UNDAF PROJECT

7th TRANCHE PROJECT

8th TRANCHE PROJECT

"Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Processes"

TERMINAL EVALUATION REPORT

BY

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Evaluation of UNEP's UNDAF Projects – FINAL REPORT

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List of acronyms and abbreviations used

CEPAL	Comisión Económica para América Latina y el Caribe
CSR	Corporate Social Responsibility
ES	environmental sustainability
FAO	Food and Agriculture Organisation of the United Nations
HQ	headquarters
IADB	Inter American Development Bank
ILO	International Labour Organisation
IMIS	Integrated Management Information System (UN)
M & E	monitoring and evaluation
MDG	Millennium Development Goals
MEA	multilateral environmental agreement
NES	national environmental summary
NGO	non-government organisation
OCHA	Office for the Coordination of Humanitarian Affairs
PAHO	Pan American Health Organisation
PEI	Poverty Environment Initiative
PIMS	Programme Information Management System (UNEP)
PNUE	Programme des Nations Unies pour l'Environnement
PNUMA	Programa de las Naciones Unidas para el Medio Ambiente (UNEP)
PoW	Programme of Work
RCO	Resident Coordinator's Office (UN)
RDC	Regional Development Coordinator (UNEP)
ROA	Regional Office for Africa
ROAP	Regional Office for Asia and the Pacific
ROLAC	Regional Office for Latin America and the Caribbean
ROtI	Review of Outcomes to Impacts
ROWA	Regional Office for West Asia
RSO	Regional Support Office
SDG	Sustainable Development Goals
SMART	Specific, Measurable, Achievable, Relevant, Timely (indicators)
ToC	Theory of Change
UN	United Nations
UNCT	United Nations Country Team
UNDA	United Nations Development Account
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organisation
UNODC	United Nations Office on Drugs and Crime
UNSSC	United Nations System Staff College
WHO	World Health Organisation

EXECUTIVE SUMMARY

The projects

1. This report presents the results of evaluations of three interrelated projects, each entitled 'Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Processes' and executed as a single, ongoing effort between 2010 and 2015, by UNEP's Regional Support Office (formerly Division of Regional Cooperation) in collaboration with UNEP Regional Offices, UN Country Teams, national government partners and civil society organisations.

2. The 'UNDAF Project' was an 'umbrella project' implemented between 2010 and 2015 with an approved budget of $US 8,697,326. This project encompassed the activities of the UNDA 7th and 8th tranche projects as well as similar activities funded by other sources. In addition to the ten countries mentioned below, the UNDAF project worked in numerous others in five of UNEP's regions. The '7th Tranche Project', was implemented between 2011 and 2013 with a budget of $500,000 and focused on the Ivory Coast, Indonesia, Azerbaijan, Mexico and Palestine. The '8th Tranche Project', was implemented in 2013 and 2015. Its budget of $541,000 financed activities in the same five countries as the 7th Tranche project, as well as Kenya, Mongolia, Cambodia, Kazakhstan, El Salvador and Iraq.

3. Together the three projects aimed to build on and consolidate earlier support provided by UNEP to strengthen capacities for the integration of environmental sustainability and climate change issues into the work and common country plans of UN Country Teams (UNCT), in response to national development priorities and needs. They also planned to enhance capacities among national institutions to mainstream environment, climate change and related poverty linkages into their national and sectoral development plans. The UNDAF and 8th Tranche projects extended this scope to include support for the implementation of discrete activities within the UNDAF programmes of certain countries captured in the form of UN joint projects.

The evaluations

4. UNEP's Evaluation Office engaged an independent consultant, Howard Macdonald Stewart, to carry out terminal evaluations of these initiatives which were mostly evaluated jointly. The results of the projects were considered individually wherever possible. Opportunities for such distinctions were limited by the overlapping nature of the projects' designs, activities, stakeholders and financing. Much evaluation feedback received from stakeholders, particularly from UN Country Team (UNCT) members around the world, did not distinguish between the three projects.

5. The evaluations were highly participatory, consulting and informing key stakeholders throughout the process. Quantitative and qualitative methods were used to assess project achievements against original expectations. Evaluation findings (page 24), conclusions and recommendations (page 58) are based on analysis of a wide range of documents generated by the projects and their partners (pages 77, 99), and as well as questionnaires and interviews with key participants and stakeholders. The projects were assessed against the following criteria:

- their attainment of planned outputs and their relevance, and the effectiveness and efficiency with which these results were achieved;
- the financial, socio-political, institutional and ecological sustainability of their outcomes and their roles as catalysts for change;
- key factors and processes affecting their performance; and
- their complementarity with UNEP's strategies and programmes.

6. The most important limitations of the evaluation were 1) the absence of field visits to the countries where the projects were active, 2) a lack of feedback from national government and other country level partners outside of UNCTs, and 3) a lack of clear financial data regarding the level of disbursements on different project outputs.[1]

Summary of findings, conclusions, lessons learned & recommendations

7. ***Strategic relevance - Highly satisfactory:*** The projects' shared objective, of strengthening the capacities of UNCTs and national institutions for enhanced integration of environmental sustainability, was fully consistent and complementary with UNEP's Medium Term Strategies for 2010-2013 and 2014-2017. The projects helped UNDAFs to more effectively address issues associated with climate change, disasters and conflicts, to more effectively manage terrestrial, freshwater and marine ecosystems and to improve environmental governance at the national level[2]. A substantial number of the UNDAFs to which UNEP contributed under these projects undertook to enhance national capacities to manage harmful substances and hazardous waste and make more efficient use of resources, particularly through more sustainable patterns of consumption and production. The projects' approach and results also helped to ensure that UNEP would become a more effective, efficient and results-focused organisation. By substantially bolstering the role that UNEP was able to play in about 100 UNDAF processes in the five regions over five years, the projects enhanced the programme's capacity to deliver on its governing body decision on the 2005 Bali Strategic Plan for Technology and Capacity Building. UNEP's mandate of intervening on the basis of sound scientific evidence and, especially, its role as the leading global environmental authority that sets the global environmental agenda and promotes the coherent implementation of the environmental dimension of sustainable development in the UN system, were both strengthened in the process. The projects also collectively built upon and consolidated earlier UNEP work, including the earlier Poverty Environment Initiative and various projects implemented under Multilateral Environmental Agreements (MEAs).

8. ***Achievement of outputs – Satisfactory:*** The projects were most successful in producing national environmental summaries (NES), strengthening UNEP participation in UNCTs' development of UNDAFs, and in delivering UNEP technical support for the delivery of specific environmental outputs within priority UNDAFs. Different types of training on environmental sustainability for UNCTs and national governments, another important output for stakeholders, was somewhat less successful. Training activities faced diverse challenges, from occasional security threats to UNCTs unconvinced of the need for / value of environmental training and inappropriate or inadequate training themes and resources.

9. The production of NES was limited by available resources and not all countries had them. Many UNCTs prepared UNDAFs where environmental sustainability and climate change issues figured prominently, and they would have further benefitted from a NES. UNEP in the Latin America and Caribbean region came closest to meeting regional requirements for the NES. Of the NES that were prepared, most reached UNCTs on time and were apparently useful (e.g., Chile, Madagascar, Sri Lanka, Azerbaijian, and Palestine), a few (particularly in the first couple of years) reached UNCTs too late for the UNDAF preparation process (e.g., Belarus, Mexico, and The Gambia). NES produced latterly in Asia and the Pacific were adjusted to reflect Rio + 20 outcomes[3].

[1] The project notes that while the old financial system could not produce data regarding levels of disbursement on different project outputs, reports on disbursements from the Projects were provided to the evaluator. It is worth noting that UNEP has developed a new Project Management Information Systems (PIMS) that now tracks expenses by outputs. Also, it is worth noting that UNEP is now using a new ERP/Umoja that is expected to revolutionize reporting.

[2] i.e. the environmental dimension of sustainable development.

[3] The project notes that they were also amended to dress the needs of the UNCTs and governments in assessing the coverage of the SDGs in the national development plans and associated UNDAFs

10. Feedback in questionnaires revealed that UNCT members prefer UNEP to be directly involved in activities -- participating in UNDAF preparation and implementation -- more than being told how to do these things by UNEP. Although there is considerable diversity from one country to another, there is clearly significant unsatisfied demand for UNEP participation within UNCTs in general and in their UNDAF processes in particular.

11. UNCTs assigned their lowest average rating to the training output while UNEP Regional Development Co-ordinators (RDCs) gave it their highest. Training activities needed to be more carefully tailored to meeting expressed needs, more carefully evaluated, and more carefully timed to ensure they could achieve maximum impacts within the UNDAF cycle.

12. The evaluator concluded that projects' success in delivering these outputs is due partly to the remarkable expertise, enthusiasm and dedication of UNEP regional and other staff responsible for them. Another contributing factor was UNEP officers' strong desire to collaborate with other UNCT members, national partners and others in delivering their environmental sustainability mainstreaming agenda. The relative success of the projects in each of the five regions also depended on changing circumstances in their countries of focus; UNEP was sometimes obliged to shift the geographic focus or scope of their work at short notice.

13. Among the most important limitations on UNEP's contribution to UNDAF processes was its status as a "non-resident UN agency." UNEP RDCs and UNDP members of UNCTs described a complicated relationship between UNEP and UNDP, the largest "resident agency" in most countries where UNEP intervened. This relationship was sometimes an asset for UNEP and sometimes a challenge, often both at the same time.

14. From the perspective of UNEP regional staff and UN agency partners working with them around the world, the projects' national level activities were not supported as strongly as they might have been by other parts of UNEP. Despite recent UNEP shifts towards greater regional presence was sometimes difficult for RDCs to mobilise the kind of timely technical and financial support required for effective implementation at the country level. While the situation is gradually changing, UNEP still tends to operate in isolation from other UN partners. With a long standing tradition of pursuing its normative mandate at regional and global levels, UNEP remains highly centralized and its prevailing approaches remain unaligned with UNDAFs[4].

15. When the bulk of the project funding for this project switched from extra-budgetary (Norway funds) to Environment Fund, there were constraints in UNEP's financial management systems that resulted in debilitating uncertainties and delays in ROs receiving funds for these projects. This resulted in UNEP facing challenges and delaying its support to UNCTs UNDAF preparation was behind schedule and unpredictable in numerous countries. Due to the nature of the UNDAFs being repeatedly behind schedule and unpredictable, this left UNEP a challenge as, the UNCT calls for flexibility if UNEP was to intervene at the right moment. Some of the financial management systems militate against such flexibility including the time required to process travel requests[5].

16. **Effectiveness – Satisfactory:** Based on extensive feedback from UNEP RDCs, UNCT members and review of a wide range of project documentation, the projects appear moderately likely to achieve their shared outcome (as identified in their reconstructed Theory of Change or ToC) of strengthened capacities within UNCTs and national institutions for enhanced integration of environmental sustainability. The projects' higher level objectives were first: improved integration of environmental priority issues into UN Country Analyses, UNDAF Results Matrices, UN Monitoring & Evaluation plans, national and sectoral plans and programmes, and second: decisions on interventions that are made by UNCT members and national partners with full regard for environmental

[4] Project staff note: UNEP now has a universal rather than a national mandate the UNEP role and engagement is approved by its governing body which also approves its budget.

[5] Project staff note: Delays in the transfer of funds can also be attributed to delays in receiving funding from the donor. To the extent that activities have been funded out of the UNEP's Environment Fund, transfer of funds have followed the Organization's budget cycle.

priorities. Based on analysis of the same verbal and written feedback and documentation, the projects' were considered likely to achieve these objectives, in a significant number of countries of intervention. Finally, the projects' were considered very likely to achieve their targeted longer term impact – of improved national achievement of environment linked elements of MDGs 1-6, all of MDG 7 – again, in at least a significant number of the countries where they intervened. These results combined translated into the "satisfactory" rating for effectiveness.

17. ***Efficiency - Moderately unsatisfactory:*** Various efficiency measures were introduced by regional and headquarters staff but UNEP's system of financial management remained poorly adapted to the needs of these kinds of projects. Chronic delays in the receipt of funds from the donor and arrival of funds from headquarters reduced the projects' capacities for implementing planned activities and taking advantage of opportunities to initiate new activities[6].

18. ***Sustainability, catalytic effects and replication – Moderately likely:*** The overall likelihood of the projects' results being sustained was a complex question due to the great range of countries and situations they encompassed, and the different dimensions of sustainability to consider. The projects' future financial sustainability is clearly the weakest dimension; however their environmental sustainability and their potential for catalytic effects and replication are far more promising. The projects' basic capacity development achievements are clear but it is less certain that these capacities have been applied to the formulation of "science based policies." While there were encouraging signs of catalytic change in support of mainstreaming, resource limitations remain significant barriers to positive change, to the scaling up of results and to other contributions to mainstreaming of environmental sustainability.

19. ***Factors affecting performance – Moderately satisfactory:*** The projects' designs were moderately satisfactory though they tended to incorporate only UNEP's "lessons learned," more than those of other UNCT members. Their "results based management" planning and reporting framework demanded much effort, some of which could have been better spent generating qualitative assessments of key outputs.

20. UNEP's regional staff were more satisfied with project management and collaboration with partners than were the UNCT members who worked with the projects. UNCT members were far less satisfied than UNEP staff concerning administrative processes like recruitment, procurement and preparation of cooperation agreements. UNCT members were also less positive than UNEP staff regarding the clarity and transparency of the projects' financial management and the timeliness with which financial resources were made available. Regional UNEP staff were generally unsatisfied with the projects' performance in securing co-financing though there were notable exceptions. The projects had more success in leveraging resources to contribute to common environmental goals.

21. The projects were moderately successful in achieving country level ownership of their results though UNEP's status as a "non-resident" in most countries made it relatively difficult for other agencies to be familiar with them or their activities.

22. The RDCs were very satisfied with the direct support, guidance and information received from headquarters and regional office staff, within the limitations imposed by UNEP management systems. But UNEP's lengthy financial and administrative procedures were not well understood by her UNCT partners.

23. UNEP's wealth of technical expertise was also appreciated by RDCs and UNCT members though not always available when required.

[6] Project Staff note: In some cases, delays were attributable to the need to consult donors and seek approval on revisions to the budget, especially in the case of the UNDA funds. Nonetheless, remittances to the Regional Offices were still subject to receipt of funding from the donor. UNEP also supported activities from the Environment fund. This, as in the case of all other items funded from the Environment fund, had to be done through the organization's prescribed budgeting processes.

24. Stakeholders outside of UNEP were not much involved in designing the projects but were far more involved in their implementation and the projects' were moderately successful in their collaboration with their various partners and stakeholders

25. All three projects included adequate plans for evaluation but inadequate evaluation budgets for projects of this scope. The projects' self-monitoring approach fed information from the regions into a headquarters-based 'results based management' system incorporating little or no participation or feedback from partners at the country level, including no systematic participant evaluation of training and no assessment of stakeholders' satisfaction with UNEP's participation in individual UNDAF processes.

26. ***Complementarity with UNEP strategies and programmes – Moderately satisfactory:*** By substantially bolstering the role that UNEP was able to play in about 100 UNDAF processes across the five regions over five years, the projects enhanced the programmme's capacity to deliver on the 2005 Bali Strategic Plan on Technology Support and Capacity Building. The projects were less successful at meeting UNEP's expectations regarding linkages between gender inequalities and environmental sustainability. "South–South Cooperation" was an important dimension of the projects but also one that could be strengthened with more structured sharing of experiences among countries at the regional and sub-regional levels. .

Lessons learned:

27. When UNEP implements "umbrella projects" such as the UNDAF project, subsidiary projects within them, such as the 7th and 8th Tranche projects, need to be more clearly integrated.

28. Preparation of NES and similar input into UNDAF processes should only be initiated in contexts where they can be completed early enough to be effectively used during UNDAF preparation.

29. Future UNEP support for UNDAF processes should explicitly reflect (and be seen to reflect) the lessons of their UNCT partners.

30. UNEP should aim as much as possible to *show* UNCTs how to better address environmental sustainability issues rather than simply *tell* UNCTs how to do these things.

31. For future UNDAF support work to be fully effective, UNEP will have to expand its presence and work at the country level[7].

32. UNDAF preparation processes must remain recognised as means, not as ends in themselves.

33. Future programmes need to be able to carry out more robust, participatory monitoring and more substantial, participatory evaluations that reflect the diverse, global nature of UNEP's support to UNDAF processes.

Recommendations

34. Future UNEP programming should give priority to meeting unsatisfied demand for more national environmental strategies in most regions, more UNEP involvement in UNDAF preparation and subsequent

[7] Project Staff Comment: It is important to note that since 2009, UNEP has had a policy on strategic regional presence. The most recent policy was approved in June 2015, with the objective to strengthen its presence and support to member states at different levels. In 2015, UNEP opened four sub-regional offices for Pacific SIDS, Central Asia, South America, and West Africa. A sub-regional office for the Caribbean SIDS is scheduled to open in early 2016. These offices will contribute to UNEP engagement in UNCTs and UNDAFs.

implementation[8], and more UNDAF-related environmental training, resulting in practical outputs that can be used to guide UNDAFs. To meet this demand effectively in the future and establish a strong, credible presence in the ongoing UNDAF processes, UNEP will require:

- stronger, more timely and consistent support from UNEP's divisions;
- more human and financial resources devoted to supporting UNDAFs at the regional level, and as much as possible at the national level[9]; and
- more agile and flexible financial management systems devised to permit more effective engagement in these sorts of projects with multiple partners in many countries[10]; these are needed to enable regional and national level staff to respond more quickly to the shifting, diverse and time-bound demands of UNDAF processes that will continue to be frequently behind schedule, with little flexibility to accommodate UNEP's currently cumbersome processes, particularly early in the financial year; one approach may be to build upon and expand co-operation agreements with Country Offices of the United Nations Development Programme (UNDP).

35. Potential synergies with UN agencies, including UNDP in particular, should be explored to identify ways for enhancing the impact of UNEP's UNDAF related work.

36. To the extent that UNEP continues to move into supporting UNDAF implementation, not just supporting UNDAF preparation, it needs to expand the focus of its training activities to better address the needs of national partners.

37. Whatever their focus, future training activities will need to: 1) incorporate effective mechanisms for obtaining participant feedback on the value and effectiveness of each training activity, 2) be more demand driven and tailored to expressed demands, and 3) be timed to ensure they can achieve maximum impacts within the UNDAF cycle.

38. South-South Cooperation, already a significant dimension of these projects, should be strengthened with more extensive, systematic sharing of experiences among countries at regional and sub-regional levels.

Table 1 - Summary of evaluation ratings

Parameter of project results	Evaluation rating	Page in report
Strategic relevance	HS	24
Achievement of outputs	S	25
Effectiveness: Attainment of project objectives and results	S	41
Sustainability and replication	ML	45
Efficiency	MU	48
Factors affecting project performance	MS	50
Overall project rating	**S**	

[8] Project staff comment: While UNEP works closely with countries, its mandate and Programme of Work does not provide for national presence.

[9] Project Staff note: UNEP's business model is in the context of its governing body approved Medium-Term Strategies, Programmes of Work and budgets. The UN General Assembly approves the UNEP regular budget, which provides for RDCs positions. UNEP has been strengthening its regional offices and by 2016 will have five sub-regional offices, which will all contribute to its work and support to countries.

[10] Noting that UNEP has to comply with IPSAS and work through the new ERP Umoja.

1 PROJECT IDENTIFICATION TABLES

1.1 UNDAF PROJECT

Project General Information

Project Title:	Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Processes
Executing Agency:	United Nations Environment Programme, Regional Support Office (formerly Division of Regional Cooperation)
Project partners:	UN Country Teams, Government partners and Civil Society Organisations in the target countries
Geographical Scope:	Global

Project summary

UNEP PIMS ID:	Not available	**IMIS number:**	2762-ROA-202-7B
Sub-programme	Environmental Governance	**Expected Accomplishment/**	SP 4 – Environmental Governance; EA(c)
		PoW Outputs	431 & 432
Expected Start Date:	January 2010	**UNEP approval date:**	April 2010
Actual start date:	April 2010	**Planned duration:**	24 months
Intended completion date:	December 2011	**Actual completion date:**	Ongoing
Revision 1:	January – June 2012	**Revision 2:**	July 2012 – December 2013
Revision 3:	January – June 2014	**Revision 4:**	July – December 2014
Revision 5:	Jan-August 2015	**Revision 6:**	August-December 2015
Planned project budget at approval	US$ 8,697,326	**Secured budget:**	US$ 8,697,326
UNEP contribution*		**Co-financing:**	N/A
Mid-term review/eval. (planned date):	Not conducted	**Terminal Evaluation (actual date):**	September 2014 – December 2015
Mid-term review/eval. (actual date):	Not conducted	**No. of revisions:**	6
Date of last Steering Committee meeting:	N/A	**Date of last Revision:**	November 2015

1.2 7TH TRANCHE PROJECT

Project General Information

Project Title:	Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Process
Executing Agency:	United Nations Environment Programme, Regional Support Office (formerly Division of Regional Cooperation)
Project partners:	UN Country Teams, Government partners and Civil Society Organisations in the target countries
Geographical Scope:	Global (with a focus on 5 countries, one from each of UNEP's regions, excluding North America)
Participating Country:	Cote d'Ivoire, Indonesia, Azerbaijan, Mexico and occupied Palestinian territories

Project summary

UNEP PIMS ID:	Not available	**IMIS number:**	2762-ROA-202-7B
Sub-programme	Environmental Governance	**Expected Accomplishment/**	SP 4 – Environmental Governance; EA(c)
		PoW Outputs	431 & 432
Expected Start Date:	March 2010	**UNEP approval date:**	29 November 2011
Actual start date:	October 2011	**Planned duration:**	18 months
Intended completion date:	March 2013	**Actual completion date:**	December 2013
Planned project budget at approval	US$ 500,000	**Secured budget*:**	US$ 500,000
UNEP contribution*	US$ 500,000 (UNEP – UN Development Account)	**Co-financing*:**	N/A
Mid-term review/eval. (planned date):	Not conducted	**Terminal Evaluation (actual date):**	September 2014 – December 2015
Mid-term review/eval. (actual date):	Not conducted	**No. of revisions:**	
Date of last Steering Committee meeting:	N/A	**Date of last Revision:**	2 April 2012

1.3 8TH TRANCHE PROJECT

Project General Information

Project Title:	Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Process
Executing Agency:	United Nations Environment Programme, Regional Support Office (Formerly Division of Regional Cooperation),
Project partners:	UN Country Teams, Government partners and Civil Society Organisations in the target countries
Geographical Scope:	Global (with a focus on 10 countries, 2 from each of UNEP's regions, excluding North America)
Participating Country:	Cote d'Ivoire, Indonesia, Azerbaijan, Mexico, occupied Palestinian territories, Kenya, Mongolia, Cambodia, Kazakhstan, El Salvador, Iraq

Project summary

UNEP PIMS ID:	Not available	**IMIS number:**	2913-ROA-222-8
Sub-programme	Environmental Governance	**Expected Accomplishment/**	2012-2013 PoW SubProgramme 4 – Environmental Governance EA(c) 2014-2015 PoW SubProgramme 4 – Environmental Governance EA(c)
		PoW Outputs	2012-2013 PoW Outputs 431 & 432 2014-2015 PoW Output 431
Expected Start Date:		**UNEP approval date:**	24 June 2013
Actual start date:	July 2013	**Planned duration:**	18 months
Intended completion date:	December 2014	**Actual completion date:**	December 2015
Planned project budget at approval	US$ 541,000	**Secured budget*:**	US$ 541,000
UNEP contribution*	US$ 541,000 (UNEP – Development Account)	**Co-financing*:**	N/A
Mid-term review/eval. (planned date):	Not conducted	**Terminal Evaluation (actual date):**	September 2014 – December 2015
Mid-term review/eval. (actual date):	Not conducted	**No. of revisions:**	1
Date of last Steering Committee meeting:	N/A	**Date of last Revision:**	N/A

2. INTRODUCTION

39. This report presents the results of evaluations of three closely linked projects executed between 2010 and 2015 by UNEP's Regional Support Office (formerly Division of Regional Cooperation) in collaboration with UN Country Teams, national government partners and civil society organisations. Each of the three projects was officially entitled "Integrating Environmental Sustainability in the UN Development Assistance Frameworks (UNDAF) and UN Common Country Programming Processes;" they can be described collectively as UNEP's UNDAF projects. The 7th Tranche Project was implemented between 2011 and 2013 with a budget of $500,000 and focused on the Cote d'Ivoire Indonesia, Azerbaijan, Mexico and Palestine. The 8th Tranche Project was implemented in 2013 and 2015. Its budget of $541,000 financed activities in the same five countries as the 7th Tranche project, as well as Kenya, Mongolia, Cambodia, Kazakhstan, El Salvador and Iraq. The UNDAF Project was an umbrella project implemented between 2010 and 2015 with an approved budget of $US 8,697,326 (its final expenditures may be about half this amount). The UNDAF project encompassed the activities of the other two projects as well as activities funded by other sources; in addition to the ten countries mentioned above, it worked in numerous others in five of UNEP's regions.

40. The three projects aimed to build on and consolidate earlier support provided by UNEP to strengthen capacities for integration of environmental sustainability and climate change issues in the work of UN Country Teams (UNCT), in response to national development priorities and needs. They were also intended to enhance capacities among national institutions to mainstream issues of environment, climate change and related poverty linkages into their national and sectoral development plans. The 8th Tranche and UNDAF projects extended this scope to include support for implementation of discrete activities within the UNDAF programmes of certain countries, after the preparation of the new UNDAFs.

3. THE EVALUATIONS

41. Terminal evaluations of these three projects were commissioned by UNEP to a) meet accountability requirements by assessing project results, and b) promote learning and sharing of knowledge and lessons within UNEP and with its partners. UNEP's Evaluation Office began the evaluations in November 2014 with support from an independent evaluation consultant, Howard Macdonald Stewart. The evaluations aimed, *inter alia*, to answer two fundamental questions:

- To what extent have these projects improved knowledge and understanding at the national and sub-regional levels of country-specific environment and development contexts, and the challenges and opportunities for addressing identified priorities?
- To what extent have the projects increased capacities of United Nations Country Teams (UNCTs) and national authorities to mainstream environmental sustainability and climate change considerations into UN country programming and national development processes?

42. The evaluations were highly participatory, consulting and informing key stakeholders throughout the process. Quantitative and qualitative methods were used to assess project achievements against original expectations. Findings are based on analysis of project documents, as well as extensive questionnaires and interviews with key participants and stakeholders. Evaluation conclusions and recommendations (page 58) are based on clear evidence and analysis summarised in the body of the report. Findings have been verified wherever possible from different sources; findings based on single sources are recognised as such.

