



Terminal evaluation of the UN Environment Project 'Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement'



Evaluation Office of UN Environment
June 2019



**Economy Division, Resources and Markets Branch, Consumption and Production
Unit, UN Environment Paris Office.**

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Project Title: Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement

Project Number: PIMS ID 01609

January 2019

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ACKNOWLEDGEMENTS

This Terminal Evaluation was prepared for the Evaluation Office of UN Environment by Mr. Bjørn Bauer, Expert in Sustainable Consumption and Production, and Mr. Carsten Schwensen, Evaluation Expert and Economist, as the Evaluation Consultants. Ms. Kia Rose Egebæk has assisted the consultants. The report benefits from a peer review conducted within Evaluation Office of UN Environment.

The Evaluation Office of UN Environment would like to thank the Sustainable Public Procurement teams and individuals in Vietnam, Colombia, Brazil, Panama and Paris for their contribution and collaboration throughout the Evaluation process. Sincere appreciation is also expressed to other project stakeholders in Vietnam, Colombia and Brazil and other locations who took time to provide comments to the draft report.

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ABOUT THE EVALUATION¹

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Project Evaluation

Brief Description: This report is a terminal evaluation of the UNEP project 'Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement'. Two sub-projects were implemented under this project title: 'Stimulating the Demand and Supply of Sustainable Products through Sustainable Public Procurement and Eco-labelling' (SPPEL), and 'Strengthening the Capacities and Improving the Knowledge on Green Public Procurement and Ecolabelling in the ASEAN+3 Region' (ASEAN+3). SPPEL aimed at combining ecolabelling and sustainable public procurement (SPP) to achieve maximum synergies in stimulating the demand and supply of sustainable products; the ASEAN+3 project aimed at strengthening SPP and ecolabelling in the ASEAN region. The work was funded by the European Commission, China, Korea, the Swiss Federal Office for the Environment, Norway, USA, Sweden and Germany.

Public procurement expenditure represents a significant proportion of Gross Domestic Product (GDP) in all countries, and Green or Sustainable Public Procurement (GPP/SPP) can enable policy makers to "lead by example" when it comes to the promotion of sustainable development. UN Environment has over the years developed a strong methodology for strengthening SPP which has been tested / adapted in the course of the project. UN Environment, in the same period, implemented the Sustainable Public Procurement Initiative (SPPI), a continuation of the Marrakech Task Force, in 2015 merged with the 10 Year Framework Programme (10YFP).

Key words: Sustainable public procurement; eco-labelling; 10YFP; Marrakech Task Force; EU

¹ This data is used to aid the internet search of this report on the Evaluation Office of UN Environment Website

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LIST OF ACRONYMS

ABEMA	Organisation for State Environmental Councils, Brazil
ABNT	Associação Brasileira de Normas Técnicas
AIT	Asian Institute of Technology
ANAMMA	Organisation for Municipal Environmental Councils, Brazil
CCC	Common Core Criteria
CCE	Columbia Compras Eficiente
CIP	Consumer Information programme of the 10-Year Framework of Programmes on Sustainable Consumption and Production Patterns
CNPMLTA	Centro Nacional de Producción Más Limpia y Tecnologías Ambientales (Colombia)
COP 21	2015 Paris Climate Conference (Conference of Parties)
CPU	The Consumption and Production Unit, UN Environment/Economy Division
EaP GREEN	Greening Economies in the Eastern Neighbourhood project
EC	European Commission
EL	Ecolabelling
EU	European Union
FOEN	Swiss Federal Office for the Environment
GEN	Global Ecolabelling Network
GENICES	Global Ecolabelling Network's Internationally Coordinated Ecolabelling System
GHG	Greenhouse gas
GPP	Green Public Procurement
ICLEI	Local Governments for Sustainability
IISD	International Institute for Sustainable Development
IKI	International Climate Initiative project
INGP	Interamerican Network of Government Procurement
KEITI	Korea Environmental Industry & Technology Institute
LAC	Latin America and the Caribbean region
LCA	Life-cycle assessment
MAC	Multi-stakeholder Advisory Committee
MEA	Multilateral Environmental Agreements

MoU	Memorandum of Understanding
NFO	National Focal Organisation
NPSC	National Policy Support Component
OAS	Organization of American States
OIF	Organisation Internationale de la Francophonie
PAGE	Partnership for Action on Green Economy
PCA	Project Cooperation Agreement
PoW	UNEP Programme of Work
Prodoc	Project document
SC	Steering Committee
SCP	Sustainable Consumption and Production
SISNAMA	The National Environmental System, Brazil
SMEs	Small and Medium-sized enterprises
SPLC	Sustainable Purchasing Leadership Council
SPP	Sustainable Public Procurement
SWOT analysis	Analysis of strengths, weaknesses, opportunities and threats
ToC	Theory of Change
UN	United Nations
UNEP	United Nations Environment Programme – now UN Environment
UNIDO	United Nations Industrial Development Organization
UNOPS	United Nations Office for Project Services
10YFP SPP programme	Sustainable Public Procurement programme of the 10-Year Framework of Programmes on Sustainable Consumption and Production Patterns

Table 1: Project Identification Table

UN Environment PIMS ID:	01609	63-P1 Delivering sustainable development and enabling the transition to greener economies through sustainable public procurement (2010 – 2018) (Sub-projects SPELL and ASEAN+3 – see below)	
Regional Offices	Regional Office for Latin America Regional Office for Asia and Pacific		
Sub-programme:	Resource Efficiency	Expected Accomplishment(s):	POW: 2012/13; 2014/15 and 2016/17 #4 - Demand-side decisions and consumption choices favor more resource efficient and environmentally friendly products, driven by standardized and internationally recognized tools and communications and by an enabling social infrastructure.
UN Environment approval date:	(project 01609)	Programme of Work Output(s):	643 and 641
Expected start date:	January 2010 ² (project 01609)	Actual start date:	26 th June 2013 ³ (project 01609)
Planned completion date:	Dec 2015 ⁴	Actual completion date:	Dec 2018 ⁵
Planned project budget at approval:	€ 3,932,087 (for SPPEL) \$ 450,000 (for ASEAN+3)	Actual total expenditures reported as of [date]:	Statement of Income and Expenditures (December 31, 2017)
Planned Environment Fund allocation:	€ 418,096 (for SPPEL)	Actual Environment Fund expenditures reported as of [date]:	€ 379,862 (for SPPEL)
Planned Extra-Budgetary Financing:	€ 3,513,990 (for SPPEL)	Secured Extra-Budgetary Financing:	€ 2,965,000 (for SPPEL)
		Actual Extra-Budgetary Financing expenditures reported as of [date]:	€ 2,532,416 (for SPPEL)
First disbursement:	No information available	Date of financial closure:	31 st December 2018
No. of revisions:	2 (project 01609)	Date of last revision:	2015 (project 01609)

² Programme of Work Project Document: 63-P1 'SPP project POW 63-P1_2012.pdf'

³ PIMS entry

⁴ Programme of Work Project Document: 63-P1 'SPP project POW 63-P1_2012.pdf'

⁵ Although this project officially ends in December 2018, the substantive activities ended in December 2017, allowing for a Terminal Evaluation during the second half of 2018. *Source:* Final revision document: '63-P1_June_2013_Final (1).docx'

No. of Steering Committee meetings:		Date of last/next Steering Committee meeting:	No information available in PIMS	
Mid-term Review/ Evaluation (<i>planned date</i>):	Not applicable	Mid-term Review/ Evaluation (actual date):	Not applicable	
Terminal Evaluation (<i>planned date</i>):	December 2018	Terminal Evaluation (actual date):	July – December 2018	
Coverage - Country(ies):		Coverage - Region(s):		
Dates of previous project phases:	Builds on: 00195 ' <i>Capacity building for Sustainable Public Procurement in developing countries</i> ' (7 pilot countries from 2009) Also on: ' <i>Enabling Developing Countries to Seize Eco-Label Opportunities: capacity building and technical assistance for industries and governments in developing economies</i> ' (2007-12)	Status of future project phases:	Future phase under development	

EXECUTIVE SUMMARY

1. The UN Environment project entitled 'Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement' (hereinafter referred to as SUSTRANS) commenced operations in June 2013 with a completion date of December 2018; in total 66 months, 6 months shorter than its originally planned duration (January 2010 – December 2015). It was executed by the Economy Division and contributes to Expected Accomplishment 'Promoting sustainable development and facilitating the transition to green economy through the support to sustainable public procurement and ecolabelling especially focusing on emerging economies'.
2. Two sub-projects were implemented under SUSTRANS: 'Stimulating the Demand and Supply of Sustainable Products through Sustainable Public Procurement and Ecolabelling' (SPPEL), and 'Strengthening the Capacities and Improving the Knowledge on Green Public Procurement and Ecolabelling in the ASEAN+3 Region' (hereinafter referred to as SPELL and ASEAN+3). The projects were supported by a total grant of 4,322,200 EUR (EUR 3,932,087 for SPPEL and \$ 450,000EUR for ASEAN+3). The European Commission funded the country work through SPPEL. Bilateral funds went either to ASEAN+3 (funds from the China and Korea) or to the SPPI and the 10YFP (funds from the Swiss Federal Office for the Environment, Norway, USA, Sweden and Germany).
3. The Terminal Evaluation was undertaken to assess the projects' performance and determine outcomes and impacts stemming from its activities, including sustainability. The Evaluation serves two primary purposes: to provide evidence of results to meet accountability requirements, and to promote operational improvement, learning and knowledge sharing through results and lessons learned from UNEP and other executing partners.
4. Evidence-based qualitative and quantitative information was sourced from available key project documentation, desk studies, meetings with UN Environment, and a literature review. A considerable part of the project work took place in three core countries, Brazil, Colombia and Vietnam, and meetings with individuals and focus groups in these countries provided valuable input to the evaluation. To analyse causal linkages the evaluation employs a Theory of Change (ToC) approach with preparation of SMART indicators and assumptions.
5. Public procurement expenditure represents a significant proportion of Gross Domestic Product (GDP) in all countries, and Green or Sustainable Public Procurement (GPP/SPP) can enable policy makers to "lead by example" when it comes to the promotion of sustainable development. UN Environment has over the years developed a strong methodology for strengthening SPP which has been tested / adapted in the course of the project. UN Environment, in the same period, implemented the Sustainable Public Procurement Initiative (SPPI), a continuation of the Marrakech Task Force, in 2015 merged with the 10 Year Framework Programme (10YFP). SPPEL aimed at combining ecolabelling and sustainable public procurement (SPP) to achieve maximum synergies in stimulating the demand and supply of sustainable products; the ASEAN+3 project aimed at strengthening SPP and ecolabelling in the ASEAN region.
6. Ecolabelling offers an economic incentive for producers in developing countries to innovate and design more resource efficient products. In the context of SPP, ecolabels contribute to defining criteria and verifying compliance.

7. The combined approaches of voluntary labelling and SPP are seen by UN Environment as important elements to create a dynamic framework for improving the performance of products throughout their life cycle.
8. The projects are fully in line with the UN Medium Term Strategy and Programme of Work, very well aligned to UN and donor strategic priorities, and very relevant to regional and national environmental priorities. The rating for Strategic Relevance is Highly Satisfactory.
9. The review of the project design was troubled by the existence of both a relatively well designed overall project document (the SUSTRAN project) and less detailed individual project documents for the two projects SPELL and ASEAN+3. The latter are characterised by lack of a Theory of Change and sparse considerations on the causal linkages and assumptions. The prodocs have not been specifically fitted to the national contexts in the core countries. The overall rating for Quality of Project Design is Moderately Unsatisfactory.
10. The reconstructed ToC contains five outputs that are assessed to have been delivered relatively well (Moderately Satisfactory). The national SPP framework has been relatively well supported but could have gained from even more attention; experience, guidelines and good practices have been satisfactorily disseminated to project partners and other interested stakeholders, but an explicit and transparent communication strategy could have strengthened the effectiveness of the communication efforts; a number of relevant regional workgroups were established; the ecolabelling programs were not significantly strengthened; and only few companies went all the way to actually having products certified under the national eco-labelling programs. The achievement of the two outcomes is found Moderately Satisfactory. While some organisational SPP elements have been effectively supported, the support to the use of ecolabelling to promote SPP has been less successful. The likelihood of impact is found to be Moderately Unlikely as the framework for SPP and EL – in spite of good project efforts - is still weak in most of the involved countries.
11. Financial management is overall found to be Satisfactory, with good communication and moderately satisfactory completeness of the financial information.
12. The ProDocs do not include a detailed budget with costing against project activities and outputs what hampers the evaluators' ability to assess the cost-effectiveness of the project. However, the PCAs include a detailed budget through which allocation at output and activity level can be tracked at national level. Use of qualified experts has overall catered for efficient use of resources but lack of regional support for Vietnam impacted negatively on the efficiency of the project implementation. Timeliness was – with some challenges – found to be satisfactory and the overall efficiency rating being Moderately Satisfactory.
13. As for other project design aspects the differing project documents caused some trouble for the assessment of the monitoring design. Whereas the two project documents SPELL and ASEAN+3 only briefly touch upon the monitoring issue, the SUSTRAN 'mother project document' entails a sensible monitoring plan that has also been applied during the project. Overall, monitoring and reporting are rated Satisfactory.
14. With weak political back-up in the core countries to SPP and ecolabelling, and an institutional framework with considerable weaknesses, both socio-political and institutional sustainability

are rated Moderately Unlikely. The core countries have allocated limited or no funds for SPP during the next years and financial sustainability, at this stage, is rated Unlikely.

15. The summary of the evaluation criteria rating is Moderately Satisfactory.

I Introduction

16. The UN Environment projects entitled 'Stimulating the Demand and Supply of Sustainable Products through Sustainable Public Procurement and Ecolabelling' (SPPEL, January 2010 – December 2017⁶), and 'Strengthening the Capacities and Improving the Knowledge on Green Public Procurement and Ecolabelling in the ASEAN+3 Region' (ASEAN+3, 2013-14) were implemented by the Consumption and Production Unit of the Resources and Markets Branch, with offices based in Paris. They are sub-projects under the project 'Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement' (SUSTRANS) and were supported by a total grant of 4,322,200 EUR (EUR 3,932,087 for SPPEL and \$ 450,000 for ASEAN+3).

17. The project SUSTRANS contributes to the Expected Accomplishments under the Programme of Work outputs as follows:

2012/2013: #4 - Demand-side decisions and consumption choices favour more resource efficient and environmentally friendly products, driven by standardized and internationally recognized tools and communications and by an enabling social infrastructure.

2014/2015: #3 - Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced

18. This UN project terminal evaluation was conducted 8-12 months after the date of operational completion of SPPEL and 19-25 months after the operational completion of ASEAN+3. Neither sub-project has been the subject of any other evaluation or review, although there was a Terminal Evaluation of a previous Eco-labelling project (2012). A future phase of a single project is currently being designed.

1.1 Evaluation objectives

19. In line with the UN Environment Evaluation Policy⁷, the Terminal Evaluation was undertaken at the completion of the project SUSTRANS to assess its performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from its activities, including sustainability. The Evaluation serves two primary purposes:

- (i) to provide evidence of results to meet accountability requirements, and

⁶ SPPEL and ASEAN+3 are sub-projects to the larger initiative 'Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement'

⁷ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

- (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned from UNEP and other executing partners.

Therefore, the Evaluation is intended to identify lessons of operational relevance for future project formulation and implementation.

20. The primary audience for this evaluation is UN Environment as a support to the preparation of future initiatives with the SPP and Consumer Information and Ecolabelling areas. The evaluation report is also expected to be of interest and value to the national stakeholders in the core countries Brazil, Colombia and Vietnam.

II Evaluation Approach and Methodology

21. This evaluation was conducted using a participatory approach where key stakeholders were kept informed and consulted throughout the process. To deliver evidence-based qualitative and quantitative information, the collection of data and information was sourced from available key project documentation, desk studies, literature reviews, and meetings with individuals and focus groups. Documentation was provided by the Project Manager in Paris. The evaluation methodology consisted of:
- Desk review of background documentation, inter alia, project design documents for SUS-TRANS, including Annual Work Plans and Budgets, revisions to the project (Project Document Supplement), agreed donor proposals for SPELL and ASEAN+3, including logical frameworks and associated budgets; Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes; Project outputs (list in the Project Information Management System – PIMS): Evaluations/reviews of similar projects (e.g. Terminal Evaluation of previous Eco-labelling project).
 - Re-examination of the SUSTRANS Project Results Framework (PRF) against which project performance is evaluated, followed by the re-construction of a Theory of Change (a preliminary version of which was prepared for the Inception Report);
 - Briefings at UN Environment offices in Paris prior to mission travel;
 - Interviews with the Project Manager Unit (PMU) at the UN Environment office in Paris;
 - Mission travel and meetings/skype-consultations with Brazilian, Colombian and Vietnamese stakeholders;
 - Phone consultations with the UN Project Manager Unit
 - De-briefing with central stakeholders in the core countries on mission findings;
 - Follow-up phone conversations, emails and reporting writing from home base; and
 - A period of additional gathering of information, validation of findings and editing of the draft report to reflect factual accuracy of the findings.
22. Steps were undertaken to enhance stakeholder engagement and the quality of consultation: i) interviewees were informed about the Evaluation's aims and informed of the expectations of the evaluation; ii) open-ended questions were used to promote balanced reflection, generate new insights, and yield higher quality information (as opposed to yes/no questions or an 'audit' approach); iii) interviewees were assured of the anonymity and confidentiality of their input whenever appropriate.
23. A diversity of sources were consulted by the consultant to throw light on the projects' gender and minority group aspects, including review of the project documents and reports and questions concerning the processes of setting criteria for procurement of more sustainable products.
24. To analyse and model causal linkages, the evaluation employs a **Theory of Change** (ToC) approach to depict the impact pathways of the project. As the analysis of the logical framework (or Project Results Framework or PRF) for the main project and its two sub-projects

required editing to overcome the lack of SMART indicators and assumptions, a thorough review of all the relevant project documents (ProDoc and donor agreements) was required to extract the Project's intended outputs, outcomes and expected impacts.

