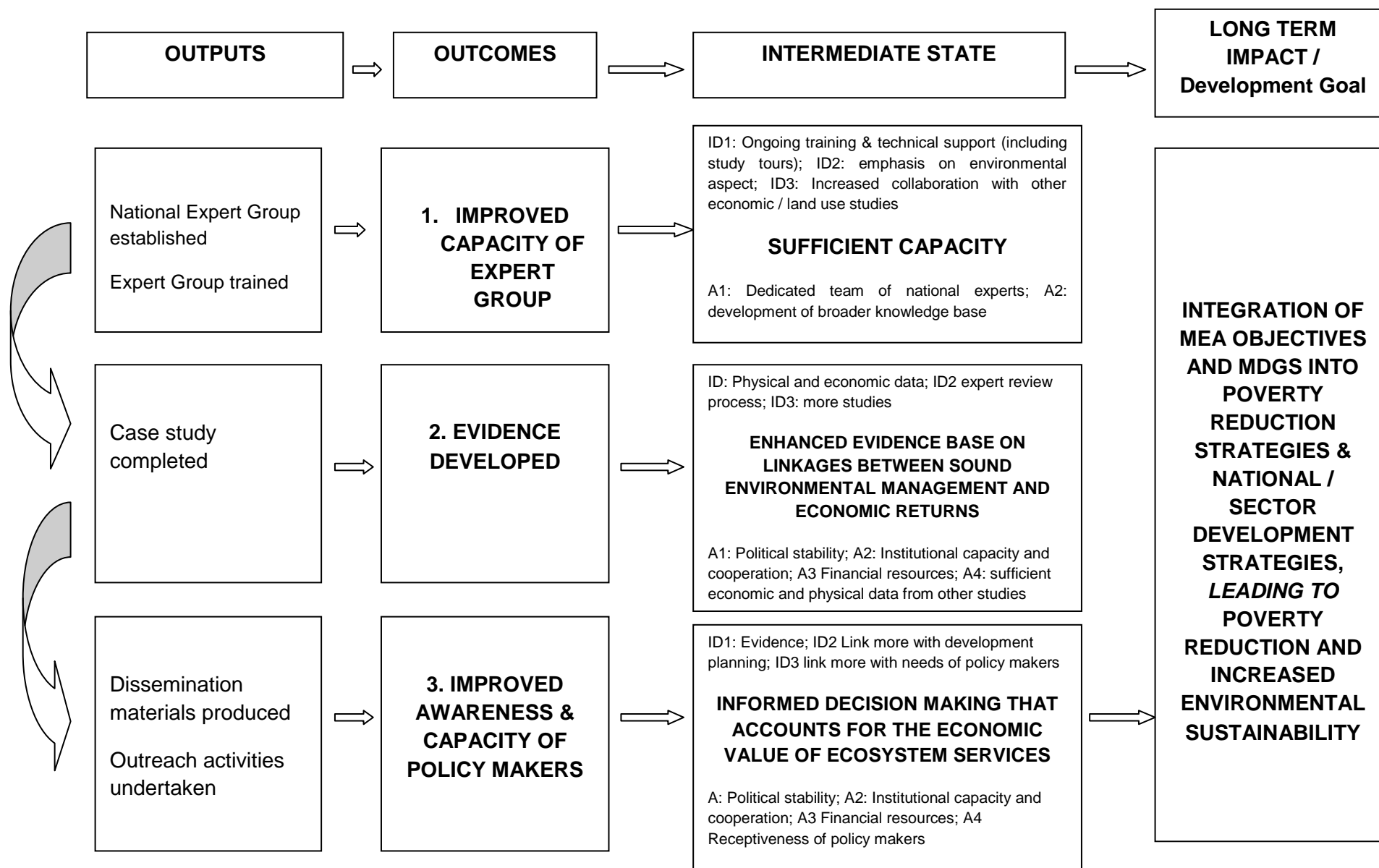
⁷<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

impact pathway analysis, and; (ii) a rating of the project's achievement of its outcomes and its progress towards intermediate states.

30. The ROTl process identifies project activities, outputs and outcomes and assesses the likelihood of project outcomes progressing through potential intermediate states to final desired impacts⁸.
31. The ROTl Framework for the project is presented in Figure 2. This Framework has been developed from the project's Logical Framework. The Outputs in the ROTl framework are consistent with the Logical Framework. However, it should be noted that based on discussions with stakeholders in Lao PDR on the draft ROTl Framework presented in the Inception report, outcome 2 has been changed from 'improved understanding of policy makers' as set out in the Project Document / Logical Framework to 'Evidence Developed'. This revision was thought necessary to make a clearer distinction between the outcomes, and is based on the logic that development of the evidence base contributes to improving the understanding and awareness of policy makers.
32. The outputs, outcomes, intermediate state and impact are discussed in more detail below.

⁸Under the ROTl framework the following definitions apply: **activities** are the practical, time bound actions that the project undertakes in order to achieve the desired project outputs (such as training workshops, technical advice, communications, research activities); **outputs** are the goods and services that the project must deliver in order to achieve the project outcomes, such as trained individuals the formation of institutions; **outcomes** are the short to medium term **behavioural or systematic effects** that the project makes a contribution to (e.g., adoption of new practices, changes in attitudes and issues, improved institutional competency, implementation of a new revised policy). Outcomes are designed to achieve the project's impact. **Intermediate states** are the transitional conditions between the project's immediate outcomes and impact, necessary to achievement the intended impact. Intermediate states are influenced by assumptions and impacts drivers. **Assumptions** are the significant factors that, if present, are expected to contribute to the ultimate realization of the projects impacts, but are largely beyond the power of the project to influence or address. **Impact Drivers** are the significant factors that, if present, are expected to contribute to the ultimate realization of project impacts and that are within the ability of the project to influence. An **impact** is a fundamental and durable change in the condition of people and their environment brought about by the project. The intended project impacts provide the overall justification of a project. A project will only expect to contribute to the achievement of impact, and often the impact will only be realized many years after project completion.

Figure 2.Draft ROTl Framework



Activities / outputs

33. The project activities (as per the project document) are presented below in italics, followed by a discussion of their implementation in Lao PDR and South Sudan.
34. ***Activity 1. Revising and adapting existing training modules on integrated assessments and the development of mainstreaming instruments within national sustainable development plans and poverty reduction strategies taking into account local socio-economic, political and cultural conditions.*** The work was to be carried out based on the ongoing efforts of United Nations University (UNU) and the World Resources Institute (WRI) to develop a module on MA, as well as existing mainstreaming tools developed by the UN Economic Commission for Europe (UNECE) on payments for ecosystem services in integrated water resources management.
35. Based on discussions with stakeholder it appears that this was not a recognized activity, and links with UNU, WRI and UNECE were not promoted or formed. Formal training materials were not produced in Lao PDR. Extensive training materials were produced for South Sudan for the national training workshop (discussed under activity 2)
36. ***Activity 2. Organizing two training workshops for staff from environment ministry, planning ministry, academics, and NGOs among others in Sudan and Lao PDR, to enhance their capacities in mainstreaming MEA and/or environmental obligations into broader development frameworks.*** The first workshop was to be held prior to the commencement of case studies on integrated assessments and to focus on methodologies for undertaking the assessments, as well as general overviews on other mainstreaming instruments available for the integration of MEA and/or environmental objectives into development and poverty reduction strategies. The second workshop was to be held after the completion of the pilot studies, and to focus on analyzing the results of the integrated assessments, as well as the preparation of integrated strategies and action plans to promote mainstreaming MEA and/or environmental obligations into national sustainable development and poverty reduction strategies based on assessment results.

Lao PDR

37. A number of training workshops and training related activities have been held in Lao PDR as set out in Table 1. The information in Table 1 is based on the Annual Reports (2010 & 2011), workshop reports and discussions with stakeholders. The activities are color coded according to their categorization in the Annual Reports against the project outcomes (blue – capacity building; green – evidence development; yellow – improved awareness and capacity development of decision makers). It is apparent from the ROtI that there is a fair degree of overlap between the 3 project outcomes and their corresponding activities – capacity building, evidence development, and improved awareness and capacity development of decision makers.
38. A workshop - Methodology for Ecosystem Valuation of Land Use Change was held in Vientiane from 21-23 September 2010 to introduce the concepts of environmental economics and possible valuation methodologies. The workshop was led by the international consultant and was attended by 20 participants including members of the expert group. A second training workshop on the evaluation of ecological values of land use change (with emphasis on forest and agriculture) was held in Bankern, 25-29 October 2010. The training was led by the international consultant with technical support from the PEI STA. The objectives were to provide technical guidance to the national expert group in setting up a methodological framework for assessing the environmental costs and benefits of different land uses scenarios. There were about 20 participants,

including national expert group members, student researchers, NERI's junior officers, UNDP environment unit staff and representatives from concerned line ministries.

39. Both these workshops were held before the completion of the pilot study. Workshops have also been held on analyzing the data of the integrated assessments (November and December 2011). However it appears that training has not been provided on the preparation of integrated strategies and action plans to promote mainstreaming of MEA and/or environmental obligations into national sustainable development and poverty reduction strategies based on assessment results.
40. Training workshops became a key feature of project implementation as they served as a means of getting the Expert Group together to work for a day or more at a time on the pilot land use study. Given the other commitments of the Expert Group it was otherwise difficult to get their dedicated time. The training in Lao PDR seems to have been focused on the implementation of the land use study, rather than the delivery of a training workshop based on a more formal syllabus in valuation of environmental services using the Millennium Ecosystem Services Framework. Training materials are not available in English and therefore have not been reviewed by the evaluator but it is understood that a formal training programme / modules were not followed.

Table 1. Overview of Training and Capacity Building Workshops in Lao PDR

Workshop	Objective / comment	Evaluation (selected criteria)	Attendees
Methodology for Ecosystem Service Valuation of Land Use Change in Lao PDR, Vientiane 21-23 September 2010	Introduce concepts of environmental economics		20 participants including Expert Group
Evaluation of Ecological Values of Land Use Change, Bankern, 25-29 October 2010	To provide technical guidance to the national expert group in setting up a methodological framework for assessing the environmental costs and benefits of different land uses scenarios.		20 participants including Expert Group
Project Analysis and Discussion on Final Survey methods for Ecosystem Valuation of Land Use Change in Lao PDR', 10-13 th February 2011	Organized by NERI Goals of workshop – discussion of final research outline, analysis with a focus on Cost Benefit Analysis; survey methods and project planning	56% felt that the time allocated to discuss each topic was appropriate 81% found presentation on CBA useful and understood it 78% happy with discussion on survey methods	21 participants NERI; Department of Agriculture and Forest; Community development; water resource and Environmental Administration; National Land Management Authority; Department of Planning and Investment, Oudomxay and Lauangprabang Province; NAFRI; LNRRIC/NLMA; National University of Laos; Water Resource and

			Environmental Administration; International Consultant for the project
Lao-Thai Exchange on PEI programme - SGA and Economic Valuation of Environmental Services, Thailand 5-9 May 2011			Project Manager, International Consultant for the project, PEI STA and PEI staff member
Working Session on Data Processing and Analysis for Economic Valuation of Ecosystem Services from Land Use Change 31 May to 3 June 2011, Vientiane	Main objectives was to review data processing and provide technical guidance to expert group regarding data analysis and next step of project	79% felt that the time allocated to discuss each topic was appropriate (others wanted more time because topics complicated) 86% felt workshop increased their understanding of data processing 64% understood concept of incorporating social and environmental impacts into CBA	23 participants (12 from NERI) NERI; UNDP; NAFRI; DOF; LNRRIC/NLMA; National University of Laos; Water Resource and Environment Administration; International Consultant for the project
Technical Workshop on Lesson Exchange between Laos and Thailand, 18-19 2011 August Luang Prabang, Lao PDR	Lesson exchange between research by PEI Thailand and PEI-NERI, discussion on tourism management between Lao and Thai tourism management authorities	The workshop was considered to be a success. This was an extra project activity and allowed an exchange of research ideas between PEI-SGA Thailand and PEI – NERI Laos	45 participants from NERI-PEI, UNDP, provincial government departments from Xayaboury, Oudomxay and Luang Prabang including investment and planning, agriculture and forest. and PEI-Thailand programme
Regional Workshop on Bangkok and Huahin 11-17 September 2011	Hosted by UNDP and UNEP Asia Pacific Region. To review lessons learned in terms of institutionalising pro-poor environment and climate mainstreaming	Meeting of senior government representatives from Asia Pacific Region	Project Manager
Discussion Session on Initial Results for Economic Valuation of Ecosystem Services from Land Use Change, 29 September – 1 October 2011 Vientiane	To get experts of each sub-group working together on data analysis, and comparison of initial results and prepare for Nairobi workshop	85% felt that the time allocated to discuss each topic was appropriate. Recommended that there should be more	18 participants from NERI; NAFRI; WREA; NUOL; DOF; LNRRIC/NLMA; Dr Vute

	October 2011	workshop/discussion session as it allows team members to discuss work together; team members should be more prepared	
Valuation of Ecosystem Services in practice: Lessons Learnt from Africa and Asia' Nairobi, Kenya 10-11 October 2011	To share lessons on economic valuation in the projects two pilot countries	See <i>discussion below</i>	PEI-NERI project manager and representatives from NERI, LNRRIC and WREI, MoNRE, PEI Lao staff ¹ .
Technical Provincial Workshop in Oudomxay province 1-2 November 2011	To disseminate the initial finding of the research as well as discuss with district and provincial officials		80 Participants from relevant Government departments
Technical Workshop on Vientiane	Served as peer review of the project. Considered to be very useful in this respect generating a lot of discussion		International NGOs
Data Analysis workshop, Part 1, November 2011	Training from International Consultant on analysis and interpretation of results		Expert Group
Data Analysis workshop, Part 2, December 2011	Working session for Expert Group	A second workshop was held on data analysis as a single workshop was not felt to be sufficient to address the complexities of the issues	Expert Group

Note: 1/ This workshop was also attended by representatives of South Sudan, see paragraphs 49-52 for further discussion on this workshop.

41. While not part of the original program, a study exchange programme was undertaken with Thailand in order that the two countries might learn from each other. In May 2011, the Lao PDR team went to Thailand and in September 2011 the Thais came to Luang Prabang. This additional activity was supported through additional funds from UNEP. The PEI-SGA (sub-global assessment) programme in Thailand focuses on the linkages among ecosystem services, human wellbeing and sustainability in Samut Songkhram, Nan and Khonkaen province. It is focused on maize, rubber and community forestry activities. Also, under Component 1 of PEI with MPI there was a study tour to Indonesia on green growth planning in Indonesia, which was attended by the NERI Project Manager.

South Sudan

42. A national capacity building workshop on the valuation of ecosystem services was held in Juba from May 30th to June 4 2011. This workshop was facilitated by CEEP-University of Pretoria and UNEP. The agenda was comprehensive and training materials extensive. This appears to be a more formal and comprehensive training course than that provided in Lao PDR. The Modules covered were – The Economics of Ecosystems and Biodiversity (TEEB) Framework; Economic valuation methodologies for environmental assessment and valuation exercise; and, Policy and management tools for mainstreaming economic valuation into development planning. The workshop was attended by more than 30 participants from various GOSS ministries (e.g. Ministry of Environment, Ministry of Agriculture and Forestry, Ministry of Water Resources and Irrigation), University of Juba and University of the Upper Nile and NGOs. The workshop was opened by the Undersecretary of Environment.
43. The workshop included a participatory discussion on a potential valuation study at the country level, with the Sudd Wetlands emerging as the favored study site.
44. The workshop - Valuation of Ecosystem Services in practice: Lessons Learnt from Africa and Asia' Nairobi, Kenya 10-11 October 2011 was attended by representatives from South Sudan and is discussed further in paragraphs 49-52.
45. **Activity 3: Forming a national network of experts to share and learn from each other's experience.** The network was to be formed and maintained through on-line discussion forums and mailing lists to strengthen the capacity of national experts by exchanging experiences between the two selected countries. This network was envisaged to continue after the completion of the project. After the completion of the integrated assessments, a regional workshop was to be held where national and regional experts will be invited to exchange information and lessons learnt.

Lao PDR

46. A national Expert Group was established in Lao PDR consisting of 8 members drawn from a range of Government Institutions and the National University of Lao PDR⁹. An attempt was made to set up a multi-disciplinary team with representatives from different Ministries / technical backgrounds. This group has received training from an International Consultant in environmental valuation techniques and analysis. The National Expert group was supported by a team of 4 junior researchers from NERI, Ministry of Natural Resources and Environment (MoNRE) and The National University of Laos.

South Sudan

47. A national group of experts is yet to be established in South Sudan. The Natural Resource Management Group (NRMG) is a group of experts from six relevant ministries and the Land Commission and is the key mechanism to ensure full engagement and ownership by policy makers in South Sudan (UNEP Updates on UNDA 6th Tranche, August 2011). This could indeed form the basis / context for the expert group, but given the low Government awareness of the project, there was no evidence that the NRMG had been made aware of this possibility.

⁹Representatives for the Expert Group have been drawn from NERI, the Water Resources and Environmental Research Institute, National Agriculture and Forestry Research Institute (NAFRI), Ministry of Agriculture and Forestry, the National Land Management Authority, and The National University of Laos (NUOL).

Exchange of Ideas between pilot countries

48. There has been very limited exchange between the two countries / Expert Groups. It is understood that early on in the project there were some brief discussions between the countries about a website – platform to share results etc.

Regional workshop

49. A (regional) workshop was held in Nairobi Kenya, 10-11 October 2011, organized by UNEP- Environmental Policy Division. The objectives of the workshop were to:

- Share lessons learned from the economic valuation of ecosystem services in two pilot countries Lao PDR and South Sudan, and other experiences in the regions of Africa and Asia.
- Evaluate the key finding and focus on how to make it credible for decision maker.
- Disseminate the knowledge gathered, present the report and discuss about networking for its integration into policies.
- Identify knowledge gaps and develop future plan of work in this area.

50. At this workshop Lao PDR, South Sudan and Thailand shared their experiences in implementing their projects. Key points arising from this workshop are: that the economic aspect is only one of the key factors on which policy decisions are made, and as such, other factors should also be captured appropriately; it is essential to translate the technical language to appropriate policy messages; it is critical that assessments adopt appropriate approaches and biases and errors should be minimized to ensure credibility; language is one of the important barriers to national experts and practitioners through web-based or e-learning, particularly where English is not a commonly spoken language. The costs of maintenance and up-date of web resources are also considerable. The workshop was said to have achieved all its objectives (Workshop Report).

51. Both Lao PDR and South Sudan felt that the Nairobi workshop was very useful. The Lao delegation presented their research at the workshop and sensed a lot of interest in their work, given that their study was the most advanced. It was recommended that the study in Lao PDR included carbon values. However, the expectation that both countries would learn and build on each other's experiences in environmental economics was not achieved given that South Sudan is yet to carry out a pilot study.

52. The participants from Lao PDR felt that they learnt from the case studies presented at the workshop but that many of the examples presented were complex and based on advanced modeling which can't currently be applied in Lao PDR given their data requirements. In Lao PDR there is not a lot of baseline data and this therefore needs to be built up. It was suggested that it would be helpful to present approaches suitable to different levels of expertise and data availability. In this way it would be possible to demonstrate how economic valuation studies could be developed over time. Participants also felt that there was not enough time for the presentations or discussions.

53. **Activity 4. Undertaking case studies whereby learning by doing exercises are carried out through integrated assessments and the development of mainstreaming instruments.** The case studies were to be conducted in South Sudan and Lao PDR in a country-driven manner, led by the governments of the respective countries, under the facilitation and technical assistance from UNEP and local consultants. The case studies were to conduct integrated assessments, based on which integrated strategies and action plans would be developed in order to mainstream MEA

and/or environmental obligations into national sustainable development and poverty reduction strategies. The case studies were to be undertaken through multi-stakeholder consultative processes, including the organization of stakeholder workshops at various stages.

Lao PDR

54. An economic study has been undertaken titled 'Assessment of the socio-economic and ecosystem services values in forestry and agricultural land use: A case study from Oudomxay province'. This land use study compares the economic viability of four key land uses – rubber plantation in Namor district, maize plantation and upland rice farming in Hun district and non-timber forest product (NTFP) use in Beng district of Oudomxay.
55. A household survey was undertaken to generate quantitative information on income and expenditure and socio-economic data. Due to the lack of physical data on environmental conditions and the impacts of different land uses, a Participatory Assessment approach, known as the Ten Bean Technique was used to generate information on environmental aspect and impacts. This involved asking groups of villages to collectively rank the significance of an issue, such as climate change or changes in water quality, through the allocation of 10 beans.

South Sudan

56. An economic study in South Sudan of the Sudd wetland is in the design phase. A concept paper has been prepared by the Ministry of Environment, Directorate of Wetlands and Biodiversity. The Sudd is the largest fresh water wetland in the world, covering an estimated area of 5.7 million hectares. The wetland supports a large population and has a diverse flora and fauna of international and regional importance, but is under pressures from oil and logging activities, waste, overgrazing and uncontrolled fishing. Very little data exists on the Sudd wetlands, so baseline socio-economic, environmental and economic data would need to be generated by the project. The study is needed to inform management of the area which faces a number of competing uses and pressures.
57. ***Activity 5. Based on the above listed activities, a series of publications, including training modules, case study reports, brochures and a document of policy recommendations will be developed to be used for wider dissemination of knowledge generated through the project, including through the website developed under the outreach component of the SwedBio funded project on the MA follow-up.*** Specific publications to be developed include the following:
 - Training modules on **integrated assessments** and the development of mainstreaming instruments such as payments for ecosystem services
 - Reports of integrated assessments in South Sudan and Lao PDR
 - A report that contains policy recommendations on mainstreaming MEA and/or environmental obligations into national sustainable development and poverty reduction strategies
 - Brochures summarizing each publication listed above for wider distribution
58. **Lao PDR.** A two page brief was prepared on the case study, explaining its objectives and approach. The final case study report and associated policy brief is currently being prepared. Formal training modules were not produced by the project, and very little emphasis has been placed on payments for ecosystem services.