43. The projects were assessed jointly as they were essentially all part of the same undertaking and results and approaches in one project informed the adaptive approach in the others. The 7th and 8th Tranche project budgets were contributions to the larger UNDAF project budget. The three shared planned outputs, outcome and longer term results (pages 21, 25). The activities of the 7th Tranche project focused on five countries, those of the 8th Tranche focused on the same five countries, plus five new ones, and the umbrella project, which included all

these activities, also worked in a significant number of other countries. Most of the stakeholders consulted, whose own assessments of results were an important source of evaluation information, could not distinguish among the three separate projects. The three projects were jointly assessed then, against the following criteria (described in the section on evaluation findings):

- the level of attainment of planned results, the effectiveness and efficiency with which these results were achieved, and their strategic relevance;
- the financial, socio-political, institutional and ecological sustainability of project outcomes and the projects' roles as a catalyst for change;
- the key factors and processes affecting project performance; and
- the projects' complementarity with UNEP's strategies and programmes.

44. The evaluation aims to explain not just what the projects have accomplished in relation to their originally planned results, but why and how these results were achieved. Concise 'lesson learned' and recommendations for future actions draw upon the findings and conclusions of the evaluations.

45. The most important limitations of the evaluation were: 1) the absence of field visits to countries where the projects were active, 2) a lack of feedback from national government and other country level partners outside of UN Country Teams (UNCT), and 3) a lack of clear financial data regarding levels of disbursement different project outputs[11].

46. It was sometimes challenging for the evaluator first to grasp then to communicate the essential elements of these three projects, separately and collectively, because of the many functional links and overlaps among them. They were really three interwoven mechanisms for funding the same shifting collection of activities related to UNEP's support for the development and implementation of UN Development Assistance Frameworks. Adding to the evaluator's challenge, this collection of activities – support for National Environmental Summaries and related studies / documents, participation in the UNCTs' joint development UNDAFs, training to UN Country Teams and or national partners, implementation of priority projects emerging from these UNDAFs – had already started before the approval of the first of the three projects in April 2010 and are continuing on after the substantive end of last two of these three projects at the end of 2015. Confusion then, about temporal boundaries, but also about financial and functional boundaries, as the budgets of the 7th and 8th Tranche projects are actually subsets within the larger UNDAF project budget. While the budgets of the first two remained relatively fixed over the life of the projects, the budget of the UNDAF project did not, evolving from an "unsecured budget" of $8.7 million in 2010 to a "secured budget" of $4.8 million in 2015.

4. THE PROJECTS

4.1 CONTEXT

47. The United Nations Development Assistance Framework or UNDAF is the common strategic framework within which the activities of all UN agencies are aligned in a given country. It channels UN development assistance in response to national needs and priorities as articulated in development plans and poverty reduction strategies; in the process, the UNDAF supports national efforts to achieve the internationally agreed development goals including the Millennium Development Goals (MDGs) and in the future, the Sustainable Development Goals (SDGs).

[11] Project Staff note: Reports on the different items of expenditure were made available. To address the limitation of the old financial system in reporting disbursements at different level of activities, UNEP now has an enhanced project reporting tool, in addition to the introduction of a new SAP based ERP, Umoja.

48. UNEP has a mandate to mainstream environmental sustainability in the broader UN system, particularly during the development and implementation of their UNDAFs around the world. Environmental sustainability is one of the five country programming principles guiding UN development cooperation at the country level. UNEP's integration in UNDAF processes supports analytical work and the articulation of high quality environment and development objectives and priorities where UN comparative advantage is needed to support the attainment of national development plans and priorities.

49. UNEP has been increasingly engaged in the common country programming processes of the UN system since 2007, playing a more visible and effective role in helping overcome UNCTs' lack of capacities to properly address environmental issues related to their work. UNEP has piloted a number of interventions to strengthen the integration of environmental sustainability dimensions into country analysis and UNDAFs. This has included support to the United Nations Development Group (UNDG) to develop guidance notes on environmental sustainability and climate change, development of national environment summaries to enhance the environmental components of the country analyses, participation in inter-agency thematic working groups and support for the integration of environmental considerations into planned UNDAF outcomes and results. Technical assistance has also been provided for development and implementation of UNDAFs and joint programmes and for delivery of training courses on environmental sustainability to UNCTs. The projects being evaluated were intended to build upon and consolidate lessons and experience of these pilot efforts to inform the further investment and approach of UNEP toward supporting UNDAFs.

50. UNEP brings to the UNDAF process a network of staff experienced in environmental mainstreaming, including the development of the UNDG's guidelines noted above and the 'Poverty Environment Initiative' (PEI) that focused on country level mainstreaming. UNEP also has well developed national networks of environmental experts within both government and civil society that can offer critical inputs into UNDAF development.

51. Further, the UNDG Task Team on Environmental Sustainability and Climate Change provided a platform for collaborative action on climate change and environment action, overcoming the traditional compartmentalization of these issues in country level operations. This task team brings together different actors within the UN system, providing an inter-agency coordination mechanism, producing guidance to UN country teams and supporting their mainstreaming efforts. The task team, in collaboration with the UN System Staff College (UNSSC), has promoted use of the guidance notes on environmental sustainability and climate change prepared by the UNDG, through targeted training of trainers. The training activities carried out under these UNDAF projects built on and adapted this earlier training.

4.2 OBJECTIVES AND COMPONENTS

52. Collectively the three projects aimed to build on and consolidate earlier support provided by UNEP to strengthen capacities for integration of environmental sustainability and climate change issues in the work of UN Country Teams, in response to identified national development priorities and needs. The three projects were also intended to enhance capacities among national institutions to mainstream environment, climate change and related poverty linkages into their national and sectoral development plans. The 8th Tranche and UNDAF projects extended this scope to include support for implementation of discrete activities within the UNDAF programmes of certain countries, after the preparation of the new UNDAFs. The evaluation considers the results of the individual projects where possible; the overlapping nature of their designs, activities, stakeholders and financing -- and most stakeholders' inability to distinguish between the three -- meant that opportunities for such distinctions were limited. Most of the extensive evaluation feedback received, particularly the valuable input from UN Country Teams around the world, did not distinguish between the three projects.

4.3 TARGET AREAS / GROUPS

53. The projects were expected to collaborate closely with the UNDG system including the UN Resident Coordinator (UNRC) and UN Country Teams (UNCT) at the country level. Other key partners and participants in capacity development activities were government institutions and other national stakeholders.

54. The geographic focus of the 7th Tranche project was to be the Ivory Coast, Indonesia, Azerbaijan, Mexico and Palestine. The 8th Tranche project was to focus on these same five countries, plus Kenya, Mongolia, Cambodia, Kazakstan, El Salvador, and Iraq. The UNDAF project's geographic focus was less precisely defined but it included the ten countries covered in the other two projects as well as a many other countries in the five regions identified.

4.4 MILESTONES / KEY DATES IN PROJECT DESIGN AND IMPLEMENTATION

55. The UNDAF Project began in April 2010 and ended at the end of 2015, after six extensions. The UNDA 7th Tranche Project began in October 2011 and ended in December 2013. The UNDA 8th Tranche Project began in July 2012 and will end in December 2015.

4.5 IMPLEMENTATION ARRANGEMENTS

56. The projects were implemented directly by UNEP's Regional Support Office (formerly Division of Regional Cooperation) which took the lead in providing overall coordination and oversight in close collaboration with the Regional Offices and other UNEP Divisions. The Regional Development Coordinators (formerly the Delivering as One Coordinators) in the UNEP Regional Offices in Africa (Nairobi), Asia-Pacific (Bangkok), Europe (Geneva), Latin America and the Caribbean (Panama), and West Asia (Bahrain) worked directly with the selected UNCTs to harmonize country interventions, provide liaison and engagement with UN Country Teams and facilitate other relevant technical support, operational management as well as representation functions in the process of implementing project activities within their respective regions. They worked closely with the Regional UNDG teams and, where appropriate, the Regional Coordination Mechanisms. The expected roles and contributions of the implementing partners were as follows:

57. The **UN Resident Coordinator** was responsible for:

- representing the UN Secretary General at the country level and leading the UNCT in the development and implementation of the UNDAF;
- engaging and maintaining inclusive teamwork of the UN system, including specialized agencies and non-resident agencies;
- obtaining full national ownership of the entire process and products;
- ensuring, together with the UNCT, participation of all relevant stakeholders;
- carrying out formal consultations with the respective regional offices to establish understanding on the scope and mode of the engagement as a Non-Resident Agency as well as the potential value addition that UNEP will bring into the process; and
- acting as facilitator, providing the entry point for UNEP as implementing agency to the UNCT.

58. The **UN Country Team,** comprised of UN Resident and Non-Resident Agencies, including UNEP, was responsible for:

- preparing and implementing the UNDAF;
- being accountable for development and overall monitoring of the roadmap for supporting country analysis and UNDAF preparation;
- fully participating in the implementation of the roadmap;
- planning for the best use of the UN's comparative advantage;
- supporting implementation of international norms and standards in the country;

- designing a high-quality UNDAF and timely development of a coherent results matrix in response to national development priorities; monitoring the overall progress in the implementation of UNDAF outcomes; and
- evaluating the UNDAF.

59. The **United Nations Development Programme (UNDP)** is a key programmatic and administrative partner for UNEP within UNCTs, facilitating implementation of activities at the national level as well as being UNEP's partner in the Poverty Environment Initiative.

60. The **Regional UNDG Teams** and their regional Programme Support Groups (PSGs) provide strategic guidance and coherent technical support to the Resident Coordinators and UNCTs in the UNDAF formulation and also have a quality assurance role in this process. As appropriate UNEP Regional Offices should be represented in and support the regional quality assurance processes with respect to the environmental content of the UNDAFs.

61. **United Nations Development Group (UNDG)**, in which UNEP is a member, is the central UN body, which provides global guidance and tools to support the UNCTs in country programming processes including UNDAF development and implementation. UNEP maintains liaison through the UNEP New York Office with the UNDG Task Teams, especially formerly the Task Team on environment and climate change and now the Programme Working Group and other relevant task teams, and particularly regarding the roll-out of the guidance notes on environment sustainability and climate change, as well as the development of associated ancillary guidance modules.

62. The **UN System Staff College (UNSSC)** is responsible for training the UNCTs in the area of the UN common country programming processes and the application of the five programming principles in these processes. Where applicable, UNEP collaborated with UNSSC to develop and deliver some of the training courses that were key components of this project, and through this partnership to reach additional UN stakeholders beyond those in the target countries.

63. Government Entities. Preparation of the environmental mainstreaming assessments (7th Tranche) entailed the cooperation of different government actors, however, the project focused on supporting the Ministries of environment, finance and planning who are primarily responsible for the development and allocation of funding for national plans. As part of the UNDAF development processes, government agencies are involved in the capacity building activities and will be in a position to use the knowledge and experience gained in their own planning activities.

64. Other Stakeholders. UNEP worked with other national stakeholders including non-governmental actors (civil society, environmental NGO groups, academia, business and industry, the general public and local communities) to promote active participation and engagement in the UNCT processes and more specifically the integration of environmental considerations in the country analysis and UNDAF results matrix, building their capacity in environmental mainstreaming.

4.6 PROJECT FINANCING

65. The **UNDAF project** began in April 2010 and its currently planned completion date is December 2015; its original "unsecured budget" was $8,697,000 while its overall "secured" budget was most recently estimated at $4,781,000. This figure includes the budgets of the 7th and 8th Tranche projects described above. No budget organised by activities, analogous to the ones below for the (subsidiary) 7th and 8th Tranche projects, is available as the final report has not yet been prepared for the UNDAF project.

Table 2 - UNDAF project's "Secured budget," by source of funds, February 2014

SOURCE of FUNDS	Budgetary contribution*
UNDA 7th Tranche	409,000
UNDA 8th Tranche	541,000
Japan	521,000
Norway	1,019,000
Environment Fund	197,000
One UN country contributions	1,772,000
Programme Support Costs	323,000
Total	**4,781,000**

*rounded to the nearest thousand

66. The **7th Tranche project** began implementation in October 2011 with a budget of $500,000, which was subsumed within the UNDAF project, above. It was completed in December 2013, roughly six months later than originally planned. The financial reporting annexed to the final report for the project indicated that $408,766 had been disbursed from the original budget of $500,000 (Table 3). All funds were from the UNDA.

Table 3 - 7th Tranche project's budget – planned and actual expenditures, by activity

Activity	Planned budget (US$)	Actual expenditures (US$), reported 31.03.2014
consultants and expert groups	99,000	84,400
staff travel	115,500	76,500
contractual services	151,000	137,000
operating expenses	3,000	
Workshops	131,500	110,900
Total, all activities	**500,000**	**408,800**

67. Implementation of the **8th Tranche project** began in July 2013, with a budget of $541,000, also subsumed within the budget of the UNDAF umbrella project. It was scheduled for completion in December 2014 and extended to December 2015. A final budget analogous to the one above for the 7th Tranche project is not yet available but Table 4 summarises the situation as of January 2015. A budget from July 2014 (Table 5), indicates a "secured budget" similar to the original budget; funding sources included not only the UNDA but also Norwegian and One UN Country project funds.

Table 4 - 8th Tranche project budget, planned (2013) and actual (Jan. 2015), by activity

Activity	Planned budget (US$)	Actual expenditures reported in Jan 2015 progress report
local consultants	50,000	23,269.59
staff travel	90,000	18,150.73
contractual services	383,500	285,498.00
Training	2,500	65,500.00
Evaluation	15,000	--
Total, all activities	**$541,000**	392,418.32

Table 5 - 8th Tranche project's "Secured budget," by source of funds, July 2014

	Secured	2014 Balance
1	UNDA 8th Tranche	435,804
2	Norway	77,302
3	One UN Country projects	26,388
	Total*	**539,494**

4.7 CHANGES IN DESIGN DURING IMPLEMENTATION

68. 7th Tranche Project: A number of minor changes were made to project design, none of which had significant impacts on UNDAF outcomes in the countries involved. Direct face to face training in the Gaza region of the occupied Palestinian Territories could not be carried out, due to the ongoing political conflict and security concerns. A number of adjustments had to be made to work carried out in support of the Mexican UNDAF as a result of political developments there in 2012 and the visit of UNDP's Administrator Helen Clark. The full scale Poverty-Environment Assessment to be carried out in support of UNDAF formulation Ivory Coast was not carried out as planned in 2012 because the necessary expert support was not available in the required time frame.

69. 8th Tranche Project: Again a few issues were reported that had a minor impact on project results, including ongoing security concerns in Iraq, which resulted in the project being less involved than anticipated in the UNDAF process in that country and no NES being prepared; the RDC remained involved in the country's UN programme planning process however. In the Africa region, implementation was delayed by the delay in recruiting a new RDC after the original coordinator moved to another post combined with the impact of the Ebola crisis during project implementation.

70. UNDAF Project: The larger UNDAF project was revised a number of times, to extend its time frame, from the originally planned two year duration (January 2010- December 2011), first by 6 months, then another 18 months, another six months, a further six months and a final 6 months to end December 2015 to enable the UNDA 8th tranche activities to be captured fully. These extensions allowed UNEP to continue supporting UN Common Country Programming processes related to mainstreaming environmental sustainability and climate change into national programmes. UNEP was able to complete expenditures on planned activities and to go beyond these, expanding UNEP support and deepening its on-going engagement in the countries where it was active. The last extensions enabled them to continue implementation of activities while waiting for the development of a subsequent project[12].

1.8 RECONSTRUCTED THEORY OF CHANGE OF THE PROJECTS

71. A "reconstructed theory of change" (ToC) for the three UNDAF projects is presented in Figure 1, next page. As discussed in the Evaluation Findings section below, the projects shared most planned outputs and aimed to achieve the same longer term results and impact. Reviewed by project managers and RDCs as part of the Inception Report, the ToC diagram depicts the logical sequence of intended project results, leading from their immediate outputs and near-term outcomes to their intended longer-term impacts. The reconstructed ToC identifies two "intermediate states" that are required to progress from the projects' short-term outcome of *"Strengthened capacities of UNCTs and national institutions for enhanced integration of environmental sustainability"* to their intended longer-term impact of *"Improved national achievement of MDG 7 and environment-linked elements of MDGs 1-6."* These "intermediate states" are:

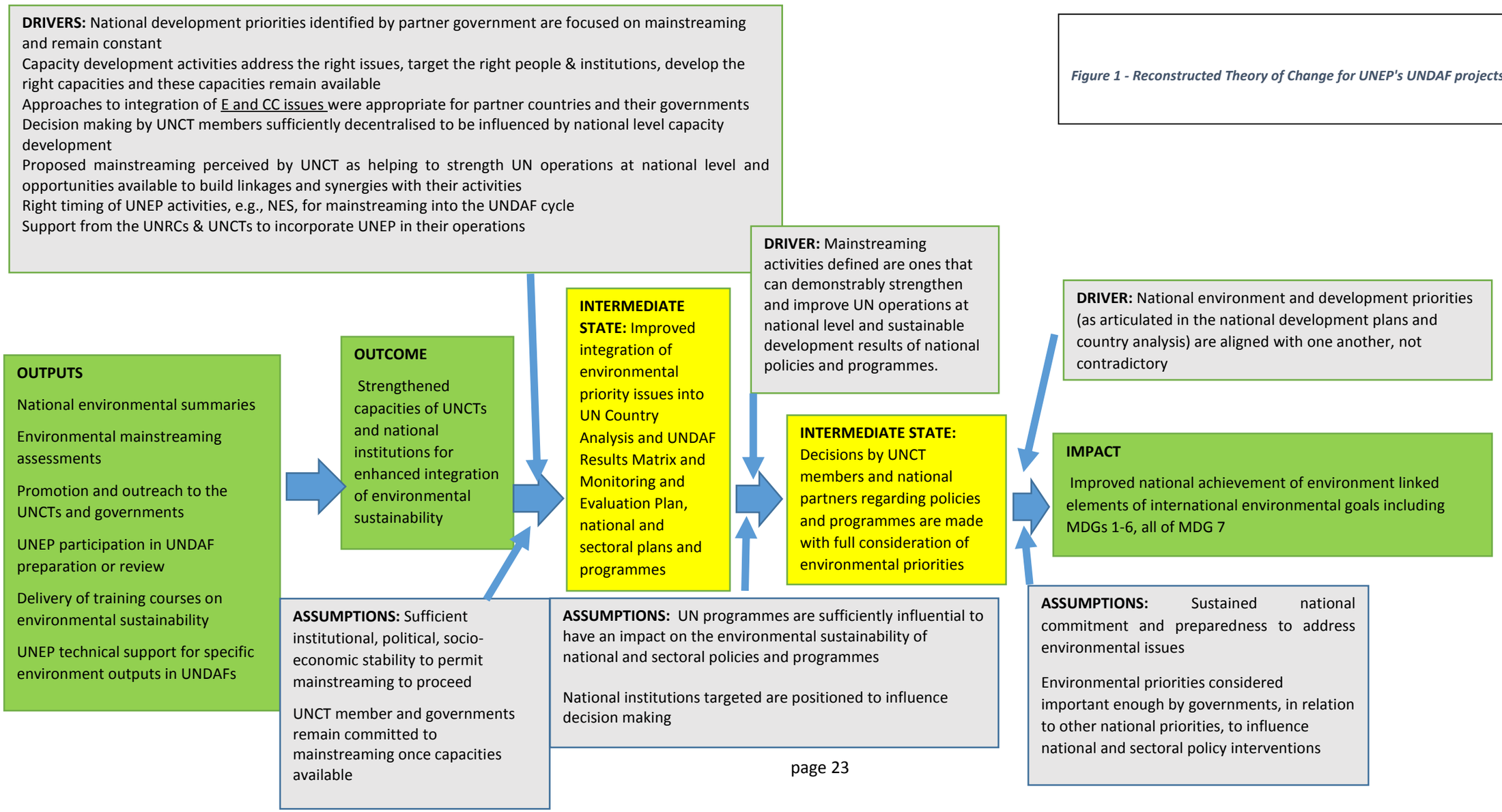
- *"Improved integration of environmental priority issues into UN Country Analysis and UNDAF Results Matrix and Monitoring and Evaluation Plan, national and sectoral plans and programmes;"* and

[12] Project Staff: …and to keep the UNDA 8th activities and approach separate from the 2014-2017 approved UNDAF project (approved in July 2014).

- *"Decisions on interventions made by UNCT members and national partners with full regard for the environmental priorities."*

72. The ToC further identifies a series of external factors likely to influence the capacity of the project's various participants and stakeholders to progress from their targeted capacity development outcome towards the achievement of their longer-term goals. These external factors are described as either "drivers" – factors over which the project's participants have some control – or "assumptions" – factors which are beyond their control. The extent to which these factors have influenced the project's ability to move towards its longer term objectives were explicitly addressed in the evaluation interviews and questionnaires, and in the subsequent "Review of Outcomes to Impacts" (ROtI).

Figure 1 - Reconstructed Theory of Change for UNEP's UNDAF projects



5. EVALUATION FINDINGS

73. This chapter is organized according to the following evaluation criteria: strategic relevance; achievement of planned outputs; effectiveness in attaining targeted outcome, objectives and longer term impact; efficiency; likelihood that results will be sustained and built upon; factors affecting performance; and complementarity with UNEP internal strategies. Ratings are presented against each main evaluation criterion and the evidence considered in deriving these ratings is analysed and interpreted.

5.1 STRATEGIC RELEVANCE

74. The initial desk study of UNEP's UNDAF projects concluded they were highly relevant and this was confirmed by the results of the detailed evaluation. The projects' shared objective -- strengthening the capacities of UN Country Teams and national institutions for enhanced integration of environmental sustainability -- complemented broader regional and global efforts to enhance shared capacities for ensuring the environmental sustainability of socio-economic development. This objective was 'realistic' in relation to the projects' time frames and budgets in the sense that the projects, like the activities they supported, were open ended. They supported several types of interrelated activities that had begun before the projects began and continued after the projects ended. They unequivocally strengthened the targeted capacities but did not – could not – fully satisfy the ongoing need to continue strengthening them over the longer term.

75. The three initiatives collectively built upon and consolidated earlier UNEP work designed to strengthen UNCT capacities for integrating environmental sustainability and issues related to climate change into common country programming by the UN system. They also complemented the efforts of the ongoing Poverty Environment Initiative, as well as various preceding and ongoing projects implemented under Multilateral Environmental Agreements (MEAs).

76. The UNDAF project and its subsidiary 7th Tranche project contributed to achieving Programme Framework (PF) 431 and 432 within UNEP's 2010-11, 2012-13 and 2013-14 Programmes of Work and 432 within UNEP's 2014-2015 POW, specifically the sub-programme on Environmental Governance [wherein] national development processes and UN Common Country Programming processes increasingly mainstream environmental sustainability in the implementation of their work programmes.

77. All three projects also clearly addressed the six cross-cutting thematic priorities of UNEP's Medium Term Strategy 2010-2013, helping UNDAFs to more effectively address issues associated with climate change, disasters and conflicts, to more effectively manage terrestrial, freshwater and marine ecosystems and to improve environmental governance at the national level. A substantial number of the UNDAFs to which UNEP contributed under these projects also undertook to enhance national capacities to manage harmful substances and hazardous waste and make more efficient use of resources, particularly through more sustainable patterns of consumption and production. The projects' approach and results also responded to the emphasis which the 2010-13 Medium-term Strategy placed upon ensuring that UNEP would become a more effective, efficient and results-focused organisation. By substantially bolstering the role that UNEP was able to play in close to a hundred UNDAF processes across five regions over five years, the projects enhanced the agency's capacity to deliver on its 2004 Bali Strategic Plan commitment to technological support and capacity development roles. UNEP's policy of intervening on the basis of sound scientific evidence and, especially, its role as the core environment programme within the UN system, were both strengthened in the process.

78. The projects ensured the participation of UNEP specialists in a steadily expanding number of national dialogues on sustainable development priorities and the development of UN responses to these priorities. In the process, the projects promoted UNEP's strategic vision of becoming the leading global environmental authority and an authoritative environmental advocate, the agency that sets the global environmental agenda and promotes coherent support for the environmental dimension of sustainable development by the United Nations system. The

following two sections document the projects' implementation of planned outputs and their effectiveness in achieving their desired results; they provide many examples to substantiate this assessment of the projects' strategic relevance.

Evaluation rating for strategic relevance: HS

5.2 ACHIEVEMENT OF OUTPUTS

79. This section describes the projects' performance in relation to their planned outputs, in terms of the quantity, quality, utility and timeliness of these outputs. As described earlier, shared and overlapping outputs (Table 6) and outcome and the cumulative impact of such were one of the main reasons – along with most stakeholders' inability to distinguish between the projects - for assessing the projects jointly. The evaluation reviewed the various outputs produced by the projects, where this was possible, and the projects' own reporting and assessments of these. The results of this review were compared with originally programmed targets and to the expectations of project stakeholders involved with or affected by these outputs. Reasons for the projects' relative success or failure in achieving its outputs and in achieving acceptable quality standards are summarised here and discussed in more detail on page 50. The overall evaluation rating assigned for achievement of outputs was "Satisfactory." The details vary between the different outputs (Table 17, page 38) though not as much between the three projects (Table 18, page 39).

Table 6 - Planned outputs of the three projects

Planned Output	**7th Tranche Project**	**8th Tranche Project**	**UNDAF umbrella project (includes 7th & 8th Tranches)**
1. National environmental summaries	X	X	X
2 Environmental main-streaming assessments	X	Not included	Not mentioned specifically but included as part of 1st output
3. Promotion & outreach to UNCTs and govts	X	Not mentioned specifically but included as part of 1st Output	Not mentioned specifically but included as part of 1st & 4th outputs
4. Participating with UNCTs in UNDAF prep'n	X	X	X
5. Training UNCT and govt partners to support UNDAF prep'n	X	X	X
6. Technical assistance for UNDAF implementation	Not included	X	X

Extensive evaluation questionnaires were completed by 1) UNEP's five Regional Development Co-ordinators (RDCs) and 2) a sample of twenty members of UN Country Teams (UNCT) around the world. The results of these surveys are summarised for each of the projects' outputs, below. In their surveys, RDCs were asked to assign separate ratings for each of the three projects, whereas UNCT members were asked to assign only a single rating for questions about UNEP's overall support from all three projects. [13]

First output: Production of national environmental summaries (NES) giving UN Country Teams and governments full analyses of national environment & development situations.