25. Moreover, the Evaluation needed to revise the project's intended results to harmonise the three interventions and better reflect what was realistically achievable with this grant, given the substantial delay between the design of SUSTRANS and the implementation of SPPEL and ASEAN+3.
26. Evaluation findings and judgements are based on sound evidence and analysis verified from different sources as far as possible. When triangulation has not been possible, the single source has been mentioned (whilst still protecting anonymity).
27. The evaluation assesses the project performance against the following criteria: (1) strategic relevance; (2) quality of project design; (3) nature of external context; (4) effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (5) financial management; (6) efficiency; (7) monitoring and reporting; (8) sustainability; and (9) factors affecting project performance. The Evaluation follows the guidance provided by the Evaluation Office of UN Environment in 2018.
28. The evaluation criteria are assessed based on the methods of fact finding and data compilation described above and the following key questions:

Table 2: Key Evaluation questions and sub-questions

Key Evaluation Questions	Sub-Questions
Are the objectives and the design of SPELL and ASEAN+3 still valid for UNEP and the supported countries?	<ul style="list-style-type: none"> • To what extent is SPP embedded in UNEP strategic priorities • To what extent does the national governments want to continue pursuing SPP as a policy goal? • To what extent are other key stakeholders prioritising and supporting SPPEL/ASEAN+3 interventions?
Have the project objectives been achieved in accordance to expectations?	<ul style="list-style-type: none"> • How have SPELL and ASEAN+3 contributed to development of relevant capacities (expertise, technical aspects, institutional structures, policies/guidelines etc.) • How have SPPEL and ASEAN+3 contributed to development of incentives and interests among key stakeholders? • What have been the major factors influencing the achievement or non-achievement of results (including management arrangements, stakeholder cooperation and any factors beyond the control of the project)? • Are there any important aspects that SPPEL/ASEAN+3 did not consider/address during implementation?
To what extent have interventions been cost/time effective?	<ul style="list-style-type: none"> • Was the project implemented in the most efficient way (time, personnel resources)? • What has hampered efficiency, if anything? How well have related challenges been remedied?
To what extent are SPPEL and ASEAN+3 likely to contribute to more efficient use of resources and less environmental impact within the countries	<ul style="list-style-type: none"> • To what extent are consumption behaviour and attitudes changing? • To what extent has the interest/incentives from key stakeholders involved in SPP changed and for what reason? • What, if anything has hampered obtaining of impact?

Key Evaluation Questions	Sub-Questions
To what extent are the results and progress obtained through SPPEL and ASEAN+3 likely to be sustained/further expanded after project completion?	<ul style="list-style-type: none"> • What are the major factors influencing sustainability and how have these been addressed during implementation? • Which initiatives/ commitments have been made in the countries to sustain and continue benefits progress obtained through SPPEL and ASEAN+3?

Key Strategic Questions	Sub questions
Has the UN Environment proved effective in guiding countries in developing and implementing their SPP policies, including in line with international best practices?	<ul style="list-style-type: none"> • How well has the overall project implementation approach been aligned to country contextual differences? • Has it still been possible to maintain a high-level implementation standard (best international practices) across all countries?
Has the UN Environment division of tasks between economy division and regional offices proved to be effective in project delivery?	<ul style="list-style-type: none"> • How well have roles and responsibilities been divided in accordance to competencies?
How well have the various project levels (national, regional, global) and substantive areas (sustainable consumption and production, green economy) been integrated?	<ul style="list-style-type: none"> • How has integration taken place as part of the implementation process?
An integrated approach to sustainable public procurement and eco-labelling is reported to have potential added value compared to individual approaches. To what extent, and to what effect, has the project successfully created a synergistic approach to SPP and Eco-labelling?	<ul style="list-style-type: none"> • In which particular areas are synergies between SPP and Eco-labelling detected? • What have been the mechanisms through which synergy effects have been created?
To what extent has a conscious scaling-up and replication model been successfully demonstrated?	<ul style="list-style-type: none"> • How well has a scaling-up/replication model been articulated and lessons captured for wider learning?
Going forward, what are the key lessons learned for further scaling up sustainable public procurement, and using it as a policy tool and catalyst for jobs, income and environmental sustainability?	<ul style="list-style-type: none"> • What are the suggestions for further work on the promotion and application of project results?

III The Project

A. Context

29. Public procurement expenditure represents a significant proportion of Gross Domestic Product (GDP) in both northern and southern hemisphere countries. With national governments responsible for significant portions of spending, the promise of “greening” or incorporating sustainability considerations into state procurement can enable policy makers to “lead by example” when it comes to the promotion of sustainable development. As such, ‘sustainable’

public procurement approaches are seen as an opportunity to drive markets towards innovation and sustainability. Green Public Procurement (GPP) therefore emerged, from around 2000 onwards, as a policy instrument to support more environmentally friendly consumption and production and the move towards 'greener economies'. From around 2008, the concept of Sustainable Public Procurement (SPP) has been gradually introduced, not least with support from UN Environment, and is now the dominating approach, adding societal factors to the GPP concept.

30. Market-driven product information tools such as ecolabelling offer an economic incentive for producers in developing countries to innovate and design more resource efficient products. Ecolabels based on a lifecycle approach define criteria for sustainable products comprising all stages of their lifecycle. The ecolabels communicate information about products' sustainability aspects to consumers and thereby differentiate eco-labelled products in the marketplace. In the context of SPP, ecolabels contribute to defining criteria and verifying compliance.
31. The combined approaches of voluntary labelling and sustainable public procurement are seen by UN Environment as important elements to create a dynamic framework for improving the performance of products throughout their life cycle, stimulating demand and supply of better products, and helping consumers to make better choices. UN Environment has been active in the areas of SPP and eco-labelling since 2009 and this work has culminated in the two projects under the SUSTRAN umbrella (SPELL and ASEAN+3) assessed through this evaluation.

B. Project Objectives and Components

32. The evaluation comprises two projects, each consisting of several components.

SPPEL aimed at combining ecolabelling and sustainable public procurement (SPP) to achieve maximum synergies in stimulating the demand and supply of sustainable products. The approaches of voluntary ecolabelling and SPP are seen as important elements in the transformation that is needed to strengthen the position of sustainable products and services in the market⁸. The SPPEL project had the following outcome stated in the original ProDoc (2012), referring to the UN Environment PoW 2012-2013:

641. Support is provided to United Nations and governmental institutions, including national and local governments, to develop and apply action plans and capacity-building for achieving climate neutrality and resource efficiency through changes in procurement policy and practices, buildings and facilities management and office culture. (Target: 30 action plans).

643. Demand-side decisions and consumption choices favour more resource efficient and environmentally friendly products, driven by standardized and internationally recognized tools and communications and by an enabling social infrastructure.

The expected results listed in the ProDoc are⁹:

⁸ UNEP SPPEL Project Document, 2012.

⁹ Shortened from the Project Document.

- Better understanding and awareness of the benefits of SPP and ecolabelling
- Foundation laid for the implementation of SPP and ecolabelling
- Effective ecolabelling programmes aligned with international best practices and SPP action plans
- SPP action plans designed and approved at the highest possible level in 6 countries and awareness raised on the effectiveness of supportive ecolabelling programmes
- Project lessons disseminated and best practices replicated at the global level

33. The **ASEAN+3 project** aimed at i) strengthening SPP and ecolabelling in the ASEAN region, based on the expertise of China, Japan and South Korea in the combined use of SPP and ecolabelling; ii) enhancing South-South collaboration on those topics, including with the African Ecolabelling mechanism; and iii) ensuring a broad and effective participation of ASEAN+3 countries in the Sustainable Public Procurement Initiative activities¹⁰.

34. The ASEAN+3 prodoc has the same outcome stated in the original prodoc as SPPEL. In order to achieve these outcomes, the project has aimed to produce the following outputs¹¹

- An ASEAN+3 network of SPP and Ecolabelling experts and policy makers with yearly meetings
- ASEAN case studies on Green Public Procurement (GPP)¹² and eco-labelling
- GPP and eco-labelling knowledge transferred through a regional capacity building scheme
- Performance of GPP policies and eco-labelling schemes improved.

C. Stakeholders

35. The stakeholders of the projects were mainly public authorities dealing with SPP at national level, influencing and successfully planning, designing and developing SPP institutional frameworks for their respective countries. The main stakeholders include the Ministries of Environment; the national public procurement authorities (PPAs) in charge of designing and developing national SPP action plans; national ecolabelling organisations; industrial associations/Chambers of Commerce (and specific industries); Ministries of Industrial Development (ensuring that national industries react to the new opportunities provided by SPP and increase the supply of sustainable products and services). Also sub-national entities (navy and military

¹⁰ The UNEP Sustainable Public Procurement Initiative, SPPI, was launched in 2012 at the Rio+20 Summit, initially supported by more than 50 members from governments, civil society and the private sector (and with gradually increasing membership figures). The goal was to promote worldwide implementation of SPP through increased cooperation between key stakeholders and a better understanding of its potential benefits and impacts. SPPI officially became the 10YFP SPP Programme Promote worldwide implementation of SPP in 2014.

¹¹ Project Document: Strengthening the capacities and improving the knowledge on green public procurement and ecolabelling in the ASEAN+3 region, 2013; Logical Framework, page 16-17.

¹² Whereas SPP and SPPEL pursue Sustainable Public Procurement, SPP, ASEAN+3 engages in Green Public Procurement, GPP, a slightly less comprehensive approach.

units, for example) and individual companies have been involved and report having gained from the project.

D. Project implementation structure and partners

36. The **UN Environment/Economy Division**¹³, the Consumption and Production Unit (CPU), based in Paris, executed the projects. The CPU has been responsible for project management, on-going liaison with the donors, coordination and communication (also with other initiatives), as well as capacity building. The CPU has been a member of the national Steering Committee in each of the core countries.
37. UN Environment's Regional Offices were meant to be responsible for providing the day-to-day support from UN Environment to the national governments. This intention of strengthening the role of UN Environment's regional offices brings the projects in line with UN Environment's strategic priority of becoming more visible and active at the regional level with regional offices scaling up engagement, enhancing capacity building and coordinating implementation of UN Environment's sub-programmes at regional level, including through execution of projects¹⁴. This need was expressed by the General Assembly in 2010¹⁵.
38. A major part of the projects has taken place in three core countries: **Brazil, Colombia and Vietnam**. A large volume of activities also took place in Ecuador, Panama, Peru, Costa Rica, Argentina, Chile, India, Sri Lanka, Morocco, Mauritius, Mongolia and Cote d'Ivoire. In addition to this, global and regional activities have been implemented (10YFP).
39. In Colombia, the regional office in Panama played a vital role, in Brazil the regional office delivered some occasional support, and in Vietnam the regional office played no role at all. In Brazil a strong national UN Environment office was responsible for implementation.
40. In all countries, the UN Environment Consumption and Production Unit in Paris has provided leadership towards delivering the planned outputs and supported the national/regional project implementers in carrying out the planned activities and solving upcoming challenges and problems throughout the project.
41. Project implementing units were set up in Brasilia, Bogota and Hanoi, directed by a Steering Committee in each of the countries as stipulated in the Project Cooperation Agreement (PCA) entered in each of the countries.
42. The EU Commission funded the country work through SPPEL. Bilateral funds went either to ASEAN+3 (funds from the China and Korea) or to the SPPI and the 10YFP (funds from the Swiss Federal Office for the Environment, Norway, USA, Sweden and Germany).

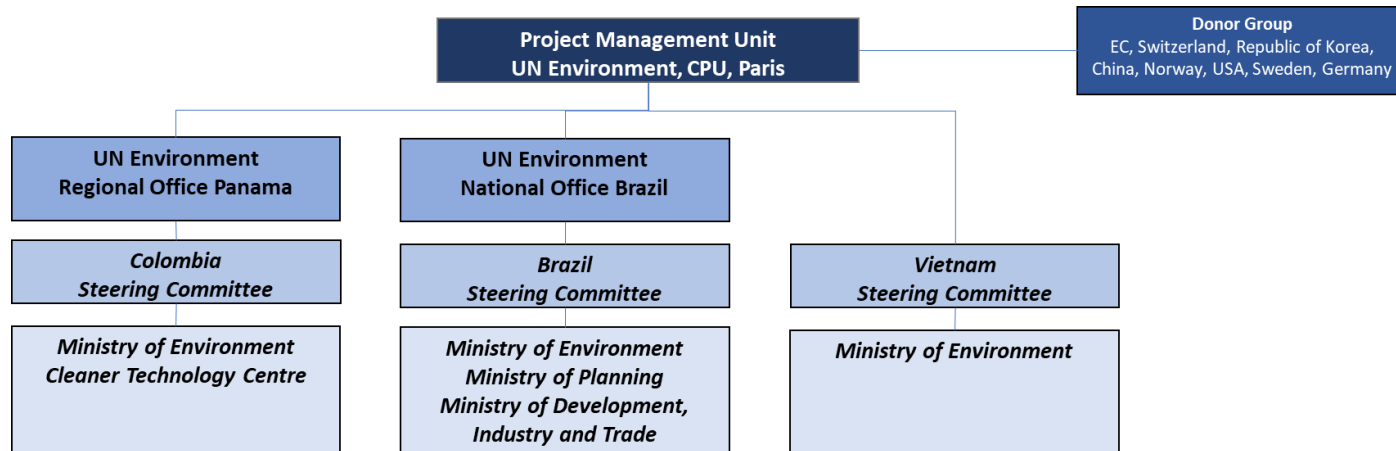
¹³ Formerly Division of Technology, Industry, and Economics (DTIE).

¹⁴ Biennial programme of work and budget for 2012–2013; Report of the Executive Director; Addendum; Results of the review of the needs and potential of regional offices.

¹⁵ By its resolution 65/162 of 20 December 2010, the General Assembly called for increased support to strengthen the human, financial and programmatic capacities of all the regional offices of the United Nations Environment Programme (UNEP).

43. The project documents do not include a narrative or diagram providing detail on project management supervision arrangements and the figure beneath illustrates the evaluation team's construction of the formal decision and implementation structure, as derived from documents.

Figure 1: Organogram



E. Changes in design during implementation

44. Four core countries were originally enlisted, but as India decided not to be a core country in the project due to internal prioritisations, implementation took place in three core countries only – Brazil, Colombia and Vietnam.
45. The clear linkage and mutual interdependence between SPP and ecolabelling were not fully in line with the national priorities in the core countries. Changes were made in Brazil and Colombia to limit the strict ecolabel-based sustainability demands to products meant for SPP, thereby creating links between green products and the public sector's demand. One could reasonably have expected the difference between the project's intentions and the national contexts to have been identified during project preparation. Instead of this, UN Environment demonstrated adaptive project management by changing the overall approach of the project to fit the national conditions.

F. Project Financing

46. The total project budget in the 2017 SPPEL Project Document was € 3,932,087. This cost consists of the EC Allocation grant of € 2,965,000 and co-financing of € 967,087 as detailed in Table 3. The co-financing sources consist of UN Environment Programme, Switzerland, Republic of Korea, China, Norway, USA, Sweden, and Germany (International Climate Initiative). The project budget is not disaggregated at the level of outputs and activities.
47. The actual expenditures from the EC allocation of € 2,965,000 amounted to a total of € 2.532.417¹⁶, providing excess of income over expenditure (unused funds) in the amount of € 432,584.

¹⁶ Including 6.2% Programme Support Costs.

48. The total project budget in the ASEAN+3 Project Document was \$ 450,000. This cost consists of the EC Programme Support Costs of \$ 34,513 and co-financing of \$ 265,482 (contribution from China) and \$ 150,000 (contribution from Korea) as shown in Table 3. The budget is only roughly divided between outputs and activities.