59. **South Sudan.** An online resource book based on the trainings undertaken in South Sudan is currently being finalized.
60. **Activity 6. Organizing outreach activities for wider dissemination of the knowledge gained and lessons learnt through the integrated assessments, as well as integrated strategies and action plans on mainstreaming MEA and/or environmental objectives developed in the two pilot countries.** National outreach events were to be held in the two pilot countries, followed by a global outreach event to be held during a major meeting of the governing bodies of MEAs with the aim to bring together the main stakeholders and provide them with insights and information on the pilot activities and their outcome.
61. **Lao PDR.** A number of press releases (TV, radio and newspapers) have disseminated the work in Oudomxay province. For example, there have been official announcements in the national news-
<http://www.undplao.org/newsroom/Land%20use%20PEI%20press%20release.php>, the Lao National TV broadcasted a report on the PEI NERI environmental valuation study and the field data collection in Oudomxay province: <http://www.youtube.com/user/PEILaoPDR>, and the Vientiane Times, Monday 16th May 2011 ran an article on the study exchange to Thailand 'Research Group studies land use changes in Thailand'. The trip to Kenya was reported in a National newspaper.
62. The technical workshop in Oudomxay October 2011, chaired by the provincial Vice Governor, was attended by a local journalist and Government officials from a number of departments including Investment Planning and Agriculture and Forestry. This workshop raised awareness of the links between poverty reduction and environmental management. The main awareness raising activity for policy makers was the national policy workshop held 16th February 2012. The workshop was also attended by Isabell Kempf, PEF Co-Director, and the PEI UNDP and UNEP regional advisors. There were several useful and relevant comments on the final report and policy recommendations by participants, and these were incorporated into the final report. Following this workshop it is anticipated that the final report and recommendations will be endorsed by the Government.
63. South Sudan. No activity

General

64. The International Institute for Sustainable Development (IISD) have been contracted to produce an "online resources book": A CD and an online tool with all the relevant literature, including the workshop modules, Lao PDR report, overall framework for Southern Sudan, TEEB report, MA follow up report, Thailand SGA relevant i etc. A website is also being developed, that will be used as the platform for all this materials to be uploaded and where the future valuation projects will also be linked. These outputs were not available at the time of the evaluation.
65. Table 2 summarize the activities of the project and their related outputs over the past two years

Table 2. Overview of project activities and achievements

Proposed Activities (project document)	Actual Project Activities (Output)	Actual project Activities (Output)
	Lao PDR	Southern Sudan
Activity 1: Revising and adapting existing training modules on integrated assessments and the development of mainstreaming instruments within national sustainable development plans and poverty reduction strategies taking into account local socio-economic, political and cultural conditions	Not specifically undertaken	
Activity 2: Organizing two training workshops for staff from environment ministry, planning ministry, academics, and NGO's among others in Sudan and Lao PDR, to enhance their capacities in mainstreaming MEA and/or environmental obligations into broader development frameworks	YES Various training activities undertaken through the project	Partially implemented 1 intensive training course organised in Juba May/June 2011
Activity 3: Forming a national network of experts and organizing a regional workshop to share and learn from each other's experience	YES	No expert group formed. Attended Regional workshop held in Nairobi October 2011;
Activity 4 Undertaking case studies whereby learning by doing exercise is carried out in integrated assessment and the development of mainstreaming instruments	YES	Not implemented (under design)
Activity 5: Based on the outcomes of activity 1 to 4, series of publications, including training modules, case study reports, brochures and a document of policy recommendations will be developed to be used for wider dissemination of knowledge generated through the project	Project brief produce and policy brief / final report being finalized.	An online resource book of the training modules is being finalised, which should facilitate wider dissemination
Activity 6: Organizing outreach activities to disseminate widely the knowledge accumulated and lessons learnt through integrated assessments, as well as integrated strategies and action plans on mainstreaming MEA and/or environmental objectives developed in the two pilot countries	TV, newspaper and radio releases on the project. Awareness raising workshop at provincial level and National workshop to be held in February 2012	No activity
	IISD developing a website to host materials from the project	

Outcomes

66. This section analyses how the activities undertaken by the project have contributed to the achievement of the expected project outcomes. Only outcome 1 (capacity building) is discussed for South Sudan, given that the project did not progress to the implementation of a pilot study.

Outcome 1: Improved Capacity

Lao PDR.

67. It should be noted that there is a strong link between outcomes 1 (improved capacity) and 2 (evidence development) given that a lot of training was undertaken in developing the pilot case study in Lao PDR in line with the 'learning by doing' approach prescribed by the project.
68. The project in Lao PDR was successful in forming an **Expert Group** and developing the group's awareness of economic valuation and its role in decision making. However the project manager and others recognise the need for further capacity building, as the group's skills in the valuation of environmental impacts is still considered to be limited.
69. Some members of the Expert Group were more active than others and it was felt that the capacity of the staff at NERI has improved more than that of the other institutions. The experts interviewed felt that they had learnt a lot through actually doing the project, fulfilling one of the projects objectives of 'learning by doing'. Junior experts attended the workshops and were involved in drafting and implementing survey questionnaires and data collection and have benefited a lot from the project. One of the junior experts was able to use STATA for the first time. In terms of training, the general feeling of the Expert Group is that they had developed their understanding of Cost Benefit Analysis (many mentioning the experience of calculating Net Present Value (NPV) as a key skill that they had learnt). However the majority had expected to get more information about the environment and did not yet feel that they had a proper understanding about how environmental costs can be captured. The training materials and agenda used are not available in English (they were conducted in Lao), however the consultees felt that the training could have been better structured with more effort put into the training materials.
70. It is understood that the Ecosystems Services framework was used at the outset to identify key services, but this framework and thinking was not retained as the project progressed. The experts felt that presenting this framework at the provincial level was too abstract. However, this conceptual framework could have been presented in the final reporting and disseminating materials as a tool for promoting thinking on ecosystem services provided under (and impacted by) different land uses, and how their monetisation could affect land use decisions. MEAs and the link between economic evidence and implementation of MEAs was not really discussed; the training provided was very much focussed on the execution of the research study.
71. An important achievement of the project in Lao PDR has been its ability to build capacity at the national, provincial and district level. There was a good working relationship between NERI and the provincial departments. At the provincial level representatives from the Provincial Agriculture and Forestry Office, Department of Planning, Water Resources and Environment Office, Land Management Authority, and the Poverty Reduction Department were involved in the study. The Provincial team members were involved in conducting the household questionnaires and selecting the research sites. They also attended trainings on questionnaire design and data analysis. They generally felt that they had learnt a lot about the links between agriculture, economics and soil quality (and how over production can affect soil productivity in the long run).
72. The key challenges for the Expert Group were:
- Participation. The experts were from various line ministries and were generally busy in their existing roles. It was therefore very challenging for people to find the time to

work together on the economic land use study and get things done. Experts were not always able to attend workshops and one member had to assign an assistant because it was difficult for him to find the time to participate.

- Background of group members. The people nominated to the group did not all have the right background / profile. No member of the group has a background in both economics and the environment. The group also included two engineers and an administrative staff member.
- Continuity. A number of members left the Expert Group during the course of the project, some to study overseas, requiring the training of new members.
- Incentives. The work was generally perceived as an 'add-on activity' or 'extra work', and as such there was a strong feeling that more incentives were needed to encourage participation.
- Communications and co-ordination were difficult because members of the groups were in different locations.
- New topic. The fact that the Expert Group was learning and applying a new topic meant that activities often took more time than had been anticipated.
- Lack of equipment. The group was not able to source equipment to measure water or air quality (even though the right ministries were represented), and it is understood that measurement of key environmental parameters is at a nascent stage in Lao PDR.

73. It was generally felt that the Expert Group needs to be structured and managed differently in the future to improve its effectiveness and sustainability. This is discussed further in Section 3.

South Sudan

74. An expert group has not been established in South Sudan. However, the training activities to date (workshop in Juba in June 2011 and the workshop in Nairobi October 2011), have made a very promising start in terms of building an understanding in the valuation of ecosystem services and the links between natural capital and poverty reduction, and generating significant enthusiasm for follow on work.

Outcome 2; Evidence Developed (= 'improved understanding of policy makers' in Logical Framework)

Lao PDR

75. The Cost Benefit Analysis (CBA) of alternative land uses in Oudomxay is largely financial in nature (only health impacts have been monetized in addition to the financial costs and benefits). Information on other environmental impacts (air pollution, soil erosion and water quality) was assessed qualitatively through participatory workshops in both upstream and downstream villages. There is therefore scope for developing the valuation of other environmental impacts in follow up studies, especially given that the original aim of this work was to focus on **regulating ecosystem** services in order to inform policy-

makers on the importance of maintaining/conserving/improving ecological infrastructure¹⁰ (Bann, 2011).

76. Financial aspects have been presented in some detail, while the environmental aspects have been presented only qualitatively through the Ten Bean Approach. The environmental impacts could have been given more prominence through the adoption of the Ecosystem Services Framework in the project reporting, along with a qualitative discussion of these services, a review of valuation studies in the region on ecosystem services and the potential use of indicative Value (Benefit) Transfer approaches for different land uses.

77. Challenges undertaking the economic study:

- Questionnaire was too detailed for the level of information held by villagers. It was suggested that district level staff should have been involved in design of the questionnaire to ensure it was appropriate and clear. The questionnaire was only pre-tested for rubber production. In Nahorn village the interviewees did not remember all the information in the household questionnaire as the questions were very detailed¹¹
- Coordination with district officers was not done properly leading to confusion, and people had very little time;
- Potential survey participants were limited by the fact that there weren't enough translators to translate from local languages to Lao.
- Data collection. It was hard to collect quantitative data, especially when asking for data for the past 5 years, as no records are kept, therefore respondents had to provide estimates. The data were collected in just 2 weeks, but the collation of accurate data requires a more systematic effort. For example, district officers could visit the villages once a month to collect data over time. Furthermore, the enumerators were not very experienced in data collection for economic studies, and some time had to be spent on data cleaning.
- The case study is not a comprehensive study of the area and therefore will not be convincing to decision makers.
- Minutes of Expert Group Meetings reveal that the Maize team had co-ordination problems and difficulties to find the time to work together. The NTFP team also had problems, but the rubber and upland rice teams worked better together (2 August 2011)

¹⁰ Regulating services are the benefits obtained from the regulation of ecosystem processes such as air quality maintenance, climate regulation, water regulation, erosion control, water purification and waste treatment. These natural services would need to be replaced by expensive man-made alternatives if there are lost or damaged.

¹¹ Field Trip report for data collection in Oudomxay province. Economic Valuation of Ecosystem Services from Land Change. 27 March to April 2011, Oudomxay Province

Box 1. Main achievement, limitation of existing study and challenges facing follow up studies in Lao PDR

Main Achievements

- Making staff realise the importance of proper socio-environmental planning
- Training on methods for capturing income and expenditure;
- An understanding of how pesticides affects health

Limitations of study

- Need more evidence on alternatives and solutions – e.g. growing a lot of corn affects the soil, but don't have details on how to prevent this or alternatives.
- At the moment results are too general and qualitative and more detail is needed. More evidence is needed on how environmental impacts affect welfare, for example how cutting the forests contributes to floods and how the inappropriate use of chemicals can lead to health problems.

Challenges:

- Change takes time. The topic is new and to get people to really believe need more evidence; 1 year is not a long time for people to understand and think about the issues.
- Need to find a better way to communicate with local people. The evidence may be convincing to district and provincial people, but not to villagers, who need to be able to see results. Possible approaches are to use pictures of people affected by chemicals or to demonstrate the effectiveness of different approaches through pilot studies (such tangible results can also be more convincing to policy makers).
- There are regulations and laws regarding the use of forest and waters, and laws are being developed for agriculture and mining, but they are not implemented. One reason could be that there is not enough evidence; or that people ignore the law because there are not enough incentives.
- The capacity at the provincial and district level still needs to be developed. Provincial officers are keen to participate in data analysis, not just data collection.
- There is limited access to the internet at the provincial / district level (there are no computers at the district level), which affects the ability to access information.
- Equipment to measure soil and water quality is lacking.

Source: Based on feedback from Stakeholders interviewed for this evaluation.

Outcome 3: Improved Awareness and Capacity of Policy Makers

Lao PDR

78. The project has successfully raised awareness in the provinces and districts through media (TV and newspaper articles), and through policy workshops held at the provincial and national level. However, it is recognized that given that the topic is new for Lao PDR, it will take time to disseminate the new concepts, and a long term communications plan and strategy is needed. Further training of local staff in communication materials (such as the development of policy briefs) and the development of dissemination plans would also be beneficial.

Outreach Activities.

79. Outreach activities by the International Institute for Sustainable Development (IISD) are yet to be completed. An online resource book and a website where the information on the results of the project is to be posted are waiting to be finalized. A demo site is accessible at: <http://www.iisd.org/learning/course/view.php?id=78> enrollment key: valuation.

Intermediate stage

80. The intermediate stage reflects the fact that while the project has been successful in achieving its outcomes, which are defined as behavioural and/or systemic changes, there are intermediate steps required to transform the project outcomes into an ultimate impact.

Intermediate State 1: Sufficient Capacity.

81. While capacity has been improved to some extent in both countries, it is not considered to be sufficient in that the countries do not have an Expert Group with an in-depth understanding of how to identify, quantify and monetise ecosystem services, and the change in these services resulting from different uses and management activities. It is clear that further technical support and training is needed. A view was expressed in Lao PDR that they did not want a permanent STA or to farm out analysis to consultants, as this limits their opportunities to develop their capacity to undertake the work. South Sudan expressed a preference for a consultant to be based in the Ministry of Environment in Juba to work with the research team on a daily basis and participate in field work so that expertise of the government staff could be properly developed.
82. Areas of potential additional training include: the design of policy relevant studies; the ecosystem services approach; environmental monitoring and the generation of quantitative / physical environmental data on e.g. soil and water quality; modelling how changes in environmental quality and quantity effect human welfare (e.g. how changes in forest / soil cover affect water retention and thereby led to potential flooding of agricultural land, property and infrastructure); monetisation of environmental impacts (changes in welfare) training in use of software such as STATA and econometrics; training on a broader assessment tool box (e.g. Cost Effectiveness Analysis, Economic Impact Analysis); Payment for Ecosystem Services (PES); data analysis and the linking of results to policy recommendations. Options for enhancing capacity include sponsoring places on Masters courses so that a deeper understanding of the subject is developed. Study tours are also extremely popular with both countries, and there is scope for exploring regional examples of best practice in environmental valuation which has derived policy relevant results.
83. Success of any future capacity development efforts assumes a dedicated team of national experts and development of a broader knowledge base across the many disciplines requirement to inform valuation of ecosystem services and a critical mass of researchers within Government and the Universities.

Intermediate states 2: Enhanced Evidence Base on Linkages between sound environmental management and economic returns:

84. In Lao PDR the project has successfully completed its land use study. Follow up studies are thought to be critical to consolidate the work undertaken by the project to date and facilitate the mainstreaming of the links between natural capital, welfare and poverty reduction.

85. Future studies need to successfully communicate the ecosystem services approach, and make progress towards the quantification and monetisation of ecosystem services. Given that the monetisation of many ecosystem services is underpinned by good scientific information, scientific studies to generate the required physical data may need to be commissioned in the first instance for priority services under pressure from investment or other impacts.
86. An expert peer review process is recommended. Peer review support should be built-into projects, starting at the design phase and contributing at key stages of the project development to ensure best practices are being adopted, that the project is theoretically and conceptual sound, and that the most appropriate approaches are taken in terms of the type of analysis adopted.
87. More case studies are needed to move towards a critical mass of country specific studies. There are around a 100 land uses in Lao PDR so, to think strategically, more studies are needed that represent these different land uses types. More studies and their dissemination to policy makers are required to build the evidence base, convince policy makers and contribute to a general change in thinking.
88. Success assumes – political stability, institutional capacity and cooperation, financial resources and sufficient economic and physical data from other studies

Intermediate State 3: Informed decision making that accounts for the economic value of ecosystem services

89. Future studies are recommended to link more with development planning and the needs of policy makers. To promote the buy in and ownership of policy makers they should be involved in all stages of the project, starting from the design stage when the research question is formulated. Conversely researchers or project managers at least need to be conversant with the decision making process to understand key opportunities for influencing policy development.
90. Success assumes – political stability, institutional capacity and cooperation, financial resources and the receptiveness of policy makers

Impact / Development Goal: Integration of MEA Objectives and MDGs into poverty reduction strategies and national sector development strategies, leading to poverty reduction and increased environmental sustainability

91. The ultimate impact of the project with its focus on Multilateral Environmental Agreements (MEAs) was not appreciated in Lao PDR. The project document was considered to be too complex and theoretical. The focus of the project in Lao PDR was very much on undertaking a land use study to inform the Ministry of Planning and Investment and the national socio-economic development planning process. As a sub-component of PEI the purpose of the research study was seen as supporting the Department of Planning. The lack of appreciation of the links between the project's activities and MEAs is considered to be understandable given the long lead time that will be needed to achieve the project's impact and the fact that the project period was two years.
92. In South Sudan, the project was poorly communicated to the Government, such that they were unaware that the training they received in Juba and Nairobi linked to a larger project on the mainstreaming of MEAs.
93. Notwithstanding the fact that the bigger picture was not understood by those undertaking the project, the activities and outcomes still move the countries along the path leading to the achievement of the ultimate impact. At the capacity building workshop in Juba, the

project's overarching goal was presented as 'Contribute to poverty reduction and improve wellbeing of poor and vulnerable groups through mainstreaming the environment into development processes.' While this is a digression from the focus of the project document and logical framework on MEAs, it is considered to be very compatible with the work in Lao PDR under their PEI.

2.1.2 A2: Relevance

94. This part of the evaluation assesses, 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. The project's objective was to strengthen the capacity to mainstream multilateral agreements – The United Nations Framework Convention on Climate Change (UNFCCC) and the Convention on Biological Diversity (CBD) and United Nation Convention on Combating Desertification (UNCCD). While this end point was somewhat lost in project implementation, the relevance of the project design remains highly relevant. The project also closely links with The Economics of Ecosystems and Biodiversity (TEEB) programme. In Lao PDR it was a component of UNEP-UNDP Poverty and Environment Initiative, while in South Sudan it aimed to build on the Post Conflict Environmental Assessment. See Annex 5 which provides a review of project design.
95. In terms of relevance the project is rated as Highly Satisfactory (HS).

2.1.3 A3. Efficiency

96. **Lao PDR.** A key factor in the successful execution of the project in Lao PDR is its inclusion within the country's Poverty Environment Initiative (PEI). The project has benefited from being part of this larger successful project that is well supported by Government.
97. The project got off to a slower start than expected with the PEI Senior Technical Advisor joining the project in February 1 2010 and the new National Consultant on March 22 2010. This led to inevitable delays (Annual Report June-December 2010). By the second quarter of 2010, only the Expert Group had been established.
98. The project tried to save money – e.g. travelling by road rather plane when working in the province. Efforts were also made to organize the Expert Group to work efficiently (e.g. monthly meetings), however there were many delays in the outputs of the Expert Group due to the limited availability of many group members, which increased costs in some cases (for example the contract of the Outreach Strategy Consultant needed to be extended).
99. **South Sudan.** No cost effective measures identified. The project to date has focused on capacity building.

2.1.4 Summary of ROTI analysis

100. **Lao PDR.** Table 3 provides a summary of the ROTI in Lao PDR. Outcomes are given a rating of A – the project's intended outputs were delivered, and results were designed to feed into a continuing process, with specific allocation of responsibility after project funding. The outcomes achieved by the project could have been better, e.g. capacity development could have been more effective with more emphasis on environmental aspects and ecosystem services / MEA philosophy in training and design of study. But the outcomes are still recognised to be a big step forward for Lao PDR within the project's 18 months timeframe. The project has changed the way people think at the national provincial and district level. Furthermore, project funding has been secured for PEI Phase 2, under which the NERI work will continue. A follow up study is to be designed.

101. Progress towards Intermediate States is rated as C - *the measures designed to move towards intermediate state have started but have not produced results*. NERI and the Government recognise the importance of such research and are keen to undertake more studies, they recognise the need to strengthen the Expert Group and the need to put more emphasis on environmental aspects in follow up work. The success of the PEI overall, e.g. a key PEI Phase 1 achievement was the preparation of PEI indicators for the 7th National Socio Economic Development Plan (NSED) 2011-2015, provides a very encouraging framework for future research in this area.
102. The overall likelihood of impact being achieved is rated as Moderately Likely.
103. **South Sudan.** Outcomes are rated as D – *The project's intended outputs were not delivered*. The project was restricted to capacity building in 2011 given the country's exceptional political circumstances. However, poor project management is a contributing factor to the delays in project implementation. Given the outcomes scored D, there is no need to continue forward to the intermediate states, as their achievement is not therefore possible.