80. The evaluation reviewed some thirty-six NES (listed page 99) prepared with support from the projects. Half of these, or eighteen, were in Latin America and the Caribbean (LAC), six in Asia and the Pacific, five in Europe / Central Asia, and three in West Asia. These included ten NES prepared with support from the 7th and 8th Tranche projects. Two NES were produced in Indonesia, one at the beginning and the other near the end of the UNDAF projects. Two were also produced in Azerbaijan, though the second one – like the NES produced for Turkmenistan - was so brief (three pages) as to be of limited potential value for mainstreaming environmental sustainability issues into UNDAFs. In general, the LAC region appears to have been the best served by this output, and NES prepared there were generally among the most timely.

81. The UNEP's NES documents are mostly concise and well organized summaries of key environmental sustainability challenges facing each country, summaries of national responses to these challenges, gaps or deficiencies in these national responses and the resulting "opportunities" for UN Country Teams to help the country address these gaps or deficiencies. The organizing logic for most of the NES was the 'DPSIR' (drivers – pressures – states – impacts – responses) approach. The quality of the NES documents, inevitably, is uneven: some (e.g., Ghana, Cambodia) are more coherent and better organized than others; most (e.g. Chad, Kazakhstan, El Salvador) are focused on mainstreaming environmental sustainability as opposed to a more 'environment sector' approach.

82. Most NES were produced early enough to influence the UNDAFs in their respective countries but some, particularly early in the period considered by these evaluations, were not. The relationship between NES and UNDAFs is considered in more detail in the discussion of Output 4, below. The most recent NES, including the second Indonesian NES and those done recently in Kazakhstan, Uruguay, Panama, Cambodia and Laos, all appear to have been well timed to influence UNDAF preparation processes currently underway in their respective countries.

83. Some of the NES have a strong thematic focus. Those for Belarus and the Ukraine, for example, both focus strongly on challenges associated with the toxic "Legacy of Chernobyl." Other NES, across the regions, promoted a transition to a "Green Economy."

84. In most cases, the earlier NES are the most concise while some of the later ones are longer and more heterogeneous in style and format, apparently adapting to changing needs and opportunities. The contents of NES have evolved in some regions more than other; they are likely to continue evolving, with stronger ties to the UN System's emerging Sustainable Development Goals. Indonesia's second NES, for example, was produced with reference to both the SDGs and to outcome areas identified in the Rio +20 process of 2012. The stated purpose of Indonesia's more recent NES was to "provide a brief synopsis of the status of Indonesia's progress towards sustainable development, noting particularly its implementation of an inclusive green growth strategy, in relation to … six environmental priorities [with the intention that] these summaries will inform the UN system about circumstances in Indonesia, assisting Indonesia in the negotiations towards a Post-2015 global

[13] UNCT members responding to the survey included six in the Asia-Pacific region, five in Africa, four in Europe-Central Asia, three in Latin America-Caribbean and two in West Asia. Each RDC and UNCT member was asked to rate each of the six main outputs for their quantity, quality, usefulness and timeliness, on a scale of 1-6 where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

agenda." This innovative approach to the Indonesian NES or "SDG Assessment" has now been adopted in Cambodia, Mongolia, Laos and the Maldives at the request of the government and UNCTs.

85. In general, the production of NES was limited by available budgets; fewer were prepared than could have been used to support UNDAF preparation in all regions, though LAC came closest to meeting regional requirements. Of the NES that were prepared, most reached UNCTs on time and were apparently useful (e.g., Chile, Belize, Madagascar, Sri Lanka, Azerbaijian, Palestine) some appear to have reached UNCTs too late for UNDAF preparation (e.g., The Gambia, Belarus, Mexico). Many UNCTs prepared UNDAFs where environmental sustainability and climate change issues figure prominently, and would have benefitted from NES, but did not have them[14].

86. Due to changing security situations and other unforeseen challenges, not all NES were prepared in countries originally targeted, or according to the timetables originally foreseen. In Iraq, rather than prepare a full NES, UNEP contributed to the preparation of an analytical overview of the challenges posed by environmental degradation which was then used to guide discussions at the UNCT's Strategic Prioritization Retreat. Due to time constraints, a NES was not prepared in Kenya, where instead UNEP organised technical support and capacity building workshops to ensure that environmental sustainability issues were recognized as priorities issue in the UNDAF. In Ivory Coast, where timely NES preparation was impeded by a challenging security situation, UNEP instead supported the UNDAF process through the gathering, analysis and interpretation of environmental information.

87. The UNDAF Project's Project Document states that the "means of verification" for these NES would be "… National Environmental Summaries or Poverty-Environment mainstreaming assessments that have been produced by UNEP are used by the UNCTs in preparing their UNDAFs (and are referenced in the UNDAF or attached as an annex)". But there are no references to NES in UNDAFs and UNDAF annexes are generally quite short – unlike the NES which are usually at least twenty pages long and some much longer. UNDAF annexes do not include lists of references. By 2014 the UNDAF Project's "extension document" refers instead to verification through "UN Country Analyses or UNDAFs referring to UNEP supported environmental assessments". Some or all of the NES may have been referred to in UN Country Analysis document, but these latter documents were not available to the evaluation. Review of project reporting revealed occasional ambiguity in UNEP reporting regarding the NES, apparently as a result of confusion between reporting on results achieved versus describing projected results expected in the future.

88. Valuable feedback about the NES was received during interviews with UNEP's five RDCs, based in Nairobi, Bangkok, Geneva, Panama and Bahrain, as well as questionnaires completed by the RDCs and 15 UNCT respondents (summarised in Table 7).

Table 7 - Summary of feedback from RDCs and UNCTs re: Output 1 - NES

↓ Parameter / Project →	7thTranche	8thTranche	UNDAF project	AVERAGE, RDCs (+ UNCTs avg. & sample)
Quantity	4.5	4.7	4.8	4.7 / 4.4, sample = 14
Quality	4.8	5	4.8	4.9 / 4.9, sample = 15
Usefulness	4.8	5.5	5.2	5.2 / 4.5, sample = 14
Timeliness	4.2	5.0	5.0	4.7 / 4.0, sample = 14

[14] This reflects the customized approach of the Regional Offices, as where the ES and CC issues are well accepted and already on the table during pre-prioritization discussions, UNEP would choose not to invest in producing a NES. The NES has been used as a tool for UNEP and the UNCTs to ensure that ES and CC issues are properly prioritized and primarily used when environmental issues are not being adequately prioritized in the planning.

Average 4 parameters	4.6	5.1	5.0	4.9 / 4.5 sample = 14

Numeric scores for evaluation questions, from UNEP's Regional Development Coordinators – average scores of five RDCs (+ averages of responses from UNCTs in brackets), where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

89. The overall average rating for the quality of this output was just below "Good" from RDCs and between "Good" and "Fair" from UNCT members. Some individual ratings from the UNCTs, particularly regarding the timeliness of this output, suggest some room for improvement in the future. One RDC observed: -- "… [the] key factor in NES is to prepare them in a timely fashion so that discussions with UNCT can be undertaken as well as outreach and advocacy… NES [should] be prepared in the final quarter of the year before the UNDAF roll out…".

Evaluation rating for output 1 - NES: S

Second output: Production of national environmental mainstreaming assessments, with a focus on poverty-environment mainstreaming and emerging gender environment linkages

90. This output is mentioned explicitly only in the 7th Tranche project. In the UNDAF project, it is incorporated in the first Output. The 7th Tranche project's final report states that "In complement to the NES, environmental mainstreaming assessments using the standard guidelines developed by the UNDP/UNEP Poverty Environment Initiative (PEI) were undertaken to provide inputs on pro-poor environmental outcomes for decision-making which enabled the teams to set informed priorities for the UNDAFs and national development plans including on emerging gender environment linkages". Mainstreaming reports had been done in Palestine, Azerbaijan, Indonesia, Ivory Coast and Mexico by late 2013. In Indonesia, it took the form of a report and recommendations on mainstreaming climate mitigation in the national budget assessment and recommendations report. In Cote d'Ivoire, it responded to a specific government request regarding Green Job Creation and support to the transition to green economy in support of poverty eradication. In Palestine, further promotion of mainstreaming was linked with work on Sustainable Consumption and Production.

91. Other feedback from RDCs and UNCTs about this output is summarised below (**Table 8**). The evaluation however, was not able to locate much direct evidence of this output – only the "national environmental mainstreaming assessment" from Mexico was available for review.

92. Both RDCs and UNCTs members, on average, rated this output somewhere between fair and good for most parameters. The UNCTs, once again, were least satisfied with the timeliness of this output while the RDCs were less satisfied with its quantity. A relatively small sample of UNCT members responding to questions about this output (11) suggests that some may not have seen a "national environmental mainstreaming assessment".

Table 8- Summary of feedback from RDCs & UNCTs re: Output 2 – National environmental mainstreaming assessments

↓ Parameter / Project →	7thTranche	UNDAF project	AVERAGE (+UNCTs average)
Quantity	4.5	4.0	4.3/ 4.4, sample = 10
Quality	4.3	4.0	4.2 / 4.5, sample = 11
Usefulness	4.5	5.0	4.8 / 4.5, sample = 11
Timeliness	4.3	4.5	4.4 / 4.0, sample = 11
Average 4 parameters	4.4	4.4	4.4 / 4.4

Numeric scores for evaluation questions, from UNEP's Regional Development Coordinators – average scores of five RDCs (+ averages of responses from UNCTs in brackets), where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Evaluation rating for output 2, mainstreaming assessments: MS

Third output: Promotion and outreach to UNCTs and governments, using project's summaries and assessments, and workshops promoting the use of assessments in national planning.

93. Like the second output, this one is mentioned as a discrete output only in the 7th Tranche project. In the 8th Tranche and UNDAF projects this output is incorporated within Outputs 1 and 4. Like the second output discussed above however, both the RDCs and UNCT members offered useful feedback about UNEP's work in this area, reflecting a range of experiences (Table 9). Average ratings assigned to this output by RDCs were very similar to those of the UNCTs, with below overall average ratings for outputs from both groups.

94. It is interesting to note that UNCT members rated UNEP's *participation* in the actual UNCTs and UNDAF preparation processes (Output 4 below) higher than the "promotion and outreach" activities described here as Output 3. This suggests that people may prefer UNEP to be directly involved in doing these things themselves -- and perhaps thereby ***showing*** other UNCT members how to better address ES issues -- rather than UNEP ***telling*** them how to do these things.

95. Regarding the challenges of promotion and outreach, one RDC noted: "… if we had known in 2013 what we had to contribute in 2014, UNDAFs would have been better. This is not just about linking to financial resources, but also a [need for] a general strategy for developing ahead of time… again this year we are a little late. We are always outsiders, we have to catch up with resident agencies".

96. One UNCT member complained that: "UNEP interacts with governments but not extensively with UNCT and even when UNEP tries to link up with the UNCT it is usually at very short notice". Another UNCT member reported on the other hand that: "Outreach to UNDAF roll-out countries in particular [was] very strong and successful from the regional office of UNEP".

Table 9 - Summary of feedback from RDCs & UNCTs re: Output 3 – Promotion and outreach to UNCTs & gov'ts

↓ Parameter / Project →	7thTranche	8thTranche	UNDAF project	AVERAGE (+UNCTs average)
Quantity	4.3	4.3	4.3	4.3 / 4.0, sample = 16
Quality	4.3	4.8	4.3	4.5 / 4.5, sample = 17
Usefulness	4.8	5.0	4.6	4.8 / 4.4, sample = 17
Timeliness	4.3	4.6	4.2	4.4 / 4.2, sample = 17
Average, 4 parameters	**4.4**	**4.7**	**4.4**	**4.5 / 4.3**

Numeric scores for evaluation questions, from UNEP's Regional Development Coordinators – average scores of five RDCs (+ averages of responses from UNCTs in brackets), where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Evaluation rating for Output 3, promotion and outreach: MS

Fourth output: UNEP participation in UNCT strategy meetings & UNDAF working groups and reviews, to ensure mainstreaming of environmental sustainability in UNDAFs.

97. Wherever possible, the evaluation reviewed the UNDAFs for which NES had been prepared. A considerable number of UNDAFs prepared over the last several years without an accompanying NES were also reviewed, both for comparative purposes and because UNEP had some degree of input into many UNDAFs even where no NES was prepared. The UNDAFs and NES reviewed for the evaluation are identified individually and listed by region in the Annexes (p. 77 and p. 99 respectively).

98. UNEP's influence on UNDAFs is sometimes readily apparent in these documents, sometimes not. Because these UNDAFs do not include lists of references, it is not possible to confirm whether or not NES – where these were available - have been consulted by the UNCT when preparing their UNDAFs. Most of the UNDAFs reviewed – both in countries with NES and those without them - include outcomes related to the promotion of environmentally sustainable development. In most cases, UNEP is both one of the UN agencies signing the UNDAF, and one of the acronyms listed in the document. These are modest but significant indicators of bureaucratic recognition, especially in light of the limited financial contributions UNEP makes to most of these national programmes compared with many other UN agencies, and UNEP's limited physical presence in most countries. In a few cases, even in countries where NES have been prepared and appear to have influenced the UNDAF (e.g., Chad, Madagascar), UNEP does not appear among the signatories or the acronyms listed (however in some cases only a few UNCT members are requested to sign off on the UNDAF). In a few other cases (e.g., Botswana), even though NES have NOT been prepared, UNEP's budgets are an exceptionally large portion of the UNDAF (by UNEP standards, though still relatively modest compared with the UN agencies more active at the country level).

99. The 7th Tranche final report indicated a number of ways in which environmental sustainability was mainstreamed into UNDAFs as a result of UNEP's participation in the UNDAF preparation processes:

- Support for transition to a Green Economy and addressing vulnerability to Climate Change was included in Azerbaijian's 2011-15 UNDAF.
- An outcome related to management of natural resources and protection of environmental and cultural heritage sites was included in the Palestinian UNDAF prepared in 2013.
- Environmental sustainability and Green Economy figure prominently in Mexico's 2012 UNDAF. UNEP also organized the establishment of an eleven member inter-agency group on "Environmental Sustainability and Green Economy" within Mexico's UNCT (ECLAC, FAO, ILO, OCHA, UN Habitat, UNEP, UNESCO, UNDP, UNIDO, UN Women and WHO).

100. The latest 8th Tranche project also reported promising mainstreaming results, reporting that UNEP had been called upon frequently to lead, co-chair or participate in thematic working groups. They led an Environmental Sustainability and Green Economy thematic working group in Mexico, co-chaired the working group on environmental sustainability, land management and human security in Kenya, and participated in thematic working groups in Azerbaijan, Indonesia, Kazakhstan, and Palestine.

101. But there is sometimes ambiguity in the projects' documentation regarding the nature, goal and results of UNEP's ambitions with respect to mainstreaming environmental sustainability in the UNDAFs. There is also a tendency to ignore the extent to which environmental mainstreaming may already have been taking place within UNDAFs, before the projects began supporting UNEP's enhanced participation in them. Review of UNDAFs prepared in 2008-2010, suggests it was already happening, if one uses the projects' own indicator of UNDAF outcome statements or outputs that incorporate environmental issues or considerations. UNEP's own participation in UNDAF implementation, very modest in scale before the launching of the three projects, remains very modest in scale today in most countries.

102. Some reporting of project results is both ambiguous and possibly overstated. For example, the latest UNDAF project extension document stated: "The designation of environmental sustainability and climate change as stand-alone outcomes and/or output statements in two additional UNDAFs since December 2013 brings the cumulative total number of UNDAFs supported by the project to 93 since 2007". Notwithstanding such ambiguity, this important output is clearly the projects' most successful. It should be encouraging for UNEP that this output has been assigned the highest average ratings by the UNCT members and that they and RDCs generally share their estimation of these results (

103. Table **10**). One cannot conclude too much from such a limited sample (19 UNCT members) but it is encouraging that the quality of this output is rated slightly higher, on average, by the UNCTs receiving UNEP support than by the RDCs delivering it. It is not surprising that the RDCs might rate its utility and timeliness higher than do the UNCTs, and it's encouraging that the UNCT's ratings for both these parameters are still solid 5 / 6 or "good," and almost all the 20 UNCT members surveyed were prepared to respond to our questions about this

output. That the UNCTs' lowest rating is for 'quantity' appears to confirm that there is unsatisfied demand for UNEP participation within the UNCTs in general and the UNDAF processes in particular.

Table 10 - Summary of feedback from RDCs & UNCTs re: Output 4 - UNEP participation in UNCT strategy meetings & UNDAF working groups

↓ Parameter / Project →	7thTranche	8thTranche	UNDAF project	AVERAGE (+UNCTs average)
Quantity	4.8	4.8	4.6	4.7 / 4.5, sample = 16
Quality	5.0	4.8	4.4	4.7 / 4.8, sample = 19
Usefulness	5.8	5.8	5.0	5.5 / 5.0, sample = 19
Timeliness	5.4	5.3	4.8	5.2 / 4.9, sample = 18
Average, 4 parameters	5.3	5.2	4.7	5.0 / 4.8

Numeric scores for evaluation questions, from UNEP's Regional Development Coordinators – average scores of five RDCs (+ averages of responses from UNCTs in brackets), where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

104. Once again, there was considerable diversity in the UNCT's feedback from one country to another and it is important to recognize that much UNCT feedback may have come largely from 'best case scenarios,' countries where UNEP has been most active. RDC's pointed out that the quality of their participation in UNDAF processes in their five vast regions was curtailed especially by limitations of financial and human resources. They had no resources available to work in countries designated as 'low priority' and could engage in in-depth analysis in only a relatively few places. As only five people covering most of the world, RDCs simply could not provide the necessary level of support or do the necessary follow up on all country teams. UNCT respondents also recognized the very important limitations imposed on their UNEP partners when trying to have meaningful participation in their UNDAF processes as a "non-resident agency".

105. RDCs described further challenges posed by resistance both from within UNCTs and from other divisions of UNEP. While UNEP unquestionably has greater expertise than UNDP in a wide range of environmental fields, UNDP has a far more substantial field presence and connections around the world. UNDP has access to a bigger share of GEF funds that are often 'life rafts' for resource starved local government and non-government groups involved with environmental management. According to RDCs:

- "We need to advocate, get regional coordinators to send reminders of UNEP's [existence and interest in UNDAFs]. Partly [this is] because RCOs and UNDP are very close, often one. UNDP already has its own environment and energy units and they feel environmental aspects of UN work are covered by them. They don't tend to see us as relevant actors and UNEP [is seen as doing] mostly regional rather than country based activities. It is not so much a deliberate interest in not having us, but they tend to forget. We are not in the loop for their regular means of communication… On the one hand we need to increase and be more proactive but also RCOs need to recognise that UNEP is a partner."
- "Clearly there is competition between UNDP and UNEP, to be the environmental counterpart [to national governments] and for GEF funds… both UNDP and UNEP want to increase [their respective] GEF portfolios in the countries. And so [there is] … competition to be seen as the environmental voice or agent of the UN. We all have it in mind but it's not on the table. Countries also know and take advantage of it. Yes, we go to the countries, to the same partners and try to sell projects… the fact that the RCO [in many countries] is the head of UNDP is conceptually not the best way to contribute to the 'One UN' … [this arrangement] doesn't help to overcome competition in environment [where issues are]… overlapping and cross cutting."

106. While UNCTs and national governments clearly value UNEP support at the national level, RDCs reported that other long-standing regional and global level normative mandates remain dominant influences within UNEP, for example: "In UNEP at large, there is not a firm commitment for UNEP to be part of UNDAF processes … maybe

still not a priority… for the organisation … just one of many things. Others [in the UN system] understand that UNDAF is the key process [for UN organisations] but at UNEP this is still not the case…".

107. Other limitations described by the RDCs included lack of advance information about UNCT meetings, and a limited acceptance among RCOs of UNEP staff's remote participation in these meetings. These effects are exacerbated by the fact that UNCTs are often behind schedule with their UNDAF preparation, and so in a hurry and less patient, making it even more difficult for UNEP to be involved in an "accelerated UNDAF process".

Evaluation rating for Output 4, participation in UNCTs and UNDAFs: S

Fifth output: Training on environmental sustainability for UNCTs and national governments, to discuss mainstreaming assessments, train participants on mainstreaming approaches, including mainstreaming of gender issues.

108. Judging from project reporting and other documents, the projects carried out a considerable amount of training in all five regions.

109. Regional "information kits" produced in 2012 described training carried out to support mainstreaming of issues related to environmental sustainability, climate change, and risk reduction into the UNDAF development process (summarised in **Table 11**). In most of the regions this training focused principally on UN staff. This initial training was mostly "training of trainers" related to the UNDG's guidance note on environmental sustainability and training courses on environmental issues delivered directly to selected UNCTs.

Table 11 - UNDAF Projects' environmental training to 2012

Region	Countries where environmental training related to the UNDAFs had been delivered by UNEP by 2012
Latin America and the Caribbean	Bolivia, Belize, Cuba, Costa Rica, Colombia, Panama, Peru, El Salvador, Nicaragua, Venezuela
Europe / Central Asia	Azerbaijan, Albania, Turkey, Montenegro
Asia and the Pacific	Bhutan, China, Indonesia, India, Kyrgyzstan, Laos, Mongolia, Fiji, Nepal, Pakistan, Philippines, Thailand, Samoa, Sri Lanka, East Timor
Africa	Botswana, Cote d'Ivoire, Senegal, Mauritania, Mali, Cape Verde, Guinea-Bissau, Guinea, Togo, Chad, CAR, Cameroon, Sao Tome and Principe, DRC, Morocco, Algeria, Comoros, Egypt, Ghana, Gambia, Mozambique, Madagascar, Kenya, Malawi, Rwanda, Tanzania
West Asia	Iraq, Palestine, Lebanon, Jordan, Syria

Countries targeted by the 7th Tranche project are shown in green; those targeted by both the 7th and 8th Tranche in red. Sources: DRC LAC Info Kit 2012, DRC: Europe Info Kit 2012, DRC: Asia Pacific Info Kit, DRC: Africa Info Kit 2012

110. By 2013 the training delivered to UNCTs was being described as "mainstreaming environmental sustainability and climate change" and this continued until the end of 2015, albeit in a more limited number of countries. Training activities described in the 7th Tranche project's "Consolidated Progress Report" from mid-2013 includes:

- training of 23 individuals in Palestine's West Bank and another 6 in Gaza by via video-link, focused on guidelines for mainstreaming environment;
- joint UNEP/HABITAT/UNDP UNDAF mainstreaming training in Indonesia;
- training on Environmental Diplomacy organized with the National Diplomatic Academy of Azerbaijan and State Academy of Public Administration under the President's office; and

- a training workshop on mainstreaming environmental sustainability and climate change , in Ivory Coast, for 18 UNCT representatives and 47 national partners.

111. Subsequent training included:

- training on mainstreaming Environmental Sustainability and Climate Change into UNDAFs for the UNCTs in Bhutan , Togo, the West / Central Africa and Latin America regions, El Salvador, Cambodia, Kazakhstan;
- training on integrating Environmental Sustainability, Climate Change and Disaster Risk Reduction issues within the UNDAF for staff from UN agencies, government officials and civil society in Guatemala;
- training of trainers on integrating the principle of environmental sustainability within UNDAFs;
- environmental mainstreaming training in Kuwait; and
- UNEP facilitated sessions on 1) mainstreaming environment and climate change; 2) post-2015/SDGs; 3) Delivering as One Standard Operating Procedures, within training workshops on the Human Rights Based Approach to UNDAFs.

112. These diverse training activities were challenging to evaluate in large part because of the sparse, uneven documentation about these training events. There is a need for UNEP to far more carefully measure participants' satisfaction *in situ*, with brief surveys / evaluations (written and / or oral) at the end of each training session, whatever its thematic focus (discussed further in the section on monitoring and evaluation, page 55). This need to better gauge the effectiveness of training is underlined by a significant discrepancy between ratings given to the training output overall by RDCs and UNCTs, discussed below.

113. From the feedback received from both groups of respondents, one can summarise this output as follows: Training activities faced diverse challenges -- from occasional security threats, to UNCTs unconvinced of the need for / value of environmental training, to inappropriate or inadequate training materials. There is a general feeling that generic training, e.g., based on UNDG guidelines, is less valuable than tailored training, focused on issues of specific interest to a specific group / region / country, e.g., on measurable indicators, on gender and environment, on a human rights based approach to ES, on national environmental challenges, etc. The latter kind of training is more challenging and expensive to prepare and requires better knowledge of local issues, priorities and constraints.

114. One of the rare "workshop reports" on file describes an UNDAF related mainstreaming workshop in Venezuela in May 2013 (Chismar & Salazar 2013). This is one of the very few cases found by the evaluation where participants have clearly been requested to rate their workshop and the workshop organizers have analysed these responses; another good example was done by the UN Staff College at a workshop in Bangkok in 2011. A few other reports describe the content of training sessions, but there is no evaluation feedback from the participants[15].

115. RDCs on the other hand provided cogent feedback and suggestions to the evaluation regarding the challenges UNEP has faced in developing and delivering training and what needs to be done in the future. They sometimes found it difficult to convince UNCTs that they need to have dedicated training workshops on ES alone. Often, the best they could manage was a session within a general UNDAF workshop to speak about ES as one of the programming principles of the UNDAF. Mainstreaming training was also hampered by disjointed and not always relevant UNDG mainstreaming guidelines. Three prescribed training manuals dealt with issues of environment, climate change, environment / disaster risk management, where a single, integrated manual would have been more valuable. These manuals focused much attention on issues of relatively little importance to UNCTs, such as environmental impact assessment and strategic environmental assessment activities that are never done during the UNDAF development process. It is hoped that revised guidelines expected in 2016 will address these issues. It is also hoped that future training will benefit from better trained trainers and training material that

[15] Project staff note: this is partly due to the fact that UNDG-Regional teams organized the workshops and UNEP would deliver the ES elements of those regional or country level workshops on their behalf, the evaluations were not shared with the UNEP facilitators as they were conducted and compiled by the UNDG team

is far more grounded in the experience of each region. Such training events that focus on the regional experience could also be valuable opportunities for 'South – South cooperation.'

116. The 7th Tranche project's final report made further recommendations regarding NES-related training, including the need to train national authorities and UNCTs, in the updating of existing and production of future NES. These documents can be used not only as planning tools but as tools for reporting on the state of the environment at the different geographic scales. The same partners could also benefit from training on how to develop and institutionalise NES processes in their respective countries.