Table 3: Project budget summary

Particulars	Amount
SPELL¹⁷	
Total project budget (EUR)	€ 3,932,086.53
Total EC Allocation incl. programme support costs (EUR)	€ 2,965,000.00
Co-financing (EUR)	€ 967,086.53
Co-financing Percentage (%)	32.6%
ASEAN+3	
Total project budget (USD)	\$ 450,000.00 ¹⁸
EC Allocation incl. programme support costs (USD)	\$ 34,513.27
Co-financing (USD) (China and Korea)	\$ 415,482.72
Co-financing Percentage (%)	87 %

IV Theory of Change at Evaluation

49. The original ProDoc for the overarching SUSTRANS project was deemed unsatisfactory by the Project Review Committee (PRC) and was sent back to be re-worked and re-submitted¹⁹. The revised prodoc for SUSTRANS is more comprehensive and remedies many of the objections from the PRC. Since the guiding documents for the implementation of SPPEL and ASEAN+3 have been the specific design documents for these projects, the SUSTRANS ProDoc will not be further commented on in this evaluation.

50. The specific ProDocs for SPPEL and ASEAN+3²⁰ have less detail and lack important elements, not least a list of assumptions and a Theory of Change (ToC). Moreover, there are discrepancies between objectives stated in the document text and outcomes stated in the results frameworks. The ASEAN+3 results framework does not include outputs, only activities.

51. The ProDocs' results frameworks were assessed by the evaluation team and determined to need further adjustments in their wording of objectives, outcomes and outputs to meet best practices for preparing results frameworks and before a ToC could be re-constructed – as described in table 4. For example:

¹⁷ The SPPEL project document(s) (original and for the extension) do not specify the budget for project components; this is not done in the Project Report either.

¹⁸ Equivalent to 390,000 EURO (January 2019)

¹⁹ PRC Report, project 63-P1, 19/02/2013.

²⁰ UNEP Project document: Stimulating the Demand and Supply of Sustainable Products through Sustainable Public Procurement and Ecolabelling' (SPPEL) (undated); UNEP Project Document: 'Strengthening the Capacities and Improving the Knowledge on Green Public Procurement and Ecolabelling in the ASEAN+3 Region' (ASEAN+3) (undated).

- One outcome, taken directly from the Programme of Work, is formulated as an activity; it is reformulated to an outcome in the reconstructed ToC.
- The causal linkage between outputs and the second outcome – 'Demand side decisions and consumption patterns changed' – is too distant, making it unlikely that the outcome will be achieved and undermining attempts to evaluate the projects' performance at an outcome level. 'Lower-level' outcomes are formulated in the ToC to create a more precise understanding of the projects' interventions and intended causal pathways.

52. Referring to the results frameworks, several assumptions and drivers need to hold for the anticipated changes to happen (outputs leading to outcome). Important assumptions and drivers, which are sparsely accounted for in the ProDocs, include:

Assumptions

- Governments must allocate resources for the organization of SPP (creating SPP unit, preparing vision and policy, adopting vision and policy, preparing procedures for SPP, establishing ongoing training programs, creating criteria, conducting market investigations; and more)
- Trained staff will stay in their positions long enough for SPP practices to become institutionalized (if trained staff leave their positions, there will be a lack of SPP expertise in the procurement units; in many countries there is an evident lack of well-trained procurement experts). Furthermore, staff continues to acquire adequate SPP skills/expertise after end of project.
- SPP policy and action plans are de facto adopted by governments (concrete targets for SPP or a national budget line for support to SPP) and implemented
- Ministry of Finance prioritize SPP in practice (if procurement, in reality, only prioritises the direct purchasing price, without considering life cycle costs or the possibility to pay a reasonable premium for sustainable products, then SPP has little chances for success)
- There should, over time, be an increasing demand for sustainable/ ecolabelled products motivating new companies to join the ecolabelling scheme.
- Sustainable products are not too expensive (there is a limit for the price premium on sustainable products, depending on the directions given from government; other policies (tax, investments, legislations) should contribute to lowering the prices of sustainable products, and more)
- Ideally, governments should encourage and, where relevant, make mandatory the use of ecolabels in public procurement (however, this is not likely to happen in countries like Vietnam and Brazil)

Drivers

- Ministries cooperate effectively during, and especially after, the end of the project
- Governments realise SPP's sustainability contribution
- Procurers are motivated for SPP (procurement officers should be measured on and rewarded for other factors than price; leadership should articulate the importance of SPP)
- Companies should more broadly acknowledge the commercial potential of ecolabelling (otherwise the ecolabel system will not flourish)

- National Ecolabel criteria should be expanded and updated continuously so that the system expands and keep up with international requirements and progress.

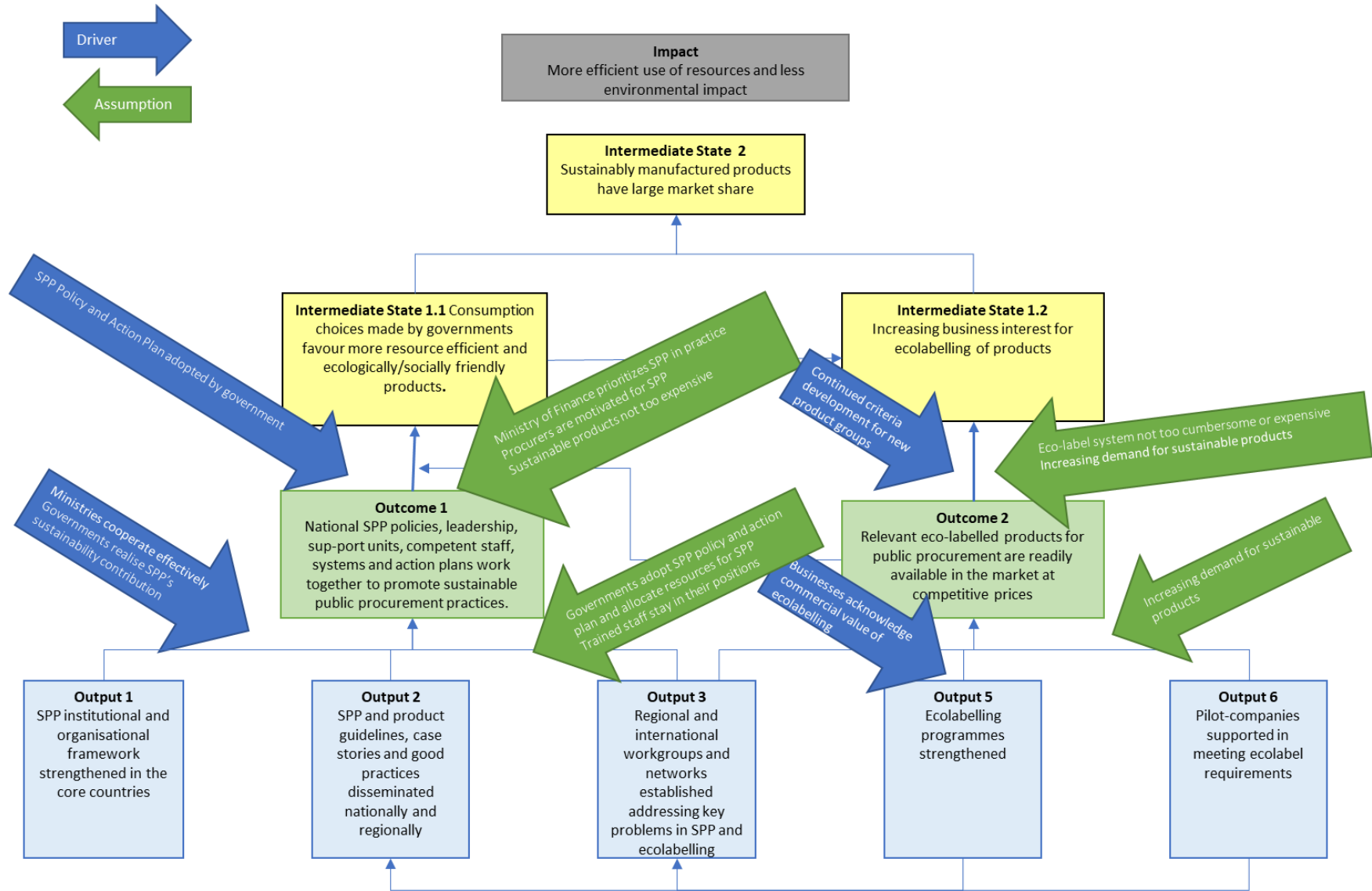
Table 4: Proposed Changes in SPPEL and ASEAN+3 Project Results Framework Language

	Original Result Framework language	Corrective Action	Reconstructed ToC outcomes and outputs
SPELL and ASEAN+3 OUT-COMES	Outcome 1: Support is provided to United Nations and governmental institutions, including national and local governments, to develop and apply action plans and capacity-building for achieving climate neutrality and resource efficiency through changes in procurement policy and practices, buildings and facilities management and office culture.	This outcome is an output, reworded beneath	Outcome 1: National SPP policies, leadership, support units, competent staff, systems and action plans work together to promote sustainable public procurement practices.
	Outcome 2: Demand-side decisions and consumption choices favour more resource efficient and environmentally friendly products, driven by standardized and internationally recognized tools and communications and by an enabling social infrastructure.	This outcome contains relevant statements on (some of) the desired change pursued – at long-term outcome level; should not include considerations on outputs/drivers	
			There is no outcome stated on the important part of the project dealing with the business sector's provision of green products to the market
SPELL OUTPUTS	Output 1+2, Regional level: 1. Assessment studies and creation of multi-stakeholder consultation forums and networks in all project countries and regions 2. Agreed models of cooperation on voluntary standards and exchange of best practices	An ample amount of stated outputs, of which some are outcome-oriented, activity or indicator oriented: 1. <i>Studies</i> on feasibility of networks, an activity towards the output <i>networks established</i> 2. Could be an indicator to <i>Networks established</i> 3. Could be an indicator of <i>institutional support provided</i> , to improve clarity 4. Could be an indicator of <i>institutional support provided</i> , to improve clarity 5. SPP action plans designed could be an indicator; action plans implemented is at outcome level (not supposed to happen during project implementation) 6. This is at outcome level (not realistically happening in the project) 7. This is at outcome level 8. This is at indicator level 9. This is at output level (the combination of result and means to achieve the result should be avoided) 10. Apparently partly output level (improved UNEP SPP approach), partly outcome level	Reworded outputs: 1. SPP institutional and organisational framework strengthened in the core countries. 2. SPP and product guidelines, case stories, and good practices disseminated nationally and regionally 3. Regional and international workgroups and networks established addressing key problems in SPP and ecolabelling 4. Ecolabelling programmes strengthened 5. Pilot-companies supported in meeting ecolabel requirements
	Output 3-7, National level: 3. A pool of experts on SPP and ecolabelling created 4. Training toolkits and guidance documents developed and available for use. 5. SPP action plans designed and implemented in countries 6. Companies (especially SMEs) meeting the requirements of national ecolabels and benefiting from SPP contracts 7. Effective ecolabelling programmes aligned with international best practices		
	Output 8-12: Knowledge Management, Communication and Outreach 8. Increasing use by procurers of the database of sustainable product guidelines with criteria and technical specifications; 9. Project lessons and best practices documented and disseminated through UNEP's SCP Clearinghouse and the International SPP Initiative; 10. Continuous improvement of UNEP's SPP Approach and SPP training material and increased use of these tools;		

	Original Result Framework language	Corrective Action	Reconstructed ToC outcomes and outputs
	11. Synergies achieved, and joint activities planned between major SPP implementation programmes through the International SPP initiatives 12. Involvement of new actors in the promotion and support to SPP and ecolabelling	(use of the tools as opposed to downloading of the tools) 11. This is at indicator level – Output Networks 12. This is at indicator level, output Networks	
ASEAN+3	ASEAN+3 aims at the same outcomes as SPPEL. The results framework does not contain outputs, only activities.		
OUTPUTS	Activity A: Creation of an ASEAN+3 network of SPP and Ecolabelling experts and policy makers and organization of yearly meetings of the network	Refer to output 3 in the right column	Output 3 above
	Activity B: Development of ASEAN case studies on GPP and eco-labelling implementation in the leading ASEAN+3 countries	Refer to output 2 in the right column	Output 2 above
	Activity C: Transferring GPP and eco-labelling knowledge through a regional capacity building scheme	Refer to output 1 in the right column	Output 1 above
	Activity D: Improve the performance of GPP policies and eco-labelling schemes through the establishment of regional workgroups coordinated with the SPPI groups	Refer to output 3 in the right column	Output 3 above

53. Figure 1 depicts a ToC diagram for the two projects together with development pathways. The logic of the ToC diagram flows in a vertical direction (upwards) from component and outputs (light green boxes) to long term impacts (dark grey box) of SPP. In between, there are the direct outcomes and intermediate states that leads to intended long-term impacts of the Project – all based on the external assumptions and drivers.

Figure 2: Re-Constructed Theory of Change Diagram for SPELL and ASEAN+3



V Evaluation Findings

54. This chapter is organized according to the evaluation criteria presented in the Terms of Reference and reflected in the evaluation ratings table. The Evaluation Findings section provides a summative analysis of all triangulated data relevant to the parameters of the criteria. This is the main substantive section of the report and incorporates indicative evidence²¹ as appropriate. Ratings are provided at the end of the assessment of each evaluation criterion and the complete ratings table is included under the Conclusions section (V. A) below.

A. Strategic Relevance

i. Alignment with UN Environment Medium Term Strategy (MTS) and Programme of Work (POW)

55. The projects are clearly related to UN Environment strategic priorities as expressed in the UN Environment Mid-Term Strategy (MTS) 2010-2013, specifically aiming at fulfilling the target that 'Consumer choice favours more resource-efficient and environmentally friendly products'²².

56. With the embedded purpose of strengthening the role of UN Environment's regional offices, the project is in line with UN Environment's strategic priority of becoming more visible and active at the regional level with regional offices scaling up engagement, enhancing capacity building and coordinating implementation of the sub-programmes of the POW at regional level, including through execution of projects. This need was expressed by the General Assembly already in 2010²³. It is noted, however, that this intention was only realised in one country and region.

57. The Project also aligns very well with the UN Environment POW 2014-2015, in which it is stated that the UN will strengthen 'the capacity of Governments and other public institutions to develop and implement policy measures to stimulate demand for more sustainable products, in particular sustainable public procurement'. The POW contains the planned output 'Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced' which includes the following Programme of Work outputs and budget lines: 2. 'Global partnership, tools and technical and policy support provided to Governments and other stakeholders to develop and implement sustainable public procurement', and 3. 'Life-cycle-based information tools and methodologies, including eco labelling, certification and product sustainability indicators, developed with and provided to Governments, businesses and other stakeholders'²⁴.

²¹ This may include brief quotations, anecdotal experiences, project events or descriptive statistics from surveys etc. The anonymity of all respondents should be protected.

²² UNEP 2010-2013 Medium Term Strategy http://www.preventionweb.net/files/14460_FinalMTSGCSSX81.pdf

²³ By its resolution 65/162 of 20 December 2010, the General Assembly called for increased support to strengthen the human, financial and programmatic capacities of all the regional offices of the United Nations Environment Programme (UNEP).

²⁴ UNEP POW 2014-2015

58. The rating for alignment to MTS and POW is Highly Satisfactory.

ii. Alignment to the UN Environment / Donor Strategic Priorities

59. The project follows up on the Bali Strategic Plan so as to better meet the needs of governments and partners, i.e., through ensuring that capacity development is an integral part of UN Environment Programmes of Work, and also follow up on UN Environment's work based on the Marrakech Task Force on Sustainable Public Procurement (MTF on SPP)²⁵ which ended its mandate in May 2011²⁶.

60. SPPEL has been financed primarily by the EC (68%) and is completely in line with EU policies and development aid strategies. Achieving coherence between non-aid policies and development policy – particularly in relation to the MDGs – has been a central goal up until 2015. Emphasis was given in this regard to the potential impact that EU environmental and energy policies – but also trade, agriculture, fisheries and transport policies – could have on the progress towards MDG 7 on environmental sustainability. Key objectives that have become part of EU development policy include: leading global efforts to curb unsustainable consumption and production patterns; assisting developing countries to implement the MEAs; helping developing countries to incorporate environmental concerns in development and promoting pro-poor environment-related initiatives. The 2013 EU Communication, "A Decent Life for All" goes further by including the sustainable management of natural resources as one of the five priority elements for the overarching framework of the post-2015 Sustainable Development Goals. SCP-oriented support EU programmes include Switch Asia, EaP Green, PAGE and REEDTE²⁷.

61. Co-financing of SPPEL and financing of ASEAN+3 was provided by the Republic of Korea, China, Malaysia and Japan (specifically to the ASEAN+3 project), UN Environment, Switzerland, Norway, USA, Sweden and Germany. The projects are clearly in line with the donor priorities: The Republic of Korea, China, Malaysia and Japan participated actively in the ASEAN+3 project, Norway and Sweden has support to SCP as a specific area of interest in their development assistance strategies²⁸.

62. The rating for alignment to UN Environment / Donor Strategic Priorities is Highly Satisfactory.

²⁵The Marrakech Task Force on Sustainable Public Procurement (MTF on SPP) was launched at the second international meeting of the Marrakech process in Costa Rica in 2005. The objective of the MTF on SPP was to test the MTF approach on SPP in up-to 14 countries by 2011.