Table 3. Results Rating of Project for Lao PDR only

Results rating of project entitled:	Strengthening National and Institutional Capacities for Mainstreaming Multilateral Environmental Agreements (MEAS) into National Poverty Reduction Strategies						
Outputs	Outcomes	Rating (D – A)	Intermediary	Rating (D – A)	Impact (GEBs)	Rating (+)	Overall
National expert group established; Expert group trained	1.Improved Capacity	A	1. Sufficient capacity	C	Integration of MEA objectives and MDGs into poverty reduction strategies / national sector development strategies, leading to poverty reduction & increased environmental sustainability		Moderately Likely
Case study completed	2. Evidence Developed		2. Enhanced evidence base on linkages between sound environmental management & economic returns				
Dissemination materials produced; Outreach activities undertaken	3. Improved Awareness & capacity of Policy makers		3. Informed decision making that accounts for the economic value of ecosystem services				

2.2 Sustainability and Catalytic Role

2.2.1 B: Sustainability

104. In terms of the sustainability of project outcomes the project is rated Satisfactory in Lao PDR and Moderately Satisfactory in South Sudan.

B1: Financial resources

105. In designing the project it was intended that its sustainability would be ensured by establishing focal points within the Ministry of Environment and a national network of experts to provide expertise to ongoing projects funded by the donor community within the two countries. This objective has been achieved in **Lao PDR** in that the Expert Group established under the project undertook a land use study and funding for a follow on study been secured. The country's PEI has been extremely successful in leveraging finance for a second phase from UNDP TRAC and the Swiss Development Cooperation (a new donor). The second phase of PEI is currently being designed, and it is understood that money will be allocated to follow up environmental economic studies.
106. Sustainability of the initial efforts to build capacity in **South Sudan** is contingent on financial support to build the capacity of an expert group and undertake the country's first economic assessment of its ecosystem services. Partial funds have been secured from the on-going TEEB follow-up initiative for an economic study of the Sudd wetlands.

B2: Socio-political

107. **Lao PDR:** The fact that the work can inform the broader PEI initiative, which is focused on promoting quality foreign direct investment (FDI) into the country, provides a relevant political context for the study. The Lao Government has expressed a desire to promote quality FDI, and such decision is informed by an understanding of the environmental and social impact of investments. Ownership of the project by NERI is very strong as is the support at the provincial level. The relationship between NERI and provincial staff has been very positive. NERI are committed to continuing the work, however it is felt that more incentives are need to ensure the commitment of other Government departments.
108. **South Sudan:** The Ministry of Environment is extremely enthusiastic about the implementation of an economic study. Follow up work, led by a consultant, is underway with key stakeholders. Given that the country is at a nascent stage in its development considerable financial and technical support is required to ensure that a study is successful.

B3: Institutional framework

109. **Lao PDR:** Strong Institutional frameworks and governance will be key to the outcomes of this project leading on to the required impacts, as expressed in the intermediate states in the ROTI framework. The governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks are still developing in Lao PDR. However the Government is committed to the PEI programme and its overriding objective of promoting quality FDI. The PEI program has already had some success in integrating environmental issues into 7th NSEDP, and the various components of the PEI complement the generation of economic evidence. Therefore there is the momentum / precedent to build on, with PEI Phase 2 enhancing the opportunities for integrating ES into poverty reduction and MEAs mainstreaming.
110. The project document stresses the expectation that that newly acquired competencies and institutional arrangements and networks will remain through the national Expert Group which will continue their activities after project implementation. As

discussed it is recognised by project management that the Expert Group will require strengthening going forward.

111. **South Sudan.** The expert group is yet to be established in South Sudan and institutional strengthening will be key to achieving the project's impact. In order to promote the integration of MEAs and/or environmental objectives into broader development frameworks, there is a strong need for the engagement of economic sectors in the MEA and/or environmental policies' processes to forge links with mainstream development planning, establishing stronger links with sectoral policies and plans to promote greater coherence. It is also critical to develop institutional mechanisms to ensure cross-sectoral cooperation among environment, planning and other sectoral ministries, and most importantly, to enhance capacity of national stakeholders to apply various tools and undertake integrated assessments to have sufficient understanding on the economic and social values of ecosystem services and their links with natural capital, economic and human development.

2.2.2 C: Catalytic role and replication

112. In terms of its catalytic role and replication the project is rated as Highly Satisfactory in Lao PDR and Moderately Satisfactory in South Sudan.

Catalytic role

113. **Lao PDR:** The project has successfully carried out a pilot study in Oudomxay, that has introduced new approaches and thinking on the links between environmental management and poverty alleviation in Lao PDR. This work has catalysed changes in the way people think at the national, provincial and district level. The project has created an opportunity for NERI to champion new approaches and thinking, and in this respect contributed to institutional change. Of note is the keen support for the project at the provincial level and the recognition of the importance of such analysis to inform the planning process. Follow on financing has been secured through the PEI programme and there is interest in replicating the study in other provinces. University professors are reported to be integrating the project thinking into their courses. The effect of the project is anticipated to be stronger once the final dissemination materials have been made public.
114. **South Sudan:** The pilot study was not implemented under the project. However, the training workshop in Juba and the workshop in Nairobi created a lot of interest and enthusiasm in the subject and for the implementation of a pilot study.

Replication approach

115. There are a number of lessons and experiences coming out of the project that can inform the replication of the project approach in other countries and geographic areas / or the up-scaling of the work in Lao PDR and South Sudan. These relate to the structure and management of the Expert Group, the level of technical support required, and the focus of the research studies. This is discussed in more detail in section 3. Follow on studies are anticipated in Lao PDR under PEI Phase 2. Such studies should draw on the lesson learnt from the work undertaken in Oudomxay.

2.3 Processing Affecting Attainment of Project Results

2.3.1 D: Stakeholder participation/ public awareness

116. Stakeholder participation and public awareness is rated as Satisfactory in Lao PDR and Unsatisfactory in South Sudan.
117. **Lao PDR:** Information dissemination was a key objective of the project. This has only been partially achieved to date, due the fact that the final workshop for the project,

which will disseminate the results of the project to key stakeholders involved in the development of MDGs and national poverty reduction strategies, had not taken place at the time of evaluation and the final dissemination materials had not been produced. However there were a number of press releases during the course of the project aimed at the general public as discussed in section 2.1.1. A research team was drawn from the national, provincial and district level organizations and attempts were made to engage these stakeholders in project design and implementation (for example the selection of study villages built on the local knowledge of the district offices). The project has created a lot of interest in issues at provincial and district level. A cross section of Ministries has been involved in the work, but as discussed above participation of members of the Expert Group was not always possible and some members did not have suitable professional credentials. By working at the village level the Government has promoted the participation of communities in the project. There has been limited NGO involvement.

118. **South Sudan:** A broad range of stakeholders were involved in the training workshop in Juba in May /June 2011, and has therefore set a good basis for inclusive stakeholder involvement in any follow up studies. Unfortunately the participants did not appreciate that the training was part of a bigger study, and there have been no public awareness activities undertaken in South Sudan¹².

2.3.2 E: Country Ownership and Drivenness.

119. Country ownership and drivenness is rated as Highly Satisfactory in Lao PDR and Unsatisfactory in South Sudan.
120. **Lao PDR:** The Government has assumed responsibility for the project and provided adequate support to project execution, bolstered by good cooperation from the other contact institutions involved in the project. The support of the Government for the broader PEI programme has provided a political and institutional framework for the work.
121. **South Sudan:** Unfortunately the Government was unaware of the existence of this project prior to the evaluation visit. This is thought to be the result of poor communications by the UNEP office in Nairobi, the project office in Juba and the Ministry of Environment (the main focal point for the project in the GOSS). Ownership of the project by the GOSS has therefore not materialized. However, the Government has expressed a lot of enthusiasm for a study to be undertaken of the Sudd wetlands, and for continued support for training.

2.3.3 F: Achievement of outputs and activities

122. Achievement of outputs and activities are rated as Satisfactory in Lao PDR and Unsatisfactory in South Sudan.
123. Outputs and activities are discussed in detail in Section 2.1.1. **Lao PDR** is expected to complete all activities by June 2012, ahead of the start of PEI Phase 2.
124. **South Sudan** has had a limited number of activities under the project, namely a training workshop in Juba in June 2011 and participation in a regional workshop in Nairobi October 2011. Following the workshop in Nairobi, a concept note was produced by the Ministry of Environment for a study of the Sudd wetlands. A mission to Juba early March 2012 was undertaken to develop this proposal with stakeholder. Partial funding is

¹² The overall project was introduced at the start of the training workshop in Juba in May 2011, but it appears that this was not well understood by the participants, perhaps due to the fact that was very little project liaison prior to the workshop.

said to be available for the study from TEEB follow up funds. A paper by Angelo and Gowdy (2011) was also commissioned under the project. It is understood that the purpose of this paper was to set out baseline data and information on the environment to help frame the design of the pilot study. However, the paper is largely theoretical in content.

125. Outreach activities are not yet finalized and will be delivered by IISD.

2.3.4 G Preparation and readiness

126. Preparation and readiness are rated as Satisfactory in Lao PDR and Highly Unsatisfactory in South Sudan.

127. **Lao PDR.** In the case of Lao PDR the project's activities are considered to have been clear, practicable and feasible within the timeframe. However due to a number of delays (in hiring of staff and in undertaking the research study) the project overran.

128. The project document was considered to be too complex and unclear. The links between the development of the economic evidence base on ecosystem services and the achievement of MDGs and MEAs were not picked up by the project in its implementation, due to the fact that these linkages were not clearly and simply expressed in the project document, and because it was felt that these processes were too complicated. The activities and outputs in the project document were also confusing. There is a strong overlap between outcomes such that it was not always obvious under which outcome activities sat.

129. A great benefit to the project was its links with the PEI and the strong project management of the UNDP country office. Although this arrangement isn't discussed in the project document, it is understood that this association was anticipated at the outset.

130. **South Sudan.** The execution of the project for Sudan was extremely ambitious given the political situation in South Sudan over the project timeframe. This was compounded by poor project management on the part of UNEP. Given the difficulties facing the country at the time of project design it was a risky pilot country to select and should only have been promoted on the back of a well thought out implementation plan and knowledge that sufficient resources (technical, managerial and financial) were available to provide the support needed. It is SIEP's view that the specific implications of a (post) conflict environment were not understood at the design phase - 'Post conflict countries face a high staff turn-over (in the government and agencies) and require intensive relationship and trust building before any activity can start. Thus, expectations for this project in the given timeframe were too high'.

131. There is no evidence from the project document that a capacity assessment of the executing agencies was properly considered at the project design phase. According to the ESE Unit in Nairobi a careful assessment was undertaken at the design phase on the back of which it was decided that the Wildlife Conservation Society (WCS) would play a lead role in implementing the project. However, due to a change in WCS's organizational strategy they were not able to support the project. A capacity assessment should be the starting point for the economic study to ensure that the study is realistically pitched, that the right activities are undertaken and that the capacity building elements are correctly targeted. Partnership arrangements were not identified prior to project implementation.

2.4 H: Implementation approach and adaptive management

132. The implementation approach and adaptive management is rated as Satisfactory in Lao PDR and Unsatisfactory in South Sudan.

2.4.1 Implementation approach

133. **Lao PDR:** Project implementation in Lao PDR has been well managed. The Expert Group and the economic land use study was effectively overseen by a project manager. The Expert Group held monthly meetings to discuss the status of the study and next stages of the work (these meetings were usually attended by around 6 members of the Expert Group). Minutes of these meeting are available documenting discussions on progress, management issues and results. It is evident from these meetings that attempts were made to anticipate problems, manage delays, team availability and data difficulties. A co-coordinator was assigned from the Expert Group, and there was also a co-coordinator at the provincial level to manage the field work.
134. The administrative work for the project was spread among a number of people. However, for PEI Phase 2 the intention is to hire a dedicated person for administrative matters for the NERI component to increase efficiency.
135. There was no programme board for the project. The project reported to the MPI programme board (who oversee 6 other projects), made up of UNDP representatives and Ministries of beneficiaries.
136. **South Sudan.** The project has only been partially implemented, with the project's only in-country activity, the training workshop, held in May/June 2011, i.e. towards the end of the project. It was intended that the project would be implemented through the UNEP Project Office in Juba, in close coordination with UNDP and other partners such as WCS. However, the UNEP office in Juba was not adequately supported by the UNEP regional office in this role and was not successful in communicating the project to the Government, or building a focal point for the project. At the time of the evaluation mission, the Ministry of Environment had no project documentation and was unaware of its link with the training they had received in ecosystem valuation. The project decided to focus on capacity building, but this does not appear to have been communicated to stakeholders in South Sudan. These issues were not picked up and rectified by UNEP Nairobi.
137. The ESE unit Nairobi did communicate the project through the mission of two staff members of the Ecosystem Services Economics Unit of the Division of Environmental Policy Implementation at the initial stage of the project (June 1-3 2009), which involved bilateral meeting with all the relevant Ministries and organizations in South Sudan. It appears however that there was limited follow up after this mission, until the training workshop held in May/June 2011.
138. At the time of the evaluation mission In February 2011, key stakeholders were not aware of the overall project or in possession of key project documents. However the ESE unit now feels that strong communication channels have now been established with key Government officials with whom follow up economic work is being discussed.

2.4.2 Adaptive management

139. **Lao PDR.** The original project design was considered to be too theoretical and in terms of land use change it didn't suit the Lao context, and was therefore adapted to do

so¹³. An approach also had to be found for expressing the environmental impacts of the project, due to a lack of quantitative information on these impacts monetisation of the impacts was not possible. A participatory approach, known as the Ten Bean Approach, was therefore used to explore and express these impacts.

140. The policy context also changed mid-project, requiring an adaptation in the design of the research project. In 2011 the government banned additional areas of rubber production on account of there not being enough labour in-country to tap the rubber. Therefore one of the objectives of the research became how to make existing rubber production areas more sustainable rather than about alternative land uses to rubber.
141. The project adapted to the constraints of the Expert Group members by arranging a number of working session / workshops to facilitate the group working together on the project design, analysis and write up. The study tour and links to Thailand are another example of adaptive management.
142. **South Sudan.** A decision was made mid Project by UNEP Nairobi that the focus would be on capacity building rather than the implementation of an economic study. Unfortunately this message does not appear to have been communicated to the GOSS.

2.4.3 I: Financial planning and control

143. Financial planning and management is rated as Satisfactory in Lao PDR and Unsatisfactory in South Sudan as no country specific accounting of funds appears to have been put in place, and national project partners were not informed of budget allocations.
144. **Lao PDR:** An overview of the project funds for Lao PDR is presented in Table 4. As of the end of 2011, 94% of the committed funds had been spent. The balance, US\$12,822 will be spent finalizing the project by June 2012 (on such activities as the final workshop and dissemination materials). This balance has been supplemented by an additional US\$23,000 from UNEP, to cover the additional cost of the Lao Thai exchange activities in 2011, which will now be used to fund the national policy workshop. The project in Lao PDR has experienced no financial issues, funds were provided on time and there were good communications with UNEP Nairobi over financial matters. There was no co-financing for the project.

Table 4. Overview of project Funding – Lao PDR

Committed Funds	Delivered Funds	Actual Expenditure	Balance	Delivery Rate
223,000	223,000	210,179	12,822	94%

Source: Finance officer. PEI Lao PDR

145. **South Sudan.** Funding specific to South Sudan, includes expenditure on consultants totaling US\$38,400, contractual services to organize the national capacity building workshop in Juba (US\$52,000) and the seminars, workshops and grants relating to the national policy workshop in Juba of US\$17,500 (as sent out in Table 5). Altogether this amounts to US\$107,900. The activities by consultants (US\$38,400) were added when the focus of the project was changed to capacity building.

¹³ The original project design envisaged that the economic valuation studies would cover land use planning in the agriculture and hydro-electricity sectors.

146. The overall project funding is provided in Table 5. Around 15% of the budget was allocated to project management. The original results based budget is provided in Annex 1 as part of the TOR.

Table 5. Overall Project Funding

Category	Activity	Amount USD
General temporary assistance	Partial staff time allocated to managing the project	100,000
Consultants (South Sudan)	Conduct a field visit in South Sudan to identify key ecosystem services, for inclusion in the case study on ecosystem valuation	12,400
	Designing course and undertaking training on economic valuation of ecosystem services	5,000
	Developing policy paper on linking ecosystem services with poverty reduction in South Sudan	21,000
Contractual services	Organising national capacity building workshop (Juba)	52,000
	Dissemination of knowledge and increase capacity of methodology	35,000
	UNDP-UNEP Poverty and Environment Initiative (PEI) Framework	223,000
Seminars, Workshops and Grants	Juba National policy workshop	17,500
	UNDP-UNEP Lao PDR National Policy workshop	23,268
	Joint International Nairobi Workshop	89,058
Staff travel	Travel of staff and participants including DSA	51,425
Final evaluation	Final evaluation	23,029
Total Expenditure		652,678
Total Allocated		661,000
Balance returned to UNDA account		8,322

Source: UNEP Nairobi project records

2.4.4 J: Monitoring and evaluation

147. Overall project monitoring and evaluation is rated as Satisfactory in Lao PDR and Unsatisfactory in South Sudan.

M & E design

148. According to the project document, the project monitoring and evaluation was to be carried out jointly by DEPI and DELC. However, the roles and responsibilities of these two departments were not defined and it is not clear what role DELC played in the project. An external evaluation was planned for the end of the project. The project document sets out indicators, means of verification and timing for each activity as part of the M&E framework. Most of the indicators are not realistic within the timeframe of the project as they relate to an increased number of references to MEAs, MDGs and /or environmental issues in national sustainable plans, poverty reduction strategies, environmental policy documents, macroeconomic planning frameworks etc. There is also very little distinction between the indicators for each activity. M&E design is rated as Unsatisfactory.

M & E implementation

149. M&E implementation is rated as Satisfactory in Lao PDR and Highly Unsatisfactory in South Sudan.
150. **Lao PDR.** Quarterly and Annual reports were completed for the project. These reports were sent to UNEP Nairobi, but no feedback was provided.
151. **South Sudan.** No quarterly reports were undertaken for the project. There is one Annual Development Account Progress report (undated). Some of the statements in this document seem to suggest that more was happening in South Sudan that appears to be the case, for example 'the previously established **national expert groups in both Lao PDR and Southern Sudan** (comprised of economists, ecologists and policy-makers from the government, as well as representatives from the scientific community and civil society organizations) have been fully engaged in the research project, both in terms of participation in the discussion of environmental economic concepts and in the selection of research sites', and, 'Various literature relating to integrated assessments undertaken in Sudan, including a report entitled, "Sudan: Post-Conflict Environmental Assessment", prepared by UNEP was reviewed and has been **used as basis for developing detailed work plans and designing capacity building initiatives** for Southern Sudan'.

Budgeting and Funding for M&E activities

152. Budget was allocated for the Terminal Evaluation and budgeting and funding for M & E activities is rated as Satisfactory.

2.4.5 K: UNEP supervision and backstopping

153. UNEP supervision and backstopping is rated as Moderately Unsatisfactory in Lao PDR and Highly Unsatisfactory in South Sudan.
154. UNEP was responsible for the overall project coordination and implementation (project document). The Annex Project Document Supplement (undated) states 'UNEP is highly committed to this project's successful completion. In total two UNEP staffs have been assigned to this project, one UNEP-funded staff as project coordinator who oversees the project implementation in the selected countries, in addition to the half-time administrative assistance staff funded by this UNDA project'.

155. **Lao PDR:** UNEP was not closely involved in the project beyond the development of project document. UNEP did however organize a regional 1 day session to share experiences and the Nairobi workshop. Lao PDR submitted Quarterly and Annual reports to Nairobi, but did not receive any feedback on these reports and there was no technical review of any of the project outputs. Communications on financial matters were however efficient.
156. **South Sudan.** The work in South Sudan appears to have suffered from a failure of project management and supervision on the part of UNEP. UNEP failed to communicate the project to the Government stakeholders, the project documents were not shared with the Government, and they were not informed of the change in project emphasis – i.e. the decision to concentrate on capacity building within the timeframe of the project and not to attempt to carry out an economic study. According to the SIEP these tasks are not considered to be the responsibility of the Juba Office. Given that the UNEP Project Office in Juba was established after the design phase of the project it is not reflected as an implementing partner in the project document. Notwithstanding this, once established better use could have been made of the Juba office in project implementation, given its valuable presence on the ground. According to the SIEP UNEP seem not to have been able to take advantage of the project office because of administrative and management limitations (e.g. no budget was available for the evaluation). Further, the Juba UNEP Project Office experienced a significant staff change which also negatively affected the support provided to the project. Co-ordination between the Juba Project Office and UNEP Nairobi therefore appear to have been ineffective over the project period.
157. UNEP Nairobi did not follow up on the lack of project reporting or the lack of project liaison with Government staff in South Sudan. Between December 2009 and October 2012 the Ecosystem Services Economics Unit of the Division of Environmental Policy Implementation was without a Chief. It was therefore difficult during this time for the project manager and the administrative assistance staff to receive the necessary technical and strategic guidance, which are likely to have contributed to the lack of inputs and support provided by UNEP to project teams in the two countries.
158. **The opening** presentation at the workshop in Juba in June 2011 presented the overall project activities, but it appears from discussion with stakeholders as part of this evaluation that they didn't recognize the project or fully appreciate that the training was part of larger programme of work. This may be because there has been little coordination, liaison and activity with government since project inception and the workshop in June 2011.
159. According to the SIEP, the MEAS project was not properly and effectively introduced to the government from the outset. For instance, sharing of the project proposal with government was done days before the project evaluation. Hence the GOSS was not ready to accept an evaluation for a project they knew nothing about. They wanted proper accounting for the project budget, since they were only involved in two workshops in the no cost extension period of the project. They wanted to know why nothing was done for South Sudan for two years before the project was extended. The UNEP project office in Juba was equally at a loss on this matter. It took a lot of persuasion for the GOSS to even accept the MEAS project evaluation.