117. This training output was the object of the most worrisome discrepancy between the average ratings of UNCTs, who gave it their lowest average rating among the six outputs, and the RDCs, who gave it their highest (Table 12). The UNCTs rated the UNDAF related training roughly a point or more lower than the RDCs against the different criteria, rating it little more than "fair" on average against most parameters while the RDCs saw it as generally "good" or better. The RDCs "good" rating extended to the "quantity" of training delivered whereas the UNCTs average rating of 3.3 suggests they were far less satisfied with the amount of training delivered than the RDCs assume. Here again, it is important to remember that the experience of individual UNCT members / countries varied widely and a sample of 13 or 14 responses is not adequate to base firm conclusions. But clearly, from the perspective of UNCT members receiving UNEP training and responding to the survey, RDCs systematically overestimate UNEP's performance when it comes to training.

Table 12 - Summary of RDC and UNCT's assessments of Output 5 - Training courses on mainstreaming environmental sustainability and climate change

↓ Parameter / Project →	7thTranche	8thTranche	UNDAF project	AVERAGE (+UNCTs average)
Quantity	4.8	5.0	4.5	4.8 / 3.6, sample = 13
Quality	5.0	5.5	5.2	5.2 / 4.3, sample = 14
Usefulness	5.0	5.5	5.0	5.2 / 4.2, sample = 14
Timeliness	5.4	5.5	5.4	5.4 / 4.1, sample = 14
Average, 4 parameters	5.1	5.4	5.0	5.2 / 4.1

Numeric scores for evaluation questions, from UNEP's Regional Development Coordinators – average scores of five RDCs (+ averages of responses from UNCTs in brackets), , where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Evaluation rating for Output 5 - Mainstreaming training courses: MS

Sixth output (8th Tranche and UNDAF projects only): UNEP technical support to implement & deliver specific environment outputs in completed priority UNDAFs

118. UNEP headquarters provided a summary of activities (The diverse collection of activities described here reflects the diversity of the regions, the countries in them and the many kinds of support UNEP can offer at the country level (there are doubtless many more).

119. **Table 13**) carried out in achieving this output, which was identified only for the 8th Tranche and UNDAF project. The diverse collection of activities described here reflects the diversity of the regions, the countries in them and the many kinds of support UNEP can offer at the country level (there are doubtless many more).

Table 13 - UNDAF Related projects / activities

Region	Country	Project (s)	Partners	Status

Africa	Cape Verde	➢ Climate change vulnerability assessment under One UN fund	ENDA Energy Environment and Development	Completed 2011
	Ivory Coast	➢ Development and implementation of joint projects as part of the UNEP Country ➢ Cooperation Framework (CCF) grouped into 6 environmental clusters.		
	Mozambique	➢ Joint Project on Climate Change adaptation	UNDP	
	Rwanda	➢ Resource efficiency and sustainable consumption and production. ➢ Development and promotion of green villages.	UNIDO UNDP, WFP, UNECA, UNIDO, ILO, UN-Habitat and UNESCO	
	Tanzania	➢ CDM and Law enforcement project. ➢ Integration of Education for Sustainable Consumption through the Ministry of Education and Vocational Training and National Environment Management Council.		
	Mongolia	➢ Joint UNDP/UNEP Environmental Governance Programme	UNDP	
	Myanmar	➢ UNEP-HABITAT climate change adaptation programme	UN-Habitat, EU	
Asia/ Pacific	Papua New Guinea	➢ Joint Environment Strategy	UNDP, FAO	
	Indonesia	➢ Low Carbon Emission Budget Marking and Scoring System		
	Vietnam	➢ Partnership against Trans-national Crime through Regional Organized Law-enforcement (PATROL) project ➢ SCP/CSR project jointly with UNIDO.	UNODC	
Europe/ Central Asia	Albania	➢ National Resource Efficient Cleaner Production Programme.	UNIDO	
	Azerbaijan	➢ Project on environment and health linkages. ➢ Green Week activity		
	Belarus	➢ Assessment of feasibility of biofuel production on Chernobyl affected lands.		
	Belize	➢ Institutional Strengthening for the Implementation of the Montreal Protocol		On-going
Latin America/ Caribbean	Honduras	➢ Capacity building for solid waste management		
	Mexico	➢ Inter-agency projects on human and environmental impacts of chemicals, and on food security		

	Nicaragua	➢ Integrated Coastal Management with special emphasis on the sustainable management of mangrove forests		
	Panama	➢ Institutional Strengthening for the Implementation of the Montreal Protocol. ➢ Implementation of Total Diet Study Project.		On-going
	Uruguay	➢ Technical assistance for the design of policies to promote sustainable production and employment.		
West Asia	Iraq	➢ Iraq's Initial National Communication to UNFCCC ➢ Sand and Dust storm programme	UNDP, FAO	Completed 2011 On-going

120. Other UNEP activities apparently subsumed under this output and identified by the RDCs, but not captured in the table above include, under the 8th Tranche project include:

- work in Indonesia on green economy indicators, with UNDP;
- Green Economy scoping studies in Azerbaijan and the Ukraine;
- work on a Climate Change needs assessment (first stage) with UNDP-Palestine;
- work in Palestine on Sustainable Consumption and Production in the identification of priority opportunities in a range of sectors in support of economic diversification; and
- provisional scoping study to identify poverty-environment mainstreaming opportunities also in support of the most vulnerable, with the EU funded SWITCH-Med project.

121. And under the UNDAF project:

- National Environment Strategy and Action Plan launched for Iraq;
- ongoing work on institutional development at the federal and Kurdistan Regional level, with UNDP;
- work in Jordan, with the Environment Working Group, on awareness raising and outreach activities; and
- assessment with UNDP, of the environmental impacts population increases resulting from the refugee influx, to guide the development of specific response plans within the Jordan Resilience Plan.

122. Mexico's "Green UNDAF," has emerged from its latest UNDAF (signed March 2013) where one of the UN System's six areas of cooperation will be support for green, inclusive growth, including sustainable agriculture and water management, and facilitation of natural heritage preservation, while also helping generate wealth and employment and promote competitiveness. The UNCT will also reinforce the development of Mexican policies on climate change and environmental protection in support of national transition to a competitive, sustainable and flexible low-carbon economy. To help deliver this ambitious agenda, UNEP initiated a process wherein eleven UN agencies active in Mexico created a task group identified as "Green UNDAF". Eleven ongoing projects under the Green UNDAF have mobilised close to $3 million to date (

123.

124.

125. ***Table 14***).

Table 14 - UNEP UNDAF and Inter-Agency Projects in Mexico, as of December, 2014

Project	Participating Agencies	Amount (USD)	Status	Fund Source
Healthy and Fair Markets & "Food for Mexico City" **(UNDAF Group)**	UNEP, CEPAL, FAO, ILO, OCHA, UN Habitat, UNESCO, UNDP, UNIDO, UN Women, PAHO/WHO	25,500	On going	UNEP-UNDAF
Assessment of the Use of Pesticides and their Potential Impact on Human Health and the Environment in the State of Sinaloa, Mexico **(UNDAF Group)**	UNEP, CEPAL, FAO, ILO, OCHA, UN Habitat, UNESCO, UNDP, UNIDO, UN Women, PAHO/WHO	24,500	On going	UNEP-UNDAF
Creating short-circuits of marketing of organic agricultural products in the Metropolitan Area of Mexico **(UNDAF Group)**	UNEP, UN Habitat and FAO	400,000	To be initiated in 2015	FAO
Environmental and Climate Change Outlook (ECCO): Studies in three Cities in Mexico: Aguascalientes, Poza Rica and Tampico-Altamira-Madero	UNEP, UN-Habitat and WHO	60,000	Complete	Government of the States of Tamaulipas, Aguascalientes and Veracruz
Strengthening a common agenda of public health and climate change project in Mexico City	UNEP and WHO	30,000	On going	UNEP REGATTA
Green Economy Study for Mexico (MX-GES)	UNEP, UNIDO and ILO	600,000	Complete	UNEP, IADB, IGS, UNIDO, and ILO
Greening Manufacturing Industry and Green Jobs Strategy in the State of Mexico	UNEP, UNIDO and ILO	70,000	On going	Government of the State of Mexico
Strengthen the integration of the gender issue through the State Programme on Climate Change of the State of México.	UNEP and UN Women	10,000	Complete	UNEP and UN Women
Development of the safeguards' system for the National REDD Strategy	UNEP, UNDP, FAO	600,000	On going	UNEP, UNDP and FAO
Solar Water Heating Market Transformation and Strengthening Initiative	UNEP and UNDP	1,000,000	On going	GEF Project
TOTAL UNDAF + INTER-AGENCY PROJECTS		**2,920,000**		
TOTAL RESOURCE MOBILIZATION		**2,870,000**		

(EXCEPT UNEP-UNDAF FUNDED PROJECTS)				

126. UNCT members' average rating for this output of support for UNDAF implementation, against all parameters (**Table 15**), was about half way between "fair" and "good" – the same as their overall average rating for all six outputs of the UNDAF projects. It is encouraging that the UNCTs' highest average rating for this output, just short of "good," was for its "quality". We are lacking RDC feedback from the Africa and Europe/Central Asia regions, but the RDCs who responded rated this output significantly higher than did the UNCT members, particularly regarding its usefulness (5.6 vs 4.5) and timeliness (5.2 vs 4.3).

Table 15 - Summary of RDC & UNCT's assessments of Output 6, UNEP activities supporting UNDAF implement'n

↓ Parameter / Project →	8thTranche	UNDAF project	AVERAGE (+UNCTs average)
Quantity	4.7	4.5	4.6 / 4.2, sample = 13
Quality	5.3	5.0	5.2 / 4.7, sample = 15
Usefulness	5.7	5.5	5.6 / 4.5, sample = 15
Timeliness	5.3	5.0	5.2 / 4.3, sample = 15
Average, 4 parameters	5.3	5.0	5.2 / 4.4

Numeric scores for evaluation questions, from UNEP's Regional Development Coordinators – average scores of five RDCs (+ averages of responses from UNCTs in brackets), , where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Evaluation rating for Output 6 – UNEP support for UNDAF implementation: S

Projects' overall degree of success in meeting output targets and quality standards: *The overall rating for UNEP's three UNDAF projects' achievement of outputs was Satisfactory because three of the four most important outputs, in the evaluator's judgement (Outputs 1, 4, 5 and 6) were rated S (*

Table 16*).*

Table 16 - Evaluation ratings for achievement of outputs by UNEP's UNDAF projects

Output 1 – NES	Output 2 – Mainstreaming Assessments	Output 3 – Outreach to UNCT & Gov'ts	Output 4 – UNEP part'n in UNCT & UNDAF	Output 5 - ES training	Output 6 - UNEP support for UNDAF outputs	**OVERALL EVALUATION RATING for OUTPUTS**
S	MS	MS	S	MS	S	**S**

127. UNEP's most notable strengths in delivering these outputs included the expertise, enthusiasm and dedication of their regional and other staff involved. These and other dimensions of UNEP's performance are re-visited in the discussion of factors affecting project performance (page 50). There is clearly unsatisfied demand for more UNEP presence at the country level and for UNDAF related activities delivered at the right time, at least in those countries where the value of UNEP's expertise is now recognized. This unmet demand is demonstrated, for example, by "quantity" and "timeliness" receiving, on average, the lowest ratings among the criteria rated by the UNCT respondents (**Table 17**). UNEP's support was good and useful but UNCTs would have liked more of it and to have it delivered in a more timely fashion. This message was reinforced in supplementary written comments received from UNCT respondents.

Table 17 - Average output ratings for UNDAF projects, from RDCs & UNCT members (and evaluation ratings)

Output → / ↓ Parameter	Output 1 - NES	Output 2 - Main-streaming Assessments	Output 3 - Outreach to UNCT & Gov'ts	Output 4 - UNEP part'n in UNCT & UNDAF	Output 5 - ES training	Output 6 - UNEP support for UNDAF implement'n	AVERAGE Output rating by RDCs & UNCTs
Quantity	4.7 / 4.4	4.0 / 4.4	4.3 / 4.0	4.7 / 4.5	4.8 / 3.6	4.6 / 4.2	**4.5 / 4.2**
Quality	4.9 / 4.9	4.3 / 4.5	4.5 / 4.5	4.7 / 4.8	5.2 / 4.3	5.2 / 4.7	**4.8 / 4.6**
Usefulness	5.2 / 4.5	4.8 / 4.5	4.8 / 4.4	5.5 / 5.0	5.2 / 4.2	5.6 / 4.5	**5.2 / 4.5**
Timeliness	4.7 / 4.0	4.4 / 4.0	4.4 / 4.2	5.2 / 4.9	5.4 / 4.1	5.2 / 4.3	**4.9 / 4.3**
Average numeric ratings for 4 parameters	**4.9 / 4.5**	**4.4 / 4.4**	**4.5 / 4.3**	**5.0 / 4.8**	**5.2 / 4.1**	**5.2 / 4.4**	**4.9 / 4.5**
(Evaluation ratings)	**S**	**MS**	**MS**	**S**	**MS**	**S**	**S**

Numeric scores for evaluation questions, from UNEP's Regional Development Coordinators – average scores of five RDCs (+ averages of responses from UNCTs in brackets), , where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

128. The similarity between most of the average overall ratings of outputs by the two groups is encouraging. It suggests that RDCs have a fairly accurate, if understandably optimistic picture of the results of these activities. Areas where the ratings of the two groups diverged the most, related to training and activities to implement UNDAFs, should be of greatest concern for UNEP in planning future support for environmental mainstreaming in UNDAFs. UNEP should also take note of their diverging views regarding the usefulness and timeliness of all outputs, issues which are also discussed in greater detail in later sections.

129. The evaluation did not assign formal ratings to each of the three projects for their individual achievement of outputs for several reasons. The most important group of stakeholders providing feedback - UNCT members - did not distinguish between the three, making it impossible to compare their ratings with those of the RDCs, as was done for the RDCs average ratings in the table above. In any case, the ratings assigned for the different outputs by the RDCs, though they did vary slightly between outputs, did not vary significantly between projects, on average, when comparing averages for only the four outputs rated for all three projects, or for all outputs rated by the RDCs for all three projects (Table 18). Finally, the integrated, inter-dependent nature of the activities of the three projects made it impossible for the evaluator to confidently distinguish between their relative contributions when reviewing other material generated by the projects.

Table 18 - RDCs average ratings, by output and by project (and informal evaluation ratings)

Output	7th Tranche	8th Tranche	UNDAF umbrella
1. NES	4.6	5.1	5.0
2. Mainstreaming assessments	4.4	Not included	4.5
3. Outreach to UNCTs & government	4.4	4.7	4.4
4. UNEP participation in UNCT and UNDAF	5.3	5.2	4.7
5. ES training	5.1	5.4	5.0
6. UNEP support for UNDAF implementation	Not included	5.3	5.2
Average ratings	Outputs1,3,4,5 = 4.9 With Output 2 = 4.8	Outputs1,3,4,5 = 5.1 With Output 6 = 5.1	Outputs1,3,4,5 = 4.8 With Outputs 2,6 = 4.8
(Informal evaluation ratings)	S	S	S

130. A detailed discussion of various factors and processes that affected project performance is presented below (page 50); those that were most important for determining the projects' achievement of their outputs are summarized here. Among the key factors contributing to successful achievement of outputs identified by UNCTs, at least in some countries, was UNEP officers' strong desire to collaborate with other UNCT members, national partners and others in delivering their ES mainstreaming agenda. This contributed most markedly to successes in a relatively limited number of countries, like Ivory Coast, Indonesia, Azerbaijan, Mexico, or Iraq, where efforts have been concentrated.

131. The relative success of each of the three projects in each of the five regions also depended on the changing circumstances of the countries where they focused their efforts. These circumstances -- such as the shifting geography of war and instability in West Asia, a regional Ebola outbreak in West Africa, and the dynamic UNDAF preparation strategies and timetables in various countries -- sometimes affected results, causing RDCs and other UNEP interveners to shift the geographic focus of their work on short notice.

132. Other factors impeded performance. Among some at least, there is a perception of a lack of corporate commitment, at UNEP headquarters, to expanding on these projects' successes and responding to broader unsatisfied demand. Despite initial moves to decentralization, UNEP remains highly centralised one RDC noted that it was very difficult for them (RDCs) to deliver projects at the country level in such a highly centralised organization, where authorization from headquarters is still frequently required. In the same vein, UNEP's prevailing *modus operandi* remains unaligned with UNDAFs. UNDAF's are usually for four years and UN agencies with national programmes are increasingly aligned to these, while UNEP centrally administered Programmes of Work and associated projects are usually of two years duration. Another RDC noted, and a few UNCT members agreed, that "UNEP [still] also tends to operate in isolation from other UN partners," although it was also observed that this is now changing, particularly with the stimulus of these UNDAF projects.

133. RDCs also noted UNEP's need for more systematic, timely and carefully tailored interventions at the national level. NES should always be produced late enough in the year before the year of UNDAF preparation that they will be relatively up to date, while still being early enough to influence UNDAF processes and consultations.

Training needs to be far more demand driven, carefully tailored to meet this demand, carefully monitored and evaluated, and carefully timed to ensure it can achieve maximum impacts within the UNDAF cycle.

134. UNEP's financial management systems also limited the projects' performance. Annual funding that could not be automatically "rolled over" into future fiscal years, as a result of terms and conditions established by donors, meant various ongoing activities were impacted by debilitating uncertainties and delays. One RDC cited the situation in their region where there were "… five [UNDAF] rollouts in 2014, [of which] only two really … completed, the other three were delayed and all the funds we had to support those countries expired at the end of the year". Where grant funds could not be "rolled over" beyond the duration of the grant, UNEP had to seek alternative sources of funding to bridge gaps and continue implementation of activities

135. The fact that UNCTs are often behind schedule with their UNDAF processes means that UNEP has to be particularly flexible if they are to intervene at the right moment, but their financial management systems militate against such flexibility. Headquarters financial managers explained that flexibility was only possible "…to the extent that internal controls are not compromised and there is adherence to the terms and conditions of the agreements with the donors". UNDAF related activities that are at the beginning of a fiscal year - when it is difficult for UNEP staff to get money even to travel - are particularly problematic.

5.3 EFFECTIVENESS IN ATTAINING PROJECT OUTCOME, OBJECTIVES AND LONGER-TERM IMPACT

136. Each of UNEP's three UNDAF projects' initially described their expected "direct outcome," "project objective / goal," and "longer-term impacts" a little differently but all agreed on the same sequence of desired results stemming from the projects' shared outputs. The Theory of Change (ToC) model (page 21) prepared for the projects integrated these planned results into a single logical sequence that encompasses all of their activities and expectations, inserting two "Intermediate States" which clearly figure among the expected results of these projects. The sequence of results expected from the UNDAF projects that was assessed by the evaluation, following the prescribed method of "Review of Outcome towards Impacts" was as follows:

- **Direct outcome:** Strengthened capacities of UNCTs and national institutions for enhanced integration of environmental sustainability.
- **Project objective (described as first "intermediate state" after projects' outcome in the ToC analysis):** Improved integration of environmental priority issues into UN Country Analysis and UNDAF Results Matrix and Monitoring and Evaluation Plan, national and sectoral plans and programmes.
- **Longer-term objective (second "intermediate state" in ToC):** Decisions by UNCT members and national partners regarding policies and programmes are made with full consideration of environmental priorities.
- **Longer-term impact:** Improved national achievement of environmental outcomes, specifically environment linked elements of MDGs 1-6, and all of MDG 7.

137. The projects' overall effectiveness was rated as "Satisfactory", based on "Moderately satisfactory" achievement of their direct outcome, "Satisfactory" achievement of their objective and a longer term impact that is "Highly likely". Evaluation findings on each of these results are summarised and explained below.

Direct outcome - Strengthened capacities of UN country teams and national institutions for enhanced integration of environmental sustainability

138. No direct measures of strengthened capacities were available -- this was a deficiency of project monitoring. The evaluation's own assessments of the projects' outputs, above, confirm that the projects' did strengthen these capacities, at least in the short term, in several ways.

Evaluation rating for achievement of direct outcome ML

139. **Moving beyond the direct outcome:** The evaluation examined different critical "assumptions" and "drivers" identified during the ToC analysis as being likely to influence progress from its direct outcome to its higher level objective and on towards longer terms results. While these assumptions and drivers are not results *per se*, information about the ongoing validity of these assumptions and the current state of the drivers provides valuable indications of the likelihood of progress towards desired longer-term results. Most of the evaluation's information regarding critical assumptions and drivers is derived from oral and written feedback from RDCs and UNCTs. The views of these two key groups of respondents are summarised here, with numeric results of questionnaire surveys presented in annexed tables (page 93). Both groups confirmed that UNEP's three UNDAF projects' worked mostly with the right people and focused on the right issues. Both were confident that the UNDAF projects' mainstreaming activities focused on partner governments' national development priorities (average RDCs' rating 5.5 / 6 and UNCTs' 4.8 / 6). The UNCTs were less confident (4.3 / 6) than the RDCs (5.6 / 6) however, that these priorities remained constant over the life of the projects. As one UNCT member pointed out "Government changed therefore priorities changed". The RDCs were also somewhat more optimistic than the UNCTs that the projects' capacity development activities have "addressed the right issues" (avg. rating of 5.1 / 6 vs UNCT's 4.4 / 6), targeted the "right people and institutions" (4.7 vs 4.2), developed the "right capacities" (4.8 vs 4.2), and actually influenced the decisions of UNCT members.

140. Both groups were moderately convinced (avg. ratings of 4.3 / 6 for RDCs and 4.1 for the UNCTs) that the capacities developed during the project have remained available to work on mainstreaming activities as originally foreseen, though various comments from RDCs suggested that peoples' professional mobility may undermine this to some extent. One RDC suggested that too much attention was focused on the UNCTs and more attention ought to have been addressed – and should be addressed in the future - to national government partners. Another observed: "… [there might have been] diminishing national government participation after the 7th Tranche... as there was growing demand to address needs of UNCTs under 'delivering as one'.

141. Both RDCs and UNCTs were similarly, modestly confident (avg. ratings from 4.3 to 4.9) that the projects' proposed measures for mainstreaming were appropriate, that other UNCT members have seen these as worthwhile, and that both UNCT and government partners have remained committed to mainstreaming environmental sustainability, after being exposed to UNEP's promotion of this mainstreaming. One RDC noted that the projects have helped to "vastly" improve UNEP's profile in the regions, earning them recognition, goodwill and opportunities to be involved in projects that would not otherwise present themselves.

142. Respondents confirmed that the overall scheduling of project activities was fairly good. There was room for improvement during the 7th Tranche project in particular, and scheduling was better in the two other projects.

143. RDCs judged UNRC and UNCT support for UNEP's involvement in the UNDAFs to be significantly better than did the UNCT's (avg. 5.6 / 6 vs 4.7 for UNCTs). Neither group of respondents was as confident that the projects had identified measures that could demonstrably improve UN programmes and national activities (avg. rating of 4.6 for RDCs and 3.9 for UNCTs) but both agreed that these are things that would take time to demonstrate.

144. Regarding a number of other underlying issues affecting the projects' prospects for achieving their longer term objectives - both groups were once again in broad agreement and modestly optimistic (average ratings around 4.5), the RDCs usually a little more so than the UNCT members. They agreed it was probable that national environment and development priorities are aligned in the projects' target countries, that national commitment and readiness to address priority environmental issues will be sustained in these countries, and that (though somewhat less likely) these countries will remain stable enough to proceed with mainstreaming. In their written comments, respondents pointed out however that their ratings disguise a great deal of diversity among the prospects of individual countries (Table 23, page 101).

Projects' immediate objective (or first "intermediate state" in the ToC) - Improved integration of environmental priority issues into UN Country Analyses, UNDAF Results Matrices, UN Monitoring & Evaluation plans, national and sectoral plans and programmes

145. In the absence of more careful monitoring of the transition towards this result, the projects' reports employed fairly crude measures to gauge "improved integration of environmental priorities" such as the percentage of total UNDAF budgets allocated to environment or climate change outputs, and they generally overlooked the fact that UNEP's engagement with UNDAF's began a little before these projects were initiated.

146. The 7th Tranche Project's final report reported the proportions of the latest UNDAF budgets in their five target countries that are now dedicated to "Environmental Outputs" after UNEP's intervention, but with no comparative figures from earlier UNDAFs. The 8th Tranche's Project's final progress report does provide such comparisons for six out of their ten countries of focus (figures were not available to permit such a comparison for the other four countries). In five out of these six countries – Kenya, Kazakhstan, Iraq, Ivory Coast and Indonesia - large increases are reported in the proportion of the overall UNDAF budget devoted to "environmental outcomes" following the project's interventions. In the sixth country, El Salvador, the environmental component of the UNDAF budget did not change significantly. In three of these six countries there were also large increases in UNEP's national project budgets, while in the other three UNEP now has a modest project budget where they previously had none.

147. The UNDAF Project Extension document in 2014 did not cite analogous figures but instead described their "integration" results as follows: "… the designation of ES and CC as stand-alone outcomes [CC as an "outcome"] and / or output statements in 25 additional UNDAFs (bringing the total for the 2010-13 period to 55) is a reflection of the increasing demand for UNEP's normative, scientific and policy expertise to mainstream environment into UNDAFs. Formulation of the outcomes and / or outputs was based on: UNEP-led environmental assessments, provision of technical expertise in substantive areas, and the delivery of targeted training courses. During the biennium just ended UNEP became a signatory to 25 completed UNDAFs, in which UNEPs specific and substantive inputs on environmental sustainability were fully integrated…".

148. No results were cited in project reports regarding improved integration of environmental concerns beyond UNDAFs and into national programmes and policies; the evaluation survey did not reach national partners.

Evaluation rating for achievement of project's immediate objective L

149. Analysis of stakeholders' views regarding the relevant underlying assumptions and drivers suggests that, once again, these are fairly, though not overwhelmingly, supportive of the move from the immediate objective of "improved integration of environmental priorities in UNDAF and related national programmes" towards a higher level objective of "decisions being made about the interventions of UNCT members and national partners with full regard for the environmental priorities".

150. Both groups expressed a similar level of modest confidence (4.4 / 6 on average) that UN programmes have sufficient influence to enhance the environmental sustainability of national policies and programmes and that the projects' national partners will be able to influence decisions about these activities. A couple of RDCs pointed out that the UN's influence in general is relatively diminished in higher income countries, such as the middle income countries of Latin America or East Asia. Stakeholders were a little more confident (4.6 / 6 on average) that the projects had been able to identify mainstreaming activities that could demonstrably strengthen and improve sustainable development results of both national policies and programmes and of UN programme in partner countries (Table 24).