²⁶ <http://staging.unep.org/south-south-cooperation/pdfs/Bali-Strategic-Plan-GC23-6-add-1.pdf>

²⁷ Nielsen, Bauer et al : Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013); 2015.

²⁸ Bauer et al : Sustainable Consumption and Production – an analysis of Nordic Progress towards SDG12, and the way ahead. Nordic Council of Ministers, 2018.

iii. Relevance to Regional, Sub-regional and National Environmental Priorities

63. The project was, at its initiation, overall relevant to the three core countries and was connected to national sustainability policies and initiatives existing at the time of project preparation. However, the eco-labelling element was relevant to a lesser extent than the SPP element.
64. Vietnam has been developing and implementing various policies, laws and regulations relating to environmental protection. In 2009, the National Strategy on Cleaner Production in Industry to 2020 was developed by the Ministry of Industry and Trade, and the National Action Plan on Sustainable Consumption and Production for the period 2010 – 2020 was issued in 2010 and is currently being implemented. As an effort to restructure the economy toward increasing quality, resource effectiveness and competitiveness, Vietnam developed and approved the Green Development Strategy for the period of 2011-2020, with vision to 2050. SPP is an important element of the above-mentioned plans, but Vietnam had not, prior to the project, developed a policy or action plan nor allocated human resources to the topic.
65. In collaboration with UN Environment and with seed funding provided by the Nordic Council of Ministers, Brazil had, in 2011, already initiated the process of consultation towards the development of a regional collaborative approach to ecolabelling and SPP jointly with other Southern Cone countries. Brazil has developed a national legal framework on SPP and was expected to play an important role in showcasing their results and promoting the SPP approach in other countries of the region.
66. The Colombian Government's interest for SPP is mainly driven by the international SDG commitments, in particular SDG 12. Colombia has prepared an SPP policy (2010), has considerable experience with SPP at a practical level (including framework contracts) and there is a recognized need to further develop this policy and strengthen SPP.
67. Eco-labelling was a topic only partly in line with the national priorities. The eco-labelling systems in Colombia and Vietnam were (and are still) weak (the Brazilian eco-labelling system is more mature), and important government institutions were not particularly eager to focus specifically on eco-labelling as the tool for SPP criteria development and improvement of environmental attributes of products targeting the public sector. Other government institutions, especially Ministries of Industry, have a more positive perception of the relevance of national eco-labelling in the context. An important factor reducing the relevance of ecolabelling as tool for SPP in the three countries is the fact that industrial associations in all three countries were (and are still) reluctant towards the value of eco-labelling as a tool to improve businesses' environmental performance and especially as to ecolabelling forming the basis for SPP.
68. The project fits well into regional initiatives, including the ongoing SPP cooperation in the Latin America and the Caribbean (LAC) and the ASEAN region's focus on promoting SCP, as expressed by the cooperation in the Asia Pacific Roundtable for Sustainable Consumption and Production²⁹.

²⁹ The Asia Pacific Roundtable for Sustainable Consumption (APRSCP) is a network institution that promotes SCP in the Asia-Pacific since 1997. The Government of Vietnam is a member.

69. The rating for Relevance to Regional, Sub-regional and National Environmental Priorities is Satisfactory.

iv. Complementarity with Existing Interventions

70. The project was anticipated to contribute to development of the UN Environment SPP approach and the expansion and qualitative development of the 10YFP programme (now the One Planet Network) and the SCP Clearinghouse.

71. The ProDoc briefly mentions coordination with the EU Switch Asia programme and with the ENTRP, but there is no mechanism established to secure such coordination in the core countries. The complementarity with other initiatives (e.g., EU or other non-UNEP initiatives) is not mentioned in the ProDoc, nor is it mentioned whether there is a risk of duplication of efforts with other projects and initiatives.

72. During implementation, the project has been well integrated with the 10YFP and cooperated well with the EU Green Public Procurement Advisory Committee; the evaluators have not found any indications on duplication of work.

73. The rating for Complementarity with Existing Interventions is Satisfactory.

The overall rating for Strategic Relevance is Highly Satisfactory

B. Quality of Project Design

74. The revised 'mother ProDoc' for the overarching SUSTRAN project "Delivering sustainable development and enabling the transition to greener economies through sustainable public procurement" is relatively comprehensive and well prepared and was rated as 'Moderately Satisfactory' during the Inception Stage of this evaluation. However, as the evaluation found that the specific ProDocs for SPPEL and ASEAN+3 have been governing project implementation (apart from project monitoring) and are referred to during interviews, these documents form the basis for the present assessment of the quality of project design³⁰.

75. As discussed above under Strategic Relevance, the projects are clearly related to UN Environment strategic priorities as expressed in the UN Environment Mid-Term Strategy 2010-2013, specifically aiming at fulfilling the target that 'Consumer choice favours more resource-efficient and environmentally friendly products'.³¹ The projects also follow up on the Bali Strategic Plan so as to better meet the needs of governments and partners and also follow up on UN

³⁰ UN Environment's project monitoring, however, refers to the milestones from the overarching project document and not from the specific SPPEL and ASEAN+3 project documents.

³¹ United Nations Environment Programme Medium-term Strategy 2010–2013

Environment's work based on the Marrakech Task Force on Sustainable Public Procurement (MTF on SPP)³² which ended its mandate in May 2011.

76. The projects' intentions of strengthening the role of UN Environment's regional offices is in line with UN Environment's strategic priority of becoming more visible and active at the regional level.
77. A weak point of the ProDocs is the absence of a clear Theory of Change and a clear and convincing description of the causal pathways. The evaluation team has reconstructed a joint ToC for the two projects SPPEL and ASEAN+3.
78. The outputs are too numerous and should more precisely include considerations on the institutional SPP and EL framework. Outcomes are not very precisely formulated and not found realistic with respect to the timeframe and scale of intervention (as it is not plausible that projects of this magnitude will effectively lead to significantly increased sustainable public procurement). The roles of key actors and stakeholders are relatively sparsely described.
79. The ProDocs include a logical framework with indicators; additional SMART indicators with baseline data would have been of value; milestones and a workplan for SPPEL and ASEAN+3 milestones are not well developed, some milestones are formulated as activities and the workplan is not providing a good overview of the project process. There is no detailed budget with costing against project activities and outputs in SPPEL and the budget in ASEAN+3 is not very detailed or meaningful.³³
80. The ProDocs include little information on the model for governance and supervision with sparse descriptions of roles and responsibilities.³⁴
81. According to the projects' design documents the interventions were intended to feed into – and utilise – already existing communication platforms, such as 10YFP and the SCP Clearing house, on top of which specific communication efforts in core countries were intended to take place. The ProDocs could have benefitted from a proper communication strategy specifying target groups, messages, communication channels etc.
82. The project design is relatively efficient, as funding had been secured and the projects make use of a number of activities from UN Environment, donors, and other stakeholders. The risk analysis in SPPEL prodoc is relevant, but not completely well reflected in the project logframe. The ProDocs contain sparse considerations on the sustainability of the initiatives.
83. Overall, the project design can be rated Moderately Unsatisfactory – as an aggregated rating for SPPEL and ASEAN+3 (the Quality of Design matrix has been included in Annex C).

The overall rating for Quality of Project Design is Moderately Unsatisfactory

³²The Marrakech Task Force on Sustainable Public Procurement (MTF on SPP) was launched at the second international meeting of the Marrakech process in Costa Rica in 2005. The objective of the MTF on SPP was to test the MTF approach on SPP in up-to 14 countries by 2011. mandate of the MTF on SPP came to an end during the 19th Session of the Commission on Sustainable Development in May 2011

³³ The PCAs contain a budget with costing against project activities and outputs.

³⁴ The PCAs contain a more precise description of the roles of the implementing institution.

C. Nature of External Context

84. Project operations can be affected by externalities beyond the control of the Project. This may include externalities such as severe and unexpected climatic events, high-risk security situations, poor or lack of supporting infrastructure, economic instability, and politics.
85. The launching of the UN Sustainable Development Goals in 2015 provided increased focus at Sustainable Public Procurement (SDG 12.7) and Companies' Sustainable Practices (SDG 12.6).
86. During project implementation, the president of Brazil was impeached, delaying project implementation severely in Brazil, but also opening for a reconstruction of the results framework and a more effective implementation process. The other countries enjoyed relative political stability during the implementation period and no other severe externalities influenced project implementation negatively.

The overall rating for Nature of External Context is Favourable

D. Effectiveness

i. Delivery of Outputs as defined in the reconstructed TOC

87. The reconstructed ToC includes five outputs as depicted in previous sections, discussed below.
88. *Output 1 – The national SPP organizational and institutional framework strengthened in the core countries*

Support has been delivered in the three core countries - including the introduction of the UN Environment SPP approach, guidance on organisational set-up, support for baseline studies, support for preparation of eco-label criteria and SPP-criteria, etc.

Concrete deliverables include baseline studies, workshops and seminars, policy statements, organisational plans, action plans, communication plans, legal reviews, market analyses and training material.

The projects also contributed to achievements in non-core countries, with SPP Action Plans being developed in an additional five countries, exchange of best practices covering 15 countries, capacity building, and around ten countries being financially and technically supported in moving into action plan implementation.

SPPEL has contributed significantly to raising awareness and interest on SPP in the core countries, including in government, institutions, and business associations. More than 700 procurers, decision makers and suppliers have benefitted from training on SPP and ecolabelling. Based on an analysis of responses across a wide range of involved stakeholders the project has led to increased interaction and engagement among the key staff in different ministries/public institutions working on SPP, and the project has facilitated more cooperation

between ministries as well as more, and closer, cooperation between the public and private sector.

The projects encouraged the creation of SPP Steering Committees at the country level, but it was up to the countries to ensure that they would meet and play their supervision role. Although a national support unit was established in each of the core countries, the evaluators still find considerable room for improvement of the national institutional frameworks, without which SPP implementation cannot be expected to happen at a broader scale. This includes needs for establishing of a more clear vision and goals; firm leadership showing the way (including allocation of budgets); strategies endorsed at the right level and providing the step-by-step path to effective SPP; a well-balanced structure allocating responsibilities and tasks; systems supporting criteria setting and effective procurement; and an institutional culture clearly supporting sustainable procurement.

The evaluators find that the project should have applied a more coherent institutional approach (with less weight on the technical factors) and that this could have increased the high-level participation and anchoring of the project in the relevant national institutions, thereby increasing the likelihood of achieving the outcomes and eventually impacts.

The evaluation, based on a comparison of project implementation between the three core countries, finds that the lack of UN Environment presence during project implementation in Vietnam (or some alternative mechanism that brought the project closer to the national key actors) has contributed negatively to the effectiveness of the project implementation, and a visible UN Environment representative could have supported the inclusion of all the most important stakeholders. In Brazil the UN Environment country office played a key role in mobilising key actors, and in Colombia the Regional Office of Latin America and the Caribbean fulfilled this role together with Ministry of Environment and the CNPMLTA.

Targets and indicators from the ProDocs related to this output include:

- Number of country specific SPP policies and action plans drafted
- Number of support units established
- Number of country specific networks of correspondents
- Number of national experts trained
- Number of product ecolabel criteria documents / SPP criteria documents developed

89. Output 2 - Product guidelines, case stories and good practices disseminated nationally and regionally

The project and UN Environment have disseminated product guidelines, case stories and good practices nationally and regionally through training courses, seminars, workshops, conferences and web-platforms that have either been funded by the project or organised by UN Environment. Experience from the work in the three core countries have been included in the 10YFP Sustainable Public Procurement Programme. Several UN Environment Publications have been issued containing case stories and experience from SPPEL. The SCP Clearinghouse has been a main tool to disseminate guidelines and case stories regionally and globally, including the capacity building and implementation tools developed in the frame of the national and regional activities.

The LAC online platform *Compras Sostenibles* has been developed to disseminate SPP information in Latin America. The Platform has recently been launched and is hosted by One Planet, which is assumed to ensure that the Platform will continue to exist after completion of the SPPEL and ASEAN+3 projects. On the other hand, the majority of the key stakeholders consulted during the field missions to Latin America expressed serious concerns that this type of platform may only receive limited attention and interest by the target audience in the region.

Although dissemination of case studies and tools and other types of communication have taken place, the evaluators find that the project would have benefitted from a dedicated communication strategy, in which different target groups are identified, their information needs clarified, and communication planned (objectives, messages, communication channels etc.) accordingly.

Targets and indicators from the ProDocs related to this output include:

- Knowledge centre established and operational
- Regional LCA SPP platform established
- Number of initiatives and documents integrated in the SCP clearinghouse
- Number of downloaded documents
- Number of documents compiling project lessons and best practices, and the number of organisations/individuals accessing those documents
- Revised version of UN Environment SPP Guidelines and Training Material, and the number of organisations using this material
- Number of partners in the 10YFP SPP Programme

90. *Output 3 - Regional workgroups and networks established addressing key problems in SPP and ecolabelling*

Both SPPEL and ASEAN+3 have succeeded with establishing workgroups and networks. The Southern Cone cooperation group with 15 representatives from five countries met on several occasions from 2013-2016; The Asia Pacific GPP and Ecolabelling Network with 234 members met five times from 2013-2016 and conducted several webinars and other joint activities.; The Regional Task Force for the development of the Latin America and the Caribbean (LAC) Online Platform on SPP was created in 2016 and met physically in Panama in May 2017.

The two projects have also contributed to the expansion of the Global 10YFP network (now the One Planet Network) and the Francophone 10YFP SPP network.

Targets and indicators from the ProDocs related to this output include:

- Number of stakeholder groups and members in consultation forums
- A cooperative SPPI cooperative platform established, number of countries joining

91. *Output 4 - Ecolabelling programmes strengthened*

The evaluation did not find any substantial evidence that efforts of strengthening the national ecolabelling programmes in the core countries have led to significant results; the national

ecolabel systems especially in Colombia and Vietnam are still not very developed. In Latin America ecolabel criteria were developed for three product groups and discussed in four countries (including the two core countries); in Vietnam, product criteria were developed for five product groups and Asia-Pacific regional experience on ecolabelling was shared at seminars and webinars. None of the core countries obtained a significant boost to the ecolabel systems through the projects, demonstrated by the limited number of criteria being developed and the limited interest from industry in obtaining the ecolabel for their products.

Targets and indicators from the ProDocs related to this output include:

- Number of ecolabelling programmes going through GENICEs protocol or equivalent protocol
- Number of new product groups going through the process to be covered by ecolabel

92. *Output 5 - Pilot-companies supported in meeting ecolabel requirements*

A lack of sufficiently compelling drivers for greening of industry meant that the SPPEL support delivered to pilot companies only led to the award of the ecolabel to a few pilot-enterprises out of the pursued nine companies (more than 60 companies received training in the project, but few of these expressed interest in becoming certified). The work clearly demonstrated the difficulties in having industry accept ecolabelling as an important tool for achieving admittance to a promising public market.

Targets and indicators from the ProDocs related to this output include:

- Number of experts trained in ecolabelling and SCP tools
- Number of companies that have developed road map to meet ecolabel requirements
- Number of companies using the training material
- Number of new companies going through the process to obtain ecolabel certification

93. The rating for the delivery of outputs is Moderately Satisfactory

ii. Achievement of direct outcomes as defined in the reconstructed TOC

94. The reconstructed ToC contains two outcomes resulting directly from the outputs of the project. The outcomes concern the public sectors' sustainable procurement and the business sectors' ability to deliver green products, respectively.

95. *Outcome 1 - National SPP policies, leadership, support units, competent staff, systems and action plans work together to promote sustainable public procurement practices.*

- In Brazil, the ministry responsible for public procurement, Ministry of Planning, Development and Management, participated in SPPEL from the beginning in cooperation with the Ministry of Development, Industry and Foreign Trade (who was leading the process), the Ministry of Environment and other public entities. SPPEL has contributed to the strengthening of the Inter-ministerial Commission for Sustainability and Public Administration, (CISAP), that is meant to coordinate sustainability efforts across ministries. SPP is seen as an integrated part of the Environmental Management systems being implemented in

several public institutions, especially the Ministry of Environment and the Courts of Justice. SPPEL has contributed to systematise the Brazilian SPP approach with some focus on institutional development, development of systems for criteria setting, relevant sensitising and capacity building.

Despite the above positive factors, and the fact that SPP is included in the Brazilian constitution, laws and federal decrees, there is still some way to go for SPP to become fully institutionalised in Brazil. This creates a risk that a change of government may jeopardize the next (most needed) wave of SPP efforts. Brazil has not prepared a dedicated SPP policy or SPP Action Plan, the national SPP leadership (MPDM) is vague, there is no budget or structure supporting SPP at national or sub-national level, SPP criteria are not developed at central level, and no institution is systematically offering SPP training to public procurers.