2.5 Complementarities with UNEP strategies and programmes

160. The project is considered to be closely aligned to, and contribute to, UNEP MTS's (2010-2013) thematic area of Ecosystem management, especially in Lao PDR where the project has been fully implemented. Expected Accomplishments under this thematic area are: (i) countries and regions increasingly integrate an ecosystems management

approach into development and planning processes; (ii) countries and region have capacity to utilize ecosystems management tools; and, (iii) countries and regions begin to realign their environmental programme and financing to address degradation of selected priority ecosystem services. As part of the wider PEI in Lao the project started the process of meeting these objectives, however more emphasis on ecosystem management is required in follow on efforts. The project also links with the thematic area of Environmental Governance, under which the UNDP_UNEP PEI sits, which includes the following Expected Accomplishments: (i) States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and obligations through strengthen laws and institutions; (ii) National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in their implementation; (iii) National and international stakeholders have access to sound science and policy advice for decision making. There are also links in South Sudan to the thematic area of disasters and conflicts, in particular the expected accomplishment that 'the post-crises assessment and recovery process contributes to improved environmental management and the sustainable use of natural resources'.

161. The project design aligns with the objectives of the Bali Strategic Plan (BSP)¹⁴, for example to namely strengthen the capacity of Governments to achieve their environmental goals, targets and objectives, as well as environment-related internally agreed development goals, including those contained in the Millennium Declaration and international agreements. While project implementation has not been focused on MEAs and MDGs the project activities in Lao PDR moves the country towards meeting these targets objectives and the interest in the work has been strong enough to secure follow on work to sustain and build on the project's capacity building efforts.
162. Gender issues do not appear to have been explicitly considered in project design, implementation and monitoring. The Expert Group in Lao PDR is all male, there is one female member of the junior support expert group.
163. The project was designed to promote South-South Cooperation, with the two pilot countries exchanging their experiences and findings through regular web-based exchanges. This interaction has not materialized given that there was no real project activity in South Sudan until the workshop in June 2011, and South Sudan had limited materials and experiences to share. Knowledge was shared between Lao PDR, South Sudan and Thailand at the regional workshop in October 2011.

¹⁴<http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

3. Conclusions and Recommendations

3.1 Conclusion

164. A summary of the ratings for the project against the evaluation criteria is provided in Table 6. A separate rating has been provided for the two countries give that the degree of project implementation was very different.
165. For Lao PDR overall the project is rated as Satisfactory. The ratings per category range from Highly Satisfactory to Unsatisfactory.
166. The ratings for South Sudan ranges from Highly Satisfactory (HS) to Highly Unsatisfactory (HU). This reflects the fact that while the project is highly relevant only one workshop was has been organized in the South Sudan over the project period, focal points were not been established and the Government was not aware of the wider project and its broader objectives. While this is partly explained by the political and institutional changes in Southern Sudan, which have caused delays and presented a difficult working environment, the situation has clearly been compounded by weak project management and backstopping by UNEP Nairobi. Overall the project is rated as Unsatisfactory.

Table 6. Summary of Ratings

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
A. Attainment of project objectives and results		S			U	u	EO concur with evaluator's rating
1. Effectiveness	The project has been implemented and provides a good basis for follow up work	S		The project has only been partially implemented, however the Government is very supportive of follow up activities	MU		Rating for S Sudan was upgraded from U to MU after response to first draft, as evaluator agreed that government is enthusiastic about a follow on project. EO concur with evaluator's rating.
2. Relevance	The project is highly relevant to UNEP's wider remit and work areas given its focus on ecosystem services management and MEAS	HS		The project is highly relevant to UNEP's wider remit and work areas given its focus on ecosystem services management and MEAS	HS		EO concur with evaluator's rating
3. Efficiency	Strong links with the PEI have facilitated implementation	S		The project has only been partially implemented, no efficiency measures identified	U		EO concur with evaluator's rating
B. Sustainability of project		L			ML	U	Sustainability rating cannot be higher than lowest rating

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
outcomes							in this section. Institutional sustainability is deemed unlikely.
1. Financial	Finances from PEI Phase 2 earmarked for follow up work	HL		The project has only been partially implemented, however follow up funds have been partially secured	L	L	The rating for S Sudan was upgraded from U to L after response to first draft, as some funding has been obtained for a follow on project. EO concur with evaluator's rating.
2. Socio-political	Good political support and PEI framework will facilitate use of research materials	L		The project has only been partially implemented, and relationships with Government require development, but there is political will to continue with the work	ML	ML	The rating for S Sudan was upgraded from U to ML after response to first draft, as evaluator agreed that government is enthusiastic about a follow on project. EO concur with evaluator's rating.
3. Institutional framework	While institutions are still under development, the Government is committed to the PEI and its principles	L		Expert Group was not established and institutional capacity building generally not	U		EO concur with evaluator's rating.

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
	have already been included in the country's 7 th NSEDP			advanced under project			
4. Environmental	N/A			N/A			EO concur with evaluator's rating.
C. Catalytic role	There is strong interest in the project, champions at national and provincial level and funding secured for follow up work	HS		Pilot study not implemented, although interest in the topic is strong and partial funding for follow up work secured	MS		The rating for S Sudan was upgraded from U to MS after response to first draft, as evaluator agreed that government is enthusiastic about a follow on project. EO concur with evaluator's rating.
D. Stakeholders involvement	Very inclusive research project. Some public awareness activities	S		Communications with stakeholders throughout the project has been poor.	U		EO concur with evaluator's rating. See notes in P136, P159, P130
E. Country ownership / driven-ness	Strong ownership by NERI and broader Government support through the PEI	HS		National ownership of project has not materialized due to lack of awareness	U		EO concur with evaluator's rating. See P159
F. Achievement of outputs and activities	All activities are expected to be completed by June 2012	S		Project only partially implemented	U	MU	Rating for S Sudan has been raised as two project objectives were partially achieved (see P19)

Criterion	Summary Assessment for Lao PDR	Rating-Lao PDR	Evaluation office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluation Office Rating	Evaluation office comments.
G. Preparation and readiness	Project's objectives were feasible, but project document considered to be too complex rendering the project logic inaccessible	MS		Project considered to be ambitious and proper capacity assessment and implementation plan not undertaken in advance	HU		EO concur with evaluator's rating
H. Implementation approach	Good project management and adaptability in terms of project design and implementation	S		Decision taken to focus on capacity building was not conveyed to stakeholders	U		EO concur with evaluator's rating
I. Financial planning and management	Financial aspects of project in Lao PDR managed effectively	S		No country specific accounting of funds or awareness of budget allocations by national stakeholders	U		EO concur with evaluator's rating See P 143
J. Monitoring and Evaluation		S			HU		
1. M&E Design	A monitoring framework was provided in the project document, but many of indicators considered to be unrealistic within timeframe of project	U		A monitoring framework was provided in the project document, but many of indicators considered to be unrealistic within timeframe of project	U		EO concur with evaluator's rating
2. M&E Plan Implementation	Quarterly and Annual reports were completed in a comprehensive and timely manner	S		No quarterly reports. One annual report.	HU		EO concur with evaluator's rating

Criterion	Summary Assessment for Lao PDR	Rating- Lao PDR	Evaluati on office rating	Summary Assessment for South Sudan	Rating South Sudan	Evaluatio n Office Rating	Evaluation office comments.
3. Budgeting and funding for M&E activities	Funds were allocated for the terminal evaluation	S		Funds were allocated for the terminal evaluation	S		EO concur with evaluator's rating
K. UNEP Supervision and backstopping	No technical review of documents by UNEP or comments on quarterly and annual reports.	MU		Weak project management and backstopping evident	HU		EO concur with evaluator's rating

3.2 Lessons Learned

Project design

167. Strong project design is key to ensuring that projects are realistic, appropriately structured and that the right support – both technical and administrative, is provided. A review of project design based on the project document is provided in Annex 5, and suggests a number of areas of improvement. Careful attention should be paid to the capacity of institutions expected to implement the project to help ensure that realistic expectations for the project are set and the right type of assistance provided. Management arrangements were also not adequately considered or documented in the project design phase, or the risks and their potential mitigation carefully enough thought through. Some countries, such as those emerging from conflicts, will inevitably need more support than others and pilot countries should be selected only if sufficient support can be provided to ensure the work is followed through. This lesson is relevant to UNEP staff and consultants involved in project design.
168. The **project document needs to clearly communicate the project logic**. The link between the project activities (capacity building in the assessment of ecosystems services and the implementation of a pilot study) and Multilateral Environmental Agreements and MDGs was not obvious to stakeholders. It is not necessary that everyone grasps the links between project activities and the (long term) desired impact, but the rationale for the project should at least be understood by those involved in implementation of the projects and project executives. The inclusion of stakeholders in the planning phase and the use of the Theory of Change at the design and planning phase of projects would help clarify the project intervention logic, and strengthen the Logical Framework. This lesson is relevant to UNEP staff and consultants involved in project design.

Implementation

169. Time and effort needs to be invested in the **forming of the Expert Group**. A lesson from the Lao PDR experience, which should be noted in South Sudan, is that getting the composition of the Expert Group right is important to the sustainability of the training and research efforts, as is finding the right incentives to ensure participation. Selection of members needs to be targeted. It is recommended that a TOR is developed for the group which explicitly states what qualifications prospective members should have and the criteria for selection. Meetings with key departments are also recommended to verbally explain the TOR and the group's ways of working and objectives. This lesson is relevant to those involved in project implementation and management, and to other countries aiming to establish Expert Groups in ecosystem valuation.
170. Communicating **conceptual frameworks such as the Ecosystem Services Framework** (provisioning, regulating and cultural services) is important as a tool for raising awareness and changing the way people think about the contribution of different ecosystems to human welfare. Such frameworks set out the full range of potential services provided by different ecosystems, and thereby raise the awareness of the different values of ecosystems, even if they cannot be immediately quantified due to data or resource constraints. It is understood that many of these services cannot be quantified or monetized in countries such as Lao PDR and South Sudan due to data limitations and the research studies therefore need to carefully prioritize which services are important to focus on in the first instance. This lesson is relevant to those involved in project design and implementation and reviewers of early case study proposals and draft outputs.

171. **Project management, monitoring and communications are critical to project success.** Given that UNEP has very few country project offices, it makes sense **to link with existing programmes** such as the PEI, which can be closely monitored in country by partner organizations such as UNDP in Lao PDR. The fact that there is a UNEP Project office in Juba should have facilitated the implementation of the project. However, it appears that the project was not formally communicated and introduced to the Government, and the required relationships established. This demonstrates that the presence of a country office is not sufficient to ensure good project management, and the importance of the backstopping role provided by the Regional offices. This lesson is relevant to project managers in general, but to those involved in backstopping in particular.

3.2 Recommendations

172. The key recommendation for the UNEP project team is to initiate and support follow on work in South Sudan and Lao PDR, and potentially new pilot countries, building on the lessons learnt under this project. Follow on work is required to ensure the progress made by the project is capitalised upon, and supports the long timeframe required to achieve the intended project impacts, as set out in the ROtI framework.
173. A phase two initiative is considered to be particularly important in South Sudan. Evidence and awareness of the role natural resources play in the national economy, livelihood provision and poverty reduction is critically needed in South Sudan. The country has a rich natural resource base, which face a number of competing pressures that are set to intensify as the country develops. Furthermore South Sudan is currently facing a loss of oil revenues as it has closed its production facilities on account of disputes over oil distribution tariffs with Sudan. This could put additional pressure on the country's other natural resources – such as water, forest and land.
174. Interest and enthusiasm for continued support from UNEP in South Sudan and Lao PDR is extremely high.
175. Country specific recommendations relevant to any follow on work designed and initiated by the Government, UNEP and other potential donors are provided below.

3.2.1 Lao PDR

Further capacity development

176. It is recommended that the capacity building in environmental economics is continued in PEI Phase 2, in order to further develop this in-country expertise, which is currently quite limited, and move towards generating evidence on the environment and social costs of investments that will enable decision makers to make optimal long term decisions for the country. More training is needed on the Ecosystem Services Approach to identify and value environmental benefits associated with a range of ecosystems and promote their holistic management. While this was promoted in Phase 1 it would be good to further embed frameworks that can capture all the services that may be impacted by investment activities. Another area of training not touched on so far is Payment for Ecosystem Services (PES). Training on translating raw research findings into policy recommendations would also be very beneficial and help ensure the right messages are communicated to decision makers (Bann, 2011).
177. It is also recommended to develop a training manual to ensure sustainability of the approaches and training beyond the lifetime of the PEI. MPI has a training institute that

can be used to facilitate training in economics and other PEI related subjects (Bann, 2011)

178. Developing links with the Environment and Economy Programme for South East Asia (EEPSEA) may lead to opportunities to attend training courses and to undertake research projects. EEPSEA supports researchers in South East Asia to undertake research in environmental economics under the guidance of international experts. Involvement with EEPSEA would also link Lao PDR to other researchers in the region and to best practice examples across a range of environmental policy issues.

179. In order to develop in country specialists in environmental economics and policy related research, more intensive training is needed of selected individuals, who may then serve as resources persons/trainers in country. This could be achieved by sponsoring attendance on Masters courses or short training courses offered by international organisations.

Structure of the Expert Group

180. The structure and working arrangements for the Expert Group needs to be reconsidered to improve the effectiveness and sustainability of the group. Suggestions include:

- Establishing a core group of experts consisting of economists and scientists. This core group would be supported by a pool of specialists who would participate in the group when their specialist expertise was required.
- Ensuring the group has the required skills and is able to dedicate time to the work of the Expert Group.
- To avoid the lack of incentives and therefore involvement of other ministries subcontracting or the direct allocation of research budgets to the research team may be considered (Bann, 2011).

Development of evidence base

181. More detailed research is needed to develop the evidence base. However this research should be carefully targeted at key investment decisions to be made (and thereby inform the investment approval process), types of investments / impacts that are likely to commonly occur¹⁵, or important policy areas. NERI, as the research arm of MPI, could also become involved in assessing public investments and the annual planning process and contributing to capacity building at central, provincial and local levels. Some joint activities with other national research institutes may also be developed.

3.2.2 South Sudan

182. On-going capacity building is required. The Ministry of Environment has expressed a wish to have a full time technical person based in the MOE to help build capacity and guide a future research study. Given that this will be the first study in ecosystem services valuation such close technical involvement would be very beneficial. Another option is to have an officer from Nairobi based in Juba for 30% or so of the time, who would be dedicated to the project.

183. Study tours within the region offer the opportunity for knowledge exchange and are very much supported by the Government. More in-depth courses and training for selected individuals to develop in-country specialists is also worth considering. There is

¹⁵ This would allow a repository of data to be built up that could be transferred to provided indicated values for new sites.

reportedly a course in environmental economics at the University of Juba being taught by a non-specialist. Training for trainers could therefore be considered along with the dissemination of appropriate training materials to Universities.

184. A mission was undertaken in early March to work with stakeholders to design a study of the Sudd wetlands. It is important that this study is developed collaboratively with stakeholders. There is a strong interest in this work across Government Departments, International Organizations such as FAO, and the University of Juba. A starting point for the study is an assessment of what is currently known about the wetland (what data the different organizations hold) and the capacity the different organizations have for undertaking the work. Bilateral meetings are recommended with key organizations, but a workshop would also be very helpful where people discuss together the data gaps and solutions for addressing these gaps and priority needs.
185. Given that this will be the first environmental economics / ecosystem valuation study for the country, it is important that the study presents a strong conceptual framework and plan for building up the evidence base overtime. There may be scope for collaboration with other organizations, such as FAO who have been working on the appraisal of community natural resources, on some aspects of the research.
186. Given the project history, communications and project management will be very important going forward. There is a need for a strong UNEP focal point in country combined with effective backstopping from UNEP Nairobi. It should be noted that the current UNEP representative in Juba is overstretched and because of this unlikely to be able to adequately manage a future research study without additional support. It is understood that two additional staff will be joining SIEP, however funds only exist for project work under SIEP. A follow on project should consider transferring more responsibilities and activities to the UNEP Juba Project Office, as it is the only entity that can interact on a daily basis with the key government stakeholders, understands the situation in South Sudan and can undertake appropriate contingency planning. However, given the nature of project offices, which only have project funding, this would require a corresponding share of the project office's implementation resources to ensure the necessary support. The provision of adequate resources is therefore crucial.
187. There is a need to build in **peer review** at all stages of the study. The role of peer review was stressed at the Nairobi workshop October 2011. Given that experts do not yet exist in Lao PDR and South Sudan, international peer reviewers should be engaged in all stages of the study. Having an expert in the field refine and endorse the methodology and result should ensure a quality output and facilitate the acceptance of the results by decision makers.

4. Annexes

4.1 Annex 1. Evaluation TORs

TERMS OF REFERENCE

Terminal Evaluation of the Project: Strengthening National Institutional Capacities for Mainstreaming Multilateral Environmental Agreements (MEAs) into National Poverty Reduction Strategies.

PROJECT BACKGROUND AND OVERVIEW

Project General Information

Table 1. Project summary

Project ID:	ROA 1570	Project Code	DA/9999-08-01
Focal Area(s):		Implementation	UNEP Division of Environmental Policy Implementation (DEPI) in cooperation with UNEP regional office for Asia and Pacific (ROAP) and UNEP regional office for Africa (ROA).
Thematic Subprogramme	Subprogramme 3 on Environmental Policy Implementation and Subprogramme 2 on Environmental law and conventions.	Total Cost	US\$661,000
Programme Element	Ecosystem Services Economics	Project Duration	2 years (plus one year no cost extension)
Geographic scope	Southern Sudan and Lao PDR	Actual start date:	July 1 st 2008
		Completion date:	June 30th 2010 (extended to December 2011)

Acronyms

MA Millennium Ecosystems assessment.

MDG Millennium Development goals

IISD International Institute for Sustainable Development

CEEPA Centre for Environmental Economics and Policy in Africa

ROA UNEP Regional Office in Africa

ROAP UNEP Regional Office in Asia and the Pacific

MPI Ministry of Planning and Investment (Lao)

NERI National Economic Research Institute (Lao)

GOSS Government of South Sudan Office (S. Sudan)

Project Context and Rationale

At the time of writing (2008) the project design team noted that less than 5% of the countries committed to achieve the MDGs indicate that they would achieve the MDG 7 by 2015, and moreover, many countries lacked reliable data and statistical capacities at the national level resulting in weak environmental monitoring. A series of major challenges and priorities were defined in areas such as human and social pressure, governance and management, knowledge and expertise, technological capacity, institutional capacity, cooperation and partnerships, and financial resources.

A well functioning ecosystem is a necessary condition for reducing poverty. It is now well known that the vulnerable and socially disadvantaged groups often depend on natural resources and ecosystems for their well-being. However, MDG reports have revealed that environmental aspects, with the exception of health related and water sanitation issues, are not well integrated in the MDGs outside of MDG 7.

Poverty reduction and improved development as targeted by the MDGs is unlikely to be achieved unless appropriate concerted action is taken to significantly reduce the on-going decline in critical ecosystem services. The project design team recognised that a potential entry point for mainstreaming the environment related objectives lies with the MEA objectives.

In the last few decades, an increasing number of MEAs have been developed, addressing diverse environmental issues of global concerns, such as climate change, biodiversity, wetlands conservation and desertification. However, while these MEAs have brought about positive impacts in promoting efforts by the international community to address these pressing global environmental issues to a certain extent, the lack of implementation of these agreements and their limited impacts at the national level has been repeatedly pointed out.

The project design team recognised a real and urgent need for efforts related to the MEAs and environmental policies to be more development oriented, by promoting the integration of their objectives within broader development frameworks such as MDGs and poverty reduction strategies, and promoting 'win-win' approaches that support both, development goals and MEA and/or environmental objectives.

However, it was recognised that countries encounter a number of challenges when trying to mainstream MEA and/or environmental objectives into broader development frameworks. The traditional argument implies that addressing environmental issues will only impose a cost burden to the country and hamper economic development and poverty reduction. Recent studies have shown that this is not the case and that potential cost savings as well as the potential for boosting economic growth are real. However, policy makers in general have

limited access to relevant information, including the value of services provided by ecosystems, needed to make appropriate decisions. The project design team felt there was a need for building capacity of national stakeholders to assess the value of ecosystem services, as well as to utilize market-based instruments such as payments for ecosystem services which could assist the countries to comply with the MEA and/or environmental objectives while contributing also to the achievement of broader development objectives.

Another challenge relates to the MEA strategies and action plans that the Parties are required to develop when they ratify the agreements. In many cases, these strategies and action plans have not been effective in reversing the degradation of environment, mainly because they have not influenced planning in economic sectors due to their lack of integration with other national institutions and planning mechanisms, leading to limited political interest, resources and support for their fulfilment.

In order to address these issues and promote the integration of MEA and/or environmental objectives into broader development frameworks, there is a strong need for the engagement of economic sectors in the MEA and/or environmental policies' processes to forge links with mainstream development planning, establishing stronger links with sectoral policies and plans to promote greater coherence. It is also critical to develop institutional mechanisms to ensure cross-sectoral cooperation among environment, planning and other sectoral ministries, and most importantly, to enhance capacity of national stakeholders to apply various tools and undertake integrated assessments to have sufficient understanding on the economic and social values of ecosystem services and their links with natural capital, economic and human development.