Projects' higher level objective, or second "intermediate state" - Decisions on interventions made by UNCT members and national partners with full regard for environmental priorities

151. This objective is implicit in the logical sequence of results towards the projects' desired longer term impact. It was not discussed explicitly in project reporting, but the underlying assumptions and drivers related to moving from this objective towards longer term impacts were reviewed in detail with the stakeholders surveyed. They confirmed, a little more positively than for the previous assumptions and drivers, the soundness of the projects' progression towards longer term results at this level. All RDCs and most UNCT respondents confirmed that "environmental vulnerability significantly affects the countries' development prospects" (and is therefore likely to be a policy priority). They also confirmed that "environmental priorities are considered important enough, in relation to other national priorities, to influence national and sectoral policy" in targeted countries, although with a little less confidence. Finally, both groups confirmed that national environmental and development priorities are reasonably, though not perfectly, aligned (4.4 / 6) in their countries (Table 24, page 102).

Evaluation rating for achievement of project's longer term objective Likely (L)

Progress towards desired longer-term impact of improved national achievement of environment linked elements of MDGs 1-6, all of MDG 7

Table 19 - Review of Outcomes towards Impacts (ROtI)

Results rating of project entitled:	Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Processes					
Outputs	**Outcome**	**Rating (A-D)**	**Intermediate states**	**Rating (A-D)**	**Impact (GEBs)**	**Overall Rating**
S	ML	B	L	A	---	HL
	Rating justifi-cation: See text above	"The projects' intended outcome of capacity development was delivered, and was designed to feed into a continuing process, though it lacked clear "prior allocation of responsibilities after project funding"	**Rating justifi-cation:** See text above	"Measures designed to move towards intermediate states have started and have produced results which clearly indicate that they can progress towards the intended long term impact"	**Rating justification:** Documented changes in environmental status NOT achieved during projects' lifetime	B+A ratings results in HL rating, according to ROtI typology

152. Using the prescribed "Review of Outcomes towards Impact" (ROtI) method of rating (summarised in Table 19 above), the projects are judged "highly likely" to achieve their expected longer term impact of improved national achievement of environment -related goals, at least to some extent. This rating is based on the conclusions (in the ROtI jargon) that: 1) the projects' intended outcome of capacity development was delivered, and was designed to feed into a continuing process, though it lacked clear "prior allocation of responsibilities after project funding" (or an outcome rating of "B" in the ROtI system); and 2) measures designed to move towards

intermediate states have started and have produced results which clearly indicate that they can progress towards the intended long term impact (or an outcome rating of "A" it the ROtI system).

Evaluation rating for progress towards longer-term impact **Highly Likely (HL)**

153. **Overall effectiveness:** There was a consensus among RDCs and UNCT respondents that the UNDAF projects have succeeded, fairly well, in promoting mainstreaming and improving support for ES both within a UN planning context and among national partners (Table 25, page 102). The projects' contributions to longer term ***concrete*** outcomes, like improvements to resource and environmental management and to human living conditions, are judged more tenuous – "fair" or a little better – by both groups. Much of the work done in these projects had an "upstream" policy focus and therefore unlikely to show such concrete results in the shorter term.

Achievement of direct outcome	Achievement of objectives	Likelihood of longer-term impacts	**Overall evaluation rating for effectiveness**
MS	L	HL	**S**

5.4 SUSTAINABILITY, CATALYTIC EFFECTS AND REPLICATION

154. The evaluation assigned a combined rating of "moderately likely" for the sustainability of the projects' results, and the likelihood of their achievement of catalytic effects and replication. This was based on ratings ranging from "moderately unlikely" for their financial sustainability to "Likely" for their environmental sustainability and their catalytic effects and replication. The findings leading to these ratings are summarized here.

Sustainability

155. The evaluation assessed a number of factors likely to influence the persistence of benefits accruing from the projects. Some of these were direct results of the projects while others were contextual issues that, while not under the control of the projects, may still affect the sustainability of their benefits.

156. Feedback from RDCs and UNCT members revealed broad agreement regarding the projects' modestly positive prospects for sustainability, which were assigned overall average ratings of 4 / 6 (Table 27, page 103). This corresponded to the evaluation's own initial assessment of the likelihood of sustainability, based on document review, as "moderately unlikely" for the 7th Tranche project, "moderately likely" for the 8th Tranche project and "likely" for the UNDAF project. This tendency, of the UNDAF project design to better address sustainability issues than the 7th Tranche or 8th Tranche projects, can be seen in a number of parameters of sustainability discussed below. On the most basic level, the project's capacity development achievements, to the extent they are embodied in individuals and organisations that will continue to contribute to future UN and country level programmes, cannot readily be undeveloped.

157. While respondents were relatively confident that capacities had been developed, they were less certain that these enhanced capacities have actually been applied to the formulation of "science based policies". In response to the related survey question, both RDCs and UNCT members judged results to be only fair. Examples of this sort of increased capacity for science based policy cited by RDCs tended to be tautological, citing scientific studies done rather than how the results of these studies have been used. Less than half the UNCT respondents opted to answer the question about use of science for policy making, suggesting perhaps a relatively high degree of uncertainty about this issue among this population. This kind of uncertainty may be attributed in part to the high degree of mobility among the projects' target populations and, in some cases, very dynamic political and institutional circumstances in their respective countries. These factors, as well as UNEP's (or others') failure to

systematically assess the longer term effects of their capacity development efforts, combine to create considerable overall uncertainty surrounding this critical question.

158. On the other hand, the consideration of longer-term sustainability issues embodied in the "Review of Outcomes towards Impacts," discussed in the previous section, suggested that the broader changes being promoted by the projects are likely to be sustainable, at least in some of the target countries, over the longer term. In addition, four specific dimensions of sustainability were considered by the evaluation: socio-political, financial, institutional and environmental.

159. **Socio-political sustainability:** The role of political or social factors in relation to longer term impacts was generally not addressed in the design of the 7th or 8th Tranche projects. Both aimed to enhance stakeholder awareness of key issues and promote future programmes and plans to address these. The 7th Tranche project did not explicitly support the actual development of such programmes and plans; the 8th Tranche project design on the other hand, like the UNDAF project, did aim to support the implementation of such programmes and plans. Unlike the two smaller projects, the UNDAF project design also considered the role of political or social factors in relation to longer term impacts of UNDAFs, at least in generic terms.

160. Survey respondents identified specific issues likely to affect socio-political sustainability, such as refugee flows that may have major impacts on longer term results, especially in the West Asia region. Political instability was also cited as a possible limit on results in the Europe-Central Asia region, where pressing socio-economic challenges could push the environmental sustainability agenda lower on national priority lists. Nonetheless, a significant degree of longer term socio-political sustainability overall is likely guaranteed, as pressures associated with environmental degradation and climate change mount in a growing number of countries.

Evaluation ratings for socio-political sustainability: Moderately Likely (ML)

161. **Financial sustainability:** The 7th Tranche project did not address the issue of funding for implementation of measures identified in UNDAFs, the 8th Tranche project assigned a modest budget for this purpose and the UNDAF project devoted a more substantial portion of its flexible budget to implementation of the kinds of issues being promoted in UNDAFs and within UNCTs.

162. The greater, longer-term risk to financial sustainability was in many ways more a socio-political risk – the inevitable risk that short to medium term political and economic imperatives will be judged by governments to be of greater priority than environmental sustainability. This kind of risk, combined with limited financial resources, was highlighted as a threat to the financial sustainability of project benefits in Africa and Latin America in particular. In general, RDCs were pessimistic about the prospects for "sustained post-project finance", which they rated as 3.2 / 6, versus a slightly better assessment of 3.7 / 6 by the UNCTs (discussed further in the discussion of catalytic effects, below).

Evaluation rating for financial sustainability: Moderately Unlikely (MU)

163. Institutional sustainability: The design of the three projects did not offer detailed descriptions of the sorts of institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks, and so on that would be required to sustain project results. Such detail would have been very ambitious for such small projects covering so much ground in five different regions. Nonetheless, the UNDAF projects have apparently been able to ensure a significant level of ownership among national stakeholders; RDCs and UNCT members rated the projects' results in ensuring ownership at 4.4 and 4.2 / 6 respectively. The UNCT's assigned a similar average rating of 4.3 / 6 for levels of government and stakeholder awareness, interest, and commitment to programmes, plans, agreements, monitoring systems, and so on that have been prepared or agreed upon under the auspices of these projects; the RDCs rated this a little lower, or 4.1 / 6.

164. The lowest average rating assigned in this area -- 3.2 / 6 from the UNCT respondents -- reflected their pessimism about national governments' constraints that could limit the sustainability of project results. Here again, ratings depend to a considerable degree on the diverse and shifting realities of the countries in question. It is often simply too early to tell.

165. Respondents identified the UN's "Delivering as One" policy as a potentially positive influence on the institutional sustainability of projects' contributions to mainstreaming not just of environmental sustainability but also the 'mainstreaming of UNEP' as its agent. Countries working closely with UNEP to promote an environmental mainstreaming agenda, such as Mexico with its "Green UNDAF" exercise, can also contribute to improving longer term results. On the other hand, shortages of trained human resources and institutional limitations were cited as a factor that could undermine longer term results in the African and the Latin American and the Caribbean regions.

Evaluation rating for sustainability of institutional framework: Moderately Likely (ML)

166. **Environmental sustainability:** A wide range of environmental factors could influence the projects' longer term results, including growing pressures on primary resources from resource extraction industries and enhanced threats such as climate change and increased refugee flows. While such factors are likely to lead to increased pressure on the environment, they will likely also result in increased pressure for mainstreaming to address these issues.

Evaluation ratings for environmental sustainability: Likely (L)

Catalytic roles and replication

167. The projects' early documents do not explicitly identify their intended catalytic effects though they clearly had some. The 7th Tranche project had the potential for achieving catalytic effects through identification of entry points for achieving "pro-poor environmental outcomes" through its (sometimes elusive) "mainstreaming assessments". The National Environmental Summaries, supported by all three projects, also had great potential to catalyse change through their influence on UNCTs' Common Country Analysis and subsequent UNDAFs. Finally, the UNDAF project's more substantial budget for implementing priority measures within national UNDAFs could also be expected to have catalytic effects.

168. The overall average of ratings assigned in stakeholders' surveys for seven dimensions of the projects' actual catalytic results and replication (Table 28, page 103) were almost exactly the same for RDCs and UNCT members – 4.2 and 4.1 respectively. The details of their responses differed however. One remarkable difference was that, for most dimensions, the UNCT members were more optimistic than the RDCs that these projects *have* catalysed positive change. This is an encouraging result in light of the UNCTs greater familiarity their respective countries. RDCs were particularly pessimistic about prospects for "sustained post-project finance", which they rated as 3.2 / 6 (versus 3.7 by the UNCTs). RDCs were most optimistic that the projects have "ensured environmental sustainability and climate change considerations are mainstreamed into UN country programming and national development processes", rated at 5.3 / 6 (versus a rating of 4.3 from the UNCTs).

169. Respondents cited examples of positive change catalyzed by the project, such as a range of capacity improvements in Uruguay's Ministry of Housing, Environment and Planning and the development of an influential environmental agenda to address that country's growing mining sector. Another project emerging from an UNDAF, led by UNEP and related to food security, has already defined a follow-up project together with the government of Mexico City, FAO, and the Ford Foundation and influenced the design of other projects related to efficient resource use and Bio-trade. In other regions respondents suggested that real lasting institutional and policy change would require more time and that, in any case, it would be difficult to attribute such change solely to UNEP's UNDAF projects.

170. Regarding the catalytic role of networks developed with support from the projects, one RDC observed: *"*While it is challenging for one person undertaking a project to change institutions and policies, the networks established under the projects are going to be the main factors [catalyzing such change] and these take time to develop. As with anything, the successes of such networks depend very much on personalities and finding champions who will support and forward the processes within their institutions. The strength and support of the Resident Coordinators Offices are critical to this work and developing good relations with them is paramount. Success can also depend on engagement with a variety of stakeholders, particularly in government, with often Ministries of Environment not always being the best place to engage … or at least should not be the only place".

171. Another RDC pointed out, in relation to the projects' support for effective scaling up: "… being implemented at global and regional scales, the projects could acquire lessons learned from the UNDAF formulation process in one country and apply them in the next country with increased efficiency and quality of service".

172. A third insight from RDCs concerned the valuable role of partners within UNCTs for catalysing change: "…where activities are implemented jointly with another UN agency the project had a higher profile, and [were] more likely to be scaled up through funding from the other agencies".

173. Once again, human and financial resource limitations - including competing demands for these resources and the absence of a permanent UNEP presence in most countries considered - were cited by respondents as significant constraints on the effective catalysis of positive change, the scaling up of results and other contributions to mainstreaming of environmental sustainability.

174. An example of catalysing change in support of practical mainstreaming measures was the programme of "emissions tagging', initiated with the projects support, by Indonesia's Ministry of Finance. Another was the mainstreaming of environmental sustainability concerns into sectoral programmes of Mexico's Ministries of Energy, Agriculture, and Tourism. Even where such concrete change could not be confirmed, some respondents confirmed that awareness of, and commitment to, environment sustainability had been increased, through promotion of the concept of the "Green Economy" for example. Others cited the mainstreaming of environmental sustainability in those UNDAFs most influenced by UNEP intervention, in countries as diverse as Cambodia, Azerbaijan and Tanzania. For some, this includes the appearance of "stand-alone" outcomes and / or outputs related to environmental sustainability and climate change in UNDAFs influenced by the three projects. It is not certain, of course, that such goals would NOT have been in these UNDAFs in the absence of the projects, but UNEP has likely at least influenced the way in which these goals are now framed.

Evaluation rating for catalytic role and replication:	**L**

Evaluation ratings for:

Socio-political sustainability	**ML**
Financial sustainability	**MU**
Sustainability of institutional framework	**ML**
Environmental sustainability	**L**
Catalytic role and replication	**L**
Overall rating for sustainability, catalytic effects & replication	**ML**

5.5 EFFICIENCY

175. The evaluation assigned a rating of "moderately unsatisfactory" for the efficiency of the projects' implementation, as detailed below.

176. No important cost or time saving measures were proposed in the projects' original designs; though some were adopted during implementation, more were needed. The 8th Tranche project design explicitly drew on lessons from the 7th Tranche project. All three projects effectively built upon the results and lessons of earlier UNEP activities, particularly the work of the Poverty Environment Initiative (PEI), which had been delivered jointly by UNEP and UNDP. They were also able to draw upon the training resources of the UN System Staff College (UNSSC).

177. Questions regarding UNEP's efficiency were not asked of UNCT members, only of RDCs, who described various cost- or time-saving measures employed by the project, including:

- minimising RDCs' travel requirements by undertaking multiple activities during missions;
- arranging liaison and working meetings with Coordination Officers in the margins of regional meetings taking place in RDCs' home cities;
- joining Environment Working Group and other meetings via SKYPE whenever possible;
- investing seed money in strategic partnerships / joint projects where significant cost-sharing could be generated, for example, partnering and co-financing with UNDP on green economy mainstreaming work and with UNESCO on the Rio +20 version of Indonesia's NES; and
- using national experts where possible, for example, for the preparation of NES, thereby reducing implementation costs while enhancing capacity development and the sustainability of results.

178. Delays affected project execution, costs and effectiveness in different ways. Delays due to outbreaks of violence and insecurity, in parts of the West Asia region in particular, curtailed some project activities, with delayed or cancelled missions sometimes resulting in diminished funding opportunities. Internal UNEP delays in the release of funding, especially at the beginning of new accounting periods, also diminished "windows of opportunity" for implementing the projects' planned activities and taking advantage of opportunities to initiate new activities. Restraints on the transfer of funds sometimes resulted in UNEP committing to outputs which it could not subsequently deliver due to lack of available funds. When UNCTs wanted UNEP training early in the fiscal year, for example, UNEP RDCs had difficulty delivering this, because their funds for the new fiscal year could take months to become available.

179. All three projects experienced chronic delays in the arrival of funds from the UNDA and the Environment Fund budgets managed by UNEP headquarters, creating challenges when trying to ensure timely contracting of consultants and to meet commitments to funding various activities[16]. Headquarters financial officers suggested these delays may have resulted, at least in part, from regional offices' failures to provide full accounting for funds received previously, prior to seeking additional funds. Another cause may have been "irregular" requests, submitted from the field outside the regular schedule for release of funds; such "irregular requests" apparently required a certain amount of lead time for headquarters' response. Finally, some delay could be attributed to donors, who needed to be consulted and provide approval for budget revisions. These sorts of problems were overcome to some extent by leaving funds with RCO offices in the countries in question.

180. If UNEP is to achieve needed improvements to its operating efficiency at the country level, then longer term solutions will be needed to provide timely and flexible funding for projects that are implemented at the country level and that run for more than one year. However, it is important to note that release of funds would be subject to the Organization's internal controls and approved business processes as well as donor requirements where applicable.

181. The RDCs provided various examples of how the projects made use of pre-existing institutions, agreements, partnerships, data sources, synergies and complementarities with other initiatives. In West Asia all three projects built upon a number of established partnerships among UN agencies, with UNDP in Iraq and

[16] In some cases, delays can be attributable to the receipt of funds from the donor or the need to consult donors and seek approval on revisions to the budget, especially in the case of the UNDA funds.

Palestine for example. Work already started earlier with the Regional UNDG and the Regional Coordination Mechanism also offered good opportunities for partnerships, especially in training. In the Europe-Central Asia region, countries for priority action by all three projects were chosen in part on the basis of ongoing, established partnerships with national institutions (in addition to the presence of a 'critical mass' of UNEP projects). Azerbaijan, Turkmenistan and Kazakhstan, for example, were all countries where local institutions engaged in the UNEP administered Tehran Convention could be involved in the development of their NES and in carrying out mainstreaming training workshops. In the Asia-Pacific region, the 8th Tranche project was able to build on cooperation on "Green Economy" indicators between UNDP and UNEP's Department of Technology, Industry and Economics, bringing in the Indonesian Ministry of Finance, which is now able to quantify the financial implications associated with the environmental impacts of different economic policies. The UNDAF project was also able to build on the work of an existing UN working group on climate change during the development of Indonesia's "Rio + 20" NES. In Africa, the projects worked closely with various Ministries in charge of environmental management, resource management, urban affairs and planning, particularly in Ivory Coast and Kenya, as well as with UNDP country offices.

Evaluation rating for efficiency: MU

5.6 FACTORS AND PROCESSES AFFECTING PROJECTS' PERFORMANCE

182. The evaluation reviewed documents and interviewed and surveyed stakeholders (Table 29, page 104) to assess a wide range of factors affecting the performance of the three projects. The results are organized here into the following categories: preparation and readiness; project implementation and management; stakeholder participation and public awareness; country ownership and driven-ness; financial planning and management; UNEP supervision and backstopping; monitoring and evaluation.

183. In addition to the evaluator's interviews and review of project documents, an extensive set of evaluation survey questions about factors affecting project performance were answered by the RDCs. UNCT members were asked to answer roughly half of the questions posed to RDCs. Questions referring solely to details of UNEP project design and internal management were only answered by the RDCs.

Preparation and readiness: Their main users, the RDCs, found the projects' fundamental designs, their objectives and components activities, and their respective project documents, to be of good quality (average rating of 5 / 6). This compared favourably with the evaluator's initial assessment, which rated the overall design of all three projects as "moderately satisfactory". These original assessments were based on a number of factors. The projects' design documents included satisfactory descriptions of their prospective stakeholders, intended results and how these would be achieved. Planning for ensuring the sustainability of results, identifying and managing risks was somewhat less effective. The projects' proposed governance and overall financial planning and budgeting were satisfactory but plans for project management and execution, including partnership arrangements and monitoring were less robust.

184. One cogent RDC criticism of the project documents was that these documents seemed to make UNEP's work with UNDAFs a goal in itself, perhaps losing sight of the need to focus on countries' needs. Another was that the "results based management" planning and reporting framework demanded much time that could be better spent on other, more practical activities.

185. One RDC noted that UNEP's project design and approaches tended to incorporate only UNEP's "lessons learned", not those of other UNCT members. This probably helps explains why UNCTs were somewhat less satisfied than the RDCs that the projects' design and approaches reflected lessons from other relevant projects (UNCTs average rating of 4.1 / 6 versus RDCs 4.6 / 6). The richest lessons appear to have been derived from the succession of experience with the three UNDAF projects themselves. Once again, from the RDCs:

- "If you are not able to develop a project, to actually implement outcomes expressed in the UNDAF, then you are not really addressing the objective of participation in the programming… first formal participation [in UNDAF preparation], then the actual delivery of concrete projects in the field…"
- "It may not be necessary to have environment prominent in all UNDAFs. In the previous project we looked into the UNDAFs to see if environment is an outcome in this UNDAF. That's how we decided if the project was a success. In the new project we need to see the real impacts; not just in the UNDAFs. We can argue that environment is better integrated if it shows in the indicators of other, non-environmental outcomes…"
- "Those of us in the field who work with the countries directly … [are] at times cynical about results based management. When you speak with governments they tell you what is important for them – [they always talk about] concrete problems [and are looking for] concrete solutions. They have very little patience for general debates, e.g., about policy transformation. We have to tell them what UNEP can and can't do. You have to tell them things they want to hear. People like me wish that our tools were more helpful, practical and [we did] not have to report on milestones that have little to do with what I do on a daily level…"

186. RDCs also summarised a number of other factors that influenced the projects' choice of activities and partners, and their allocation of financial resources, including:

- partners' interests, motivation… and funding capacities all guided UNEP's choices regarding activities, partners and resource allocation;
- institutional memory and existing partnerships also played major roles, helping to identify opportunities for good returns on investment, based on previous success, understanding of institutional and national contexts;
- existing funding opportunities were tapped into where possible, for joint projects; and
- project activities improved over time, as experiential learning fed back into design (e.g., timing of the NES, nature of training delivered).

Evaluation rating for preparation and readiness: MS

187. Project implementation and management: As with the projects' preparation and readiness, RDCs were generally satisfied with the way in which the project was administered, including the functioning of its various committees, and its ability to deal with unexpected developments. In this respect the RDCs differed significantly from the UNCTs, who rated "project management" arrangements at 4.0 / 6 (~ "fair") on average compared with the RDCs average rating of 5.0 / 6 (~ "good").

188. UNCTs were more satisfied than the RDCs with the projects' partnership and counterpart funding arrangements, though neither group rated the arrangements highly (average UNCT members rating on these two questions of 4.2 versus 3.9 for RDCs). One UNCT member observed nonetheless: "During my time …UNEP and UNDP collaborated on a number of issues: national communication, national environment strategy and action plan, marshlands, dust and sand storm mitigation, GEF project… I remember my collaboration with UNEP as one of the nicest aspects during my time … innovative, constructive, respectful, frank, committed and just simply fun… we were jointly able to transfer this sense of fun, commitment and innovation to our [national partners]… achieved something at the time".

189. RDCs were somewhat more positive than UNCTs regarding the overall effectiveness, efficiency and adaptability of UNEP's management, and their cooperation with partner countries, RDCs average rating of these dimensions was 4.9 while UNCTs average rating was 4.4. An example of adaptability was the response of the projects to rapidly evolving situations in West Africa and West Asia; they were able to change their programmes of work and schedules in response to these changes in partner countries. For example, in Iraq, where the planned NES could not be prepared due to a deteriorating security situation, UNEP contributed instead to an analytical overview of the challenges of environmental degradation which was then used in strategic planning discussions. In Ivory Coast, also faced with unanticipated security challenges, UNEP contributed to other forms of data collection, analysis and interpretation, in lieu of the planned NES.

190. The two groups of respondents also differed somewhat in their assessments of the effectiveness of UNEP's working relations with UNCTs and other partners and implementing agencies and UNEP's ability to achieve synergies with the work of others. RDCs rated these relations and partnerships at 4.9 / 6 on average, while the UNCTs gave them an average of only 4.3 / 6. UNCT members' comments suggested that their lower rating may be largely a function of UNEPs very limited presence in most countries, limited in most cases to short-term interventions by non-resident UNEP staff. Also, achieving synergies may have proved more challenging than originally anticipated, as one RDC noted: "The projects were a good opportunity for synergies. We had the money and the mandate to contribute [to environmental activities, but]… it didn't prove as easy as they thought. There is resistance to change in some way. Not lack of openness but lack of investment of time to involve people in discussions. Most agencies tend to have their own approaches, the way they are used to doing things. Not so easy to develop new approaches and get out of the silos. They don't do a lot to get us on board... But they have their own complex and demanding agendas in difficult political contexts. Many RCOs are under pressure in their countries".

191. One of the biggest discrepancies between average ratings of RDCs and UNCTs concerned UNEP's performance on administrative processes like recruitment, procurement and preparation of cooperation agreements. This was rated, on average, a fairly respectable 4.6 by the RDCs and a worrisome 3.3 by UNCTs.

192. RDCs described a range of practical approaches to implementation problems encountered, including:

- use of the Standard UN Agency-to-Agency agreement to streamline inter-agency agreements;
- Skype calls to ensure maximum possible participation to the maximum extent possible in all UNCT and Environment Working Group meetings;
- regular exchanges between HQs and Regional Office;
- information sharing, transparency and consultations among the HQ Project Manager and RDCs;
- partnerships with UNDP Country Offices helped to keep UNEP involved and informed, with UNDP representing UNEP to national authorities when necessary and helping manage disbursements; in one country this relationship was described by UNDP as "… courteous and collaborative, a practical approach, based on mutual trust and understanding facilitated the search of practical solutions…"
- partnering with institutions that had funds available; and
- fundraising with non-traditional donors and subnational governments.

Evaluation rating for project implementation and management: MS

193. **Financial planning and management:** The financial planning and budgeting reflected in the original project designs were assessed as satisfactory in the evaluation's Inception Report, the main apparent flaws being consistent underestimates of budgets for evaluation (discussed below). RDCs assigned the projects reasonably positive average ratings (4.7 / 6) for financial planning and management during implementation. They explained that discrepancies between projected and actual expenditures, when these occurred, resulted from factors such as the security problems that limited UNEP's access to priority countries like Palestine and Ivory Coast, and a lack of fit between regional needs and the availability of funds from headquarters. Once again, significantly different average ratings were assigned for the two parameters of financial planning and management rated by both groups "Clarity and transparency of project financial management" (rated 5.0 by RDCs and 4.2 by UNCTs) and "Timeliness with which financial resources were made available" (rated 4.4 by RDCs, 3.9 by UNCTs).