- In Colombia, SPPEL has provided valuable input and methodologies to an institutional framework already engaged in SPP, thereby providing additional impetus to an already initiated process. The State Procurement Institution (*Colombia Compra Eficiente* (CCE), under the National Planning Department) was part of the project from the beginning and SPPEL has led to more and closer cooperation between public and private sector on environmental improvements, and also contributed importantly to increasing awareness of SPP within public institutions and in relation to private companies. The number of contracts with sustainability criteria has increased significantly since 2013 (e.g. in the Ministry of Industry it has increased by 250 %, and out of 42 framework contracts under the CCE, 15 now include sustainability criteria).

CCE published in June 2018 two new guidelines related to SPP: one on socially responsible procurement and one on environmentally responsible procurement, using national and international best practice examples. Following this, six open training events have been conducted by the CCE for companies and governmental institutions.

SPP receives some political attention. The national SPP policy is from 2010 and outdated, but there are expectations that SPP will be included in the new National Development Plan 2018-2022, which may be a way forward for releasing resources for SPP in the period 2018-2022.

- In Vietnam, the ministry responsible for public procurement, Ministry of Planning and Industry, participated sparsely in the projects, has not prepared a dedicated SPP policy, and expresses no ownership to the SPP Action Plan developed in SPPEL. The national SPP leadership is vague, there is no budget or structure supporting SPP at national or sub-national level, SPP criteria are not developed at central level, and no institution is systematically offering SPP training to public procurers (even though UNEP training material has been translated into Vietnamese language).
- A key factor affecting the incomplete achievement of this outcome in Vietnam and Brazil is the limited political recognition of the potential societal benefits of SPP, leading to weak national political and organisational support to genuinely implement and mainstream SPP. The UN project management unit - being a highly appreciated project partner in the core countries - has strived to strengthen the high-level recognition of the societal benefits of SPP, for example in ministries of finance - but with limited success. A more thorough institutional approach in the project could possibly have increased the level of institutional development and national anchoring of SPP.

- The regional networks established in SPPEL and ASEAN+3 (not counting the One Planet Network which is a separate UN Environment network) have stopped their activities (last activities were in 2016) and there is no longer the systematic exchange of good practices etc. that could support the effective operation of the national SPP institutional frameworks.
- Although there is a mixture of recorded experiences, overall, this evaluation finds that the governments of the core countries (still) only allocate limited resources and attention to national SPP efforts, in spite of the guidelines, training and dissemination of good practices provided in SPPEL and ASEAN+3. The potential of SPP to contribute to national sustainability is far from fully recognised.

Targets and indicators from the ProDocs related to this outcome include:

- Number of SPP contracts signed by supported governments
- Number of public sector tenders issued with sustainability criteria

96. *Outcome 2 - Relevant eco-labelled products for public procurement are readily available in the market at competitive prices*

- The ecolabel system in Colombia is gradually increasing the number of criteria and the number of companies seeking certification is also increasing. With support from SPPEL, the Ecolabel in Colombia applied for Global Ecolabelling Network (GEN) membership.³⁵ By becoming a member of GEN, the national ecolabel in Colombia will receive an international recognition and can benefit from other scheme's benchmarks and evolve to become a more robust system.
- On the other hand, in Colombia none of the companies supported through SPPEL managed to obtain the ecolabel certification within the project period. Initially, 11 SMEs went through an assessment of their companies and production practices. Based on the findings, roadmaps were produced to guide them in the process of complying with the criteria and obtaining eco-labelling certification. Out of the 11 SMEs, six companies showed interest in getting certified, while the remaining five companies found the eco-labelling process too cumbersome compared to the potential benefits. As a result of a problem with one of the ecolabelling criterion, which could not be verified by the existing infrastructure in the country, none of the six supported companies managed to obtain their certification within the project implementation period.
- The ABNT ecolabel in Brazil is a private label and the only full member of the GEN in LAC. It is a type 1 ecolabel, with criteria for almost 100 products and more than 700 products certified in the market. In Brazil, the SPPEL project did not define criteria for ecolabel, the criteria defined was for SPP and took into consideration some requirements from the Brazilian ecolabel.

³⁵ The GEN Network is a non-profit association of leading ecolabelling organisations worldwide aiming at protecting the environment by improving, promoting, and developing the ecolabelling of green products and sustainable services.

- In Vietnam, the ecolabel system is at an infant stage, with few criteria documents and few labelled products on the market.
- In all three core countries, business associations have, during interviews, expressed reservations concerning the ecolabel system as such and specifically concerning the use of ecolabels as a basis for public procurement. The ecolabels are considered too ambitious as compared to the national companies' ability and capacity to implement greener manufacturing systems. A less demanding approach in which SPP demands are introduced gradually is much preferred among the interviewed business representatives.
- A key factor affecting the achievement of this outcome in the core countries is the very limited public and private demand for green products. Challenged by the limited driving factors for implementation of ecolabelling, the projects have not succeeded in changing the overall perception of ecolabel systems as cumbersome, expensive and out of businesses' immediate sphere of interest and concern.
- After an initial period of time, characterised by discussions and slow project progress, UN Environment acknowledged that the strict ecolabelling approach constituted a problem in several of the core countries, and adapted the project to better fit the national conditions, e.g., by reducing the ambitious sustainability requirements to the product groups in question.

97. The evaluators find that the generic approach of the project should have been better adapted to the specific national conditions and institutional situation of the core countries before or immediately after project initiation. This would most probably have increased the likelihood that relevant outcomes could be achieved.

Targets and indicators from the ProDocs related to this outcome include:

- Number of new project-related ecolabelled products
- Increased industry interest for ecolabelling
- Increased resources allocated to ecolabel-organisations

98. The rating for achievement of Outcomes is Moderately Satisfactory

iii. Likelihood of impact

99. The likelihood of impact to a large degree depends on whether the assumptions and drivers (paragraph 37 and the ToC) have held or not. The evaluators find that most assumptions and drivers related to SPP in the core countries have not held: No evidence of additional national resources for SPP; no concrete SPP vision/targets; no prioritization of SPP in Ministry of Finance; no mandatory use of ecolabels in public procurement tenders; no significantly increasing demand for green products from neither the public or the public sector; too expensive green products; little motivation for SPP among procurers as they are not rewarded for this; the business sector does not experience or acknowledge the benefits of marketing sustainable products.

100. The intermediate state formulated in the results framework is that '*consumption choices made by governments favour more resource efficient and ecologically/socially friendly products*'. This nails down the essence of SPP, presumably (or hopefully) leading to a larger market share of sustainably manufactured, long lasting products and services and – eventually – to more efficient use of resources and less environmental impact.

101. Changes in public consumption behaviour are gradually taking place in Colombia where 15/42 national framework contracts now include sustainability criteria and the business sector demonstrates increasing interest in the provision of more sustainable products (but not necessarily *eco-labelled* products); the SPPEL project has supported this process. In Vietnam and Brazil, changes in consumption choices cannot be expected to happen at national level as the institutional framework around SPP and ecolabelling is too weak, among others confirmed by absent leadership from top-level ministries, lack of national goals, targets and strategies, limited budgets and few human resources allocated to the area.
102. At a less ambitious scale, consumption choices in specific Colombian and Brazilian institutions and/or sub-national entities are gradually turning towards favouring more sustainable products and services. SPPEL has had a positive influence on this development, which should be seen as an important milestone in the direction of introducing and implementing SPP in the national context.
103. It is not found likely that the projects will lead to tangible increases in the business interest for ecolabelled products or in the market share of ecolabelled products. At a less ambitious scale, the projects are likely to support an increased market share for more sustainably (but not necessarily ecolabelled) manufactured products and services by disseminating methodologies for defining relevant procurement criteria and achieving gradual environmental improvements in businesses.
104. The overall rating for impact is Moderately Unlikely

The overall rating for Effectiveness is Moderately Satisfactory

E. Financial Management

i. Completeness of project financial information

105. The financial agreement between UN Environment and the national partner institutions with responsibility for planning and implementation of project activities at country level is outlined in the Project Cooperation Agreements between the parties and has applied a system of submission of an advance payment upon signing of the contract followed by payments in accordance to a detailed project implementation plan approved by UN Environment (activity-based costing).
106. The advance payment, which has constituted up to 20% of the total budget amount, has been followed by annual payments (one payment per year) and a final payment (10-15% of the total budget amount). Release of annual payments has only taken place when at least 70% of the funds released for previous years' activities have been disbursed in accordance to an agreed work plan and the submission of a satisfactory progress report to UN Environment.
107. Both UN Environment offices and national partner institutions found that this procedure contributed to efficient financial management, with adequate control mechanisms that have not caused unnecessary burdens on the partners. The final and last payments were only released upon submission of a final project report and 100% disbursement of funds released in the annual payments.

108. The financial management procedures applied have included a certain degree of flexibility for the national partner institutions when spending the funds. The partners have been allowed to increase or decrease budget lines with up to 10%, as long as this would not lead to exceeding the total budget amount agreed with UN Environment. According to national partner institutions, this flexibility has been very important in ensuring efficiency in the implementation process, due to the innovative and experimental nature of this project. It was even suggested by the partners that the level of flexibility should have been higher (up to 20%) in order to properly reflect the uncertainties related to planning of the project interventions. At the Regional office in Panama, it was however found that the 10% flexibility was adequate, in order not to deviate too much from the agreed project plans.
109. In Latin America, both the Regional office in Panama and partners in the core countries found that the financial management model applied for the project contributed to an efficient project implementation process, since funds releases were (relatively) predictable (with the exception of year 2015, see below) and the procedures were very clear. It was also found that the model of releasing all funds linked to the annual work plan through one annual payment, had lowered transaction costs and made planning of e.g. training events easier.
110. While the financial management model has provided national partner institutions with a relatively large scope for planning and implementation of their project activities and an incentive to stick to the implementation plan, it has at the same time allowed UN Environment to continuously monitor and control the disbursement process and ensure that key principles for managing procurement processes and financial reporting have been fulfilled.
111. Based on the assessed documentation and interviews conducted with management and staff from both UN Environment and national partner institutions, there have been no reported cases of mismanagement of funds or other kinds of deviations from the financial agreements.
112. Major adjustments to UN Environment financial management system were however implemented during 2015 and resulted in significant delays in the transfer of funds from UN Environment HQ to the decentralised offices. From 2016 and onwards, the funds transfers from UN Environment HQ to the regional and national UN offices became again more predictable and linked to the work planning and national institutions have only experienced minor challenges in funds transfers with no significant effects on planning and implementation of project activities.
113. Based on the project documentation made available by UN Environment and the interviews conducted by the evaluation team at both central, regional and national level, it is found that the financial management arrangements and procedures applied for the project, have worked in a satisfactory way, despite some serious systemic challenges occurring during the implementation period.
114. The Statement of Income and Expenditures (December 31, 2017) only includes expenditures related to the EC funding allocation, not to funding received from other sources. The expenditure lines in the statement do not fully correspond to the budget lines from the project document. Thus, the available financial information has made it difficult to assess the income-expenditure linkages of all project interventions.

115. The completeness of project financial information is rated as Moderately Satisfactory.

ii. Communication between finance and project management staff

116. At both central, regional and national level, the evaluation team found an appreciation of the communication that had taken place between finance and project management staff. Despite the adjustments introduced in UN Environment financial management procedures during 2015, it was possible to get project implementation back on track within a relatively short timeframe, and project partners largely contributes this to an effective communication process that took place.

117. In Latin America, the Regional office in Panama has provided support to the financial management of the project implementation in the region and has constituted the bridging between UN Environment HQ and national partner institutions in the region. Overall, the office has experienced a relatively smooth communication and interaction with partners at both central and national levels on financial management issues. It has been a clear advantage that this regional office has had strong inter-personal relationships and working relations both with central UNEP offices as well as with national partner institutions.

118. The communication related to financial management is rated as Satisfactory

The overall rating for Financial Management is Satisfactory

F Efficiency

119. This section contains an assessment of efficiency under the primary categories of cost-effectiveness and timeliness. The ProDocs do not include a detailed budget, with no costing against project activities and outputs in SPPEL, and in ASEAN+3 with little detail. This hampers the evaluators' ability to assess the cost-effectiveness of the project. However, the PCAs include a detailed budget through which allocation at output and activity level can be tracked at national level.

i. Cost-effectiveness

120. The overall budget of the project has been well allocated across the regions and countries involved in the project. Despite some serious challenges detected in funds transfers during the implementation period (see above), the overall impression is that these issues have not seriously affected the implementation and the cost-efficiency for the project.

121. The cost-effectiveness of the project in Brazil and Colombia has benefitted from the use of highly qualified experts and specialists from UN Environment, all of whom have strong experiences in assisting developing countries with SPP processes. In Latin America, the extensive use of regional experts and experiences was found to be of particularly high value and applicable to the context. The Vietnamese component was accomplished without involvement of regional experts and with limited input from UN Environment (due to an unsuccessful hiring process in UN Environment regional office).

122. Limitations of UN human resources have been a matter of concern in all regions and core countries. Despite contracting a highly qualified expert with substantial knowledge of the subject and regional contextual issues at the Regional office in Panama, it has been a challenge

to follow and support project implementation in the region. The UN Environment Brazil office was also found to have too few resources allocated for this project and there is no evidence to suggest that the regional office in Bangkok (which should have been active in Vietnam) has basically been active at all. These limitations have impacted negatively on the decentralised UN Offices opportunities to provide "hands-on" support and facilitation to some of the complex institutional processes within the core countries, which are seen as fundamental for sustaining and building further on the project results.

123. In both Colombia and Brazil, the evaluation team found that that the involvement of industry in criteria setting (and in Brazil also the institution responsible for ecolabel criteria) came very late and with limited intensity, which has affected the efficiency. In several cases, national ministries and institutions had defined criteria that were impossible for companies to comply with. As a result, procurement processes had to be re-tendered and criteria softened to make sure that at least a minimum level of competition could take place. In Brazil, the introduction of three grades of criteria gave a positive response from industry.
124. In the Colombian context, the cooperation between UN Environment central and regional levels and the national partners has been smooth and effective, contributing to cost-effectiveness. In Vietnam there was no cooperation with the regional UN Environment level, implying a less cost-effective implementation process, whereas in Brazil the existence of a competent national UN Environment office provided for a cost-effective process.

ii. Timeliness

125. The project implementation period 6/2013 – 12/2018 (66 months, prolonged from the originally foreseen 60 months) made it possible to continue directly from two previous projects: "Capacity building for Sustainable Public Procurement in developing countries" (February 2009 – January 2011) and "Enabling Developing Countries to Seize Eco-Label Opportunities: capacity building and technical assistance for industries and governments in developing economies" (implemented in the period 2007-2012). The two earlier initiatives arose from a partnership between UN Environment and the Swiss Government in 2008 and the result of this early work provided a useful platform for the SPPEL project implementation, especially in Colombia and Brazil.
126. Some delays took place early in the implementation process for different reasons. Firstly, after conducting the inception workshop in Mexico there was a gap of more than a year before the actual project implementation was started, mainly due to difficulties in identifying relevant staff for the regional UN Environment offices. As a consequence, it was necessary to go through some of the same assessments and discussions with key stakeholders in the countries as had already been covered during the inception workshop.
127. Secondly, there was a need to adjust the generic ProDoc to specific needs and priorities at country level. This included e.g. discussion/revision of indicators with key stakeholders in Colombia, revision of the ecolabelling approach in Brazil, and full acknowledgement of the institutional situation in Vietnam. While this further delayed the implementation process at the same time it showed an ability to take into consideration specific contextual conditions within the core countries. It would have provided for a more effective implementation process if the national conditions and wishes had been taken more genuinely into account in the process of preparing the specific components in the core countries.

128. Thirdly, the delays in the transfer of funds from HQ to the decentralised offices in 2015 as a consequence of major adjustments to the UN Environment financial management system (see above) resulted in the postponement of project activities from 2015 to 2016 (e.g. some of the planned trainings). After 2015, delays in funds transfer has only to a limited extent affected planning and implementation of project activities.

The overall rating for Efficiency is Moderately Satisfactory

G. Monitoring and Reporting

i. Monitoring Design and Budgeting

129. Section 5 of the SPPEL ProDoc (section Reporting & Evaluation) includes a brief paragraph on monitoring stating that *'The standard project monitoring and evaluation will be carried out by project staff against the logical framework and UNEP internal PIMS system to ensure that key activities are proceeding accordingly, project milestones are executed in a timely manner. The project will also be monitored using the SCP clearinghouse online platform also to be used for these purposes'*. The ASEAN+3 ProDoc only mentions that *'The Project will follow UNEP standard reporting and evaluation processes and procedures'*. Neither of the two project budgets include a budget line for monitoring and no mid-term review or evaluation is mentioned - but both ProDocs include a budget line for 'Evaluation'. Several milestones in the project implementation plans are formulated as activities rather than as milestones, for example: *'Identification of training participants'* or *'Investigation and research into existing resources'*. The lack of precise milestones, representing the achievement of feasible project management stages, hamper proper project monitoring. Gender, vulnerability or marginalisation disaggregation is not mentioned, but is very relevant to a project of this nature.