The conceptual framework for the MA can play a key role in addressing the various capacity needs to promote mainstreaming MEA and/or environmental objectives into development as described above. The trade-off between ecosystem services and human well-being within and across countries is a critical aspect that needs to be considered for policy making and development planning.

This project planned to work in two countries in sub-Saharan Africa and South East Asia to address the recognised shortcomings of integrating environmental issues into development and poverty reduction strategies by building the knowledge base and capacity at the national and local levels on the links between ecosystem services - the purview of many multilateral environmental agreements (MEAs) - and development. The focus would be on the Rio Conventions including the Convention on Biological Diversity (CBD), the United Nations Convention on Combating Desertification (UNCCD), and the United Nations Framework Convention on Climate Change (UNFCCC) since biodiversity, climate change and desertification issues seemed to be most pertinent in the countries selected for this project, but also are closely interrelated to each other.

Sudan and in particular Southern Sudan was selected in Sub-Saharan Africa. The choice was guided by the findings of the recently concluded Post Conflict Environmental Assessment (PCEA) by UNEP in 2005/2006, and Sudan's interest and commitment to continue efforts on behalf of sustainable use of the environment for development. The project aimed to assist in implementing some of the key recommendations of the PCEA related to ecosystems management, including R10.9 for developing and implementing an integrated management plan for the Sudd wetlands; R9.6 for undertaking an awareness raising programme regarding deforestation at the political level; R9.6 on managing the charcoal trade.

In the case for Southeast Asia, Lao PDR was chosen because of the demand by the Environment Ministry for support in building the knowledge base on the links between

ecosystem services and development and to use the information to catalyze greater efforts to comply with the MEAs.

Pilot studies, using integrated assessment methodologies based on the MA, were planned in selected ecological hotspots within the two countries, followed by activities to ensure that the knowledge gained through the integrated assessments will feed into the environmental policies' implementation processes. The studies were to focus on water related ecosystem services in an integrated way. Sustainability of the project would be ensured by establishing focal points within the ministry of environment and a national network of experts to provide expertise to ongoing projects funded by the donor community within the two countries.

Project objectives and expected accomplishments

The **project's overall development goal** was the integration of environmental issues into development and poverty reduction strategies

Its main **objective** was to strengthen the capacity at the national and local level on mainstreaming MEA objectives into MDGs and national poverty reduction strategies.

Table 2. Expected accomplishments and contributing activities.

Expected accomplishment	Contributing Activities
1. Improved capacities at the national level in mainstreaming MEA and/or environmental obligations within national sustainable development plans and poverty reduction strategies.	<p>Activity 1: Revising and adapting existing training modules on integrated assessments and the development of mainstreaming instruments within national sustainable development plans and poverty reduction strategies taking into account local socio-economic, political and cultural conditions.</p> <p>Activity 2: Organizing two training workshops for staff from environment ministry, planning ministry, academics, and NGO's among others in Sudan and Lao PDR, to enhance their capacities in mainstreaming MEA and/or environmental obligations into broader development frameworks.</p> <p>Activity 3: Forming a national network of experts and organizing a regional workshop to share and learn from each other's experience</p>
2. Improved understanding of policy makers who are involved in the implementation of MEA and/or environmental objectives and poverty reduction strategies on the links among ecosystem	Activity 4: Undertaking case studies whereby learning by doing exercise is carried out in integrated assessment and the development of mainstreaming instruments

services, natural capital, economic development and human development, and their importance for achieving the MEA and/or environmental obligations.	
3. Improved awareness of policy makers on the MA and its recommendations for effective environmental and development policy making, and their capacities to integrate them into actual policy making processes	<p>Activity 5: Based on the outcomes of activity 1 to 4, series of publications, including training modules, case study reports, brochures and a document of policy recommendations will be developed to be used for wider dissemination of knowledge generated through the project.</p> <p>Activity 6: Organizing outreach activities to disseminate widely the knowledge accumulated and lessons learnt through integrated assessments, as well as integrated strategies and action plans on mainstreaming MEA and/or environmental objectives developed in the two pilot countries.</p>

The planned outputs under each activity as per the Logical Framework Matrix are presented in Annex 1 of the TORs.

Executing Arrangements

The project was implemented by UNEP DEPI in collaboration with other UN and international as well as intergovernmental, governmental and national organizations with expertise in related fields and in both countries.

International organisations:

UNEP Regional Office in Africa (ROA),

UNEP Regional Office in Asia and the Pacific (ROAP),

CEEPA

IISD (Canada)

National Organisations (Sudan)

Government of South Sudan Office (GOSS), in line Ministries

National Organisations (Lao)

Ministry of Planning and Investment (MPI),

National Economic Research Institute (NERI)

UNEP was responsible for the overall project coordination and implementation.

Project Cost and Financing

The project budget was 661,000. Funding was provided by UNDA.

See Annex 2 for results based budget.

Project Implementation Issues

The project requested a one year, no cost extension until December 2011 for the following reasons.

Political and institutional changes in Southern Sudan causing delays in identifying focal points for the project and also in the implementation of workshops and case study ;

Complex process of securing full participation by the respective countries took longer than expected;

Difficulties in establishing the local expert working groups and ensuring the ownership of the project by the respective national governments, which is a complex procedure that took longer than previously expected.

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

- In line with the UNEP Evaluation Policy¹⁶ and the UNEP Evaluation Manual¹⁷ the terminal evaluation of the Project “**Strengthening National Institutional Capacities for Mainstreaming Multilateral Environmental Agreements (MEAs) into National Poverty Reduction Strategies..**” 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, GOSS and NERI. 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:

1. How successful was the project in strengthening the capacity at the national and local level to mainstreaming MEA objectives into MDGs and national poverty reduction strategies in Southern Sudan and Lao.

¹⁶

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

¹⁷

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

Specifically. Did the project succeed in:-

- d) Improved capacities at the national level in mainstreaming MEA and/or environmental obligations within national sustainable development plans and poverty reduction strategies.**
- e) Improved understanding of policy makers who are involved in the implementation of MEA and/or environmental objectives and poverty reduction strategies on the links among ecosystem services, natural capital, economic development and human development, and their importance for achieving the MEA and/or environmental obligations.**
- f) Improved awareness of policy makers on the MA and its recommendations for effective environmental and development policy making, and their capacities to integrate them into actual policy making processes**

Overall Approach and Methods

- The terminal evaluation of the Project “**Strengthening National Institutional Capacities for Mainstreaming Multilateral Environmental Agreements (MEAs) into National Poverty Reduction Strategies.**” will be conducted by independent consultant(s) under the overall responsibility and management of the UNEP Evaluation Office (Nairobi).
- 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.
- The findings of the evaluation will be based on the following:
 - a. A **desk review** of project documents¹⁸ including, but not limited to:
 - Relevant background documentation.
 - 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; annual Project Implementation Reviews and relevant correspondence;
 - Documentation related to project
 - b. **Interviews**¹⁹ with:
 - Project management and execution support;
 - UNEP Project Manager and Fund Management Officer (Nairobi);
 - Country lead execution partners and other relevant partners;
 - Representatives of other multilateral agencies and other relevant organisations.
 - c. **Country visits.** The evaluation team will visit Lao, Kenya (UNEP offices) and Southern Sudan.

Key Evaluation principles

¹⁸ Documents to be provided by the UNEP are listed in Annex.

¹⁹ Face-to-face or through any other appropriate means of communication

- 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) to the extent possible, and when verification is not possible, the single source will be mentioned²⁰. Analysis leading to evaluative judgements should always be clearly spelled out.
- 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.
- **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 6 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
- 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.
- 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.

Evaluation criteria

Attainment of Objectives and Planned Results

²⁰

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

- 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 Annex 1, both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success 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.
 - c) *Effectiveness*: Assess to what extent the project has achieved its main objective to strengthen the capacity at the national and local level on mainstreaming MEA objectives into MDGs and national poverty reduction strategies and its expected accomplishments as presented in section C 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 (ROtI)*: 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 ROtI Practitioner's Handbook²¹ (summarized in Annex 8 of the TORs). Examine to what extent the project has contributed to date, and is likely to contribute in the future to further changes in stakeholder behaviour as regards: i) mainstreaming MEA objectives into MDGs and national poverty reduction strategies and the likelihood of this leading to reduction of poverty and increase of environmental sustainability in Lao and Southern Sudan.

Sustainability and catalytic role

²¹http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RotI_handbook.pdf

- **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 will be sustained and enhanced over time. Application of the ROtI method will assist in the evaluation of sustainability.
- 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 resources²² 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?
- **Catalytic Role and Replication.** The *catalytic role* of UNEP 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 also aims 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:

²² Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

- 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;
 - 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 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).
- *Replication*, in the context of UNEP 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 determine 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?

Processes affecting attainment of project results

- **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 project reviews and monitoring activities 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.?
- **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. 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?

- b. Assess the role and performance of the units and committees established and the project execution arrangements at all levels;
 - c. Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project;
 - d. Assess the extent to which project management responded to direction and guidance provided by IA supervision recommendations;
 - e. 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;
- **Stakeholder²³ 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; how the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) engaged key stakeholders involved in the development of MDGs and national poverty reduction strategies.
 - c. 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.
 - **Country Ownership and Driven-ness.** The evaluation will assess the performance of the Governments of the countries involved in the project, namely:

²³ 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.

- 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;
 - 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
- **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 2).
 - 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.
- Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by UNEP and the executing partner (s) to prevent such irregularities in the future. Examine whether the measures taken were adequate.
- **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.
- **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 examine 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
 - 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?
 - 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.
- c. Budgeting and funding for M&E activities:
- The evaluation will determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

Complementarities with UNEP strategies and programmes

- The evaluation should present a brief narrative on the following issues:
 - a. *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* 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.
 - b. *Alignment with the Bali Strategic Plan (BSP)*²⁴. 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.

The Consultants' Team

²⁴ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

- For this evaluation, an independent consultant(s) will be hired. The following expertise and experience is required:
 - a. Evaluation of environmental projects
 - b. Expertise in Institutional and environmental policy Analysis (at least 10 years experience).
 - c. A higher degree in Economics
 - d. Knowledge of the countries to be evaluated is preferred.
- The **Consultant** will be responsible for 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 undersigning the service contract with UNEP/UNON, the consultant certifies 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.*

Evaluation Deliverables and Review Procedures

- The Consultant will prepare an **inception report** containing a thorough review of the project design quality and the evaluation framework. The review of design quality will cover the following aspects:
 - Project relevance (see paragraph 20 (b));
 - A desk-based Theory of Change of the project (see Annex 8 - ROTI analysis);
 - Sustainability consideration (see paragraphs 21-22) and measures planned to promote replication and upscaling (see paragraph 23);
 - Preparation and readiness (see paragraph 25);
 - Financial planning (see paragraph 30);
 - M&E design (see paragraph 33(a));
 - Complementarities with UNEP strategies and programmes (see paragraph 34);
 - Using the above, complete and assessment of the overall quality of the project design (see Annex 7)

The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The inception report will be submitted for review by the Evaluation Office before the evaluation team conducts any field visits.

- **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 5. 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.

- **Review of the draft evaluation report.** The Team Leader will submit the zero draft report latest by **March 2nd 2012** 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 Division of Environmental Policy Implementation. They will forward the first draft report to the other project stakeholders, in particular, GOSS and NERI, 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.
- Consultations will be held between the consultant, EO staff, UNEP/DEPI and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.
- **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.: (+254-20) 762 3387)
Email: Segbedzi.Norgbey@unep.org

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

Pushpam Kumar, Chief
Ecosystem Services Economics Unit
UNEP/DEPI
P.O. Box 30552-00100
Nairobi, Kenya
Tel: (+254 20 762 6710)
Email: pushpam.kumar@unep.org

- 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.
- 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 UNEP criteria as presented in Annex 9.
- 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. Resources and Schedule of the Evaluation
- This Terminal Evaluation will be undertaken by an independent evaluation consultants 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 Project Manager and regional and national project staff will provide logistical support (introductions, meetings, transport, lodging etc.) for the country visits where necessary, allowing the consultants to conduct the evaluation as efficiently and independently as possible.
- The **Consultant** will be hired for 29 days between January 9th and April 13th 2012. She will travel to Lao, Kenya and Southern Sudan

Schedule Of Payment

Lump Sum.

- The consultant will be hired under an individual Special Service Agreement (SSA). The fee will be estimated as a lumpsum, inclusive of all expenses such as travel, accommodation and incidental expenses.
- The consultants will receive an initial payment covering the travel costs upon signature of the contract.
- The Team Leader will receive 40% of the honorarium portion of his/her fee upon acceptance of a draft report deemed complete and of acceptable quality by the EO. The remainder will be paid upon satisfactory completion of the work.
- In case the consultants are not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.
- If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

ANNEX 1: LOGICAL FRAMEWORK

Intervention logic	Indicators	Means of verification	Risks/Assumptions
Objective: To strengthen the capacity at the national and local level on mainstreaming MEA objectives into MDGs and national poverty reduction strategies			
Expected accomplishment 1: Improved capacities at the national level in mainstreaming MEA and/or environmental obligations within national sustainable development plans and poverty reduction strategies	<ul style="list-style-type: none"> - Increased number of national and local level planning personnel able to carry out integrated assessments linking ecosystem services, natural capital, economic development and MDGs. - Increased number of reference to MEAs and/or environmental issues in national sustainable plans and poverty reduction strategies. 	<ul style="list-style-type: none"> - Review of the reports of workshops held in Sudan and Lao PDR, indicating the number of participants trained on methodologies of integrated assessments, and follow-up questionnaires on application of skills of workshop participants - Review of national development plans and poverty reduction strategies in Sudan and Lao PDR as well as scientific literature 	<ul style="list-style-type: none"> - Political situation remains relatively stable - Continued commitment and support of government and other stakeholders involved in the project
Activity 1: Revising and adapting existing training modules on integrated assessments and the development of mainstreaming instruments within national sustainable development plans and poverty reduction strategies taking into account local socio-economic, political and cultural conditions			
Activity 2: Organizing two training workshops for staff from environment ministry, planning ministry, academics, and NGO's among others in Sudan and Lao PDR, to enhance their capacities in mainstreaming MEA and/or environmental obligations into broader development frameworks.			
Activity 3: Forming a national network of experts and organizing a regional workshop to share and learn from each other's experience			
Expected accomplishment 2: Improved understanding of policy makers who are involved in the	<ul style="list-style-type: none"> - Increased number of references of links between ecosystem services and MDGs in MEA COP and/or 	<ul style="list-style-type: none"> - Review of MEA COP and/or environmental policy documents 	<ul style="list-style-type: none"> - Technical expertise for undertaking integrated assessments available

implementation of MEA and/or environmental objectives and poverty reduction strategies on the links among ecosystem services, natural capital, economic development and human development, and their importance for achieving the MEA and/or environmental obligations	environmental policy documents. - Increased number of reference of links between ecosystem services and MDGs in macroeconomic planning frameworks.	- Review of macroeconomic planning documents of pilot countries	- Political situation remains relatively stable - Continued commitment and support of government and other stakeholders involved in the project
Activity 4: Undertaking case studies whereby learning by doing exercise is carried out in integrated assessment and the development of mainstreaming instruments			
Expected accomplishment 3: Improved awareness of policy makers on the MA and its recommendations for effective environmental and development policy making, and their capacities to integrate them into actual policy making processes	- Increased number of the MA policy recommendations being adopted by policy makers at the national level in their environmental and development policy making processes.	- Pre and post project evaluation - Questionnaire survey targeting selected countries and participants of outreach events	- Opportunities exist to disseminate materials in various fora - Continued commitment and support of government and other stakeholders
Activity 5: Based on the outcomes of activity 1 to 4, series of publications, including training modules, case study reports, brochures and a document of policy recommendations will be developed to be used for wider dissemination of knowledge generated through the project			
Activity 6: Organizing outreach activities to disseminate widely the knowledge accumulated and lessons learnt through integrated assessments, as well as integrated strategies and action plans on mainstreaming MEA and/or environmental objectives developed in the two pilot countries.			

ANNEX 2: RESULT BASED BUDGET

Expected accomplishment	Main activities	Budget lines	Amount (USD)
EA1: Improved capacities at the national level in mainstreaming MEA and/or environmental obligations within national sustainable development plans and poverty reduction strategies	A1: Revising and adapting existing training modules on integrated assessments and the development of mainstreaming instruments within national sustainable and poverty reduction strategies taking into account local socio-economic, political and cultural conditions.	612 (contractual services)	30,
		<i>Sub-total for A1</i>	30,
	A2: Organizing two training workshops for staff from environment ministry, planning ministry, academics, and NGO's among others in Sudan and Lao PDR, to enhance their capacities in mainstreaming MEA and/or environmental obligations into broader development frameworks.	604/0111 (2 intl cons.)	6,
		604/2601 (intl cons. travel)	6,
		604/2601 (nat. cons. travel)	3,
		604/0140 (4 nat. cons.)	6,
		608 (UNEP travel)	6,
		621/7202 (workshops x 4)	60,
		<i>Subtotal for A 2</i>	88,
	A3: Forming a national network of experts and organizing a regional workshop to share and learn from each other's experience	604/0111 (2 intl cons.)	10,
		604/2601 (intl cons. travel)	4,
		604/2601 (nat. cons. travel)	3
		604/0140 (4 nat. cons.)	6,

		608 (UNEP travel)	10,
		621/7202 (workshop x 1)	30,
		<i>Subtotal for A 3</i>	<i>64,</i>
EA2: Improved understanding of policy makers who are involved in the implementation of MEA and/or environmental objectives and poverty reduction strategies on the links among ecosystem services, natural capital, economic development and human development, and their importance for	A4: Undertaking case studies whereby learning by doing exercise is carried out in integrated assessment and the development of mainstreaming instruments	621/7202 (case study x 2)	205,
		604/0140 (4 nat. cons.)	20,
		604/2601 (nat. cons. travel)	4,
		608 (UNEP travel)	12,
		<i>Subtotal for A 4</i>	<i>242,</i>
EA3: Improved awareness of policy makers on the MA and its recommendations for effective environmental and development policy making, and their capacities to integrate them into actual policy making processes	A5: Based on the outcomes of activity 1 to 4, series of publications, including training modules, case study reports, brochures and a document of policy recommendations will be developed to be used for wider dissemination of knowledge generated through the project	616 (Operat. Expenses)	10,
		604/0140 (4 nat. cons.)	6,
		604/2601 (nat. cons. travel)	3,
		<i>Subtotal for A 5</i>	<i>20,</i>
	A6: Organizing outreach activities to disseminate widely the knowledge accumulated and lessons learnt through integrated assessments, as well as integrated strategies and action plans on mainstreaming MEA and/or environmental objectives developed in the two pilot countries.	604/0140 (nat. cons.)	3,
		604/0111 (intl cons.)	3,

		604/2601 (intl cons. travel) 604/2601 (nat. cons. travel) 621/7203 (2 national outreach events and 1 int'l outreach event) 608 (UNEP travel) <i>Subtotal for A 6</i>	1, 1, 36, 12, 57,
Others	Forming an international expert group which oversees the project implementation and ensures the quality of the output, and further supports the build up of national expert groups throughout the project by providing technical expertise and mentoring	604/0111 (2 intl cons.) 604/0111 (6 intl experts) 604/2601 (intl cons.travel) 608 (UNEP travel) <i>Subtotal</i>	3, 32, 1, 6, 42,
Project support and administration		602 (GTA)	100
External evaluation		604 (intl cons.)	13
Total			661,

Annex 3. Documentation list for the evaluation to be provided by the UNEP Project Manager

- Project design documents
- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Extension documentation.
- Project revision documentation.
- Budget revision documentation.
- Project Terminal Report (draft if final version not available)

Annex 4 – Matrix for Distribution of responsibilities and tasks among evaluation consultants

L: Lead assessor

S: Support in data collection and analysis

Evaluation Criteria		Team Leader	Supporting Consultant 1	Supporting Consultant 2
Attainment of Objectives and Planned Results	Achievement of Outputs and Activities	See table below		
	Relevance			
	Effectiveness			
	<ul style="list-style-type: none"> Achievement of main objective 			
	<ul style="list-style-type: none"> Achievement of component objectives: 			
	a. Component I			
	b. Component II			
	c. Component III			
	Efficiency			
	Review of Outcomes to Impacts (ROtI)			
Sustainability and catalytic role	Socio-political sustainability			
	Financial resources			
	Institutional framework			
	Environmental sustainability			
	Catalytic Role and Replication			
Processes affecting attainment of project results	Preparation and Readiness			
	Implementation Approach and Adaptive Management			
	Stakeholder Participation and Public Awareness			
	Country Ownership and Driven-ness			
	Financial Planning and Management			
	UNEP Supervision and Backstopping			
	Monitoring and Evaluation			
Complementarities with the UNEP	Linkage to UNEP's EAs and POW 2010-2011			

Medium Term Strategy and Programme of Work	Alignment with the Bali Strategic Plan (BSP)			
	South-South Cooperation			

	Achievement of Outputs and Activities	Team Leader	Supporting Consultant 1	Supporting Consultant 2
<u>Component I</u>	Activity 1: Revising and adapting existing training modules on integrated assessments and the development of mainstreaming instruments within national sustainable development plans and poverty reduction strategies taking into account local socio-economic, political and cultural conditions.			
	Activity 2: Organizing two training workshops for staff from environment ministry, planning ministry, academics, and NGO's among others in Sudan and Lao PDR, to enhance their capacities in mainstreaming MEA and/or environmental obligations into broader development frameworks.			
	Activity 3: Forming a national network of experts and organizing a regional workshop to share and learn from each other's experience			
<u>Component II</u>	Activity 4: Undertaking case studies whereby learning by doing exercise is carried out in integrated assessment and the development of mainstreaming instruments			
	Activity 4: Undertaking case studies whereby learning by doing exercise is carried out in integrated assessment and the development of mainstreaming instruments			
<u>Component III</u>	Activity 5: Based on the outcomes of activity 1 to 4, series of publications, including training modules, case study reports, brochures and a document of policy recommendations will be developed to be used for wider dissemination of knowledge generated through the project.			