194. RDCs were generally unsatisfied with the projects' performance in securing co-financing. They found co-financing never reached the ambitious levels targeted in their project documents and called for greater effort in this area, though they did point out their greater success in catalysing the efforts of others. There were notable exceptions however, reported by the RDCs including: in the Europe-Central Asia region, where approximately $750,000 of co-financing was secured for the UNDAF projects; in Iraq, where the government co-financed joint programmes under the UNDAF Trust Fund; in Kenya where other UNCT members contributed 50% of direct project funding during the 7th and 8th Tranches; and in Palestine, where a programme of institutional assessment for interventions related to climate change was financed with UNDP.

Table 20 - Resources leveraging by the Seventh Tranche project

Donor	Purpose	Amount raised ($ US)
UNESCO/Indonesia	UNDAF implementation	10,000
One UN/Indonesia	UNDAF implementation	5,000
One UN/Azerbaijan	UNDAF implementation	100,000
Partners/Government of Cote d'Ivoire	UNDAF implementation through the implementation of the UNEP Country Cooperation Framework	16,400,000.
Norway	Mainstreaming Environmental Sustainability in other country's UNDAFs	501,220
TOTAL		**~ 17,000,000**

source: UNEP. Undated. 7th Tranche DA Final Report. Nairobi: UNEP

Table 21 - Resources leveraging by the Eighth Tranche project (Mexico only) to January 2015

Donor	Purpose	Amount raised ($ US)
UNEP	Healthy and Fair Markets & "Food for Mexico City"	25,500
UNEP	Assessment of the Use of Pesticides and their Potential Impact on Human Health and the Environment in the State of Sinaloa, Mexico	24,500
FAO	Pilot Project for the reactivation of the agricultural productive area of the Tlahuac Delegation, including the Natural, Cultural and Humanity World Heritage Area in Xochimilco, Tlahuac and Milpa Alta	100,000
FAO	Creating short-circuits of marketing of organic agricultural products in the Metropolitan Area of Mexico	400,000
Government of the States of Tamaulipas, Aguascalientes and Veracruz	Environmental and Climate Change Outlook (ECCO): Studies in three Cities in Mexico: Aguascalientes, Poza Rica and Tampico-Altamira-Madero	60,000
UNEP	Strengthening a common agenda of public health and climate change project in Mexico City	30,000
UNEP, IADB, IGS, UNIDO, and ILO	Green Economy Study for Mexico (MX-GES)	600,000
UNEP and UN Women	Strengthen the integration of the gender issue through the State Programme on Climate Change of the State of México.	10,000
Government of the State of Mexico	Greening Manufacturing Industry and Green Jobs Strategy in the State of Mexico	70,000
UNEP, UNDP and FAO	Development of the safeguards' system for the National REDD Strategy	600,000
GEF	Solar Water Heating Market Transformation and Strengthening Initiative	1,000,000
TOTAL		**2,920,000**

source: UNEP. undated. Progress report (07.2013-01.2015) for 8th tranche development account project. Nairobi: UNEP.

195. Compared with securing co-financing, the projects had more success in leveraging resources to contribute to common environmental goals. Leveraging results reported by the 7th and 8th Tranche (Mexico only) projects are summarised in **Table 20** and **Table 21** above.

196. Finally, the RDCs confirmed there have been very few "irregularities" in procurement and financial management and that these had essentially no impact on project performance.

Evaluation rating for financial planning and management: MS

197. **Country ownership and driven-ness:** Both RDCs and UNCT members assigned modestly positive average ratings for the "level of country ownership of project results" but then differed significantly over the "level of UNCT ownership" of these results – rated 4.9 / 6 on average by the RDCs but only 3.8 by the UNCTs, who presumably have a more accurate perspective on this question. Some UNCT respondents noted that UNEP's status as a "non-resident" made it difficult for other agencies to be familiar with them or their activities.

Evaluation rating for country ownership and driven-ness: MS

198. **UNEP supervision and backstopping:** RDCs have been learning and developing their relationships with partner countries over the past several years, and in the process have been mostly satisfied with their support from headquarters, within the limitations imposed by UNEP systems, discussed below. On the one hand, RDCs complained of a number of limitations of the UNEP administrative system that influenced implementation of the projects. These included:

- early challenges in the development of agreements in the early stages and with payments made against these agreements, particularly at the beginning and end of UNEP's fiscal year;
- the lack of a UNEP country presence was an added challenge especially as Environment Working Group and UNCT meetings were often called at relatively short notice which did not allow time to arrange for travel to key meetings; UNEP's "16-day rule" impeded prompt organization of travel organization;
- administrative and financial processes that are centralized in HQ with little delegation to regional offices; and
- lack of a full time officer in the ROLAC between July 2012 and early 2015.

Most of the problems with UNEP administration raised by RDCs were corroborated in feedback from UNCT members, who confirmed that the time consuming financial and administrative procedures of UNEP headquarters were not well understood by her partner agencies and caused delays in implementing activities.

199. On the other hand, The RDCs were especially satisfied with the direct oversight, guidance and information received directly from headquarters and regional office staff, noting variously:

- "The project has been overseen by Headquarters, with effective financial management support, reporting and knowledge management strategies in place, but with day-to-day implementation by Regional Office…";
- "Regional Support Office (RSO) always provide very good support in terms of funding and consultation with ROs.";
- "RSO and ROA have played well their roles of guidance, facilitation, operational backstopping and information sharing, allowing a smooth project implementation, through coaching, reporting, country missions and teleconferences.";
- "[the] Regional Director provided political support to trigger relations with relevant UNCTs.";
- "Initially regular teleconferences were held amongst the regional offices implementing the project, but these have become less frequent. These were a useful mechanism for sharing experiences and ideas, and should be re-introduced, alongside an annual face-to-face meeting for knowledge sharing and learning."; and
- "UNDG [in the region] provided a platform for exchange among agencies and with country, coordination officers.".

200. UNEP's wealth of technical expertise was also appreciated but was not always available when required. One RDC confirmed that "UNEP has strong in-house technical expertise on various environmental subjects which often came in useful when … [responding to] certain queries from the UNCT or government counterparts in the UNDAF formulation process. Unfortunately, due to the over-commitment of UNEP staff the required expertise could not always be delivered in time and in all areas".

Evaluation rating for UNEP supervision and backstopping: MS

201. **Stakeholder participation and public awareness:** Stakeholders outside of UNEP do not appear to have been much involved in designing the projects but were far more involved in the implementation, particularly of different types of awareness building and training workshops. Notwithstanding ambiguous ratings, discussed earlier, regarding "working relations" and "synergies" between UNEP and its UNCT partners, both groups were also broadly in agreement regarding the projects' moderately successful collaboration with its various partners and stakeholders, both inside and outside of UNCTs assigning average ratings for these sorts of activities of around 4.3 - 4.5 / 6.

202. Almost half the UNCT respondents did not know whether or not there had been public awareness activities in these three projects, but most who did respond to the question confirmed that these activities were effective. The case of Mexico was one particularly successful example of UNEP collaboration with that the rest of the UNCT on awareness building activities.

Evaluation rating for stakeholder participation and public awareness: MS

203. **Monitoring and Evaluation:** The evaluation assessed the quality, application and effectiveness of the projects' approaches to monitoring and evaluation based on a review of project documentation, interviews and surveys (Table 30, page 105). An overall rating of "moderately satisfactory" was assigned, based on the individual ratings discussed here for the design, budgeting and funding and actual implementation of project evaluation and monitoring.

204. ***Design of Monitoring and Evaluation (M & E):*** The projects' original plans for monitoring their results and progress towards their objectives were rated "moderately satisfactory" for the 7th and 8th Tranche projects and "highly satisfactory" in the case of the UNDAF project. There was some confusion among the projects' hierarchy of expected outcomes, accomplishments, objectives and goals but these were easily translated into a single coherent sequence leading towards their shared prospective longer term impacts in a reconstructed "Theory of Change" (page 21). Some of the indicators originally proposed for the 7th and 8th Tranche projects were "SMART-er" than others, with a general lack of timeframes or specific numeric targets and a focus on generic parameters among UNCTs rather than on achievable results among government partners. The UNDAF project document on the other hand proposed precise numeric targets -- milestones and relatively SMART performance indicators, targets of achievement and monitoring schedules. Though none of the projects originally generated clear baseline information, this was adapted during project implementation, when the two smaller projects benefited from the more effective M & E planning of the umbrella UNDAF project. There were no specific budgets for monitoring, only for final evaluation. There were funds for UNEP staff travel however and presumably all project monitoring was to be carried out by this staff in the course of their overall planning and management duties.

205. All three original project designs included adequate evaluation plans, though none had sufficient budgets for comprehensive evaluation of activities on the geographic and thematic scale entailed by the projects (discussed below). The 7th and 8th Tranche projects, originally anticipated to last only two years, did not include budgets for mid-term evaluations, only annual "self-evaluations" by the project coordinator, for which no discreet budgets were identified. The UNDAF project design proposed a mid-term evaluation, though one was not carried out.

Evaluation rating for M&E Design: S

206. ***Budgeting, funding and implementation of M&E activities:*** The external evaluator had to do essentially a meta-evaluation of the three projects that was highly dependent on secondary sources of information supplemented by long-distance questionnaires and interviews. The M & E information that had been generated by the projects was not adequate. The planned evaluation budget - at roughly 0.7 % of the original overall budgets of the three projects - was perhaps a third of what was required for a project of this scope. In the event, the overall actual expenditures of the projects will apparently be roughly 50% of original estimates, as was the actual evaluation budget.

207. It was more challenging than it should have been to piece together the three interwoven projects - the relations among them, their individual and shared trajectories – using the projects' occasional progress and financial reports. Direct feedback from the RDCs in their questionnaires and interviews was far more coherent and helpful. Regarding M & E in particular, this feedback described a fairly traditional system of monitoring, with generally uneven baseline information, feeding information from the regions into a fairly demanding, headquarters based, 'results based management' system. At least some RDCs did find, however, that this system helped them to regularly take stock of their progress against targets, in quantitative terms. One also noted that "… the new PIMS format obliges us to elaborate on things like lessons, reasons for delays. It is a useful exercise".

208. This monitoring input from RDCs summarised what was being achieved in their respective regions in mostly quantitative terms, with limited or no participation or feedback from partners at the country level. For example, as mentioned in the discussion of Output 5 above, there was no systematic participant evaluation of training, or assessment of stakeholders' satisfaction with UNEP's participation in individual UNDAF processes. This was a major weakness in the monitoring of the projects' results.

209. The RDCs were generally, moderately satisfied with their monitoring system, with the notable exception of their low rating for stakeholder participation in monitoring and evaluation (avg. 3.4 / 6). The involvement of UNCTs in the terminal evaluation survey, with much support from both regional and headquarters staff, helped redress these concerns to some extent, but still did not bring in national government stakeholders.

210. Some RDCs expressed concern about their limited flexibility to respond to monitoring information during implementation and the need for greater sharing of information and experiences among RDCs:

- "… don't have enough opportunities to share information about experiences … what works and doesn't. We contribute to PIMS from our regions, but we don't get a final synthesis[17]."
- "A collective review of the results would be very valuable for RDCs and the future."

Evaluation rating for budgeting and funding for M&E activities:	**MU**
Evaluation rating for M&E Plan Implementation	**MS**
Overall rating for monitoring and evaluation	**MS**
Based on:	
➢ M&E Design	S
➢ Budgeting and funding for M&E activities	MU
➢ M&E Plan Implementation	MS

211. Summary of evaluation ratings for factors and processes affecting projects' performance

Evaluation rating for preparation and readiness:	MS
Evaluation rating for project implementation and management:	MS
Evaluation rating for financial planning and management:	MS
Evaluation rating for country ownership and driven-ness:	MS
Evaluation rating for UNEP supervision and backstopping:	MS
Evaluation rating for stakeholder participation and public awareness:	MS
Monitoring and evaluation	MS
Overall rating for factors affecting project performance	**MS**

[17] Project staff note: this is not accurate as regional staff have access to the PIMS reporting system.

5.7 COMPLEMENTARITY WITH UNEP STRATEGIES AND PROGRAMMES

212. The projects' complementarity with UNEP strategies and programmes was judged "moderately satisfactory," based on their support for UNEP goals defined in the Bali Strategic Plan, and its policies on gender and on South-South cooperation.

213. The RDCs confirmed that the goals of the three UNDAF projects are almost perfectly aligned with the Bali Strategic Plan for Technology Support and Capacity Building (BSP) of 2004. By substantially bolstering the role that UNEP was able to play in close to a hundred UNDAF processes across the five regions over five years, the projects enhanced the agency's capacity to deliver on the Bali Plan's commitment to enhanced technological support and capacity development roles. The UNDAF projects have been less successful at meeting UNEP's current expectations regarding gender inequalities and linkages between these gender goals and environmental sustainability in general. The RDC's and UNCT's both judged the projects to be modestly effective (avg. ratings of 4.0 / 6 for RDCs, 3.8 for UNCTs) in trying to address things like "gender inequalities in access to and the control over natural resources", "vulnerabilities of women and children to environmental degradation or disasters", and the "role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation". Both groups were less optimistic (avg. ratings of 3.5 / 6) about the projects' likely effects on the relationship between women and the environment and on gender equality (Table 31, page 106).

214. This appears to be a case where the organization has retrofitted expectations of an emerging gender policy onto projects where these expectations were not formally in place at the time of project design. While there is apparently much scope for better addressing these issues in future projects, these projects were not designed to explicitly address them.

215. RDCs and UNCTs disagreed somewhat about whether or not "unresolved gender inequalities" were likely to affect the sustainability of the projects' outcomes. The RDCs were more optimistic (avg. rating of 4.3 / 6) than UNCT members (avg. rating of 3.4 / 6). One UNCT member summarized the situation in Mexico, where "women are marginalised and cannot make their voice heard or … access markets to increase their income". These challenges are being addressed with a project on food security in that country, where FAO and UNEP have begun drafting a follow-up project which would strengthen women´s role.

216. RDCs confirmed "South – South cooperation contributed to experiential learning and capacity development results, but was also a dimension of these projects that could usefully be strengthened".

Evaluation rating for complementarity with UNEP strategies & programmes: MS

6. CONCLUSIONS, LESSONS LEARNED, RECOMMENDATIONS

6.1 CONCLUSIONS

217. **The projects' overall effectiveness was "satisfactory",** based on: their moderately satisfactory achievement of a shared outcome of "strengthened capacities of UN country teams and national institutions for enhanced integration of environmental sustainability"; satisfactory achievement of an objectives of "improved integration of environmental priorities into UNDAFs and related national policies and programmes" and "decisions made by UNCTs and national partners with full regard for environmental priorities"; and a highly likely longer-term impact of "improved national achievement of environmental outcomes", at least in a significant number of countries where the projects operated.

218. **The projects' achievement of their targeted outputs was satisfactory, though uneven.** They were most successful in producing national environmental summaries, assuring UNEP participation in UN Country Teams' (UNCT) development of UN Development Assistance Frameworks (UNDAF), and in delivering UNEP technical support for the delivery of specific environmental outputs within priority UNDAFs. Different types of training on environmental sustainability for UNCTs and national governments was also an important output for stakeholders but was less successful.

219. **Fewer NES were prepared than could have been used to support UNDAF preparation in all regions, though UNEP in the Latin America and the Caribbean region came closest to meeting regional requirements.** Of the NES that were prepared, some reached UNCTs on time and were very useful, a few (in the first couple of years) reached UNCTs too late, and many UNCTs have not had the benefit of an NES, but could make good use of them.

220. **UNCT members surveyed prefer UNEP to be directly involved in doing things -- participating in UNDAF preparation and implementation themselves -- rather than having UNEP tell them how to do these things.** Although there is considerable diversity from one country to another, there is clearly significant unsatisfied demand for UNEP participation within UNCTs in general and in their UNDAF processes in particular.

221. **The projects' training in all five regions was challenging to evaluate due to sparse, uneven documentation of training events.** This training output was the object of a worrisome discrepancy between the ratings of UNCTs, who assigned it their lowest average rating among six outputs, and RDCs, who gave it their highest. Training activities needed to be more demand driven and tailored to meeting demand, more carefully evaluated by UNEP, and more carefully timed to ensure they could achieve maximum impacts within the UNDAF cycle.

222. **The projects' success in delivering these outputs can be attributed partly to the expertise, enthusiasm and dedication of UNEP regional and other staff responsible for them.** A related contributing factor was UNEP officers' strong desire to collaborate with other UNCT members, national partners and others in delivering their environmental sustainability mainstreaming agenda. The relative success of each of the three projects in each of the five regions also depended on changing circumstances in the countries where they focused their efforts; UNEP was sometimes obliged to shift the geographic focus of their work on short notice.

223. **UNEP's status as a "non-resident" UN agency was one of the most important constraints on its contribution to UNDAF processes.** A complicated relationship with UNDP, the largest "resident UN agency" in most countries where UNEP intervened, was sometimes an asset and sometimes a challenge, often both at the same time.

224. **From the perspective of UNEP regional staff and UN agency partners working with them around the world, the projects' national level activities were not supported as strongly as they might have been by the rest of UNEP.** UNEP's prevailing modus operandi remains unaligned with UNDAFs. With a long standing tradition of pursuing its normative mandate at regional and global levels, UNEP remains highly centralized. Despite UNEP's recent moves to decentralization, it was sometimes difficult for RDCs to deliver projects at the country level. While the situation is changing, UNEP still tends to operate in isolation from other UN partners who work at the country level.

225. **Constraints in UNEP's financial management systems resulted in uncertainties and delays for these projects.** The trajectory of UNDAF preparation by the UNCTs was behind schedule and unpredictable in numerous countries, calling for flexibility if UNEP was to be able to intervene at the right moment. But some of the financial management systems and travel rules militate against such flexibility[18].
226. .

227. The three projects were highly relevant from a strategic perspective. Their shared objective -- strengthening the capacities of UN Country Teams and national institutions for enhanced integration of environmental sustainability -- complemented broader regional and global efforts to enhance capacities to ensure the environmental sustainability of socio-economic development. The projects' time frames and budgets were realistic in relation to this shared objective in the sense that these projects, like the activities they supported, were open ended; related UNEP activities began before them and were expected to continue after them.

228. **The projects ensured the participation of UNEP specialists in a steadily expanding number of national dialogues on sustainable development priorities and the development of UN responses to these priorities.** In the process, the projects promoted UNEP's strategic vision of becoming the world's leading environmental authority and an authoritative environmental advocate, as well as the agency that sets the global environmental agenda and promotes coherent support from the United Nations system for the environmental dimensions of sustainable development.

229. **The projects' performance regarding different kinds of sustainability, catalytic effects and replication was acceptable but uneven.** The projects' capacity development achievements are embodied in individuals and organisations but while capacities have been developed, it is less certain that they have been applied to the formulation of "science based policies". It is encouraging that UNCT members, with their greater familiarity with their respective countries, were more optimistic than UNEP's RDCs that the projects have succeeded in catalyzing positive change. RDCs pessimism about prospects for "sustained post-project finance" is more worrisome. Human and financial resource limitations in general -- including competing demands for these resources and the absence of a permanent UNEP presence in most countries considered -- remain significant barriers to catalysis of positive change, to the scaling up of results and to other contributions to mainstreaming of environmental sustainability. Nonetheless, there were encouraging examples of catalytic change in support of practical mainstreaming, such as a programme of "emissions tagging" initiated with UNEP support by Indonesia's Ministry of Finance and the mainstreaming of environmental sustainability concerns into the sectoral programmes of Mexico's federal ministries of energy, agriculture, and tourism.

230. **The efficiency of the projects' implementation was moderately unsatisfactory.** While various efficiency measures were introduced by regional and headquarters staff, UNEP's systems of financial management remained poorly adapted to the needs of these kinds of projects. The projects experienced challenges due to chronic delays in the arrival of funds from donors and from headquarters, especially at the beginning of new accounting periods; these diminished their capacities to implement the projects' planned activities and to take advantage of

[18] Project staff note: UNEP has developed a new Project Management Information Systems (PIMS) that now tracks expenses by outputs. Also, it is worth noting that UNEP has now adopted a new ERP – 'Umoja' that is expected to revolutionize reporting.

opportunities for initiating new activities. The three projects were each part of a single ongoing global initiative but their linkages were often obscured rather than clarified by their respective design and reporting documents and procedures.

231. **The projects relationship with factors affecting their performance was moderately satisfactory overall but again, quite uneven.** Factors calling for most attention were: the need for project design to more effectively reflect the experiences and 'lessons learned' of other UNCT members, the need to somehow bolster UNEP's long-term presence at the country level in most countries, and the need for more robust and participatory monitoring and evaluation. There is a risk of UNEP making their work with the UNDAFs a goal in itself, losing sight of the need to focus on the needs of the countries' where these UNDAFs are being formulated. There is a similar risk that meeting the information demands of "results based management" becomes an end in itself, reducing time available for other, more practical activities, such as structured opportunities for cooperation and sharing of experiences and lessons among RDCs.

232. South – South cooperation was a significant dimension of these projects, in a number of ways, but also one that should be strengthened. The projects involved considerable sharing of expertise and methodologies among countries at the regional and sub-regional scale. Direct country to country sharing of experiences between countries has taken place, but on a more limited scale.

233. **The projects' overall performance was rated satisfactory** in light of the results achieved and their relevance to ongoing national, regional and global needs (Table 22).

Table 22 - Summary of evaluation ratings

Parameter of project results	Evaluation rating	Page in report
Strategic relevance	**HS**	24
Achievement of outputs	**S**	25
Effectiveness: Attainment of project objectives and results	**S**	41
Achievement of direct outcomes	MS	
Achievement of project goal and planned objectives	S	
Likelihood of impact	HL	
Sustainability and replication	**ML**	5
Financial	MU	
Socio-political	ML	
Institutional framework	ML	
Environmental	L	
Catalytic role and replication	L	
Efficiency	**MU**	48
Factors affecting project performance	**MS**	50
Preparation and readiness	MS	
Project implementation and management	MS	
Stakeholders participation and public awareness	MS	
Country ownership and driven-ness	MS	
Financial planning and management	MS	
UNEP supervision and backstopping	MS	
Monitoring and evaluation	MS	
Overall project rating	**S**	

6.2 LESSONS LEARNED

234. **When UNEP implements "umbrella projects" such as the UNDAF project, subsidiary projects within them, such as the 7th and 8th Tranche projects, need to be more clearly integrated**. The three projects were each part of a single ongoing global initiative but their linkages were often obscured rather than clarified by their respective design and reporting. Such projects would benefit from a consistent and coherent shared results framework, logical framework analysis, and monitoring and evaluation strategy.

235. **Preparation of NES and similar input into UNDAF processes should only be initiated where they can be completed early enough to be carefully considered during UNDAF preparation.** Particularly during the first couple of years of implementation, the projects sometimes supported the preparation of national environmental summaries (NES) that were prepared too late to be available to the UNCTs developing new UNDAFs. Although these are interesting and often well prepared documents, most will have to be substantially re-written if they are to remain relevant during the next UNDAF preparation process.

236. **Future UNEP support for UNDAF processes should explicitly reflect (and be seen to reflect) the lessons of their UNCT partners.** Some UNCT members found that the UNDAF projects' designs and approaches did not effectively reflect "lessons learned" from the experiences of other UNCT members. This reduced both the relevance and credibility of these projects among these UNCT members.

237. **UNEP should aim as much as possible to *show* UNCTs how to better address environmental sustainability issues rather than simply *tell* UNCTs how to do these things**. UNCTs generally prefer UNEP to be directly involved in doing things themselves -- participating directly in UNDAF preparation, then in the implementation of priority activities emerging in these UNDAFs.

238. **For future UNDAF support work to be more effective, UNEP will need to seek out ways to expand its presence at the country level.** UNEP's lack of long-term presence at the country level in most countries can be a serious impediment to the development of effective long-term working relationships and achieving synergies with other UNCT members and their partner governments.

239. **UNDAF preparation and other bureaucratic processes must remain recognised as means, not as ends in themselves.** There is a risk of UNEP making their work with the UNDAFs a goal in itself, losing sight of the need to focus on the needs of the countries' where these UNDAFs are being formulated. There is a similar risk that meeting the information demands of "results based management" becomes an end in itself. This, in turn, reduces resources available for other, more practical activities, such as structured opportunities for cooperation and sharing of experiences and lessons among RDCs.

240. **Future programmes need to be able to carry out more robust, participatory monitoring and more substantial, participatory evaluations that reflect the very diverse nature of UNEP's global support to UNDAF processes.** Monitoring that focuses mostly on generating quantitative RBM style data fails to capture critical qualitative information, such as trainees evaluations of UNEP training received and UNCT partners' satisfaction with UNEP participation in UNDAF processes. Insufficient monitoring and evaluation budgets limit the learning that can be generated from complex, diverse project experience.

6.3 RECOMMENDATIONS

241. The evaluation found there was unsatisfied demand for 1) national environmental strategies in most regions, 2) more UNEP involvement in UNDAF preparation and subsequent implementation, and 3) more UNDAF-related environmental training, resulting in practical outputs that can be used to guide UNDAFs. Future UNEP programming should give priority to meeting this demand. If UNEP is to meet this demand effectively in the future

and establish a strong, credible presence in ongoing UNDAF development and implementation processes, it will require:

- stronger, more timely and consistent support from UNEP's thematic divisions;
- more human resources devoted to supporting UNDAFs at the regional level, and where ever possible, at the national level; and
- more agile and flexible financial management that enables regional and national level staff to respond quickly to the shifting, time-bound demands of UNDAF processes that will continue to be frequently behind schedule, with little flexibility to accommodate UNEP's currently cumbersome processes, particularly early in the financial year.

242. Potential synergies with UN agencies, including UNDP in particular, should be explored to identify ways for enhancing the impact of UNEP's UNDAF related work.

243. Most of the projects' training activities focused on UNCT members. To the extent that UNEP continues to move into supporting UNDAF implementation, not just supporting UNDAF preparation, it needs to expand the focus of its training activities to better address the diverse needs of national partners, not just UNCT members.

244. South – South cooperation is already a significant dimension of these projects but can and should be strengthened with more extensive and systematic sharing of experiences -- for example experience with different kinds of UNDAF implementation projects involving UNEP -- between countries at regional and sub-regional levels.

245. UNEP's UNDAF projects carried out a substantial amount of training that was poorly documented, not very timely or relevant to trainees' immediate needs, and not particularly well received by them, compared with other UNEP interventions. Whatever their focus, future training activities will need to: be more demand driven and tailored to expressed needs of target groups, incorporate effective mechanisms for obtaining participant feedback on the value and effectiveness of each training activity, and be timed to ensure they can achieve maximum impacts within the UNDAF cycle.