130. However, the design of the M&E plans for the two projects follow the monitoring plan provided in the ProDoc for the 'mother project', SUSTRANS. As this ProDoc has not been recognised by interviewees as guiding the project process, this is somehow confusing; it is not obvious why correct milestones etc. are not included in the SPPEL and ASEAN+3 project document. However, the milestones provided in the SUSTRANS ProDoc are relevant and the monitoring plan sensible. Furthermore, each PCA includes requirements on the implementing organisation's progress monitoring and reporting.

131. The rating for monitoring design and budgeting is Satisfactory.

ii. Monitoring of project implementation

132. SPPEL and ASEAN+3 monitoring was undertaken with the use of UN Environment's monitoring system and procedures throughout the project with six-monthly status report prepared by the project management unit in UN Paris and reported in the UN Environment Project Information Management System (PIMS). The monitoring refers directly to the indicators given in the results frameworks. The monitoring does not refer to the milestones from the project implementation plan but to other, more meaningful milestones.

133. The monitoring has allowed tracking of progress against indicators towards the delivery of the two projects' outputs and achievement of direct outcomes, thereby facilitating the timely tracking of results and progress.
134. The monitoring clearly accounts for delays in implementation but could have been more detailed on the challenges of combining SPP with ecolabelling.
135. The monitoring of project implementation has been rated as Satisfactory.

iii. Project Reporting

136. Reporting in PIMS includes observations on project highlights, lessons learned, project implementation challenges with management actions and follow up, achievement of project outcomes, and details on achievement of project indicators with baseline and target revision notes and progress remarks. The reporting commitments appear to have been fulfilled with clear and comprehensive notes. Reporting does not include gender disaggregated data.
137. The project reporting has been rated as Satisfactory.

The overall rating for Monitoring and Reporting is Satisfactory

H. Sustainability

138. Sustainability is understood as the probability of the benefits achieved at the direct outcome level being maintained and developed after the close of the intervention. The SPPEL and ASEAN+3 ProDocs do not include specific considerations on the sustainability of the projects' efforts.

i. Socio-political sustainability

139. In Colombia, SPP has during the last decade been mainstreamed nationally and sub-nationally and is presumed to be further integrated in the public sector at national and sub-national level.
140. In Vietnam and Brazil there is weak national political support for the mainstreaming of SPP and there is limited ownership and commitment to the further development of the SPP institutional framework at national level.
141. The key ministry for SPP in Vietnam has only been involved in the project to a very limited extent and expresses no ownership to project results (including the SPP Action Plan), and the Vietnamese ministerial unit for ecolabelling has been reduced in staff.
142. In Brazil, up until the recent presidential national election there has been some sector-ministerial interest for SPP and ecolabelling, but the newly elected president has expressed other priorities and there is no sign that SPP (or ecolabelling) will be strengthened at national level. SPP is likely to be further pursued at sub-national level (for example Sao Paulo) and institutional level (for example the Navy and the court system), to a certain degree continuing the work of SPPEL.

143. The business sectors in Vietnam and Brazil are reluctant to engage more sincerely in national ecolabel endeavours with the aim of strengthening SPP.

144. The socio-political sustainability is rated as Moderately Unlikely.

ii. Financial Sustainability

145. The outcomes of SPPEL and ASEAN+3 are dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g., strengthening the capacity of public procurers, preparing relevant criteria for sustainable procurement, and supporting the business sector in fulfilling SPP criteria (as there is no market incentive or regulatory requirement for implementing ecolabelling). Without additional public funding, SPP will not become mainstreamed. None of the three core countries have at national level allocated significant funds for the continued strengthening of SPP and ecolabelling and there is no project exit strategy formulated or testifying on how the future financial sustainability has been discussed in the project.

146. The LAC online platform Compras Sostenibles is hosted by One Planet Network, which is assumed to ensure that the Platform will continue to exist after completion of the project. The platform has been included in the One Planet Knowledge Hub under the SPP item and its library (268 resources with abstracts) is fully integrated in the library of the One Planet SPP knowledge Hub. However, also the One Planet Network struggles with achieving finance for many of their activities and it is unsure to which extent the platform will be continued and updated.

147. The financial sustainability is rated as Unlikely.

iii. Institutional Sustainability

148. The sustainability of project outcomes is heavily dependent on issues relating to institutional frameworks and governance. Reviews of SPP institutional frameworks around the world shows that mainstreaming of SPP requires a broad institutional effort combining organisational elements as vision, leadership, strategy, structure, staff, systems and culture, together forming an effective engine to improve the sustainability performance of public procurement.

149. In Colombia, the "National Development Plan 2018-2022" as well as the "Green Growth" strategy from 2017 are providing opportunities for better linking of SPP to national development strategies. CCE, responsible for public procurement, has participated in the project all the way through and now has a small but dedicated unit for SPP. The Ministry of Environment has contracted a new staff to support implementation of the SPP Action Plan 2016-2020 (developed from SPPEL) but is generally challenged by limited resources and capacity to lead the SPP process. The more influential ministries related to finance and planning processes in the country have not yet become directly engaged with SPP.

150. In Vietnam, the ministry responsible for SPP was only involved to a very limited degree and has not adopted the SPP Action Plan developed in SPPEL. The Asian Institute of Technology is ready to carry out the comprehensive SPP training courses developed in SPPEL, but there is no public budget for such training. Ministry of Environment has modest ambitions for continuing the ecolabel efforts and has allocated a minimal budget for the purpose. The Asian

SPP networks and working groups established in the projects have not met since 2016 and are in practice dissolved.

151. In Brazil, Ministry of Planning, Development and Management is in charge of public procurement and has taken actively part in SPPEL. Unfortunately, the ministry is not expressing ambitions for continuing the SPP-efforts, there is no SPP vision, targets or strategy developed, and sparse ministerial resources are allocated for the purpose. CISAP, the Inter-ministerial Commission for Sustainability in Public Administration, has been strengthened from SPPEL but has no concrete resources for SPP. Ministry of Environment expresses interest in continuing the SPP work but does not have resources or mandate for this; MoE can disseminate experience and approaches through forums like SISNAMA (the National Environmental System) and the organisations for State Environmental Councils (ABEMA) and Municipal Environmental Councils (ANAMMA). It has not been possible to identify an institution ready to continue the training established in SPPEL.

152. Institutional sustainability is rated as Moderately Unlikely.

The overall rating for Sustainability is Unlikely

I. Factors Affecting Performance

153. Individual factors affecting performance are discussed throughout this report. The highlights are as follows:

- the preparation and readiness were characterized by incomplete project documents for SPPEL and ASEAN+3, challenges in hiring competent staff for the regional offices (overcome for the Panama Regional Office), and limited engagement with key stakeholders
- the quality of project management and supervision was adequate, acknowledging the staffing challenges; UN Environment has overall been visible in the implementation process (including in Steering Group relations and provision of technical support) and good practices of adaptive project management were demonstrated
- stakeholder participation and cooperation were only partly sufficient as important stakeholders (including a national key institution for public procurement, industrial associations and an ecolabel criteria setting body) were lately or sparsely involved
- country ownership and driven-ness were not sufficient to achieve the forward momentum of the intended project results; governments are hesitating in respect of SPP and SPP has to a limited degree been additionally mainstreamed in the countries.
- efforts for communication and public awareness were extensive, encompassing national workshops and training and international exchange and dissemination of good practices, training material and case studies

154. The projects' responsiveness to human rights and gender was limited and the themes received almost no attention in the ProDocs. The projects' focus on ecolabelling as basis for

procurement criteria ('green criteria' as alternative to 'sustainability criteria') leave little room for inclusion of occupational health, human rights and gender issues in the public procurement criteria setting process.

V. Conclusions and Lessons Learned

i. Conclusions

155. A number of strategic questions were posed in the Terms of Reference for this evaluation. Some have already been addressed within this report and a summary response is provided here; others are addressed for the first time and are answered based on a holistic appreciation of the evidence gathered during the evaluation process:

- a) *Has the UN Environment proved effective in guiding countries in developing and implementing their SPP policies, including in line with international best practices?*
UN Environment enjoys an excellent reputation as provider of support to SCP and SPP in developing countries and is the international key actor in defining best practice within developing and implementing SPP policies. The projects evaluated have included many valuable elements and are well appreciated by the beneficiary countries. SPP is in many countries a new theme and many governments hesitate allocating resources and attention to this promising area. This barrier is difficult to overcome, but a more thorough preparation of the ToC and project documents might have resulted in even better and more sustainable results.
- b) *Has the UN Environment division of tasks between economy division and regional offices proved to be effective in project delivery?*
The evaluated projects have partly proven an effective division of tasks, as the regional office in Latin America played a well-executed lead role in the core country Colombia (and for other Latin American project countries). In Vietnam the project could have gained significantly from support from a regional office, but – not least because of difficulties in hiring skilled regional office experts to manage the project – the regional office did not play any role here. The last core country, Brazil, had a strong national UNEP office and therefore less need for support from the regional office; the regional office supported occasionally.
- c) *How well have the various project levels (national, regional, global) and substantive areas (sustainable consumption and production, green economy) been integrated?*
The projects have demonstrated good value of working with SCP and green economy in a combined national, regional and global effort and the project levels and substantive areas have been well integrated. Many challenges within the substantive areas are recognisable from one country to another. National endeavours benefit from direct communication and consultation with regional peers, and identified good national efforts contribute to the continual elaboration of the best international practice.
- d) *An integrated approach to sustainable public procurement and eco-labelling is reported to have potential added value compared to individual approaches. To what extent, and to what effect, has the project successfully created a synergistic approach to Sustainable Public Procurement and Eco-labelling?*
The potential added value of a synergistic approach to SPP and ecolabelling is clear and confirmed in developed countries. The integrated approach to SPP and ecolabelling has not demonstrated great value in the present projects, mainly because the business sectors in the developing countries found ecolabelling-criteria as too ambitious and cumbersome to comply with.
- e) *To what extent has a conscious scaling-up and replication model been successfully demonstrated? How well has a scaling-up/replication model been articulated and lessons captured for wider learning?*

The projects have tested an approach to strengthening SPP that has demonstrated only partly successful. However, UN Environment has captured lessons throughout the implementation period providing valuable input to a more effective replication model.

- f) *Going forward, what are the key lessons learned for further scaling up sustainable public procurement, and using it as a policy tool and catalyst for jobs, income and environmental sustainability? Are there any suggestions for further work on the promotion and application of project results?*

Refer to the sections on Lessons learned and Recommendations.

Table 5. Summary assessment and rating

Criterion	Summary Assessment	Rating
A. Strategic Relevance	Highly relevant	HS
<i>1. Alignment to MTS and POW</i>	Very well aligned to MTS and POW	HS
<i>2. Alignment to UN Environment /Donor/GEF strategic priorities</i>	Very well aligned to strategic priorities	HS
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>	Relevant to environmental priorities	S
<i>4. Complementarity with existing interventions</i>	Good complementarity with existing interventions	S
B. Quality of Project Design	Project design lacks ToC and assumptions	MU
C. Nature of External Context	Few negative externalities beyond the control of the project	F
D. Effectiveness³⁶	A weak intervention logic hampers the effectiveness of the project	MS
<i>1. Delivery of outputs</i>	Whereas some outputs were well delivered, others – especially the ones depending on cooperation with national stakeholders – were not provided to a full extent.	MS
<i>2. Achievement of direct outcomes</i>	Relying to a large degree on assumptions and drivers, direct outcomes have been partly achieved.	MS
<i>3. Likelihood of impact</i>	Limited government support to SPP makes impact moderately unlikely.	MU
E. Financial Management	Overall satisfactory	S
<i>1. Completeness of project financial information</i>	Financial information could be more detailed and complete	MS
<i>2. Communication between finance and project management staff</i>	Satisfactory communication	S
F. Efficiency	Overall budget well allocated, some resource constraints, implementation with some delays	MS
G. Monitoring and Reporting	Some confusion concerning monitoring framework but overall satisfactory	S
<i>1. Monitoring design and budgeting</i>	Relevant design in 'mother ProDoc'	S
<i>2. Monitoring of project implementation</i>	Monitoring well executed, more detail on project challenges desirable	S

³⁶ Where a project is rated, through the assessment of Project Design Quality template during the evaluation inception stage, as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together.

Criterion	Summary Assessment	Rating
3. <i>Project reporting</i>	Reporting ok.	S
H. Sustainability <i>(the overall rating for Sustainability will be the lowest rating among the three sub-categories)</i>	Unfavourable conditions for SPP in the three core beneficiary countries	U
1. <i>Socio-political sustainability</i>	Weak national support to SPP and industry reluctant to engage in ecolabelling	MU
2. <i>Financial sustainability</i>	Governments hesitate with allocating sufficient resources and attention to SPP	U
3. <i>Institutional sustainability</i>	The institutional SPP framework is still relatively weak	MU
I. Factors Affecting Performance ³⁷		
1. <i>Preparation and readiness</i>	Incomplete ProDocs	MU
2. <i>Quality of project management and supervision</i> ³⁸	Well executed project management, adaptive project management demonstrated	S
3. <i>Stakeholders participation and cooperation</i>	Participation of many relevant stakeholders, but some key stakeholders not sufficiently involved	MS
4. <i>Responsiveness to human rights and gender equity</i>	Limited attention to human rights and gender	U
5. <i>Country ownership and driven-ness</i>	Lack of country ownership means less likely impact and sustainability of efforts	U
6. <i>Communication and public awareness</i>	Extensive communication through different channels and portals	S
Overall Project Rating		MS

156. **Conclusion 1 (Strategic Relevance):** The project has been strategically relevant as a means to support SPP processes in selected core countries, in particular as a follow-up to SPP processes already initiated by previous project interventions. The regional perspective applied by the project has been of particularly high relevance. The ambition to link SPP with ecolabelling has been less relevant, given the premature stage of both ecolabelling and SPP within the supported regions and countries.

The results from two previously implemented projects: “*Capacity building for Sustainable Public Procurement in developing countries*” (February 2009 – January 2011) and “*Enabling Developing Countries to Seize Eco-Label Opportunities: capacity building and technical assistance for industries and governments in developing economies*” (implemented in the period 2007-2012) have provided a useful platform for the implementation of this project and contributed to the advances achieved over the past 4-5 years.

157. **Conclusion 2 (Quality of Project Design):** While the project design included proper consideration of key technical elements related to SPP/ecolabelling, it did not sufficiently analyse and address the key drivers and barriers for SPP/ecolabelling change processes within the core countries. In particular, the large institutional complexities related to SPP/ecolabelling

³⁷ While ratings are required for each of these factors individually, they should be discussed within the Main Evaluation Report as cross-cutting issues as they relate to other criteria. Catalytic role, replication and scaling up should be discussed under effectiveness if they are a relevant part of the TOC.

³⁸ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the technical backstopping provided by UN Environment, as the Implementing Agency.

(including incentive structures) have not been sufficiently addressed in the project design. In addition, the project scope has been too broad (national level) given the amount of resources available. The lack of a TOC hampers the understanding of the causal pathways; the considerable distance between project outputs and outcomes could possibly have been made clear. The project design suffers from not including an initial stakeholder/power analysis within the core countries to identify and ensure involvement of key SPP/ecolabelling institutions and strategic partners as part of the project design process and implementation.

158. Conclusion 3 (Effectiveness): While the project has been relatively successful in achieving outputs, the achievements at outcome level are less positive - largely as a consequence of the project design issues mentioned above in Conclusion 2. While the outcome related to SPP national institutional frameworks was partly achieved, the outcome related to ecolabelled production was only achieved to a limited extent.

The project effectiveness has benefitted from adaptive programme management, through which it has been possible to adjust the overall project approach in reflection of specific requests and priorities from the core countries. Although these discussions initially led to delays in the start-up and implementation process, they have also contributed to a larger national ownership to the project within the countries.

159. Conclusion 4 (Impact): The project has, within specific public institutions and at sub-national level in two of the core countries, contributed to increasing demand for more environment-friendly products and services through institutional development and dissemination of methodologies for defining relevant procurement criteria. However, it is not likely that the project will lead to any tangible increase in the business interest for ecolabelled products or in the market share of ecolabelled products – this requires a stronger focus on the fundamental drivers for ecolabel-systems, including business to business relations.

A gradually increasing number of SPP processes are likely to be implemented within these specific ministries and institutions, leading to certain environmental improvements in some business areas, although mechanisms are not established to measure these benefits. However, the overall national SPP institutional frameworks are still too weak to drive and stimulate wider implementation outside the range of project supported institutions.

160. Conclusion 5 (Efficiency): The financial management arrangements and procedures applied for the project, together with smooth communication lines between the UN Environment offices and the national partners (less in Vietnam than in Colombia and Brazil), have contributed to efficiency gains in the project implementation. This has to some extent compensated an initial delay in project commencement and some systemic UN Environment financial management challenges that occurred during the implementation period (outside the control of the project stakeholders).

The mechanisms and procedures for financial management, communication and monitoring outlined in the Project Cooperation Agreements signed between UN Environment and the national partner institutions have served as useful guidance during the implementation process and have included a certain level of flexibility towards the national partners as well as sufficient possibility for UN Environment control and monitoring.