	Activity 6: Organizing outreach activities to disseminate widely the knowledge accumulated and lessons learnt through integrated assessments, as well as integrated strategies and action plans on mainstreaming MEA and/or environmental objectives developed in the two pilot countries.			
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Annex 5. Annotated Table of Contents of the Main Evaluation Report

Project Identification Table	An updated version of the table in Section I.A. of these TORs
Executive Summary	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table), as well as the most important lessons and recommendations. Maximum 4 pages.
I. Evaluation Background	
A. Context	A. Overview of the broader institutional and country context, in relation to the project's objectives.
B. The Project	B. Presentation of the project: rationale, objectives, components, intervention areas and target groups, milestones in design, implementation and completion, implementation arrangements and main partners, financing (amounts and sources), modifications to design before or during implementation.
C. Evaluation objectives, scope and methodology	C. Presentation of the evaluation's purpose, evaluation criteria and key questions, evaluation timeframe, data collection and analysis instruments used, places visited, types of stakeholders interviewed, and limitations of the evaluation.
II. Project Performance and Impact	
A. Attainment of objectives and planned results B. Sustainability and catalytic role C. Processes affecting attainment of project results D. Complementarity with UNEP programmes and strategies	This section is organized according to the 4 categories of evaluation criteria (see section D of these TORs) and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.
III. Conclusions and Recommendations	
A. Conclusions	This section should summarize the main findings of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with the overall assessment of the project. Findings should be cross-referenced to the main text of the report (using the paragraph

	numbering). The overall ratings table should be inserted here (see Annex 2).
B. Lessons Learned	Lessons learned should be anchored in the main findings of the evaluation. In fact, no lessons should appear which are not based upon a conclusion of the evaluation. The number of lessons learned should be limited. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing, and their number should be limited to 3 or 4. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyze the pros and cons of each option.
Annexes	<p>These may include additional material deemed relevant by the evaluator but must include:</p> <ol style="list-style-type: none"> 1. Evaluation TORs 2. The evaluation framework (second part of the inception report) 3. Evaluation program, containing the names of locations visited and the names (or functions) of people met 4. Bibliography 5. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs) 6. The review of project design (first part of the inception report) 7. Technical working paper 8. Brief CVs of the consultants <p>TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.</p>

Examples of UNEP Terminal Evaluation Reports are available at www.unep.org/eou.

Annex 6: Evaluation Ratings

The evaluation will provide individual ratings for the evaluation criteria described in section II.D. of these TORs. Some criteria contain sub-criteria which require separate ratings (i.e. sustainability and M&E). Furthermore, an aggregated rating will be provided for Relevance, effectiveness and efficiency under the category “Attainment of project objectives and results”.

Most criteria will be 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).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report. Please note that the order of the evaluation criteria in the table will be slightly different from the order these are treated in the main report; this is to facilitate comparison and aggregation of ratings across UNEP project evaluation reports.

Criterion	Summary Assessment	Rating
A. Attainment of project objectives and results		HS → HU
1. Effectiveness		HS → HU
2. Relevance		HS → HU
3. Efficiency		HS → HU
B. Sustainability of project outcomes		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
C. Catalytic role		HS → HU
D. Stakeholders involvement		HS → HU
E. Country ownership / driven-ness		HS → HU
F. Achievement of outputs and activities		HS → HU
G. Preparation and readiness		HS → HU
H. Implementation approach		HS → HU
I. Financial planning and management		HS → HU
J. Monitoring and Evaluation		HS → HU
1. M&E Design		HS → HU

Criterion	Summary Assessment	Rating
2. M&E Plan Implementation		HS → HU
3. Budgeting and funding for M&E activities		HS → HU
K. UNEP Supervision and backstopping		HS → 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 UNEP 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.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

Annex 6 Quality Assessment of the Evaluation Report

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

Report Quality Criteria	UNEP EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
UNEP additional Report Quality Criteria		
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		
Quality = (2*(0.3*(A + B) + 0.1*(C+D+E+F))+ 0.3*(G + H) + 0.1*(I+J+K+L))/3		

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of Terminal Evaluation reports: A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

Annex 7 Template for the assessment of the Quality of Project Design – UNEP Evaluation Office September 2011

Relevance		Evaluation Comments	Ref in document.
Are the intended results likely to contribute to UNEP's Expected Accomplishments and programmatic objectives?			
Does the project form a coherent part of a UNEP-approved programme framework?			
Is there complementarity with other UNEP projects, planned and ongoing?			
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?		
	ii) the UNEP mandate and policies at the time of design and implementation?		
	iv) Stakeholder priorities and needs?		
Overall rating for Relevance			
Intended Results and Causality			
Are the objectives realistic?			
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?			
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?			
Are the activities designed within the project likely to produce their intended results			
Are activities appropriate to produce outputs?			
Are activities appropriate to drive change along the intended causal pathway(s)			

Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?		
Overall rating for Intended Results and causality		
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?		
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?		
Overall rating for Efficiency		
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?		
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?		
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?		
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?		
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?		

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?			
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches showcased by the demonstration projects;		
	ii) strategic programmes and plans developed		
	iii) assessment, monitoring and management systems established at a national and sub-regional level		
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 mainstreaming of project-piloted approaches in any regional or national demonstration projects]			
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?			
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments or other donors?			
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)?			
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?			
Overall rating for Sustainability / Replication and Catalytic effects			
Risk identification and Social Safeguards			
Are critical risks appropriately addressed?			

Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?		
Are potentially negative environmental, economic and social impacts of projects identified		
Overall rating for Risk identification and Social Safeguards		
Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?		
Are roles and responsibilities clearly defined?		
Are supervision / oversight arrangements clear and appropriate?		
Overall rating for Governance and Supervision Arrangements		
Management, Execution and Partnership Arrangements		
Have the capacities of partner been adequately assessed?		
Are the execution arrangements clear?		
Are the roles and responsibilities of internal and external partners properly specified?		
Overall rating for Management, Execution and Partnership Arrangements		
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning		
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential		
Financial and administrative arrangements including flows of funds are clearly described		
Overall rating for Financial Planning / budgeting		

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 		
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?		
Is there baseline information in relation to key performance indicators?		
Has the method for the baseline data collection been explained?		
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??		
Has the time frame for monitoring activities been specified?		
Are the organisational arrangements for project level progress monitoring clearly specified		
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?		
Overall, is the approach to monitoring progress and performance within the project adequate?		
Overall rating for Monitoring		
Evaluation		
Is there an adequate plan for evaluation?		
Has the time frame for Evaluation activities been specified?		
Is there an explicit budget provision for terminal evaluation?		

Is the budget sufficient?		
Overall rating for Evaluation		

Annex 8. Introduction to Theory of Change / Impact pathways, the ROTl Method and the ROTl Results Score sheet

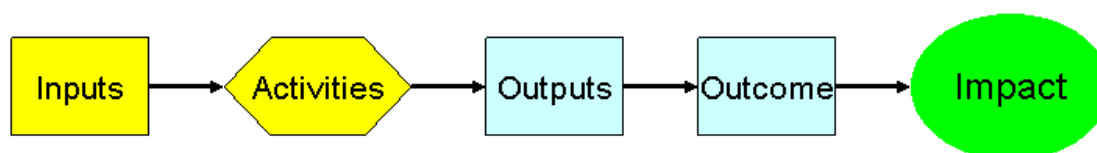
Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

Theory of Change (ToC) / impact pathways

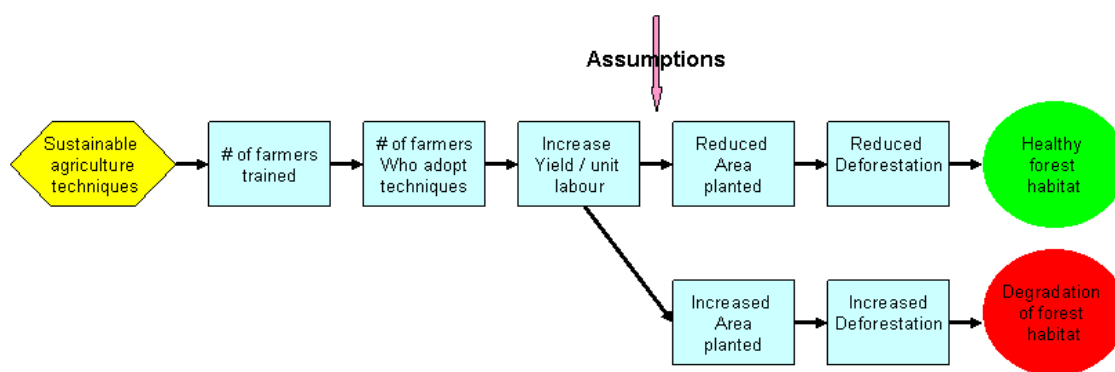
Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)²⁵ and has three distinct stages:

- a. Identifying the project's intended impacts
- b. Review of the project's logical framework
- c. Analysis and modelling of the project's outcomes-impact pathways

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method²⁶. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure 3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of**

²⁵ GEF Evaluation Office (2009).ROtI: Review of Outcomes to Impacts Practitioners Handbook.

http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf

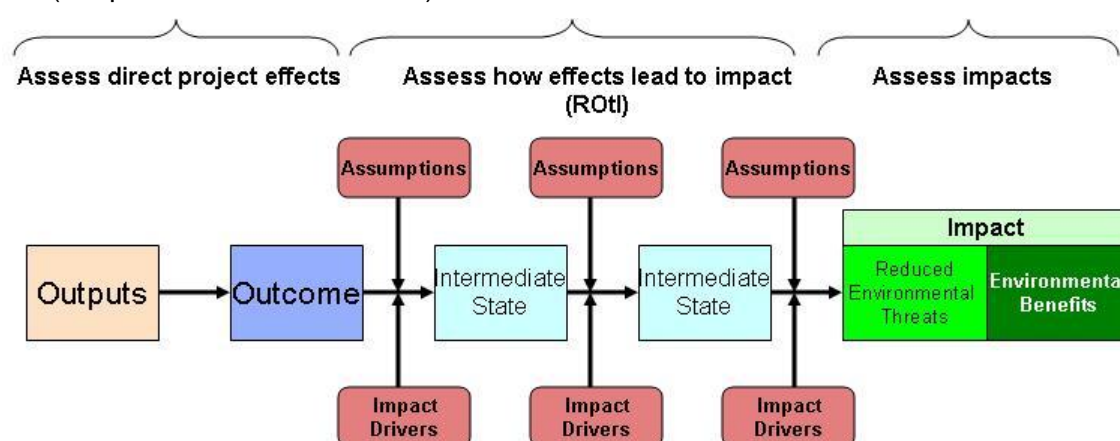
²⁶ Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

the project / project partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the project.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

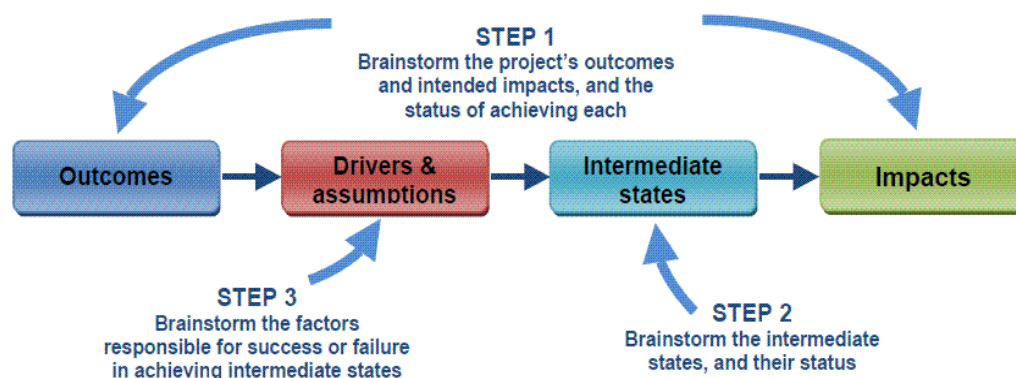
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each 'step' in the impact pathway.

Figure 3.A schematic 'impact pathway' showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009).



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project's theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the project is complete the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The ROTI method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According the GEF guidance on the method; *“The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.”* For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

Table 1. Rating scale for outcomes and progress towards ‘intermediate states’

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a '+' notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Table 2. Shows how the ratings for 'achievement of outcomes' and 'progress towards intermediate states translate to ratings for the 'Overall likelihood of impact achievement' on a six point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

In addition, projects that achieve documented changes in environmental status during the project's lifetime receive a positive impact rating, indicated by a "+". The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROTI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the 'results metrics' for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Results rating of project entitled:							
		Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediary		Impact (GEBs)		
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	Rating justification:		Rating justification:		Rating justification:		

Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites

developed, and many others. Outputs reflect where and for what project funds were used. These were not rated: projects generally succeed in spending their funding.

Outcomes, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they have gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

Examples

Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved. People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score – D)

Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

Outcomes plus explicit linkages forward. Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

Intermediary stages:

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

“Outcomes” scored C or D. If the outcomes above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. **(Score = D)**

The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist. In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. **(Score = C)**

Barriers and assumptions are successfully addressed. Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

Scaling up and out over time is possible. Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

Impact: Actual changes in environmental status

“Intermediary stages” scored B to A.

Measurable impacts achieved at a globally significant level within the project life-span. . (Score = ‘+’)

Annex 9. Quality Assessment of the Evaluation Report

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the		

project M&E system and its use for project management?		
UNEP additional Report Quality Criteria		
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

$$\text{Quality} = (2 \times (0.3 \times (A + B) + 0.1 \times (C + D + E + F)) + 0.3 \times (G + H) + 0.1 \times (I + J + K + L)) / 3$$

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of Terminal Evaluation reports: A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

**ANNEX 9. LIST OF INTENDED ADDITIONAL RECIPIENTS OF THE FINAL EVALUATION
(to be completed by the IA Task Manager)**

Name	Affiliation	Email
Government Officials		
Executing Agencies		
Vichit Sayavongkhamdy – LOA PDR	UNDP	Vichit.Sayavongkhamdy@undp.org
Joseph Bartel – South Sudan	UNEP	Joseph BARTEL/UNEP/GVA/UNO@UNGVA,
Implementing Agency		
Rashid Hassan	Centre for Environmental Economics and Policy in Africa -CEEPA	rashid.hassan@up.ac.za
Pauline Gerrard	International Institute for Sustainable Development IISD	pgerrard@iisd.ca

4.2 Annex 2: The Evaluation Framework

The TOR cites three specific questions to be addressed by the evaluation as presented below. Additional questions pertinent to answering and elaborating on these 3 high level questions have been identified based on a review of available project documents.

- Did the project improve capacities at the national level in mainstreaming MEA and/or environmental obligations within national sustainable development plans and poverty reduction strategies?
 - Number of workshops held, number of personnel trained and their background
 - Level of training achieved and degree to which independent assessments could be undertaken in the future.
 - Evidence that training has resulted in some new behaviour.
 - Key achievements and challenges faced
 - Activity 1 – Revising and adapting existing training modules – who was responsible for this activity and were the outputs provide in a timely manner and useful?
- Did the project improve the understanding of policy makers who are involved in the implementation of MEA and/or environmental objectives and poverty reduction strategies on the links among ecosystem services, natural capital, economic development and human development, and their importance for achieving the MEA and/or environmental obligations?
 - How has the project engaged with policy makers, and how diverse has this been?
 - What level of understanding has been achieved?
 - What is covered by the research study and what is the quality of the analysis? To what extent has the ecosystem services approach been applied?
 - How reliable are the economic findings?
 - What have been the challenges in implementing the research study?
 - What are the priority areas for future work to improve the evidence base? (data gaps, capacity etc)
 - Are any follow up economic studies planned?
 - Is there an increased understanding of the Millennium Ecosystem Assessment?
 - To what extent have the Expert Groups in Lao PDR and Sudan communicated?
 - Lao PDR specific questions
 - How was the case study defined? IN the Annual Work Plan Plus 2010 there is an expectation that the focus will be on key watersheds, forest conversion for agriculture, hydro-power electricity?

- Specific questions/issues related to research study: Sampling & aggregation; clarify Ten Seed technique; distinction between household survey and participatory assessment; clarify link between results and policy recommendations.
 - The regulating services do not appear to have been covered, is this correct and if so what are the reasons for this?
- South Sudan specific questions
 - Clarify status of economic study, approach and timeframe for completion
- Did the project Improve awareness of policy makers on the MA and its recommendations for effective environmental and development policy making, and their capacities to integrate them into actual policy making processes?
 - What actions were undertaken to improve awareness of policy makers?
 - What outreach materials have been produced (e.g. training modules, case study reports, brouchers, policy recommendations)?
 - Have the results of the Case Study been presented nationally?
 - What evidence is there that the actions of policy makers has changed as a result of the project
 - Who has been targeted and what more needs to be done to raise awareness?

Additional Questions

- To what extent has the project facilitated the implementation of MEAs, or could do so in the future?
- Were links to the MEAs part of project implementation?
- Has any work been done on payments for ecosystem services and if not what scope is there for development PES initiatives?
- Confirm Governance structure for the project (there was no project board)?

Key data sources for the assessment will include Annual Work Plans and quarterly reviews for the projects, project reports and stakeholder consultation

Evaluation question per evaluation criteria are presented in Table 4, based on the TOR and background available on the project.

Table 4. Key Evaluation Questions

Criterion	Key Questions / Analysis
Attainment of Project Objectives and Planned Results	
A. 1. Effectiveness- overall likelihood of impact achievement (ROtl rating)	<p>An assessment of each project component will be undertaken, with particular attention paid to execution of the demonstration projects.</p> <p>Did the project achieve its main objective to strengthen the capacity to mainstream MEA objectives into MDGs national poverty reduction strategies?</p> <p>What were the key overall challenges to fulfilling the project's overall objective?</p>
A. 2. Relevance	<p>Verify with stakeholders the relevance of the project to achievement of MEAs / environmental objectives</p> <p>Were the project's objectives and implementation strategies consistent with: (a) Sub-regional environmental issues and needs? (b) the UNEP mandate and policies at time of design and implementation ?</p>
A. 3. Efficiency	<p>Were there any cost or time saving measures adopted by the project?</p> <p>How have delays affected project execution?</p> <p>What efforts were made 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?</p>
Sustainability & Catalytic Role	
B. 1. Financial	<p>To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support?</p> <p>What is the likelihood that adequate financial resources will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?</p> <p>Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?</p>
B. 2. Socio Political	<p>Are there any social or political factors that may influence the sustenance of project results and progress towards impacts?</p> <p>Is the level of ownership by the main national and provincial stakeholders sufficient to allow the project results to be sustained?</p> <p>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?</p>
B. 3. Institutional framework	<p>How robust are the required institutional frameworks and government structures and process, policies, sub-regional agreements, legal and accounting frameworks?</p>

Criterion	Key Questions / Analysis
	<p>Who are the key focal points in Government and how committed are they to the work?</p> <p>How sustainable are the Expert groups that have been developed?</p>
B. 4. Environmental	<p>Are there any environmental factors, positive or negative, that can influence the future flow of project benefits?</p> <p>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>
C. Catalytic Role & Replication	<p><i>To what extent has the project:</i></p> <p><i>catalyzed behavioural changes</i> 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;</p> <p>provided <i>incentives</i> (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;</p> <p>contributed to <i>institutional changes by encouraging</i> institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;</p> <p>contributed to <i>policy changes</i> (on paper and in implementation of policy);</p> <p>contributed to sustained follow-on financing (<i>catalytic financing</i>) from Governments or other donors;</p> <p>created opportunities for particular individuals or institutions (<i>"champions"</i>) to catalyze change (without which the project would not have achieved all of its results).</p> <p>Has the project taken steps to promote replication of the project</p> <p>Is replication of the project feasible and what are the key factors that may influence replication and scaling up of project experiences and lessons?</p>
Processes affecting attainment of project results	
D. Stakeholder Participation/ Public Awareness	<p>How were stakeholders engaged in project design and implementation and were the approaches adopted appropriate given the project's objectives and the motivation and capabilities of stakeholders?</p> <p>Who did the project collaborate and interact with during its implementation?</p> <p>How effective were the public awareness activities?</p> <p>Were the awareness activities appropriately targeted at stakeholders engaged in the development of MDGs and national poverty reduction strategies?</p>
E. Country Ownership/	<p>Has Government assumed responsibility for the project and provided adequate support to project execution (including degree of co-</p>

Criterion	Key Questions / Analysis
Drivenness	<p>operation and the timeliness of provision of counter-part funds)?</p> <p>How conducive is the political and institutional framework of the participating countries to project performance, in particular the political commitment to enforce (sub-) regional agreements promoted under the project?</p> <p>To what extent have Governments promoted the participation of communities and their non-governmental organisations in the project?</p>
F. Achievement of Outputs and Activities	Assess output of each activity and quality and timeliness of its delivery
G. Preparation and Readiness (Cross ref to Table 3)	<p>Were the project's objectives and components clear, practicable and feasible within its timeframe?</p> <p>Were the capacities of executing agencies properly considered when the project was designed?</p> <p>Was the project document clear and realistic to enable effective and efficient implementation?</p> <p>Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation?</p> <p>Were counterpart resources (funding, staff, and facilities) and enabling legislation assured?</p> <p>Were adequate project management arrangements in place?</p> <p>Were lessons from other relevant projects properly incorporated in the project design?</p> <p>Were lessons learned and recommendations from project reviews and monitoring activities adequately integrated in the project approach?</p> <p>What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.?</p>
H. Implementation Approach and Adaptive Management	<p>To what extent were the project implementation mechanisms outlined in the project document followed and were they effective in delivering project outputs and outcomes? Were pertinent adaptations made to the approaches originally proposed?</p> <p>How effective and efficient was the project management and how well was management was able to adapt to changes during the life of the project?</p> <p>Did project management respond to direction and guidance provided by IA supervision recommendations?</p> <p>What administrative, operational and/or technical problems and constraints influenced the effective implementation of the project, and how did project partners try to overcome these problems?</p>
I. Monitoring and Evaluation	