ANNEXES

ANNEX I: RESPONSE TO STAKEHOLDER COMMENTS RECEIVED BUT NOT (FULLY) ACCEPTED BY THE EVALUATORS

Stakeholder comments received by the evaluators were accepted by them, and are reflected in this final report where they called for changes or additions to the text.

Some comments from project staff, that were received late in the evaluation process, have been captured as footnotes to the main text of the report.

ANNEX II: EVALUATION TORS (WITHOUT ANNEXES)

1. OBJECTIVE AND SCOPE OF THE EVALUATION

1. In line with the UNEP Evaluation Policy[19] and the UNEP Evaluation Manual[20], the evaluation of the Project "Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Process" should be undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and its partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of key questions, based on the project's intended objective and outcomes, which may be expanded by the consultants as deemed appropriate:

   a. To what extent did the project Improve knowledge and understanding at the national and sub-regional levels (UNCT, RECs, and government) of country-specific environment and development context, challenges and opportunities for addressing identified priorities?

   b. To what extent has the project Increased capacities of UNCTs and national authorities to mainstream environmental sustainability and climate change considerations into UN country programming and national development processes?

2. Overall Approach and Methods – SHARED FOR ALL THREE EVALUATIONS

2. The terminal evaluation of the Project "Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Process" will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi).

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

4. The findings of the evaluation will be based on the following:
   a. A desk review of project documents[21] including, but not limited to:
      - Relevant background documentation, inter alia UNEP and other partners, policies, strategies and programmes pertaining to the establishment and management of marine protected areas and the science-policy interface for biodiversity and ecosystem management

[19] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx

[20] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx

[21] Documents to be provided by the UNEP are listed in Annex 5.

- Project design documents; annual work plans and budgets or equivalent, revisions to the logical framework and project financing
- Project reports such as progress and financial reports from participating countries, Steering Committee meeting minutes; annual reviews and relevant correspondence
- Documentation related to project outputs and relevant materials published on the project web-site (if applicable)
- Project publications.

b. Interviews[22] with:

- UNEP project management
- UNCT
- Regional UNDG team
- National Partners
- Other relevant UNEP Divisions
- Representatives of other multilateral agencies and other relevant organizations
- Donor representatives.

3. KEY EVALUATION PRINCIPLES

5. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned[23]. Analysis leading to evaluative judgements should always be clearly spelled out.

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

7. **Ratings**. All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

8. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between what has happened with and what would have happened without the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on

[22] Face-to-face or through any other appropriate means of communication

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

baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance. As the project aimed to contribute to the goals of a wider initiative, to strengthen capacity of UNCTs and national institutions so that decisions on UN development interventions would and will continue to be made with full regard for the environment leading to improved environmental protection and sustainable development, the evaluation should attempt to establish the level of attribution between the projects' deliverables and the attainments of those goals.

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

4. EVALUATION CRITERIA

A. Strategic relevance

10. The evaluation will assess, in retrospect, whether the UNDA project's objectives and implementation strategies were consistent with global and regional environmental issues and needs.

11. It will also assess whether the project was aligned with UNEP's Medium-term Strategy 2010-2013 and Programmes of Work 2010-2011 and 2012-2013. The UNEP MTS 2010-2013 specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. The evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described.

12. The evaluation will also assess whether the project objectives were realistic, given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate.

B. Achievement of Outputs

13. The evaluation will assess, for each component, the project's success in producing the programmed outputs and milestones as presented in Section 3 above, both in quantity and quality, as well as their usefulness and timeliness.

14. Briefly explain the reasons behind the success (or failure) of the project in achieving its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results).

C. Effectiveness: Attainment of Objectives and Planned Results

15. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

16. The evaluation will reconstruct the **Theory of Change (ToC)** of the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). It also clearly identifies the main stakeholders involved in the change processes.

17. The assessment of effectiveness will be structured in three sub-sections:

a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For the UNDA project, the main question will be to what extent the project has achieved its main objective to Integrate Environmental Sustainability into the UN Development Assistance Frameworks and UN Common Country Programming Process.

b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach[24]. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to improved decision-making by the relevant stakeholders towards the achievement at the regional and global level of internationally agreed environmental goals as a result of the projects outcomes, and the likelihood of those changes in turn leading to behavioural changes in environmental management and, ultimately, to positive changes in the natural resource base, benefits derived from the environment and human living conditions.

c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document and Project Document Supplement (see Table 2). This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use, to the extent that is feasible and appropriate, the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

D. Sustainability and replication

18. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

19. Four aspects of sustainability will be addressed:

a. *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained?

[24] Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?

b. *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources[25] will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact? Has the project been able to contribute to securing financial resources for the establishment and long term management of legally protected areas?

c. *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources? Is there any evidence of increased capacity to use science for policy making? Is there any evidence of increased ability to protect and manage sensitive marine ecosystems and biodiversity?

d. *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?

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

a. *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at a national and sub-regional level;

b. provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;

c. contributed to *institutional changes.* To what extent have the project activities contributed to changing institutional behaviour;

d. contributed to *policy changes* (on paper and in implementation of policy);

e. contributed to sustained follow-on financing (*catalytic financing*;

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

f. created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

21. *Replication*, in the context of UNEP projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). What are the factors that may influence replication and scaling up of project experiences and lessons? In this particular case, the evaluation will assess how the project has made sure that plans, programmes, institutions, and agreements have mainstreamed environmental sustainability and climate change considerations into UN country programming and national development processes.

E. Efficiency

22. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its secured budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions.

23. 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.

F. Factors and processes affecting project performance

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

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

a. Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?

b. Assess the role and performance of the units and committees established and the project execution arrangements at all levels.

c. Evaluate the effectiveness and efficiency of project management by UNEP Division of Regional Cooperation and other relevant UNEP Divisions and how well the management was able to adapt to

changes during the life of the project. How well did the relationship between UNEP and UNCT and other partners work? How well did the cooperation with the selected countries work? How successful was the project in establishing partnerships with other implementing agencies, on the regional and national level? To what extent did the project build upon and strengthen synergies with the other development projects?

d. Assess the extent to which project management responded to direction and guidance provided by the UNEP supervision recommendations.

e. Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems.

26. **Stakeholder[26] Participation and Public Awareness**. The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

a. the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?

b. the degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;

c. how the results of the project (studies, assessment frameworks, etc.) engage project users' communities and their institutions.

27. **Country Ownership and Driven-ness**. This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

a. Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating information that led to the strengthening of the capacity of UNCTs in the partner countries, and the national institutions, for enhanced integration of environmental sustainability in UNDAFs and UN common country programming processes as well as in national and sectoral plans.

b. Assess the level of country commitment to the continuation of environmental sustainability in the partner countries programming processes and the extent to which the facilitated training and reporting will continue to influence policy making as a result of the project.

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

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

    a. Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;

    b. Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;

    c. Present to what extent co-financing has materialized as expected at project approval. Report co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see Annex 3).

    d. Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

29. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP to prevent such irregularities in the future. Determine whether the measures taken were adequate.

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

    a) The adequacy of project supervision plans, inputs and processes;
    b) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
    c) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanism work? What were the strengths in guidance and backstopping and what were the limiting factors?

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

1. *M&E Design*. The evaluators should use the following questions to help assess the M&E design aspects:

- Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives?
- How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

2. *M&E Plan Implementation*. The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- Half-yearly Progress & Financial Reports were complete and accurate;
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

G. Complementarities with the UNEP strategies and strategies

32. *Alignment with the Bali Strategic Plan (BSP)*[27]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

33. *Gender*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?

34. *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as

[27] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

examples of South-South Cooperation. Specifically, assess the level of cooperation with other GLISPA participating regions, e.g Micronesia.

5. THE CONSULTANTS' TEAM

35. The evaluator will conduct the entire evaluation including data collection and analysis and preparation of the main report and ensure that all evaluation criteria are adequately covered. A Master's degree or higher in the area of environmental sciences or a related field and at least 10 years' experience in environmental management is required.

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

6. EVALUATION DELIVERABLES AND REVIEW PROCEDURES

37. The evaluation team will prepare an **inception report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.

38. It is expected that a large portion of the desk review (see paragraph 23) will be conducted during the inception phase. It will be important to acquire a good understanding of the UNDAF context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

- Strategic relevance of the project
- Preparation and readiness (see paragraph 48);
- Financial planning (see paragraph 52);
- M&E design (see paragraph 56(a));
- Complementarity with UNEP strategies and programmes (see paragraphs 57-59);
- Sustainability considerations and measures planned to promote replication and up-scaling (see paragraphs 42-45).

39. The inception report will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

40. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

41. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

42. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

43. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

44. **Review of the draft evaluation report**. The evaluation team will submit a zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with relevant stakeholders. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report, along with its own views.

45. The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

46. **Submission of the final Terminal Evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.

47. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 3.

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

7. LOGISTICAL ARRANGEMENTS

49. This Terminal Evaluation will be undertaken by one independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP CEP Team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible

8. SCHEDULE OF THE EVALUATION

7th Tranche

Activity	Date (s)
Start of the evaluation	10 November 2014
Inception report	17 November 2014
Comments from Evaluation Office	24 November 2014
Zero Draft report	10 December 2014
Comments from Evaluation Office	17 December 2014
First draft report	23 December 2014
Comments from stakeholders	20 January 2015
Final report	30 January 2015

8th Tranche

Activity	Date (s)
Start of the evaluation	10 November 2014
Inception report	17 November 2014
Comments from Evaluation Office	23 November 2014
Zero Draft report	10 February 2015
Comments from Evaluation Office	24 February 2015
First draft report	1 March 2015
Comments from stakeholders	15 March 2015
Final report	21 March 2015

UNDAF umbrella project

Activity	Date (s)
Start of the evaluation	10 November 2014
Inception report	17 November 2014
Comments from Evaluation Office	24 November 2014
Zero Draft report	10 March 2015
Comments from Evaluation Office	24 March 2015
First draft report	30 March 2015
Comments from stakeholders	15 April 2015
Final report	30 April 2015

50. The consultant may visit one or two participating countries and the UNEP/UNCT office to conduct interviews with relevant stakeholders, including Ministries and other actors. The schedule of the field visits and the choice of countries will be discussed with the UNEP Task Manager and the Evaluation Office.

51. Consultations will be held between the consultant, Evaluation Office staff, the UNEP, the UNCT of the relevant countries, and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.

52. **Submission of the final evaluation report**: The final report shall be submitted by email to:

Mr. Michael Spilsbury
Chief
UNEP Evaluation Office
Email: michael.spilsbury@unep.org

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

Dianna Kopansky
Programme Officer
Regional Support Office
Tel: +254-(020) 762-5109
dianna.kopansky@unep.org

Onesmus Thiong'o
Office for Operations
United Nations Environment Programme
P.O. BOX 30552 - 00100
NAIROBI, KENYA
Tel: 254 (20) 7623510
Onesmus.Thiongo@unep.org

53. The final evaluation report will be published on the UNEP Evaluation Office web-site **www.unep.org/eou** and may be printed in hard copy.

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

55. The UNEP Evaluation Office will also prepare a commentary on the final evaluation report, which presents the Evaluation Office ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report.

ANNEX III: EVALUATION PROGRAM, CONTAINING THE NAMES OF LOCATIONS VISITED AND THE NAMES (OR FUNCTIONS) AND CONTACTS (EMAIL) OF PEOPLE MET

Due to budgetary limitations in relation to the vast geographic scope of the project, and the need to avoid the biased sample that could have resulted from a small number of country visits, the evaluation was conducted from the evaluators' home office, with a series of extensive SKYPE interviews with UNEP staff at the Nairobi headquarters and UNEP's Regional Development Coordinators (RDCs) in five regional offices. In addition to these interviews, exhaustive evaluation questionnaires were completed by the five RDCs and twenty members of UN Country Teams with experience working with UNEP in the context of the activities of the UNDAF projects.

UNEP headquarters and regional staff interviewed (and email addresses):

Aliyev, Mahir, UNEP Regional Development Co-ordinator, Geneva: mahir.aliyev@unep.org

Brusco, Andrea, UNEP Regional Development Co-ordinator, Panama: andrea.brusco@unep.org

Gilman, Jonathan, UNEP Regional Development Co-ordinator, Bangkok: jonathan.gilman@unep.org

Hutchinson, Melanie, UNEP Regional Development Co-ordinator, Bahrain: melanie.hutchinson@unep.org

Kopansky, Dianna, Programme Officer, UNEP Regional Support Office, Nairobi: dianna.kopansky@unep.org

Sahou, Jean-Jacob, UNEP Regional Development Co-ordinator, Nairobi: jean-jacob.sahou@unep.org

UN Country Team members surveyed (by country and organization, to ensure anonymity):

Azerbaijian – WHO

Belarus – UNDP

Belize – UN Resident Coordinator's Office (RCO)

Ghana – UNDP

Indonesia – UN RCO

Indonesia – UNDP

Iraq – UNDP

Ivory Coast – RCO

Jordan – UN RCO and Humanitarian Coordinator

Madagascar – UN RCO

Maldives - UN RCO

Mexico – UNEP

Rwanda – UNDP

Tanzania – UNDP

Thailand – UN Asia Pacific Regional Office

Thailand – UN RCO

Thailand – UN Women - Asia Pacific Regional Office

Turkey – UNDP

Turkmenistan – UNDP

Uruguay – One UN Office

ANNEX IV: DOCUMENTS REVIEWED

National Environmental Summaries and UN Development Assistance Frameworks

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ANNEX V: SUMMARY CO-FINANCE INFORMATION AND A STATEMENT OF PROJECT EXPENDITURE BY ACTIVITY

The projects did not receive significant co-financing, apart from contributions detailed in the budgets provided on page 19 of the report, which also summarises available information on project spending by activity.

ANNEX VI: BRIEF CV OF THE CONSULTANT

Howard Macdonald Stewart, 5346 Chrisman Road, Denman Island, B.C. V0R 1T0 CANADA
Phone: (1 250 2327) or (1 604) 222-3484, skype: howardstewart, e-mail: howard.m.stewart@gmail.com

Mr. Stewart has over thirty years of experience working in Asia, Africa, the Middle East, Europe and the Americas. Most recently he has led evaluations of UNEP-GEF support to the North West Sahara Aquifer System, Viet Nam's UN-REDD programme and UN development results in Djibouti. Other international work since 2008 has included reviews and advice on final evaluations of Global Environment Facility (GEF) projects, thematic evaluations by the United Nations Development Programme (UNDP), a donors' evaluation of the United Nations Environment Programme (UNEP) and the development of UN staff environmental training. He is has also taught courses in 'Environment and Sustainability' and 'Environmental Impact Assessment' at the Geography Department of the University of British Columbia.

From 2006 to 2008 Mr. Stewart was an advisor in the UNDP's Evaluation Office in New York where he participated in the design, implementation and review of evaluations of international environmental programmes. These included evaluations of UNDP's overall environmental programming since 2002 and of the GEF's global Small Grants Programme, for which he led a number of country level studies. He also developed and implemented a system for reviewing final evaluations of UNDP-GEF financed projects and managed the assessment of UNDP's results in Rwanda.

Between 1990 and 2006, Mr. Stewart worked as an independent analyst based in Vancouver. He worked with many local and national governments and international agencies, communities, NGOs, and industries, helping them plan, carry out, monitor and evaluate their own practical policies, plans and strategies for sustainable development.

Mr. Stewart spent the 1980's working with the Canadian International Development Agency (CIDA) where he acted as environmental advisor to CIDA's programmes in Latin America and francophone Africa. Prior to this he planned and managed Canadian participation in international co-operation projects, at both community and national levels, in West and Central Africa, in the agriculture, forestry, water and energy sectors.

From 1975 to 1981 Mr. Stewart worked as a researcher in forest ecology in Central America, a land planning officer with a World Bank agricultural programme in West Africa and an environmental consultant to western Canada's mining and resource industries. He also worked with an early private sector eco-tourism initiative in the Danube Basin of central Europe.

Skills & Areas of Expertise

- Leadership, co-ordination, and assessment of policy, programme and project evaluations
- Capacity development for sustainable development
- Environmental assessment & mitigation
- Policy analysis and development
- Climate change adaptation, including sustainable natural resource & water planning & management
- Planning and training workshop preparation, presentation and evaluation
- Policy, programme and project planning, monitoring and evaluation
- Local and national level sustainable development strategies
- Fluent in English, French**,** Spanish **and Krio**; functional in German; basic Portuguese and Russian.

Selected Publications

- Stewart, H. 2014. Evaluation and Reconciliation of Global Environmental Benefits with Local Development in: Juha Uitto, (ed.) "Evaluating Global Environmental Benefits and Local Development". New York: Routledge: 37-42.
- Stewart, H. ongoing since 2011. Numerous book reviews in "BC Studies" journal, from No. 170 onwards.
- Stewart, H., J. Uitto & M. Wells. 2009. Contributing to Global Benefits or Supporting Local Sustainable Development: Evidence from a Global Evaluation of UNDP's Program; in: Evaluating Climate Change and Development. Eds. O. Feinstein and R. D.Van den Berg. New Brunswick NJ: Transaction: 151-170.
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- R.F. Benítez Ramos, A. Barrance & H. Stewart. 2005. Have the Lessons of Mitch been forgotten? The Critical Role of Sustainable Natural Resource Management for Poverty Reduction in Honduras. Study initiated under the Poverty and Environment Partnership (PEP), and jointly funded, and managed by DFID, GTZ and CIDA.
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- Stewart, H. and M. C. Kellman. 1982. "Nutrient accumulation by Pinus caribaea in its native savannah habitat". In: Plant and Soil, 69, 105 - 118. Amsterdam.

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- Dr. Juha Uitto, Head of Independent Evaluation Office, GEF, Washington, DC email: gefevaluation@thegef.org
- Ms. Anita Nirody, Resident Representative, UN-Egypt, Cairo email: anita.nirody@undp.org
- Ms. Hélène Giroux, Director, South America Division, Americas Branch, CIDA / ACDI, Gatineau, Quebec email: helene_giroux@acdi-cida.gc.ca
- Dr. Graeme Wynn, Professor, Department of Geography, UBC, Vancouver email: graeme.wynn@geog.ubc.ca

Education and awards:

- PhD, Environmental History / Historical Geography, University of British Columbia, 2008-2014 (Lewis Robinson Memorial Graduate Scholarship, 2010)
- M.Sc., Applied Physical Geography, York University, 1978-1980 (Ontario Government Graduate Scholarships, 1979, 1980)
- B.A., Geography, Simon Fraser University, 1969-1975 (B.C. Government First Class Scholarships, Gordon Shrum Entrance Scholarship)

Personal

- Born 22 December 1952 in Powell River, Canada; Canadian citizen
- Married, two children born 1980 and 1983

International experience and clients
Mr. Stewart has worked in over seventy countries including...

Asia: Indonesia, Thailand, Malaysia, Laos, Cambodia, Viet Nam, the Philippines, Mongolia, Kazakhstan, Kyrgyzstan, Uzbekistan, Nepal, Pakistan, Sri Lanka, India
Middle East/North Africa: Yemen, Syria, Lebanon, Jordan, Egypt, Sudan, Djibouti, Morocco, Tunisia
Sub-Saharan Africa: Rwanda, Burundi, Uganda, Kenya, Mozambique, Zambia, Ivory Coast, Ghana, Sierra Leone, The Gambia, Senegal, Mali, Mauritania, Burkina Faso, Niger, Nigeria, Cameroon
The Americas: Peru, Bolivia, Chile, Brazil, Ecuador, Colombia, Costa Rica, Nicaragua, Honduras, El Salvador, Guatemala, Belize, , Mexico, Trinidad & Tobago, Barbados, Haiti, Jamaica, Canada, US
Europe: Russia, Estonia, Latvia, Lithuania, Hungary, Serbia, Albania, Macedonia, Bulgaria, Romania, Austria, Germany, UK

Clients have included:

- United Nations Environment Programme (UNEP): Regional Support Office
- United Nations Development Programme (UNDP): Evaluation Office; Capacity 21 Initiative; Regional Bureaux for Asia, Latin America and the Caribbean, C & E Europe and CIS, Arab States, Africa; Evaluation Office, Global Environment Facility; UNDP regional office in Bratislava (C & E Europe and CIS); UN country offices in Russia, Latvia, Kazakhstan, Albania, Mozambique, Zambia, Surinam
- Global Environment Facility (GEF): GEF Secretariat, Monitoring and Evaluation Office
- The World Bank: Regional Offices for East Asia & Pacific and Africa
- United Nation - REDD (Reducing Emissions from Deforestation and Forest Degradation) Programme - Global Office, Geneva
- Canadian International Development Agency (CIDA): Americas Branch, Asia Branch, Africa - Middle East Branch, Policy Branch, Training Division
- Institute for Development Studies, University of Sussex, UK
- The Aga Khan Foundation of Canada
- Nile Basin Initiative (NBI): Nile Equatorial Lakes Strategic Action Programme
- North-South Institute: Canada-Latin America Forum
- International Development Research Corporation (IDRC): International Model Forest Network Secretariat
- Environment Canada: Fraser Basin Management Programme
- Government of British Columbia: Land and Resource Management Programme
- Secretariat of the Convention on Bio-diversity
- International Plant Genetic Research Institute (IPGRI)
- Canadian Department of Foreign Affairs and International Trade (DFAIT): Bureau of Assistance for Central and Eastern Europe

Experience in evaluation and monitoring

- Carried out evaluation of UNDP-GEF support to the ongoing programme of the Observatoire du Sahara et du Sahel in the North West Sahara Aquifer System (UNEP, 2015)
- Led evaluation of the national UN-REDD programme in Viet Nam (UN-REDD, 2012-13)
- Led evaluation of UNDP's development results in Djibouti, 2003-2011 (UNDP, 2011).
- Advisor to review of UNEP by the Multilateral Organisation Performance Assessment Network (MOPAN) (Universalia, 2011)
- Advisor to UNDP's thematic / global evaluation of their performance working at the 'poverty – environment nexus' (UNDP, 2009-2010).
- Analytic reviews of final evaluation reports submitted for UNDP projects financed by the Global Environmental Facility (UNDP, 2009-2011 inclusive)
- Evaluation advisor at UNDP's Evaluation Office, where duties included: quality control of evaluations carried out for UNDP-GEF projects; participation in joint evaluation with the Global Environment Facility of the UNDP's global "Small Grants Programme" and the evaluation of UNDP's overall environmental programming since 2002; led country level studies related to this work and other evaluation studies in Macedonia, Pakistan, Rwanda, Kenya, Burkina Faso. (UNDP, 2006-2008)
- Led evaluation of the results of UNDP's national programme of support for sustainable development by the Government of Kazakhstan, including support for integrated water resource management, energy efficiency and alternative energy, improved waste management, local and national sustainable development strategies, national council for sustainable development (UNDP, 2006).
- Led an international team carrying out an evaluation of the REFORMIN project in Bolivia, a bilateral project supporting improved environmental management, conflict resolution and policy formulation in Bolivia's mining sector (CIDA, 2005).
- Led an international team carrying out a mid-term evaluation of the second regional co-operation framework of the United Nations Development Programme in Europe and the CIS and the development support functions of the Bratislava Regional Centre; included review of programmes in Slovakia, Kyrgyzstan and Lithuania (UNDP, 2004).
- Led a regional team from Tunisia, Algeria and Morocco carrying out the mid-term evaluation of the "Maghreb Date Palm Project" and prepared the synthesis regional evaluation report, in English and French (IPGRI, UNDP-GEF, 2003 - 4).
- Supported team of national specialists in defining appropriate methods and tools for participatory poverty and development monitoring at the community level in Albania (Government of Albania / UNDP, 2002 - 3).
- Head of evaluation team, Water Sector Support Programme. Led a Mozambican team of specialists evaluating a programme providing leadership in policy and strategy development in Mozambique's water sector; outlined future options (Government of Mozambique / UNDP, 2001).
- Prepared an analytic review of the global experience of UNDP-GEF and Capacity 21 in applying participatory monitoring and evaluation approaches (UNDP, 2001).
- Senior evaluator, global evaluation of implementation of the Bio-diversity Convention. Participated in evaluation of the implementation of the Convention on Bio-Diversity, including review of Russia's national bio-diversity programme (Convention on Bio-diversity Secretariat, 2001).
- Supporting monitoring national programmes to develop capacity for sustainable development in C/E Europe and Asia. Participated in national monitoring and review exercises in Estonia, Bulgaria, Russia, Philippines, Mongolia, Nepal, Bolivia & Lebanon (UNDP-Capacity 21, 1994 - 2001).

- Led multi-disciplinary, international teams evaluating programmes in Niger and Burkina Faso designed to develop practical strategies for sustainable development through broad popular participation in all regions of each country (Capacity 21 / UNDP, 1999-2000).
- Led a multi-disciplinary Indo-Canadian consultant team carrying out a mid-term review of a Canadian bilateral co-operation project in support of the Environmental Management Division of the Confederation of Indian Industries (CII / CIDA, 1999).
- Participated in evaluation of Syria's Capacity 21 programme, involving the development of a National Environmental Action Plan, executed by the World Bank (Capacity 21, 1998).
- Led an international team, in collaboration with Resource Futures International of Ottawa, carrying out an "evaluation of lessons learned from effective and less effective projects" for the Global Environment Facility; including reviews of Dana and Azraq projects in Jordan (GEF, 1997).
- Led an international team evaluating the "Proteccion Ecologia y Rescate Cultural" Project in Honduras, a complex mix of indigenous land titling, small-scale community development projects and protected area management (UNDP-Capacity 21, 1996).
- Evaluated the environmental and socio-economic effects, including gender effects, of the Arenal Conservation and Development Project, a major protected watershed and buffer zone project in Costa Rica; recommended design changes for a second phase of the project (CIDA, 1995).
- Developed a methodology and strategy for rigorous, participatory monitoring of national capacity development programmes, with a global team including the Sustainable Development Policy Institute (Islamabad), the Network for Environment and Development in Africa and the International Institute for Environment and Development (London), (UNDP, 1994 - 95).
- Identified indicators, pilot communities and methodology for monitoring the economic, social and environmental sustainability of development in British Columbia's Fraser River Basin, most heavily populated river basin of western Canada (Environment Canada, 1993).