161. **Conclusion 6 (Sustainability):** It has not been possible through the project interventions in the core countries to mobilize broad institutional and financial support required for mainstreaming SPP at the national level, largely because the institutional processes for SPP within these countries are still fragmented and not sufficiently linked to national strategy, planning and budgeting processes. Consequently, an institutional model for upscaling and replication is still to be developed within the supported countries and the sustainability of project outcomes is weak.

There is a risk that without a second phase of support (see recommendations), much of the results that have been achieved through this project may be lost. Many of the results achieved at both institutional and business level are fragile and will depend on follow-up and support to become mainstream. Alternative/additional funding has not been identified or mobilized in any of the core countries and the project design and implementation have not included any particular focus on exit planning.

ii. Lessons learned

162. Introducing complex approaches and processes like SPP in a country with immature SPP models and sparse relevant experience is a big challenge. It is therefore important that countries for cooperation are selected based on an assessment of the expected achievement of outcome and the likelihood of sustainability (institutional and financial frameworks with a focus on elements such as vision, policies, strategy, budget for the purpose, experience, readiness, cooperation culture, and competences).

163. Ecolabelling is unlikely to be boosted by project support mainly focusing on public sector driven demand. Eco-labelling will not only spread on the basis of a public sector call. It will require a more strategic focus on the business environment and the fundamental drivers of ecolabel-systems, including business-to-business relations. Future projects should provide a more significant support to creating the enabling conditions for ecolabelling in countries, including developing both a business case and a policy case (i.e. strengthening the relevance for the policy framework) of eco-labelling.

164. Working with SPP is primarily an organisational and institutional challenge. Focus should be on the institutional aspects of SPP, including how to link SPP more directly to national strategy and planning processes and thereby also to national budget allocation frameworks. When the institutional framework is in place, the technical requirements and systems will follow.

165. International experience can work as leverage for national endeavours. The projects show that successful regional peer countries should be used as models and inspiration for regional expansion of SPP, given the importance of contextual factors (language, culture, trade patterns etc.)

166. When working within challenging national institutional frameworks where results are difficult to accomplish at national level, a more realistic focus at sub-national level may provide an opportunity to achieve valuable outcomes, paving the way for later efforts at national scale. Continuous and dynamic dialogue between UN Environment and the project partners strengthens the implementation process and makes adaptive project management possible.

167. By being present and visible in the countries of implementation UN Environment can utilise its very good reputation to create increased focus on important topics.
168. Generic project documents can provide a useful frame to pursue overall project goals; however, one size seldom fits all, and the generic project approach must be adapted to the specific conditions and institutional context in the countries where implementation will take place, based on appropriate situational and institutional analyses; a more open approach in the present projects would be to pursue different methods for creating SPP criteria (depending on national priorities) as opposed to focusing solely on ecolabels. Also in this context it is clear that comprehensive project preparation, specific ProDocs adapted to national conditions through the involvement of key institutions, preparation of a Theory of Change with clear causal pathways, and a focus on outcome and impact – cater for more successful projects in terms of supporting positive change.

iii. Recommendations

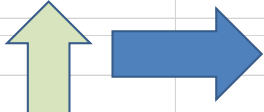
169. Overall, the evaluation team recommends that UN Environments support to SPP and ecolabelling in developing countries will be continued in a second phase, however with a slightly adjusted approach and more targeted interventions (see below).
170. The linkage between SPP and ecolabelling should be loosened in a second project phase. Implementation of the two components (SPP and ecolabelling) in parallel will most likely be more effective than trying to use ecolabelling only for the purpose of SPP. Support to establish the enabling environment for SPP and ecolabelling will lead to maturity that will allow for alignment / coordination between SPP and ecolabelling.
171. The project should work on the coordination of demand from public and private sector, thereby increasing the rationale for companies to be certified.
172. In the future, UN Environment should consider use of a “call for proposal” approach to identify interested countries, which would have to meet specific conditions to become eligible for project support. This would most likely be a more effective approach for country selection and lead to stronger national commitment to project implementation. Once selected after the proposal call, there should be a national tailoring of the focus of the intervention. This could lead to different scope of interventions depending on the maturity of the country in terms of SPP and ecolabelling, respectively.
173. Although UN Environment as a rule cooperates with the national environmental ministries, the active involvement in the project of other relevant - and more powerful – national ministries for planning and budgeting is seen as crucial to achieve lasting changes and impact and should therefore be included as a key requirement for country selection.
174. Regional experience (regional “peer countries”) should to a larger extent be used as models and inspiration for regional expansion of SPP, given the importance of contextual factors (language, culture, trade patterns etc.). Latin America seems to provide a particular strong case for this.
175. In countries with immature SPP models and ecolabel systems, a gradual introductory approach should be pursued. SPP could to a larger extent be piloted in sub-national settings to

test approaches and achieve visible and compelling results before potential up-scaling to national level; and SPP criteria should be less ambitious allowing for more companies to actually comply with the criteria.

176. Future project support should include a more equal balancing of the request for labelling from public and private actors to ensure leverage of both public and private demand for eco-labelling.
177. Realistically and clearly defined ToCs should be developed for future projects, including project outcomes and related assumptions/drivers, allowing for the realistic assessment of outcome and impact. Focus should be kept on not only output but also the outcome level throughout project implementation.

Table 6: Summary of the evaluation criteria ratings

Evaluation criteria	Rating	Score	Weight	Weighted Score
Strategic Relevance (select the ratings for sub-categories)	Highly Satisfactory	5	6	0,3
<i>Alignment to MTS and POW</i>	Highly Satisfactory	6	1	
<i>Alignment to UNEP/GEF/Donor strategic priorities</i>	Highly Satisfactory	6	1	
<i>Relevance to regional, sub-regional and national issues and needs</i>	Satisfactory	5	2	
<i>Complementarity with existing interventions</i>	Satisfactory	5	2	
Quality of Project Design	Moderately Unsatisfactory	3	4	0,1
Nature of External Context	Favourable			
Effectiveness (select the ratings for sub-categories)	Moderately Satisfactory	4	45	1,7
<i>Delivery of outputs</i>	Moderately Satisfactory	4	5	
<i>Achievement of direct outcomes</i>	Moderately Satisfactory	4	30	
<i>Likelihood of impact</i>	Moderately Unlikely	3	10	
Financial Management (select the ratings for sub-categories)	Satisfactory	5	5	0,2
<i>Completeness of project financial information</i>	Moderately Satisfactory	4		
<i>Communication between finance and project management staff</i>	Satisfactory	5		
Efficiency	Moderately Satisfactory	4	10	0,4
Monitoring and Reporting (select the ratings for sub-categories)	Satisfactory	5	5	0,3
<i>Monitoring design and budgeting</i>	Satisfactory	5		
<i>Monitoring of Project Implementation</i>	Satisfactory	5		
<i>Project Reporting</i>	Satisfactory	5		
Sustainability (select the ratings for sub-categories)	Moderately Unlikely	3	20	0,6
<i>Socio-political sustainability</i>	Moderately Unlikely	3		
<i>Financial sustainability</i>	Moderately Unlikely	3		
<i>Institutional sustainability</i>	Moderately Likely	4		
Factors Affecting Performance (select the ratings for sub-categories)	Moderately Unsatisfactory	4	5	0,2
<i>Preparation and readiness</i>	Moderately Unsatisfactory	3		
<i>Quality of project management and supervision</i>	Satisfactory	5		
<i>Stakeholder participation and cooperation</i>	Moderately Satisfactory	4		
<i>Responsiveness to human rights and gender equity</i>	Unsatisfactory	2		
<i>Country ownership and driven-ness</i>	Unsatisfactory	2		
<i>Communication and public awareness</i>	Satisfactory	5		
			100	3,79
				Moderately Satisfactory



Select ratings in this column from the drop down menu scores and weighted scores are generated automatically

Annexes

Annex I. Terms of Reference for the Evaluation

TERMS OF REFERENCE

Terminal Evaluation of the UN Environment project 'Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement'³⁹

Section 1: PROJECT BACKGROUND AND OVERVIEW

i) Project General Information

Table 1. Project summary

UN Environment PIMS ID:	01609	63-P1 Delivering sustainable development and enabling the transition to greener economies through sustainable public procurement (2010 – 2018) (Sub-projects SPELL and ASEAN+3 – see below)	
Regional Offices	Regional Office for Latin America Regional Office for Asia and Pacific		
Sub-programme:	Resource Efficiency	Expected Accomplishment(s):	POW: 2012/13; 2014/15 and 2016/17 #4 - Demand-side decisions and consumption choices favor more resource efficient and environmentally friendly products, driven by standardized and internationally recognized tools and communications and by an enabling social infrastructure.
UN Environment approval date:	<i>To be confirmed</i> (project 01609)	Programme of Work Output(s):	643 and 641
Expected start date:	January 2010 ⁴⁰ (project 01609)	Actual start date:	26 th June 2013 ⁴¹ (project 01609)
Planned completion date:	Dec 2015 ⁴²	Actual completion date:	Dec 2018 ⁴³
Planned project budget at approval:	USD 4,414,000 (for project 01609 in revision #2, 08.10.12)	Actual total expenditures reported as of [date]:	<i>To be confirmed</i>
Planned Environment Fund allocation:	<i>To be confirmed</i>	Actual Environment Fund expenditures reported as of [date]:	<i>To be confirmed</i>
Planned Extra-Budgetary Financing:	<i>To be confirmed</i>	Secured Extra-Budgetary Financing:	<i>To be confirmed</i>

³⁹ This project had a former title of 'Using Pricing Tools and Purchasing Criteria to Influence the Behaviour and Choices made by Individual and Institutional Consumers'.

⁴⁰ Programme of Work Project Document: 63-P1 'SPP project POW 63-P1_2012.pdf'

⁴¹ PIMS entry

⁴² Programme of Work Project Document: 63-P1 'SPP project POW 63-P1_2012.pdf'

⁴³ Although this project officially ends in December 2018, the substantive activities ended in December 2017, allowing for a Terminal Evaluation during the second half of 2018. Source: Final revision document: '63-P1_June_2013_Final (1).docx'

		Actual Extra-Budgetary Financing expenditures reported as of [date]:	<i>To be confirmed</i>	
First disbursement:	<i>To be confirmed</i>	Date of financial closure:	31 st December 2018	
No. of revisions:	2 (project 01609)	Date of last revision:	2015 (project 01609)	
No. of Steering Committee meetings:	<i>To be confirmed</i>	Date of last/next Steering Committee meeting:	Last: <i>To be confirmed</i>	Next: <i>To be confirmed</i>
Mid-term Review/ Evaluation (<i>planned date</i>):	Not applicable	Mid-term Review/ Evaluation (actual date):	Not applicable	
Terminal Evaluation (<i>planned date</i>):	December 2018	Terminal Evaluation (actual date):	July – December 2018	
Coverage - Country(ies):		Coverage - Region(s):		
Dates of previous project phases:	Builds on: 00195 'Capacity building for Sustainable Public Procurement in developing countries' (7 pilot countries from 2009) Also on: 'Enabling Developing Countries to Seize Eco-Label Opportunities: capacity building and technical assistance for industries and governments in developing economies' (2007-12)	Status of future project phases:	Future phase under development	

ii) Project Rationale

Public procurement expenditure represents a significant proportion⁴⁴ of Gross Domestic Product (GDP) in both northern and southern hemisphere countries. As such, 'sustainable' public procurement approaches are seen as an opportunity to drive markets towards innovation and sustainability. Sustainable Public Procurement (SPP) therefore emerged, from around 2008 onwards, as a policy instrument to support sustainable consumption and production and the move towards 'greener economies'.

The development of a National Action Plan on Sustainable Public Procurement is part of the process of operationalising sustainable public practices. Ecolabelling is one element frequently incorporated in such Action Plans as it helps to define sustainability criteria and verify compliance. UN Environment recognises the complementary nature of the two approaches (voluntary labelling and sustainable public procurement) and has brought them together explicitly in this intervention. Used in an integrated manner, the two market-based policy approaches are thought to help establish a dynamic framework for improving the performance of products throughout their life cycle, stimulating demand for and supply of better products, and helping consumers to make better choices.

UN Environment has been active in the areas of sustainable public procurement and eco-labelling since 2009 and this work has culminated in the project '*Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement*' (01609). Under this project is a sub-project called '**Stimulating the Demand and Supply of Sustainable Products through Sustainable Public Procurement and Ecolabelling (SPPEL)**', which was funded by a number of donors including the EC, Government of Norway and the US Environmental Protection Agency to a total value of USD 4,414,000. The

⁴⁴ On average 15% of GDP is attributed to public procurement in OECD countries and a higher proportion in developing countries.

project was initially planned to run from January 2010 to December 2015 and was extended to the end of December 2017.

A shorter and more geographically defined, sub-project is called '**Strengthening the Capacities and Improving the Knowledge on Green Public Procurement and Ecolabelling in the ASEAN+3 Region**' (ASEAN+3, 2013-14). With funding from China and Korea to a total value of USD 450,000, the initiative worked to develop capacity at a national and regional level to enable sustainable public procurement and ecolabelling in the 10 ASEAN countries (Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand and Vietnam) along with three key economic and political partners – China, Korea and Japan.

The two sub-projects described in paragraphs 3 (SPPEL) and 4 (ASEAN+3) constitute the primary evaluations for this terminal evaluation.

The work of the project to be evaluated has foundations in an earlier initiative (February 2009 – January 2011) on sustainable public procurement (SPP), '*Capacity Building for Sustainable Public Procurement in Development Countries*'⁴⁵, which arose from a partnership between UN Environment and the Swiss Government in 2008. The significance of this early work, which had a total budget of approx. USD 1.5m, is that it was used to test the Swiss-led Marrakech Task Force approach to sustainable public procurement and informed the development of UN Environment's current sustainable public procurement implementation methodology. The Marrakech Task Force approach was tested, under this capacity building initiative, in 7⁴⁶ pilot countries. Four of these countries (Costa Rica, Chile, Colombia and Mauritius), were subsequently supported in the implementation of their Sustainable Public Procurement Action Plans by the project being evaluated.

Similarly, a previous project called '*Enabling Developing Countries to Seize Eco-label Opportunities – Capacity Building and Technical Assistance for Industries and Governments in Developing Economies*', which was implemented between February 2007 and March 2010², has informed the development of the eco-labelling component of the project under evaluation. The '*Seize Eco-label Opportunities*' project was funded by the EC under the Europeaid programme to a value of Euros 1,919,142. The project was implemented in Brazil, China, India, Kenya, Mexico and South Africa and was evaluated by the independent Evaluation Office of UN Environment in April 2012. The evaluation assessed the project as having 'had great success in positioning eco-labelling as a market opportunity that can also bring resource efficiency and [increased] environmental impact benefits, rather than a 'green barrier' to emerging economies. A strong interest has been generated with national governments for SCP as a conceptual framework'.

iii) **Project Objectives and Components**

The project's goal and objectives, components and outputs are presented in Annex 1 as per the entry in the UN Environment Project Information Management System (PIMS) for the project 01609 and the 2015 revision documents for the sub-project, SPPEL.

iv) **Executing Arrangements**

This project is managed by the Consumption and Production Unit of the Resources and Markets Branch, which is part of the Economy Division. The Consumption and Production Unit is based in UN Environment's Paris office and at least two of the staff members currently involved in managing the initiative have worked on these projects for the past 10+ years, which provides a long institutional memory.

⁴⁵ The internal reference for this earlier intervention is 00195 - (CP40200901) Implementing the Sustainable Public Procurement Approach Developed by the Marrakech Task Force on Sustainable Public Procurement

⁴⁶ Chile, Colombia, Costa Rica, Lebanon, Mauritius, Tunisia and Uruguay.

Terms of Reference existed in 2012 for the role of UN Environment's regional offices, namely the regional offices for the Asia Pacific (formerly ROAP) and Latin America (formerly ROLAC). These Terms of Reference provided for a regional focal point from among UN Environment staff who was expected to coordinate and follow up on specific project activities; facilitate relations with national authorities; undertake and assist in country-specific missions, identify potential partners and co-funding opportunities; maintain direct contact with national partners and facilitate communication and the dissemination of the project's work at a regional level. This role also included ensuring synergies with other ongoing Sustainable Consumption and Production activities in the region.

At the global level the project works in close conjunction with two key networks through the 10 Year Framework Programme (10 YFP) Sustainable Public Procurement component: the International Council for Local Environmental Initiatives (ICLEI) - an international organization of local governments and national and regional local government organizations that have made a commitment to sustainable development and the Sustainable Purchasing Leadership Council (SPLC) - an American nonprofit legal advocacy organization specializing in civil rights and public interest litigation. ICLEI hosts a biannual meeting, called EcoProcura, of its group and co-leads the 10YFP theme on sustainable consumption and production. SPLC is on the board of the 10YFP.