Criterion	Key Questions / Analysis
I. 1. M&E Design	<p>Quality of the project log frame as a planning and monitoring instrument</p> <p>SMART-ness of indicators: Are there specific indicators in the log frame for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?</p> <p>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?</p> <p>Were 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? How were project users involved in monitoring?</p> <p>Were specific targets 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?</p>
I. 2. M&E Plan Implementation	<p>Were annual project reports and Progress Implementation Review (PIR) reports complete, accurate and with well justified ratings;</p> <p>Was the information provided by the M&E system used during the project to improve project performance and to adapt to changing needs?</p> <p>Did the project have an M&E system in place with proper training, instruments and resources for parties responsible for M&E?</p>
I. 3. Budgeting and Funding for M&E activities	<p>Was support for M&E budgeted adequately and funded in a timely fashion during implementation?</p>
J. Financial Planning and Control	<p>Were sufficient and timely financial resources were available to the project and its partners, supported by the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting?</p> <p>Did recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. influence project performance?</p> <p>Did co-financing materialized as expected at project approval (may not be relevant)? <i>[Provide breakdown of final actual costs and co-financing for the different project components].</i></p> <p>Did the project leverage any additional resources since inception? If so, how have these resources contributed to the project's ultimate objective?</p> <p><i>[Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by UNEP and the executing partner (s) to prevent such irregularities in the future. Were the measures taken were adequate].</i></p>
K. UNEP Supervision	<p>What emphasis was given to outcome monitoring (results-based</p>

Criterion	Key Questions / Analysis
and Backstopping (i.e. the adequacy of project supervision plans, inputs and processes)	<p>project management)?</p> <p>Was project reporting and ratings realistic and candid (i.e. are PIR ratings an accurate reflection of the project realities and risks)?</p> <p>Was the document of project supervision activities of good quality?</p> <p>Asses financial, administrative and other fiduciary aspects of project implementation supervision.</p>

4.3 Annex 3: Evaluation program

Meetings Lao PDR

Name	Organization
Mr.SouphithDarachanthala,	Project Manager and PEI-NERI team
Ms.Viengsavanh SOULIYA	Research Assistant National Economics Research Institute Ministry of Planning and Investment
Mr.Bounmy SOUTPHILA	Research Assistant National Economics Research Institute Ministry of Planning and Investment
Mr.Bounpakone PHONGPHICHIT	Water Resource and Environment Institute (WREI) Ministry of Natural Resources and Environment. Member of Expert Group
Mr.Ekvinay SAYARAJ	Land and Natural Resources Research and Information Centre (LNRRIC). Ministry of Natural Resources and Environment Member of Expert Group
Andrew Bartlett	NUDP, the Land Issues Working Group
Mr.Houmphaeng	Director, Planning and Investment Department, Oudomxay province
Mr.Onekeo	Deputy Chief of Division, Department of Agriculture and Forest (DAF), Oudomxay province
SisamoutKusonsavat	Head of Statistics Unit, Planning and Investment Department, Hun District, Oudomxay province
Mr PhaybounMounlasing	Deputy Director of Planning and Investment Office, Hun District , Oudomxay province
Mr BounxayBounxu	Director of Agriculture Office, Hun District, Oudomxay province
Mr SantiDuangphouxay	Technical staff, Agricultural Office, Hun District, Oudomxay province
Mr.Bounpan,	Technical staff, Planning and Investment Department, Oudomxay province
Ms.Phanomphone Phomsouvanh	PEI Finance Manager
Mr.Phokong THEPKAYSONE	Director of Division, Co-chair of Expert group. National Economics Research Institute, Ministry of Planning and Investment
Mr.Thanongsai SOUKKHAMTHAT	Deputy Director of Research Division, National Economics Research Institute, Ministry of Planning and Investment
Keota Thamnuvong	Outreach Strategy Consultant, UNDP-PEI NERI
Ms. Grace Wong	PEI STA
Mr.Vichit Sayavongkhamdy	UNDP
Mr. Bruno Cammaert	UNDP
Ms. Silvia Jundt	UNDP-PEI
Dr Vute Wangwacharakul (via skype)	International Consultant

Meetings South Sudan

Name	Organisation
Tom Maisiba	UNEP
Victor Wurda Lo Tambe	Director General of Environmental Affairs, Ministry of Environment
Joseph Lam	Ministry of Environment
Cecilia MoggaKenyi	Ministry of Environment / RSS
AbdallaWani	Ministry of Environment
DorinaKeji	Ministry of Environment
Manila Keji	Ministry of Environment
Isaac Liabwel C. Yol	Undersecretary, Ministry of Water Resources and Irrigation
Thomas Jang Kan	Chief Engineer for Water Resources Management, Ministry of Water Resources and Irrigation
Julius Lajako	Lecturer, University of Juba
Wani James Henry	Natural Resource Officer. FAO
Paul Kerhof	Consultant
Asif Ali Zaidi	Operations Manager, Post Conflict and Disaster Management Branch, UNEP
Robin Bovey	Programme Manager Sudan, UNEP
Brendon Bromwich	Programme Coordinator, Post Conflict and Disaster Management Branch, UNEP

Meetings UNEP Nairobi

Name	Organisation
Harriet Matsaert	Evaluation Unit
Anna Guerranggio	JPO, Evaluation Unit
SoraiyaLadak	Associate Programme Officer, Ecosystem Services Economics Unit
Carlotta Molinero	Project Manager, Ecosystem Services Economics (ESE) Unit, Division of Environmental Policy Implementation
Pushpam Kumar	Chief, Ecosystem Services Economics (ESE) Unit, Division of Environmental Policy Implementation

4.4 Annex 4: Bibliography

General

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Training materials

- Module II: Economic Valuation methodologies for environmental Assessment and Valuation Exercises (255 slides)
- Module 3, Section A – Information Tools and Indicators for Policy Makers
- Module 3 Section B: Accounting for nature and Ecosystem Service Values
- Module 3 Section C: Payment for Ecosystem Services
- Module 3 Section D: Reforming Subsidies
- Module 3 Section E- Assessing Losses through Regulation and Prices
- The Economics of Ecosystem and Biodiversity (TEBB) Definitions
- The Economics of Ecosystems and Biodiversity (TEBB) Framework
- Exercise 1: Question and Description of the CVM data
- Exercise 2: Questions and Description of TCM data.

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4.5 Annex 5: Review of project design

This Annex presents a review of the quality of the project design and is based mainly on a review of the project document.

Background

The project was designed in 2008 motivated by the fact that less than 5% of countries committed to achieve the Millennium Development Goals (MDGs) expected to meet MDG 7 by 2015. Achieving MDG7 with a focus on environmental sustainability is considered to be fundamental for achieving all the MDGs, and in particular MDG1, aiming at eradicating extreme poverty and hunger and MDG 4, targeted at reduced child mortality.

MEAs offer a potentially strong entry point for mainstreaming environmental issues within national planning processes as they share many common goals with MDGs and are legally binding instruments. The project design therefore sought to strengthen the link between ecosystem services (managed under MEAs) and the achievement of MDGs

The project design team recognized the need for efforts related to the MEAs and environmental policies to be more development oriented, by promoting the integration of their objectives within broader development frameworks such as MDGs and poverty reduction strategies, and promoting 'win-win' approaches that support both, development goals and MEA and/or environmental objectives.

A key element in promoting the integration of environmental policies into key development documents was to develop the **evidence base on the economic value of ecosystem services** and thereby dispel the common perception that environmental management / conservation entails a cost burden, rather than potentially representing the long term optimal development option.

The project design team felt that in order to develop this evidence base the capacity of national stakeholders to assess the value of ecosystem services needed to be developed. Capacity development was also needed in the use of market-based instruments such as payments for ecosystem services which could assist the countries to comply with the MEA and/or environmental objectives while contributing also to the achievement of broader development objectives.

The project also sought to address the low level of implementation of MEAs. MEA strategies and action plans developed by Member countries have not been effective in reversing the degradation of environment, mainly because they have not influenced planning in economic sectors due to their lack of integration with other national institutions and planning mechanisms, leading to limited political interest, resources and support for their fulfilment.

The project was designed to be implemented in line with the Global Strategy for Millennium Ecosystem Assessment (MA) follow up, drafted through an inter-divisional task force, which was endorsed by the participation to the MA Partners' Meeting held at Stockholm in October 2007.

The objective of the project was then to promote the integration of MEA and/or environmental objectives into broader development frameworks, in order to facilitate the achievement of the MDGs. The project was designed to focus on the Rio Conventions including the Convention on Biological Diversity (CBD), the United Nations Convention on Combating Desertification (UNCCD), and the United Nations Framework Convention on Climate Change (UNFCCC)

since biodiversity, climate change and desertification issues seemed most pertinent in the countries selected for this project, but also are closely interrelated to each other.

Pre-requisites for achieving this objective are:

- Engagement of economic sectors in the MEA and/or environmental policies' processes to forge links with mainstream development planning, establishing stronger links with sectoral policies and plans to promote greater coherence.
- Development of institutional mechanisms to ensure cross-sectoral cooperation among environment, planning and other sectoral ministries,
- Enhance capacity of national stakeholders to apply various tools and undertake integrated assessments to have sufficient understanding on the economic and social values of ecosystem services and their links with natural capital, economic and human development.

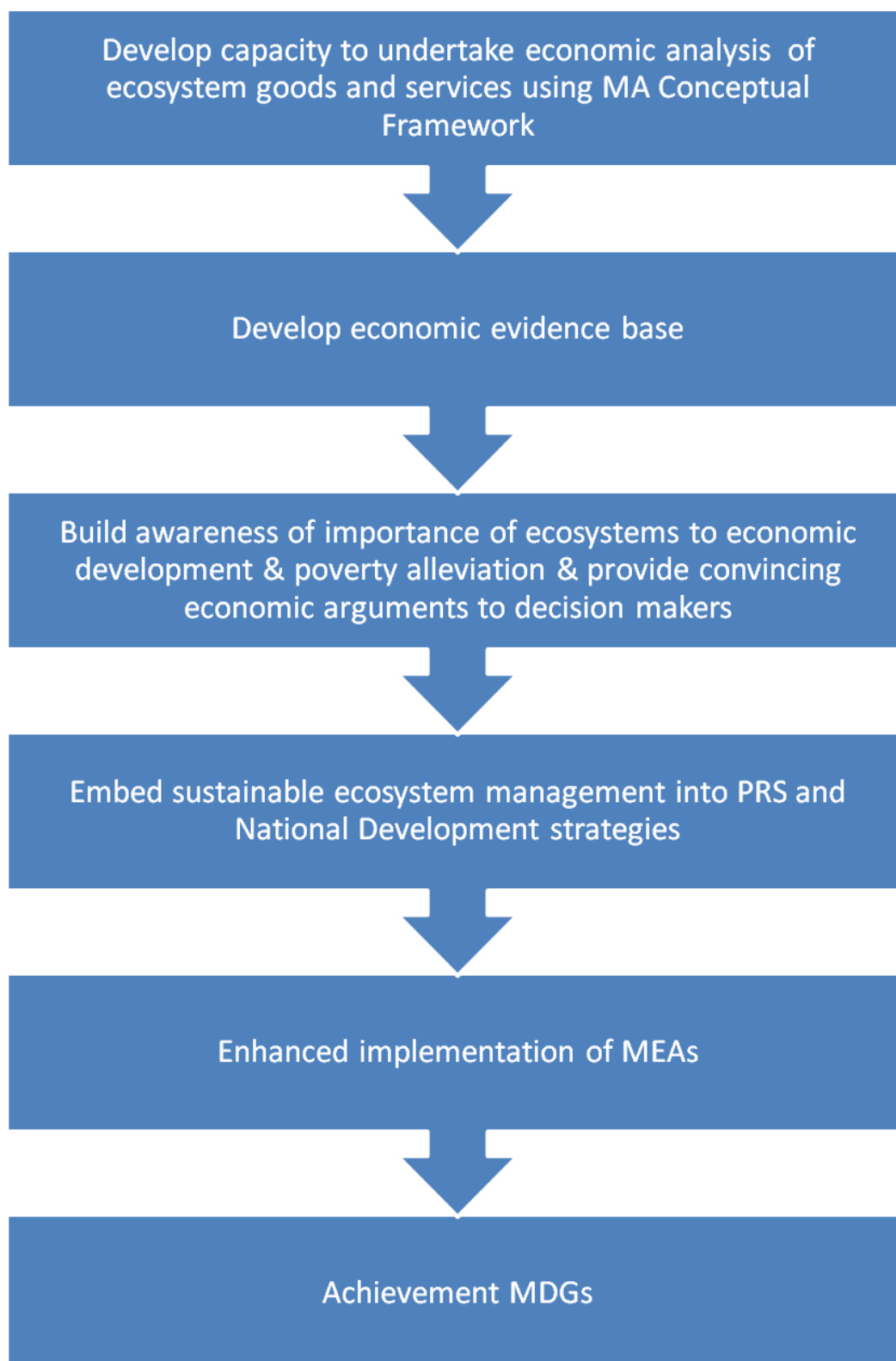
The project design logic is set out in the Figure below.

Southern Sudan was selected in Sub-Saharan Africa. The choice was guided by the findings of the recently concluded Post Conflict Environmental Assessment (PCEA) by UNEP in 2005/2006, and Sudan's interest and commitment to continue efforts on behalf of sustainable use of the environment for development. The project aimed to assist in implementing some of the key recommendations of the PCEA related to ecosystems management, including R10.9 for developing and implementing an integrated management plan for the Sudd wetlands; R9.6 for undertaking an awareness raising programme regarding deforestation at the political level; R9.6 on managing the charcoal trade.

Lao PDR was chosen in South East Asia because of the demand by the Environment Ministry for support in building the knowledge base on the links between ecosystem services and development and to use the information to catalyze greater efforts to comply with the MEAs.

Pilot studies, using integrated assessment methodologies based on the MA, were planned in selected ecological hotspots within the two countries, followed by activities to ensure that the knowledge gained through the integrated assessments feed into processes to implement environmental policies. The studies were to focus on water related ecosystem services in an integrated way. The project was designed to be sustainable through the establishment of focal points within the Ministry of Environment and a national network of experts to provide expertise to ongoing projects funded by the donor community within the two countries.

Figure: The project design logic – steps to facilitating the achievement of MDGs



4.6 Annex 6: Assessment of project design by evaluation criteria

The Table below presents an evaluation of the project design, based on a review of the project document, using the template provided in the Terms of reference.

Table 4. Assessment of the Quality of Project Design

Question		Evaluation Comments	Ref in project document.
Relevance			
Are the intended results likely to contribute to UNEP's Expected Accomplishments and programmatic objectives?		Yes, core features of the project are the valuation of ecosystem services and implementation of MEAs	
Does the project form a coherent part of a UNEP-approved programme framework?		The project relates to UNEP's Programme of Work for the period 2008-2009, in particular Sub-programme 3 on Environmental policy implementation and Subprogramme 2 on Environmental law and conventions	Sec 2.2
Is there complementarity with other UNEP projects, planned and ongoing?		It was anticipated that the project would link with the activities planned under the project on 'Implementing the Millennium Ecosystem Assessment (MA) findings and recommendations funded by the Swedish International Biodiversity Programme 2007-2010	Sec 2.2
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	Yes – the project addresses key environmental concerns in South East Asia and Sub-Saharan Africa.	
	ii) the UNEP mandate and policies at the time of design and implementation?	Yes, it links General Assembly mandate 55/198 (ensuring complementarities among international instruments relating to environment and sustainable development) and a number of Government Council decisions.	Sec 2.2
	iv) Stakeholder priorities and needs?	Yes, a user analysis is provided. In Southern Sudan the project builds on the Sudan Post Conflict Environmental Assessment, which identified in association with the Government, priority needs	Section 3.1
Overall rating for Relevance		HS	

Question	Evaluation Comments	Ref in project document.
Intended Results and Causality		
Are the objectives realistic?	The objectives are considered to be realistic as they are focused on capacity building	
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?	A problem with assessing this is that the project document uses different terminology to the ROTI, and it is not always straightforward to map the two. However, based on the logical framework it has been possible to develop the ROTI analysis as presented in Section 2 of this report.	
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	The project time frame was realistic – 2 years, with a 1 year no cost extension. However given the lack of expertise in environmental economics in the pilot countries, follow on studies are likely to be necessary to further build capacity and the evidence base.	
Are the activities designed within the project likely to produce their intended results	Yes, as set out in the logical framework	Logical framework
Are activities appropriate to produce outputs?	Yes	
Are activities appropriate to drive change along the intended causal pathway(s)	Yes, the emphasis on capacity building and pilot studies based on a 'learning by doing' philosophy should lead to changes in stakeholder behavior	
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	No, this is not specified in the project document	
Overall rating for Intended Results and causality	MS	
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to	Not in the project document	

Question	Evaluation Comments	Ref in project document.
a successful conclusion within its programmed budget and timeframe?		
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?	Yes, for example in Southern Sudan the project builds on the Sudan Post Conflict Environmental Assessment, and in Laos the project builds on a number of projects and initiatives, including the newly established PEI program	Section 2.4
Overall rating for Efficiency	S	
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	There is a strategy for sustaining outcomes, essentially through the expert groups to be established in both countries.	Section 3.1
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?	External factors which may affect the project are discussed in section 6. Risks and Assumptions are also discussed in the logical framework	Section 6 & Logical Framework
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	Post project funding is not discussed	
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	Not identified in project document	
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	These are not described in detail, but the need for strong institutions is recognized and emphasis is placed on the creation of an expert group, made up of representatives from various institution, in the sustainability of project outputs	

Question		Evaluation Comments	Ref in project document.
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?		Key Environmental pressures facing the two study countries are summarized in Section 3.2; environmental degradation enhance the need for economic analysis and institutional strengthening	Section 3.2
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches show-cased by the demonstration projects;	The project intended to use the demonstration projects to catalyze behavioural change through the presentation of evidence on the link between ecosystems and welfare	
	ii) strategic programmes and plans developed	Ultimately the project wishes to influence strategic program and plans, building on the evidence presented through the demonstration studies	
	iii) assessment, monitoring and management systems established at a national and sub-regional level	Not an explicit part of the project	
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 mainstreaming of project-piloted approaches in any regional or national demonstration projects]		The project aims to results in institutional change through awareness building and dissemination of the results of the demonstration project	
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?		This is the ultimate goal of the project.	
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments or other donors?		Not discussed in project document	
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)?		The Expert Group are intended to champion the project	

Question	Evaluation Comments	Ref in project document.
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?	If the project is successfully implemented this could be achieved.	
Overall rating for Sustainability / Replication and Catalytic effects	S	
Risk identification and Social Safeguards		
Are critical risks appropriately addressed?	Risk/Assumptions are included in the Logical Framework, however the distinction between the two is not made and the framework appears to list assumptions only. Inconsistencies partly explained by project document not using same terminology to ROTI framework	
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	They are not explicitly defined in this way, and not all the assumptions made clearly match this definition	
Are potentially negative environmental, economic and social impacts of projects identified	No	
Overall rating for Risk identification and Social Safeguards	MU	
Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?	Implementation arrangements are discussed, but the precise governance structure is not set out	Section 7
Are roles and responsibilities clearly defined?	No	
Are supervision / oversight arrangements clear and appropriate?	Not much detail is provided on this	
Overall rating for Governance and Supervision Arrangements	U	
Management, Execution and Partnership Arrangements		

Question	Evaluation Comments	Ref in project document.
Have the capacities of partner been adequately assessed?	Potential project partners are provide in section 2.4, but there is no formal capability assessment of the proposed partners	Section 2.4 & 7
Are the execution arrangements clear?	No – precise details on this are not provided	Section 7
Are the roles and responsibilities of internal and external partners properly specified?	No – details on this are nor provided	Section 7
Overall rating for Management, Execution and Partnership Arrangements	MU	
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning	Details of the budget are not provide in the project document	
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential	As above	
Financial and administrative arrangements including flows of funds are clearly described	As above	
Overall rating for Financial Planning / budgeting	U	
Monitoring		
<p>Does the logical framework:</p> <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 	<p>The logical framework does not overlay all elements of the Theory of Change – it includes activities (can be linked to output), expected accomplishments (= outcomes), indicators, means of verification and risks and assumptions.</p> <p>Indicators for expected accomplishments 2 and 3 relate to increased number of references in macro planning frameworks, MEAs etc, but these are not considered to be the immediate outcomes of these activities and further Intermediate States will be required to reach this</p>	

Question	Evaluation Comments	Ref in project document.
	desired impact.	
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	See above	
Is there baseline information in relation to key performance indicators?	No	
Has the method for the baseline data collection been explained?	No	
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline?	No	
Has the time frame for monitoring activities been specified?	This is identified in section 5	
Are the organisational arrangements for project level progress monitoring clearly specified	No	
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	Not clear	
Overall, is the approach to monitoring progress and performance within the project adequate?	As stated above the main indicator of success is the increase in number of references to ecosystem services in plans and national strategies, without acknowledgment of the Intermediate States needed to achieve this (i.e. convincing evidence, strong institutions, successful dissemination of research findings)	
Overall rating for Monitoring	U	
Evaluation		
Is there an adequate plan for evaluation?	A high level plan is provided in Section 5	Section 5
Has the time frame for Evaluation activities been specified?	Specified in relation to the project outputs	

Question	Evaluation Comments	Ref in project document.
Is there an explicit budget provision for terminal evaluation?	Not clear	
Is the budget sufficient?	Not clear	
Overall rating for Evaluation	MS	

4.7 Annex 7: CV of consultant

Dr Camille Bann

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Email: Camille.bann@envecconsulting.com

Tel: 07553 380163

I am an economist with over twenty years of experience working in the area of environmental policy and regulation. My expertise is in the valuation of natural resources, project and policy appraisal and financing mechanisms. I have worked across a number of policy areas and sectors (e.g. water, climate change, ecosystem services, protected areas, agriculture, forestry, industry) in over 20 countries. Prior to becoming a freelance consultant in June 2009 I was Head of Environmental Economics at Jacobs UK Ltd where I managed a team of nine economists, and led on over 20 projects. Before this I was Principal Economist at the Environment Agency for England and Wales leading on Water Framework Directive economic appraisal. From 1993 to 2003 I worked as a freelance consultant with a focus on South East Asia for range of private, public, academic and third sector clients. I also worked for a number of years for a policy research group – The Centre for Social and Economic Research on the Global Environment at University College London, whose remit covered climate change and biodiversity. I hold a PhD in Economics from University College London.