ANNEX VII: NES & UNDAF DOCUMENTS REVIEWED

Document / Region	National Environmental Summaries (NES)	UNDAF's prepared after (or before) NES	UNDAF's prepared without prior (or subsequent) NES
Africa	Chad, 2010 Gambia, 2011 Ghana, 2011 Madagascar, 2012	Chad (Interim) 2012-2013 Gambia 2012-2016 Ghana 2012-2016 Madagascar 2008-2011, extended for 2012-2014	Botswana, 2010-2016 Burkina Faso 2011 - 2015 Cape Verde 2012-2016 Ivory Coast 2013-2015 D.R. Congo 2013-2017 Egypt 2013-2017 Eritrea SPCF_2013-2016 Ethiopia 2012-2015 Kenya 2014-2018 Kenya 2009-2013 Liberia 2008-2012 Malawi 2012-2016 Mauritania 2012-2016 Mozambique 2012-2015 Niger 2014-2018 Rwanda 2008-2012 Rwanda UNDAP 2013-2018 South Africa UNSCF 2013-17 South-Sudan 2012-2013 Sudan 2009-2012 Sudan 2013-2016 Uganda 2010-2014
Asia – Pacific	Cambodia 2014 Indonesia 2010 Indonesia 2014 Laos 2015 Nepal 2011 Philippines 2009 * Sri Lanka 2011	Cambodia 2011-2015 Indonesia 2011-2015 Lao PDR 2012-2015 Nepal 2013-2017 Philippines 2012-2018 Sri Lanka 2013-2017	Afghanistan 2010-2013 Bangladesh 2012-2016 Bhutan 2014-2018 China 2011-2015 India 2013-2017 Maldives 2011-2015 Myanmar 2012-2015 Pacific Islands 2013-2017\ Papua New Guinea 2012-2015 Vietnam 2012-2016 Mongolia 2012-2016 Pakistan 2013-2017 Thailand UNPAF 2012-2016
Europe – Central Asia	Azerbaijan 2009 * Azerbaijan 2014 Belarus 2011	Azerbaijan 2011-2015 Belarus 2011-2015	Albania 2012-2016 Armenia 2010-2015 Bosnia & Herzegovina 2010-14

Document / Region	National Environmental Summaries (NES)	UNDAF's prepared after (or before) NES	UNDAF's prepared without prior (or subsequent) NES
	Kazakstan 2014 Turkmenistan 2014 Ukraine 2011	Kazakhstan 2010-2015 Turkmenistan 2010-2015 Ukraine UNPF 2012-2016	Moldova UNPF 2013-2017 Serbia 2011-2015 Tajikistan 2010-2015 Turkey UNDCS 2011-2015 Uzbekistan 2010-2015
Latin America – Caribbean	Antigua & Barbuda, 2010 Barbados, 2010 Belize, 2012 Chile, 2013 Costa Rica, 2012 Dominica, 2010 El Salvador, 2010 & 2014 Grenada, 2010 Guyana, 2010 Mexico, 2013 Nicaragua, 2011 Panama, 2014 Peru, 2011 St. Kitts & Nevis, 2010 St. Vincent & Grenadines, 2010 St. Lucia, 2010 Uruguay, 2014 (?)	Barbados & OECS 2012-2016 Belize 2013-2016 Chile 2015-2018 Costa Rica 2013-2017 El Salvador 2012-2015 Guyana 2012-2016 México 2014-2019 Nicaragua 2013-2017 Panama 2012-2015 Peru 2012-2016 Uruguay 2011-2015	Cuba 2014-2018 Guatemala 2010-2014 Haiti 2009-2011
West Asia	Jordan 2011 Palestine 2012 Yemen 2010	Jordan 2013 -2017 Palestine 2014-2016 Yemen 2012-2015	Iraq 2011-2014 Iraq 2015-2019 Saudi Arabia 2012-2016

* - NES prepared before the advent of the UNDAF projects

ANNEX VIII: EVALUATION SURVEY RESULTS CITED IN TEXT

Table 23 - Survey questions & answers related to moving from outcome to objective

Question & response about critical assumption
-- Sufficient institutional, political, socio-economic stability (in project country/countries) to permit ES mainstreaming to proceed?
RDCs: 7th Tranche: 4.4 8th Tranche: 4 UNDAF: 4.2 avg. = 4.2 (UNCT average = 3.8, sample: 15)

Questions and responses about drivers
-- Did project mainstreaming activities focus on national development priorities identified by partner governments?
RDCs: 7th Tranche: 5.2 8th Tranche: 5.6 UNDAF: 5.6 avg. = 5.5 (UNCT average = 4.8, sample: 16)
Did these national development priorities remain constant during the project?
RDCs: 7th Tranche: 5.6 8th Tranche: 5.6 UNDAF: 5.6 avg. = 5.6 (UNCT average = 4.3, sample: 15)
-- Did the project's capacity development activities… address the right issues?
RDCs: 7th Tranche: 5 8th Tranche: 5.2 UNDAF: 5.2 avg. = 5.1 (UNCT average = 4.4, sample: 13)
…target the right people & institutions?
RDCs: 7th Tranche: 4.2 8th Tranche: 5 UNDAF: 4.8 avg. = 4.7 (UNCT average = 4.2. sample: 13)
…develop the right capacities?
RDCs: 7th Tranche: 4.4 8th Tranche: 5.2 UNDAF: 4.8 avg. = 4.8 (UNCT average = 4.2. sample: 13)
-- Did capacities, once developed, remain available to work on mainstreaming activities as envisioned?
RDCs: 7th Tranche: 3.8 8th Tranche: 4.6 UNDAF: 4.4 avg. = 4.3 (UNCT average = 4.3, sample: 14)
-- Did the project adopt appropriate approaches to integration of environmental sustainability and climate changes issues into national and sectoral policies and programmes?
RDCs: 7th Tranche: 4.2 8th Tranche: 5.2 UNDAF: 5 avg. = 4.8 (UNCT average = 4.3, sample: 14)
-- Were the decisions of different UNCT members influenced by national level capacity development for mainstreaming ES?
RDCs: 7th Tranche: 4.5 8th Tranche: 4.5 UNDAF: 4.5 avg. 4.5 (UNCT average = 4.0, sample: 16)
-- Have UNCT members and partner governments remained committed to ES mainstreaming since the necessary capacities were developed?
RDCs: 7th Tranche: 4.4 8th Tranche: 5.2 UNDAF: 5 avg. = 4.9 (UNCT average = 4.4, sample: 16)
-- Were the proposed ES mainstreaming measures perceived by other UNCT members as being able to help strengthen their operations at national level?
RDCs: 7th Tranche: 4.6 8th Tranche: 4.6 UNDAF: 4.6 avg. = 4.6 (UNCT average = 3.9, sample: 16)
-- Opportunities to build linkages and synergies with the activities of other UNCT members identified and pursued?
RDCs: 7th Tranche: 4.2 8th Tranche: 5 UNDAF: 5 avg. = 4.7 (UNCT average = 4.2, sample: 16)
-- Were project activities carried out at the right time to facilitate mainstreaming of ES and CC issues into the UNDAF cycle?
RDCs: 7TH Tranche: YES 3, NO 2; 8th Tranche: YES 5; UNDAF project: YES 5 (average = 4.6, where YES = 5 and NO = 2) (UNCT average = 4.5, sample 16)
-- UNRC & UNCT supportive of involving UNEP in their operations?
RDCs: 7th Tranche: 5.6 8th Tranche: 5.6 UNDAF: 5.6 avg. = 5.6 (UNCT average = 4.7, sample: 18)

Where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Table 24 - Survey questions and results related to moving from immediate to higher level objective

Question & response about critical assumptions
-- UN programmes sufficiently influential (in project country/ies) to enhance the environmental sustainability of national / sectoral policies and programmes?
RDCs: 7th Tranche: 4.4 8th Tranche: 4.4 UNDAF: 4.4 avg. = 4.4 (UNCT average = 4.4, sample: 14)
-- National partners / institutions targeted by the project able to influence decision making?
RDCs: 7th Tranche: 3.8 8th Tranche: 4.6 UNDAF: 4.6 avg.= 4.3 (UNCT average = 4.5, sample: 13)

Questions and responses about drivers
-- Regarding mainstreaming activities identified by the projects -did they identify measures that could demonstrably strengthen & improve sustainable development results of
…national policies and programmes?
RDCs: 7th Tranche: 4.2 8th Tranche: 4.8 UNDAF: 4.5 avg.= 4.5 (UNCT average = 4.1, sample: 8)
…UN operations at the national level?
RDCs: 7th Tranche: 4.2 8th Tranche: 4.8 UNDAF: 4.8 avg. = 4.6 (UNCT average = 4.0, sample: 14)

Where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Table 25 - Survey questions and results related to moving from objectives to longer term impacts

Question & response about critical assumptions
-- Environmental vulnerability significantly affect the countries' development prospects?
RDCs: 7th Tranche: all YES; 8th Tranche: all YES; UNDAF: all YES (UNCTs: YES: 15 NO: 3 N/A: 2)
-- Environmental priorities considered important enough, in relation to other national priorities, to influence national and sectoral policy in project countries?
RDCs: 7th Tranche: YES 4, NO 1; 8th Tranche: YES 3, NO 2; UNDAF: YES 4, NO: 1 (UNCTs: YES: 12 NO: 5 N/A: 3)

Question & response about drivers:
Are national environmental and development priorities in this country / these countries aligned or contradictory?
RDCs: 7th Tranche: 4.3 8th Tranche: 4.3 UNDAF: 4.5 avg.= 4.4 (UNCT average = 4.4, sample: 12)

Where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Table 26 – Survey questions and results about the projects' "effectiveness"
(Responses on a scale of 1-6, where 6 is the best possible outcome and 1 is the worst)

-- Ensured integration of environmental sustainability into UNDAFs and UN Common Country Programming?
RDCs: 7th Tranche: 4.4 8th Tranche: 5.2 UNDAF: 5 avg. = 4.9 (UNCT average = 4.6, sample = 19)
-- Contributed to improved decision-making by targeted stakeholders in support of national environmental goals?
RDCs: 7th Tranche: 4.2 8th Tranche: 4.8 UNDAF: 4.6 avg. = 4.5 (UNCT average = 4.4, sample = 19)
-- Contributed to
…improvements in national management of natural resources and the environment?

RDCs: 7th Tranche: 3.8 8th Tranche: 4.5 UNDAF: 4.2 avg. = 4.2 (UNCT average = 4.2, sample =13)
…improvements to human living conditions?
RDCs: 7th Tranche: 4 8th Tranche: 4 UNDAF: = 4 avg. = 4.0 (UNCT average = 4.0, sample = 11)

Where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Table 27 - Survey questions and results related to sustainability of results

Question and responses about sustainability: Please rate the sustainability of the three projects against the criteria indicated below, on a scale of 1-6, where 6 is the best possible outcome and 1 is the worst.

-- Follow-up work begun to sustain or enhance projects' results?
RDCs: 7th Tranche: 4.2
8th Tranche: 4.6 UNDAF: 4.8 avg. = 4.5 (UNCT average = 4.0, sample = 13)
-- Level of ownership of projects' results among national stakeholders?
RDCs: 7th Tranche: 4.2 8th Tranche: 4.6 UNDAF: 4.5 avg. = 4.4 (UNCT average = 4.2, sample = 13)
-- Level of government and stakeholder awareness, interest, commitment to any programmes, plans, agreements, monitoring systems, etc. prepared or agreed upon under the projects?
RDCs: 7th Tranche: 3.8 8th Tranche: 4.2 UNDAF: 4.2 avg. = 4.1 (UNCT average = 4.3, sample = 15)
-- Likelihood of adequate financial resources being available to implement any programmes, plans, agreements, monitoring systems etc. prepared or agreed during projects? a
RDCs: 7th Tranche: 3.8 8th Tranche: 4.2 UNDAF: 4.2 avg. = 4.1 (UNCT average = 3.7, sample = 15)
-- Institutional and governance constraints within national governments that may limit the sustainability of projects'benefits and longer term impacts? (6=no constraints, 1=blocked)
RDCs: 7th Tranche: 3.6 8th Tranche: 3.8 UNDAF: 3.6 avg. = 3.7 (UNCT average = 3.2, sample = 15)
-- Evidence of increased capacity to use science for policy making?
RDCs: 7th Tranche: 4 8th Tranche: 4 UNDAF: 3.8 avg. = 3.9 (UNCT average = 4.0, sample = 9)
-- If yes, then please briefly cite one or two examples.
-- Please briefly summarise those environmental factors, if any, that are likely to positively or negatively influence the longer term results of the projects?
-- Please briefly summarise any conditions or factors (e.g., social, political, institutional, financial) that are likely to undermine or enhance the projects' longer term positive effects.

Table 28 - Survey questions and results related to catalytic roles and replication

Questions and responses about catalytic roles and replication:
Please rate the catalytic effects of the three projects against the criteria indicated below, on a scale of 1-6, where 6 is the best possible outcome and 1 is the worst.

-- Projects catalyzed positive changes in the ways stakeholders develop strategic programmes and plans or assess, monitor and manage environmental sustainability at the national level?
RDCs: 7th Tranche: 4.6 8th Tranche: 5 UNDAF: 4.8 avg. = 4.8 (UNCT average = 4.2, sample: 13)
-- Projects provided incentives (e.g., social, economic, market-based) helping to catalyze changes in stakeholder behavior?

RDCs: 7th Tranche: 4 8th Tranche: 4.4 UNDAF: 4 avg. = 4.1 (UNCT average = 4.3, sample: 11)
-- Projects and their activities contributed to institutional changes?
RDCs: 7th Tranche: 3.4 8th Tranche: 4.6 UNDAF: 3.8 avg. = 3.9 (UNCT average = 4.3, Sample: 12)
-- Projects contributed to policy changes?
RDCs: 7th Tranche: 3.8 8th Tranche: 4.4 UNDAF: 4.3 avg. = 4.2 (UNCT average = 4.2, sample: 13
-- Projects contributed to sustained post-project financing for ongoing activities?
RDCs: 7th Tranche: 2.3 8th Tranche: 4 UNDAF: 3.3 avg. = 3.2 (UNCT average = 3.7, sample = 10)
-- Projects created opportunities for particular individuals or institutions ("champions") to catalyze positive change?
RDCs: 7th Tranche: 3.3 8th Tranche: 4.0 UNDAF: 4.3 avg. = 3.9 (UNCT average = 3.7, sample: 11)
-- Projects ensured environmental sustainability and climate change considerations are mainstreamed into UN country programming and national development processes?
RDCs: 7th Tranche: 5.2 8th Tranche: 5.6 UNDAF: 5.2 avg. = 5.3 (UNCT average = 4.3, sample: 13)
-- Briefly summarise those factors influencing replication / scaling up of projects' results.
-- Has UNEP helped ensure environmental sustainability and climate change considerations are mainstreamed into UN country programming and national development processes?
-- If no, then briefly summarise why not.

Table 29 - Survey questions and results re: factors and processing affecting project performance

Questions and responses about catalytic roles and replication: Wherever indicated, please rate the performance of the three projects against the criterion described, on a scale of 1-6, where 6 is the best possible outcome and 1 is the worst.

-- Project's objectives and components clear, practicable and feasible within its timeframe?
RDCs: 7th Tranche: 5.0 8th Tranche: 4.6 UNDAF: 4.8 avg. = 4.8
-- Project document sufficiently clear and realistic to enable effective implementation?
RDCs: 7th Tranche: 5 8th Tranche: 5 UNDAF: 5.2 avg. = 5.1
-- Partnership arrangements properly identified with the roles and responsibilities of partners negotiated prior to project implementation?
RDCs: 7th Tranche: 3.8 8th Tranche: 3.8 UNDAF: 4 avg. = 3.9 (UNCT average = 4.3, sample: 12)
-- Sufficient counterpart resources (funding, staff, and facilities) made available?
RDCs: 7th Tranche: 3.8 8th Tranche: 4.2 UNDAF: 3.6 avg. =3.8 (UNCT average = 4.0, sample: 13)
-- Adequate project management arrangements in place?
RDCs: 7th Tranche: 5 8th Tranche: 5 UNDAF: 5 avg. = 5.0 (UNCT average = 4.0, sample: 13)
-- Lessons from other relevant projects properly incorporated in the project design?
RDCs: 7th Tranche: 4.3 8th Tranche: 4.6 UNDAF: 4.8 avg. = 4.6 (UNCT average = 4.1, sample: 11)
-- Lessons learned and recommendations from other relevant projects adequately integrated in the project approach?
RDCs: 7th Tranche: 4.5 8th Tranche: 4.6 UNDAF: 4.8 avg. = 4.6 (UNCT average = 3.9, sample: 11)
-- Please briefly summarise those factors that influenced the quality of project design, the choice of partners, and the allocation of financial resources.
-- To what extent have the projects' implementation mechanisms outlined in their project documents been followed, and been effective in delivering project outputs and outcomes?
RDCs: 7th Tranche: 4.8 8th Tranche: 5 UNDAF: 5 avg.= 4.9
-- Were the projects' approaches modified during implementation to adapt to unexpected or changing situations as required?
RDCs: 7th Tranche: 4.4 8th Tranche: 5 UNDAF: 5 avg.= 4.8
-- Did the projects' structures, committees, etc. effectively ensure project execution?
RDCs: 7th Tranche: 4.8 8th Tranche: 5 UNDAF: 5 avg. = 4.9
-- UNEP management of these projects effective and efficient?
RDCs: 7th Tranche: 4.6 8th Tranche: 5 UNDAF: 4.8 avg. = 4.8 (UNCT average = 4.3, sample: 13)
-- Did UNEP management adapt to changes as required during the life of the projects?
RDCs: 7th Tranche: 4.8 8th Tranche: 5.2 UNDAF: 5 avg. = 5 (UNCT average = 4.3, sample: 13)

-- How effective was the working relationship between UNEP and UNCTs, other partners?
RDCs: 7th Tranche: 4.5 8th Tranche: 5 UNDAF: 5 avg. = 4.8 (UNCT average = 4.1, sample: 17)
-- How effective was the cooperation with the selected countries?
RDCs: 7th Tranche: 4.8 8th Tranche: 5.2 UNDAF: 4.8 avg. = 4.9 (UNCT average = 4.5, sample: 14)
-- How successful were the projects in establishing partnerships with other implementing agencies at the national level?
RDCs: 7th Tranche: 5.2 8th Tranche: 5.2 UNDAF: 5.4 avg. = 5.3 (UNCT average = 4.4, sample: 14)
-- Did the projects build upon and strengthen synergies with the other initiatives?
RDCs: 7th Tranche: 4.6 8th Tranche: 4.8 UNDAF: 4.8 avg. = 4.7 (UNCT average = 4.3, sample: 14)
-- Did project management respond to UNEP's supervisory recommendations?
RDCs: 7th Tranche: 4.8 8th Tranche: 4.8 UNDAF: 4.8 avg. =4.8
-- How effective was collaboration among various project partners and stakeholders during project implementation?
RDCs: 7th Tranche: 4.4 8th Tranche: 4.8 UNDAF: 4.8 avg. = 4.7 (UNCT average = 4.3, sample: 13)
-- Did the projects carry out public awareness activities?
RDCs: 7th Tranche: YES: 3, NO: 2; 8th Tranche: YES: 4, NO:1; UNDAF: YES:4, NO: 1
(UNCTs: YES: 7 NO: 4 N/A: 9)
-- If yes, then how effective were these public awareness activities?
RDCs: 7th Tranche: 4 8th Tranche: 4.8 UNDAF: 4.5 avg. = 4.4 (no numeric ratings from UNCTs)
-- Have project M&E activities been designed to promote public awareness of ES issues?
RDCs: 7th Tranche: YES: 1, NO: 4; 8th Tranche: YES: 1, NO: 4; UNDAF project: YES: 1, NO: 4
-- How well did project activities engage communities and national institutions?
RDCs: 7th Tranche: 4.4 8th Tranche: 5 UNDAF: 4.8 avg. = 4.7 (UNCT average = 4.3, sample: 12)
-- The level of country ownership of project results?
RDCs: 7th Tranche: 4 8th Tranche: 4.8 UNDAF: 4.8 avg. = 4.5 (UNCT average = 4.2, sample: 14)
-- What was / is the level of UNCT ownership of project results?
RDCs: 7th Tranche: 4.6 8th Tranche: 5 UNDAF: 5.2 avg.= 4.9 (UNCT average = 3.8, sample: 18)
-- How closely did actual project costs, by activities, resemble originally budgeted costs?
RDCs: 7th Tranche: 4.6 8th Tranche: 4.4 UNDAF: 4.8 avg. = 4.6
-- Overall quality and effectiveness of financial management and co-financing?
RDCs: 7th Tranche: 4.2 8th Tranche: 4.2 UNDAF: 4.6 avg.= 4.3
-- Clarity and transparency of project financial management, including auditing and reporting
RDCs: 7th Tranche: 5 8th Tranche: 5 UNDAF: 5 avg. =5 (UNCT average = 4.2, sample: 11)
-- Timeliness with which financial resources were made available to the projects and partners?
RDCs: 7th Tranche: 4.4 8th Tranche: 4.4 UNDAF: 4.4 avg. = 4.4 (UNCT average = 3.9, sample: 12)
-- Effectiveness of other administrative processes, such as recruitment of staff, procurement of goods and services, preparation and negotiation of cooperation agreements?
RDCs: 7th Tranche: 4.6 8th Tranche 4.6 UNDAF: 4.6 avg. = 4.6 (UNCT average = 3.3, sample: 11)
-- Irregularities in procurement, or the use of financial resources and human resource management? (6=No irregularities, 1=Many& frequent irregularities)
RDCs: 7th Tranche: 5.6 8th Tranche: 5.6 UNDAF: = 5.6 avg. = 5.6
-- Have such irregularities, if any, affected project performance? (6=no effects, 1=great damage)
RDCs: 7th Tranche: 6 8th Tranche: 6 UNDAF: 6 avg. =6

Where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Table 30 - Survey questions and results re: monitoring and evaluation

Questions and responses about monitoring and evaluation:
Please rate the three projects against the criteria described below, on a scale of 1-6, where 6 is the best possible outcome and 1 is the worst.

-- Projects have sound M&E plans, monitoring results & tracking progress towards objectives?
RDCs: 7th Tranche: 4.2 8th Tranche: 4.2 UNDAF: 4.6 avg.= 4.3

-- Has the project's logical framework supported planning and monitoring?
RDCs: 7th Tranche: 4.8 8th Tranche: 4.8 UNDAF: 5 avg. = 4.9
-- Baseline information on performance indicators been gathered and used?
RDCs: 7th Tranche: 4 8th Tranche: 4 UNDAF: 4.2 avg. = 4.1
-- Sufficient information available, and used, to determine the possible training and technical support needs of institutions and experts involved in project M&E?
RDCs: 7th Tranche: 4 8th Tranche: 4 UNDAF: 4 avg. = 4
-- Were responsibilities for project M&E well defined, e.g., between ROs and HQ?
RDCs: 7th Tranche: 4.8 8th Tranche: 4.8 UNDAF: 4.8 avg. = 4.8
-- M&E data sources and data collection instruments appropriate?
RDCs: 7th Tranche: 4.5 8th Tranche: 4.5 UNDAF: 4.5 avg.= 4.5
-- Timing and frequency of monitoring activities clearly specified?
RDCs: 7th Tranche: 4.8 8th Tranche: 4.8 UNDAF: 4.8 avg. = 4.8
-- Monitoring activities adequate?
RDCs: 7th Tranche: 4.8 8th Tranche: 4.8 UNDAF: 4.8 avg. = 4.8
-- Project participants involved in monitoring?
RDCs: 7th Tranche: 3.5 8th Tranche: 3.5 UNDAF: = 3.5 avg. 3.5
-- Adequate provisions binding project partners to collaboration in evaluations?
RDCs: 7th Tranche: 3.2 8th Tranche: 3.2 UNDAF: 3.2 avg. 3.2
-- Sufficient funds available for timely M&E during implementation?
RDCs: 7th Tranche: 4.8 8th Tranche: 4.8 UNDAF: 4.8 avg.= 4.8
-- Project M&E system operational?
RDCs: 7th Tranche: 4.5 8th Tranche: 4.5 UNDAF: 4.5 avg. = 4.5
-- Project M&E system facilitate timely tracking of results and progress towards project objectives throughout project implementation?
RDCs: 7th Tranche: 4.5 8th Tranche: 4.3 UNDAF: 4.5 avg. = 4.4
-- Information provided by M&E used during the project to improve project performance and adapt to changing needs?
RDCs: 7th Tranche: 4.3 8th Tranche: 4.3 UNDAF: 4.3 avg.=4.3

Where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.

Table 31 - Survey questions and results re: complementarities with UNEPs and other strategies

Questions and responses about monitoring and evaluation:
Where indicated, please rate the three projects against the criteria described below, on a scale of 1-6, where 6 is the best possible outcome and 1 is the worst.

-- How well aligned were the outcomes and achievements of the project with the objectives of the Bali Strategic Plan?
RDCs: 7th Tranche: 5.8 8th Tranche: 5.6 UNDAF: 5.8 avg. = 5.7
-- Have project design, implementation & monitoring taken into consideration --
…possible gender inequalities in access to and the control over natural resources?
RDCs: 7th Tranche: 4 8th Tranche: 4 UNDAF: 4.2 avg. = 4.1 (UNCT average = 3.8, sample: 12)
…specific vulnerabilities of women and children to environmental degradation or disasters?
RDCs: 7th Tranche: 3.8 8th Tranche: 3.8 UNDAF: 4 avg. = 3.9 (UNCT average = 3.8, sample: 12)
… the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation?
RDCs: 7th Tranche: 4 8th Tranche: 4 UNDAF: 4.2 avg. = 4.1 (UNCT average = 3.8, sample: 12)

-- How likely is the project to have lasting impacts
… on gender equality
RDCs: 7th Tranche: 3.3 8th Tranche: 3.3 UNDAF: 3.5 avg. = 3.4 (UNCT average = 3.5, sample: 12)
… on the relationship between women and the environment?
DCs: 7th Tranche: 3.5 8th Tranche: 3.5 UNDAF: 3.8 avg. = 3.6 (UNCT average = 3.5, sample: 12)
-- Unresolved gender inequalities likely to affect the sustainability of project benefits? (6=not at all, 1=greatly undermine sustainability)
RDCs: 7th Tranche: 4.2 8th Tranche: 4.2 UNDAF: 4.4 avg. = 4.3 (UNCT average = 3.4, sample: 12)
-- What unresolved gender issues, if any, are likely to diminish the sustainability of project benefits?
-- Please briefly summarise those dimensions of the project, if any, that are examples of South-South Cooperation.

Where 6 = Excellent, 5 = Good, 4 = Fair; 3 = Partial: 2 = Mostly Unachieved; 1= Wholly Unacceptable.