The project operates in a number of countries that have a) varied over time and b) been involved at different levels. Activities have been implemented at national, regional⁴⁷ and global⁴⁸ levels. An initial group of four 'core' countries with national level implementation (Brazil, Colombia, India and Vietnam) was reduced to three when India was dropped in 2015.

v) Project Cost and Financing

2009 - 2011	USD	2010-2015	USD	2013-2018	EUR
Swiss	1,531,131.33	Norway	88,889	EC	2,791,902.07
EC		Multi-Donor	46,487	Other Donors	548,990.15
		TU Delft	-2,234	UNEP (salaries funded by the Environment Fund)	418,096.15
		Norway (2012/13)	130,409		
		US EPA	50,000		
		EC	3,720,201		
TOTAL	1,531,131.33 USD	TOTAL	4,414,000 USD	TOTAL	3,932,086.53 EUR

vi) Implementation Issues

This project has a long history during which it has developed geographically (working in more countries and more deeply in initial countries); thematically (developing to integrate sustainable public procurement with ecolabelling) and in response to changes over time (building on its own achievements as well as in response to an increasingly supportive global environment for sustainable approaches). None of the work since 2009 has been evaluated, which means that the boundaries of this evaluation will need to be well understood and well-articulated, ensuring that source/reference documents are clearly identified.

⁴⁷ Two main regions have been involved in the project – Latin America and Asia

⁴⁸ At the global level this project is the lead initiative in the 10 Year Framework Project (10YFP) Sustainable Public Procurement component.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

vii) Key Evaluation Principles

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) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

The “Why?” Question. As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultants need 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. This should provide the basis for the lessons that can be drawn from the project.

Baselines and counterfactuals. In attempting to attribute any outcomes and impacts to the project intervention, 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, trends and counterfactuals in relation to the intended project outcomes and impacts. It 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, trends or counterfactuals 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.

Communicating evaluation results. A key aim of the evaluation is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

viii) Objective of the Evaluation

In line with the UN Environment Evaluation Policy⁴⁹ and the UN Environment Programme Manual⁵⁰, the Terminal Evaluation (TE) is undertaken at completion 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 operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and its partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially for the second phase of the project, which is being developed.

⁴⁹ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

⁵⁰ http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . *This manual is under revision.*

ix) Key Strategic Questions

In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UN Environment and to which the project is believed to be able to make a substantive contribution:

- g) Has the UN Environment proved effective in guiding countries in developing and implementing their SPP policies, including in line with international best practices?
- h) Has the UN Environment division of tasks between economy division and regional offices proved to be effective in project delivery?
- i) How well have the various project levels (national, regional, global) and substantive areas (sustainable consumption and production, green economy) been integrated?
- j) An integrated approach to sustainable public procurement and eco-labelling is reported to have potential added value compared to individual approaches. To what extent, and to what effect, has the project successfully created a synergistic approach to Sustainable Public Procurement and Eco-labelling?
- k) To what extent has a conscious scaling-up and replication model been successfully demonstrated? How well has a scaling-up/replication model been articulated and lessons captured for wider learning?
- l) Going forward, what are the key lessons learned for further scaling up sustainable public procurement, and using it as a policy tool and catalyst for jobs, income and environmental sustainability? Are there any suggestions for further work on the promotion and application of project results?

Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

Strategic Relevance

The evaluation will assess, in line with the OECD/DAC definition of relevance, *'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'*. The evaluation will include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. *Alignment to the UN Environment Medium Term Strategy⁵¹ (MTS) and Programme of Work (POW)*

The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. *Alignment to UN Environment / Donor Strategic Priorities*

Donor strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building⁵² (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

iii. *Relevance to Regional, Sub-regional and National Environmental Priorities*

The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

iv. *Complementarity with Existing Interventions*

An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UN Environment's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

Quality of Project Design

The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unep.org/evaluation). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

⁵¹ UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

⁵² <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

C. Nature of External Context

At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

D. Effectiveness

i. Delivery of Outputs

The evaluation will assess the project's success in producing the programmed outputs (*products, capital goods and services resulting from the intervention*) and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The delivery of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision⁵³

ii. Achievement of Direct Outcomes

The achievement of direct outcomes (*short and medium-term effects of the intervention's outputs; a change of behaviour resulting from the use/application of outputs, which is not under the direct control of the intervention's direct actors*) is assessed as performance against the direct outcomes as defined in the reconstructed⁵⁴ Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the direct outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision

⁵³ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

⁵⁴ UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

iii. **Likelihood of Impact**

Based on the articulation of longer term effects in the reconstructed TOC (*i.e. from direct outcomes, via intermediate states, to impact*), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation>, and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. consider the effects of 'greenwashing' and changes in employment patterns etc). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.⁵⁵

The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication⁵⁶ as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals⁵⁷ and/or the high level results prioritised by the funding partner.

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

E. Financial Management

Financial management will be assessed under two themes: *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates

⁵⁵ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses>

⁵⁶ *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

⁵⁷ A list of relevant SDGs is available on the EO website www.unep.org/evaluation

to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The evaluation will verify the application of proper financial management standards and adherence to UN Environment's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

In keeping with the OECD/DAC definition of efficiency the evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

The evaluation will 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. The evaluation will also consider the extent to which the management of the project minimised UN Environment's environmental footprint.

The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

G. Monitoring and Reporting

The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

13. Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART⁵⁸ indicators towards the delivery of the projects outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

⁵⁸ SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

14. **Monitoring of Project Implementation**

The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This should include monitoring the representation and participation of disaggregated groups in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

15. **Project Reporting**

UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team. The evaluation will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g disaggregated indicators and data)

H. Sustainability

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

i. Socio-political Sustainability

The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

Some direct outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies,

sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

I. Factors and Processes Affecting Project Performance

(These factors are rated in the ratings table, but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above)

i. Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project (ie. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (*Project preparation is included in the template for the assessment of Project Design Quality*).

ii. Quality of Project Management and Supervision

In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UN Environment.

The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

iii. Stakeholder Participation and Cooperation

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UN Environment. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

iv. Responsiveness to Human Rights and Gender Equity

The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

In particular the evaluation will consider 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.

v. Country Ownership and Driven-ness

The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to direct outcomes or b) moving forward from direct outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs of interest of all gendered and marginalised groups.

vi. Communication and Public Awareness

The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

The Terminal Evaluation 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 as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

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

(a) A **desk review** of:

Relevant background documentation, inter alia [list];

Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), agreed donor proposals for SPELL and ASEAN+3, the logical framework and its budget. These documents should assist in establishing a clear understanding of the evaluand.

Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;

Published articles;

Project outputs (see list in the Project Information Management System – PIMS):

Evaluations/reviews of similar projects (e.g. Terminal Evaluation of previous Eco-labelling project).

(b) **Interviews** (individual or in group) with:

UN Environment Project Manager (PM) and Head of Consumption and Production Unit;

Project management team (including team members from UN Environment Regional Offices in Latin America, Asia and Africa);

UN Environment Fund Management Officer (FMO);

Sub-Programme Coordinator;

Project partners, including: Steering Committee members; project managers of all the project countries and their line managers; consultants who have contributed to the project; members of the One Planet Multi-stakeholder Advisory Committee; members of regional networks (Asia Pacific and Latin America); project partners and donors (OAS, KEITI, ICLEI etc)

Relevant resource persons.

Surveys: a survey may be considered through an online platform?

Field visits: 3 country visits are anticipated (likely to be the three 'core' countries of Brazil, Colombia and Vietnam)

Other data collection tools: to be proposed by the consultant.

x) Evaluation Deliverables and Review Procedures

The evaluation team will prepare:

- **Inception Report:** (see Annex 2 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically in the form of a powerpoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- **Draft and Final Evaluation Report:** (see links in Annex 3) containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
- **Evaluation Bulletin:** a 2-page summary of key evaluation findings for wider dissemination through the EOU website.

Review of the draft evaluation report. The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all

comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

The Evaluation Manager will prepare a **quality assessment** of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Project Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis.

xi) The Evaluation Consultant

The Evaluation Consultant will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager. The evaluation team will consult with: the UN Environment Project Manager (Famid Yaker and Beatriz Martins Carniero); Fund Management Officer (Fuaad Alkizim); the Sub-programme Coordinator (Dirk Wagener) of the Resource Efficiency Sub-Programme and representatives from the Latin America (Adriana Zacarias) and Asia and Pacific (Mushtaq Memon) Regional Offices. The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation, including travel. It is, however, the consultant's individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

The Evaluation Consultant will be hired over the period 15th August 2018 to end January 2019 and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 10 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; good experience/knowledge of public procurement and/or eco-labelling; knowledge of Spanish and/or Portuguese is desirable (languages needed may change depending on the countries selected for site visits), along with excellent writing skills in English; team leadership experience and, where possible, knowledge of the UN system, specifically of the work of UN Environment and/or other funding partners, including the EC.

The Evaluation Consultant will be responsible, in close consultation with the Evaluation Manager, for overall management of the evaluation and timely delivery of its outputs, described above in Section 11 Evaluation Deliverables, including country visits.

Annex II. Bibliography

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Annex III. List of people met

Brazil

Camila Cavallari – UN Environment Brazil

Denize Cavalcanti (Consultant)

José Augusto (Consultant)

Fernanda Daltro – UN Environment Brazil

Antonio Juliani - Ministry of Industry, Foreign Trade and Services

Marina Bortoletti – UN Environment - Economy Division

Célia Alves - Ministry of Planning, Development and Management

Sérgio Monforte - CNI

Vinicius Ribeiro – ABNT

Guy Ludovick – ABNT

Marcos Weiss Bliacheris - CGU

Cristiane Nunes - SEBRAE Mato Grosso do Sul

Ladário Navy

Commander Lameira

Henrique Mendes – Abinee - Brazilian Electrical and Electronics Industry Association

Regiane do Rocio de Brito – INMETRO

Andrea Santini Henriques – INMETRO

Rosaura Morais – INMETRO

Marcelo Orlandi Ribeiro - TCU

Frederico Julio Goepfert Junior – TCU

Denise Hamu – UN Environment Representative in Brazil

Rejane Pieratti – Ministry of Environment

Rivaldo Neto – Ministry of Environment

Vietnam

Mr. Nguyen Minh Cuong, Deputy Director, Dep. of International Cooperation and Science-Technology

Ms. Nguyen Thanh Nga, Department of International Cooperation and Science-Technology

Ms. Nguyen Thi Bich Hoa, Deputy Director, AIT-Việt Nam

Mr. Tran Nam Binh, PEAPROS consultants,

Ms. Nguyen Thi Anh Thu, Viet Nam National Productivity Institute (VNPI)

Ms. Ngo Chi Linh, Deputy Head of Procurement Policies, Dep. of Procurement Management, MPI

4. Mr. Ha Van Thang, Deputy Head of Procurement, Department of Procurement Management, MPI

Ms. Do Thi Thuy Huong, Member of Executive Board, Vietnam Electronic Industries Association

Colombia

Ricardo Jose Mendoza Mogollon – Ministerio de Ambiente y Desarrollo Sostenible

Beatriz Chaparro Rico – Ministerio de Ambiente y Desarrollo Sostenible

Marcela Pérez – Centro Nacional de Producción Más Limpia (CNPML)

Adriana Alzate – CNPML

Camilo Ortiz - CNPML

Yolanda Cortés - Secretaría Distrital de Medio Ambiente, Bogotá

Katherine Rincon, Secretaría Distrital de Medio Ambiente, Bogotá

Jennifer Díaz Caro – Min. de Tecnologías de la Información y las Comunicaciones de Colombia (MinTIC)

Alejandra Quintero - MinTIC

Steven Orozco – Colombia Compra Eficiente

Paula Montoya – Ministerio de Comercio, Industria y Turismo de Colombia (MinCIT)

Daniel Trillos - Instituto Colombiano de Normas Técnicas y Certificación (ICONTEC)

Coronel Carlos A Henao Fonseca – Brigada de Logística, Colombia

David Jesús Felibert Alvarez - Dirección Marítima Colombiana (DIMAR)

Isable Cristina Uribe - Acesco

Jaime Alberto Romero Infante – Universidad El Bosque

Estefany Benavides - INDUCARTON

Sabine Kittel - GIZ

Annex IV. Quality Assessment of the Evaluation Report

Quality Assessment of the Evaluation Report

Evaluation Title:

Delivering Sustainable Development and Enabling the Transition to Greener Economies through Sustainable Public Procurement (SPPEL and ASEAN+3)

All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant’s efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UN Environment Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary:</p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p>Final report:</p> <p>Complete and concise section</p>	5
<p>I. Introduction</p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p>Final report:</p> <p>A complex evaluation that is adequately described.</p>	5

<p>II. Evaluation Methods</p> <p>This section should include a description of how the <i>TOC at Evaluation</i>⁵⁹ was designed (who was involved etc.) and applied to the context of the project?</p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.</p>	<p>Final report:</p> <p>All elements included</p>	<p>5</p>
<p>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> • <i>Context</i>: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • <i>Objectives and components</i>: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders</i>: Description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners</i>: A description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation</i>: Any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing</i>: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>Final report:</p> <p>All elements adequately covered.</p>	<p>5</p>

⁵⁹ During the Inception Phase of the evaluation process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

<p>IV. Theory of Change</p> <p>The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project’s intentions or do not follow OECD/DAC definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project’s results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc log-frame/TOC and b) as formulated in the TOC at Evaluation. <i>The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results ‘goal posts’ have not been ‘moved’.</i></p>	<p>Final report:</p> <p>A good effort to bring the results frameworks of the three entities together, along with assumptions and drivers</p>	<p>5</p>
<p>V. Key Findings</p> <p>A. Strategic relevance:</p> <p>This section should include an assessment of the project’s relevance in relation to UN Environment’s mandate and its alignment with UN Environment’s policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> v. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW) vi. Alignment to UN Environment/ Donor/GEF Strategic Priorities vii. Relevance to Regional, Sub-regional and National Environmental Priorities viii. Complementarity with Existing Interventions 	<p>Final report:</p> <p>Complete and concise</p>	<p>6</p>
<p>B. Quality of Project Design</p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report:</p> <p>Summary provided and template attached as annex</p>	<p>6</p>
<p>C. Nature of the External Context</p> <p>For projects where this is appropriate, key <u>external</u> features of the project’s implementing context that limited the project’s performance (e.g. conflict, natural disaster, political upheaval), and how they affected performance, should be described.</p>	<p>Final report:</p> <p>Relevant details provided.</p>	<p>5</p>
<p>D. Effectiveness</p> <p>(i) Outputs and Direct Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the a) delivery of outputs, and b) achievement of direct outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability</p>	<p>Final report:</p> <p>Solid reasoning and clear discussion. Discussion provided for each output and outcome.</p>	<p>6</p>

or marginalisation, should be discussed explicitly.		
<p>(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>Final report:</p> <p>Clear discussion</p>	6
<p>E. Financial Management</p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed ‘financial management’ table.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff 	<p>Final report:</p> <p>The two sub-criteria are covered adequately but there appears to be no financial data for the projects/ The financial tables are not annexed.</p>	2
<p>F. Efficiency</p> <p>To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UN Environment’s environmental footprint. 	<p>Final report:</p> <p>The two main areas of cost-effectiveness and timeliness are adequately discussed.</p>	5
<p>G. Monitoring and Reporting</p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART indicators, resources for MTE/R etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIMS and donor report</i>) 	<p>Final report:</p> <p>Discussion is clear and concise</p>	4
<p>H. Sustainability</p> <p>How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including:</p> <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability 	<p>Final report:</p> <p>Discussion is clear, relevant and concise</p>	5
<p>I. Factors Affecting Performance</p> <p>These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> • Preparation and readiness 	<p>Final report:</p> <p>Summary paragraph on highlights drawn from the report is appreciated, as</p>	5

<ul style="list-style-type: none"> • Quality of project management and supervision⁶⁰ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness • Communication and public awareness 	well as the reflection on human rights issues.	
<p>VI. Conclusions and Recommendations</p> <p>i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p>Final report: Clear and concise.</p>	5
<p>ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p>Final report: Lessons are clear and relevant.</p>	5
<p>iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders 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) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UN Environment interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p>	<p>Final report: Complete sections with relevant recommendations, albeit presented in a comparatively brief manner.</p>	4
<p>VII. Report Structure and Presentation Quality</p>		
<p>Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?</p>	<p>Final report: Financial information is limited</p>	4
<p>Quality of writing and formatting: Consider whether the report is well written (clear English</p>	<p>Final report:</p>	5

⁶⁰ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Generally a well-written report.	
OVERALL QUALITY OF REPORT		5

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	Y	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	Y	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	Y	
4. Was the evaluator contracted directly by the Evaluation Office?	Y	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	Y	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		N
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		N/A
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	Y	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	Y	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	Y	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?	Y	
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	Y	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	Y	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	Y	
15. Did the project make available all required/requested documents?	Y	

16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?		N
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	Y	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	Y	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	Y	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	Y	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	Y	
22. Was the TOC in the inception report peer-reviewed?	Y	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	Y	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	Y	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	Y	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	Y	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	Y	
28. Were stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	Y	
29. Did the Evaluation Consultant(s) respond to all factual corrections and comments?	Y	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	Y	

Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.

<u>Process Criterion Number</u>	<u>Evaluation Office Comments</u>