Experience Record

June 2009- present

Independent Consultant

UNDP-GEF Project 'Improving the Financial Sustainability of the Carpathian System of Protected Areas'. UNDP.PA Ecosystem Valuation Review Expert.

Energy and Agriculture for a Sustainable Future in the Western Balkans. Henrich Boll Stiftung. Peer Reviewer.

Poverty-Environment Initiative of UNDP Communities Programme, Tajikistan. Economic study of land degradation. UNDP. Lead Economist.

Evaluation of the Poverty and Environment Initiative in Lao PDR and recommendations for possible next phase. UNDP. Evaluator.

AMP5 Restoring Sustainable Abstraction Investigations and Environmental Monitoring Program. Seven Trent Water Ltd. Lead economist (ESI Ltd led consortium)

Independent Technical Review of the Strategic Program for Climate Resilience of Mozambique. World Bank. Peer Reviewer

GEF Project Document Formulation for the Government of Malaysia – United Nations Development Programme / Global Environment Facility Funded Project 'Biodiversity Conservation in Multi-Use Forest Landscape in Sabah, Malaysia'. Environmental Economist.

Strengthening Protected Area Network of Turkey: Catalyzing Sustainability of Marine and Coastal Protected Areas. UNDP/GEF. International Environmental Economy and Management Expert

Southern African Development Community (SADC) Groundwater and Drought Management Project: Valuation of Groundwater. World Bank. Lead economist (Atkins /eftec consortium).

Terminal Evaluation of the UNEP GEF project: International Commission on Land Use Change and Ecosystems. United Nations Environment Programme. Lead Evaluator.

Economic Valuation Tools for Wetlands in Nepal. UNDP/GEF. Team Leader.

Preparation of Cambodia's Second National Communication to the UNFCCC. UNDP. Lead Consultant.

Biodiversity and Ecosystem Services: Why these are important for sustained growth and equity in Latin America and the Caribbean. UNDP. Sector Coordinator (Phase II) Agriculture.

Dhaka, Bangladesh, Environment and Water Program Project. The World Bank. Economic and financial analysis of proposed industrial wastewater demonstration project.

Review of Cost-Benefit Analysis and Benefit Valuation. UK Water Industry Research Limited. Member of ettec team (Cascade, ICS Consulting and ettec consortium)

Impact Assessments of Proposed Marine Special Areas of Conservation (SAC) in the UK. Joint Nature Conservation Committee (JNCC). Reviewer for ettec.

Global Environment Facility, Medium-Sized project: Enhancing Coverage & Management Effectiveness of the Subsystem of Forest Protected Areas in Turkey's National System of Protected Areas. United Nations Development Program. Protected Area Sustainable Finance Expert.

Environment Agency Better Regulation Team. Support to the Environment Agency on the economics of Better Regulation.

The Benefits of Inland Waterways Phase 2, IWAC/Defra. Project Director. Testing of benefits assessment guidance developed in Phase 1 on selected case studies.

Thames Weir Environmental Prioritisation – with Jacobs for the Environment Agency

Eastern European/Central Asian Training Workshop on assessing and valuing benefits of protected areas, International Academy for Nature Conservation, Germany/WWF. Seminar on sustainable financing of protected areas.

Sept 2006 to June 2009 Head of Environmental Economics - Jacobs UK Ltd

Selected Project Experience

The Benefits of Inland Waterways- IWAC/Defra. Project Director. Study to identify the range of benefits provided by inland waterways in England and Wales using an Ecosystem Services Approach.

Cost Benefit Analysis of Low Head Hydropower – Environment Agency. Project Director. Development of a framework to be used to assess the viability of low head hydro power schemes in England and Wales.

Provision of advice in relation to the application of Article 4.7 of the Water Framework Directive to RWE npower PLC – RWE npower PLC. Scoping note and advice provided for two potential hydro-electric power sites.

Environmental and Social Costs and Benefits of Demand Management Options – Technical Lead- Thames Water. Development of environmental and social cost benefit estimates of AMP5 leakage reduction and demand management options, and development of the decision making framework for the Water Resource Management Plan.

Impact Assessment of seven draft River Basin Management Plans – Project Director – The Environment Agency. Working with the Environment Agency to deliver the Impact Assessment required for the Draft River Basin Management Plan under the Water Framework Directive.

Assessing the costs of 2007 floods: Implications for Flood Risk Management Appraisal – Lead Economist - The Environment Agency. Review of evidence on the impacts of the 2007 floods so as to identify any gaps or improvements needed in the current PAG appraisal methods used for flood risk management schemes in the light of climate change

Alternative Ways to Allocate Water – Project Director – The Environment Agency. This project identified different options for making water available for abstractors whilst protecting the environment taking into account water availability and climate change. The project involves a review of the pro and cons of the current ‘first come, first served’ system, a review of allocation approaches used in other countries, and recommendations on ideas suitable for England and Wales.

Assessment of the Economic Value of England's Terrestrial Ecosystem Services, Project Director, Defra, Assessment of the total value of England's terrestrial ecosystem services. The study developed a typology of benefits related to ecosystem services and a methodology for combining, aggregating and dis-aggregating different types of values, at different temporal and spatial scales. Forest carbon benefits were considered as part of this project.

Environmental Accounts for Agriculture, Project Director, Defra. Update of the UK environmental accounts for the agricultural sector taking into account both the positive and negative impacts of agriculture on the environment (e.g. impacts to landscapes, biodiversity, water bodies, climate change and air quality considered).. The study considered the conceptual issues around how the estimates are constructed and used and scoped out a time-series methodology.

Expert Witness (Economics) for Environment Agency in Inquiry relating to United Utilities appeal against discharge consents

Environmental and Social Costing for Water Resource Plan – Project Director – A Water Company. Development and application of a screening tool to all ‘schemes’ to be considered as part of the Water Resource Plan. The environmental and social impacts (positive and negative) of the screened water resource schemes were assessed. A wide range of environmental and social impacts are considered within this project including water quantity and quality, recreation, biodiversity, visual impacts, social /public disamenity and climate change.

Review of Natural Resource Values – Project Director - America Samoa Government. A review of the options for using economic natural resource values in policy decisions, planning, enforcement and public education in American Samoa

Penton Hook Landfill Re-Establishment, Lead Economist – The Environment Agency. Assessment of the environmental costs and benefits of the options for rehabilitating Penton Hook Land fill site.

Valuation and optimisation model for PR09. Project Director, a Water Company. Construction of a cost-benefit analysis tool to assess future maintenance and investment work for a water only company. Large regional stated preference surveys of domestic and commercial water customers undertaken to capture their willingness to pay for water service improvements and inform the optimisation model.

PR09 Water Resources Plan Options Appraisal Study. Project Director, a Water Company. Development and application of the Multi-Criteria Analysis (MCA) methodology for the appraisal of approximately 65 options for the water company's Resources Plan with the aim of arriving at a preferred option in economic, environmental and social terms.

The Water Framework Directive Preliminary Cost Effectiveness Analysis (pCEA), Project Manager, The Environment Agency. Project managing the Agency's pCEA project designed to co-ordinate and optimise the Agency's input into the Defra/WAG's national pCEA.

Hinkley A decommissioning end-state option appraisal, Project Director, Nuclear Decommissioning Authority (NDA).Development and application of a multi-criteria option appraisal framework for prioritisation of decommissioning end-state options for Hinkley A facility.

Waterline Economy, EU Interreg project, The Environment Agency. Design and delivery of a two day workshop for the seven countries of the North Sea region. The Workshop developed an approach for identifying and assessing the full range of benefits associated with the Waterline Economy projects.

April 2003-July 2006

Principal Economist at the Environment Agency (EA)

- A specialist on the EC Water Framework Directive (WFD)
- The Agency's lead on the UK Collaborative Research Programme (CRP) on Economics for the WFD, which developed the economic appraisal tools for the Water Framework Directive.
- Responsible for integrating the CRP products into Agency business

- Managed the economics team's work on agricultural issues
- Project managed a number of studies including: two studies designed to set out the business-as-usual baseline for Agriculture for the WFD; a study of non-use valuation, a study on groundwater valuation, and a study of cost-effective options for reducing TBT (a priority hazardous substance).
- Review of non market valuation approaches for water industry price review - PR04

Jan 1995- March 2003

Independent Consultant

2003

International Institute for Environment and Development, London. Reports prepared on markets for environmental services.

2002

ASEAN Regional Centre for Biodiversity Conservation (ARCBC) – Philippines. Lead facilitator at research conference on biodiversity valuation in Manila.

2001

Vietnam-Sweden Mountain Rural Development Project (MRDP) – Ministry of Agriculture and Rural Development. Assessment of the impacts of tree planting activities, carried out under the MRDP project, on local livelihoods in northern Vietnam.

2000

Management of Krau Wildlife Reserve, Capacity Building and Human Resource Development, Kuala Lumpur, Malaysia (DANCED). Preparation of a guide on the economic valuation of protected areas in Malaysia with special emphasis on Krau Wildlife Reserve. Delivery of training workshop on the economic valuation of protected areas and its relevance to management.

Lecturer, University of Sussex. Cost Benefit Analysis and the Environment, MA programme in Environment, Development and Policy

'The Valuation of Biological Diversity for National Biodiversity Strategies and Action Plans'. The United Nations Environment Program (UNEP). Delivery of a one week workshop in Fiji for the Pacific Island countries on the Valuation of Biological Diversity. A Guide for trainers in this area was also prepared.

1999

Development of A Sustainable Integrated Management Plan for the Mangroves of Johor, Malaysia'. Johor State Forestry Department / DARUDEC/DANCED. Responsible for economic valuation studies of the mangroves of Johor to inform the development of an integrated management plan for the area

1998

Lead Consultant, Turkey Forestry Sector Review. Management of the World Bank's Global Environmental Overlay Program (GOP) of Turkey's Forest Sector Review. Responsibilities included: development of methodology for mainstreaming biodiversity conservation and other global environmental objectives into the forestry sector policies and programmes; identification of additional resources/incentives required for local resource managers to conserve globally important biodiversity; development of TORs, budget and workplan for Government counterparts; and development of mechanisms for dissemination of findings.

EEPSEA/SEARCA/EDI-World Bank Regional Training Course in Environmental Economics, Los Banos, Philippines. Resource Person

1977

The Economy and Environment Programme for Southeast Asia (EEPSEA). Cambodia Program

Design and management of two eighteen month policy related research projects: 'An Economic Analysis of Tropical Forest Land Use Options in Ratanakiri Province, Cambodia'; and, 'An Economic Analysis of Alternative Mangrove Management Options in Koh Kong Province, Cambodia'. A parallel objective of the program was to train a team of Cambodian researchers from relevant Government ministries in the economic analysis of natural resources through regular training workshops and research assignments.

Vietnam Research Network in Environmental Economics.EEPSEA/EEU (Environmental Economics Unit, National University of Vietnam).Supervisor for two projects: 'An Economic Analysis of Can Gio Mangrove Management Scheme, Hochiminh City, Vietnam', and, 'A Comparative Economic Analysis of Farming Systems in Brackish Water Areas of the Mekong Delta'.

Cambodia Environmental Management Project, USAID. Advice and training to the Department of Policy and Planning of the Ministry of Environment, Cambodia.

1996

Lithuania, Biodiversity and Landscape Conservation. European Union, PHARE. Development of Business Plan and methodology for the economic analysis of Varniai Regional Park, Lithuania, as a model for other protected areas within the country.

National Institute for Scientific & Technological Policy and Strategic Studies (NISTPASS) Vietnam & the University of Toronto, Canada Training Project in Environmental Management (Vietpro-2020). Responsible for designing and delivering a workshop on the Economic Valuation of Natural Resources, Hanoi, Vietnam

EEPSEA/UAF (University of Agriculture and Forestry, Hochiminh City, Vietnam).'The Economic Valuation of the Environment and Environmental Cost Benefit Analysis', Training Course in Environmental Economics. Lecturer.

Natural Resources Valuation Manuals.Preparation of two manuals to be used by researchers in Southeast Asia on: 'The Economic Valuation of Tropical Forest Land Use Options'; and, 'The Economic Valuation of Mangroves'. Funded by EEPSEA

1995

Research/Training Project in Environmental Economics. Ministry of Environment, Cambodia/EEPSEA.Design and management of environmental economics research/training project on the costs and benefits of fuel efficient stoves in Prey Veng Province, Cambodia. Basic course in environmental economics held at Ministry of Environment.

Wetlands Action Plan, Cambodia.Wetlands International (Malaysia).Technical review and editing of 'Wetland Action Plan for the Royal Government of Cambodia'.

Ecotoursim Action Plan Malaysia.World Wide Fund (WWF), Malaysia.An economic analysis of ecotourism in Malaysia as part of an Ecotourism Action Plan being prepared by the WWF for the Malaysian Government. The reports prepared discuss ways in which ecotourism in Malaysia might best be managed in order to maximise ecological, economic and local community benefits. Case studies of three ecotourism sites in Malaysia are used to highlight key management issues.

Wholesale Market Project, Bucharest, The Republic of Romania The European Bank for Reconstruction and Development (EBRD). Environmental impact analysis of retail markets in Bucharest.

June 1993- Dec 1994 The Cambodia Environmental Advisory Team (CEAT).

Resource Economist. United Nations Development Program, Office for Project Services, (UNDP/OPS). Phnom Penh, Cambodia.

Responsibilities and Activities:

- (i) Provision of technical advice to the Government, and in particular the Ministry of Environment (MOE), in the areas of resource management and conservation. Advice provided on: the organisational structure of the MOE; environmental

impacts of investment proposals; financing mechanisms for environmental and natural resource management activities in Cambodia; and, the economic benefits of environmental and natural resource management and techniques for valuation of these benefits.

- (ii) Management of CEAT's 'Small Scale Initiatives Program'. Under this program twelve community level, environmentally sensitive projects were funded.
- (iii) Chief author and editor of Cambodia's First State of the Environment Report, 1994.
- (iv) Report prepared on a sustainable development strategy for the remote and underdeveloped areas of Cambodia. The report highlights the development priorities, main environmental issues and areas of economic potential for three provinces in Cambodia. Economic and fiscal mechanisms for attracting investors to these areas are also discussed.
- (v) Training. Lectures given on a range of environmental topics at CEAT's three training courses organised for the staff of the Ministry of Environment. Training course in 'Economics, Energy and the Environment' run for the staff at the Ministry of Industry Energy and Mines.
- (vi) Preparation of speeches and papers to be presented by the Minister of Environment.
- (vii) Assistance in the preparation of a draft timber concession contract for Cambodia.
- (viii) Organisation of First National Workshop on Environment and Development, December 1993.

1992-1993 Research Associate, Centre for Social and Economic Research on the Global Environment, (CSERGE). University College London.

Research on: (i) The environmental challenges to international oil companies with particular emphasis on the global environmental concerns of climate change, deforestation and biodiversity loss. Paper prepared in collaboration with Fridtjof Nansens Institute, Norway; (ii) The role of international carbon offsets by private companies as a mechanism for controlling greenhouse gas emissions; (iii) The position of renewable energy technologies and energy conservation in the United Kingdom within a 'sustainable' energy policy.

1992 Environmental Economic Consultant, London Environmental Economic Centre (LEEC) / International Institute for Environment and Development (IIED)

Research on: (i) The economic linkages between the international trade in tropical timber and the sustainable management of tropical forests and the economic effects of the trade and policy options available to improve forest management. Report prepared for the International Timber Trade Association, (ITTO); (ii) The economic value of species and biochemical prospecting information provided by the Costa Rican National Biodiversity Institute; (iii) The development of a methodology to assess the social costs and benefits and distributional consequences of alternative tropical forest land use options. Report prepared for the U.K. Overseas Development Administration. (6 month seconded from CSERGE)

1991-1992 Research Associate, Centre for Social and Economic Research on the Global Environment (CSERGE)

Report prepared for the UK Department of Trade and Industry on the social costs of fuel cycles in the UK. Following a comprehensive literature review of the monetary assessments of the external costs of energy use, the report prepared derives preliminary estimates of the social cost 'adders', in terms of pence per kWh, for each of twelve U.K. fuel technologies under review.

1990 Swastic Surfactants Ltd. Bombay, India. Environmental Consultant

Report prepared detailing the steps that chemical companies might take to try to alleviate environmental problems in India. .

1990 The Centre for Accountability and Debt Relief, Research Assistant

Research on the debt crisis in developing countries, and on the development of a global debt write-off program for sustainable development.

1988-1990 Arthur Andersen & Co., London

Chartered accountants. Trainee chartered accountant in Financial Markets Audit Group.

Education

2003: PhD, Economics, University College London

1991: MSc Environmental Economics and Resource Management, University College London

1988: BA (Hons) 2.1 Economics and Philosophy, University College London

Selected Reports and Papers

Bann, C and Wood, S. 2011. Valuing groundwater – A Practical Approach for Integrating Groundwater Economics Values into Decision Making in the Southern African Development Community (SADC). Paper presented at International Conference on Groundwater: Our Source of Security in an Uncertain Future, Pretoria September 2011.

Bann, C. 2010. 'Agriculture – Sectoral Analysis and Findings' in Bovarnick, A., F. Alpizar, C. Schnell, Editors. *The Importance of Biodiversity and Ecosystems in Economic Growth and Equity in Latin America and the Caribbean: An economic valuation of ecosystems*, United Nations Development Programme, 2010.

Jacobs, 2009 (contributing author/project director). . 'The Benefits of Inland Waterways'. Report to the Department of Environment Food and Rural Affairs, UK.

Jacobs, 2008 (contributing author/project director). . 'Valuing England's Terrestrial Ecosystem Services', Report to the Department of Environment Food and Rural Affairs, UK.

Jacobs, 2008 (contributing author/project director). 'Cost Benefits Analysis for PR09: Valuation and Optimisation Model'. Report to South East Water.

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Annex 8

The consultant responded to feedback on the first draft of the report. One area of disagreement between the consultant and the project team remains and is recorded here for future reference.

Person	Section	Comment	EO reaction/guidance	Evaluator action/comments
ESE unit	Para 117, p 30	On page 30, paragraph 117 states that, “Unfortunately, the participants did not appreciate that the training was part of a bigger study,”. However, this contradicts with the fact that it was made clear at the beginning of the training workshop that the workshop was being carried out as part of the project that aims to build the long term capacity of government to integrate environmental concerns in national development plans and poverty reduction strategies, and in their implementation.	Please consider this comment and revise your conclusions if you deem necessary.	Yes, I realise that the overall study was introduced at the start of training, but the participants I spoke to really had not grasped this, and were not aware of the UNEP project that I had come to evaluate. I felt on my mission that stakeholders were hearing about the project for the first time. In fact they were very reluctant to meet with me because they had not knowledge or documentation on the project.
ESE unit	Para 135, p 32	On page 32, paragraph 135 states that in South Sudan, “At the time of the evaluation mission, the	Please consider this comment and revise your	I had a very clear message from the

Person	Section	Comment	EO reaction/guidance	Evaluator action/comments
		<p>Ministry of Environment had no project documentation and was unaware of its link with the training they had received in economic valuation”. This contradicts with the fact that the information about the project was clearly communicated to the Government, particularly through the mission undertaken by two staff members of the Ecosystem Services Economics Unit of the Division of Environmental Policy Implementation at the initial stage of the project, which involved bilateral meetings with all the relevant ministries and organizations in South Sudan. A copy of the mission report is attached to this document (Annex 4).</p> <p>See attached supporting documents</p>	conclusions if you deem necessary.	MOE that they did had not project documents and were not aware of the project

Additional comment from Evaluation Office.

With regard to the question of whether stakeholders in S. Sudan understood the purpose of the project, EO has examined the evidence provided by the project team and feels that there is no justification to change the rating for stakeholder involvement and country ownership in S Sudan. A single visit in 2009 is not sufficient to develop stakeholder buy in, particularly given the particular difficulties of working in the political climate in S. Sudan (see comments on P 130 and 159).

