



UNITED NATIONS ENVIRONMENT PROGRAMME

2001
Annual Evaluation Report

Evaluation and Oversight Unit

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Foreword

The successful conclusion of the World Summit on Sustainable Development and the decisions and declarations emanating from it have shown that the general direction of the work of the United Nations Environment Programme (UNEP) is well matched with the will and aspirations of the world community in the sustainable management of the environment. It is a clear affirmation that through self-assessment and close collaboration with Governments, civil society, the private sector and other partners we have, through our work, charted a course, which will lead us confidently in our efforts to provide a sustainable future for generations to come.

The present report confirms the effectiveness of our activities in assisting developing countries and countries with economies in transition in addressing the environmental issues that affect the realization of their goals for a sustainable future. Decisions of our Governing Council which include decisions on the future role of the Global Ministerial Environment Forum and national capacity-building initiatives; the Millennium Declaration initiatives of the General Assembly and the call by the Secretary-General to focus attention on issues related to water, energy, health, agriculture and biological diversity, will form the cornerstone of our future work.

While substantial gains have been made in increasing collaboration internally between the UNEP programme divisions, further effort is required in order to maximize the effectiveness of our functional structure. In that regard, recommendations for more effective interdivisional collaboration in the development of future work programmes is a step in the right direction and has indeed already begun with the development of the 2004-2005 programme of work.

The ability of UNEP to deliver its work programme has, over the years, been constrained by inadequate resources. The decisions of the World Summit and the declarations of our governing bodies will remain just that if they are not supported by adequate financial resources. This is a challenge to Governments and we are encouraged to see that some Governments have already taken up the challenge.

Klaus Töpfer
Executive Director

Preface

This report is the most recent in the series of annual evaluation reports prepared as intersessional documents of the Governing Council by the Evaluation and Oversight Unit since 1985. Consistent with the directive of the Committee of Programme Coordination (CPC) to the Office of Internal Oversight Services (OIOS), this report is more analytical than before and has attempted to evaluate whether the evaluation function is being effectively carried out in UNEP. It has also endeavored to suggest ways of strengthening the role of evaluation in programme design and delivery.

The previous Annual Evaluation Report placed considerable emphasis on UNEP activities in the development of environmental knowledge products, a key strategic activity in our effort to catalyse action in the sustainable management of the environment. This emphasis, which was unique to the 2000 report has been explored further in this report. Indeed, capacity-building and the development of knowledge products have been areas of intense activity in the field of evaluation over the past few years and the work of UNEP in the area has kept pace with this trend.

This report clearly shows that UNEP activities have continued to catalyse environmental action within the international community. We have expanded and continued to work effectively with our partners, collaborators, Governments, non-governmental organizations and the private sector. The report further shows that, consistent with our mandate, we have continued to foster effective external linkages, addressed relevant environmental issues and built environmental policy consensus within the international community at the regional and subregional levels through ministerial forums and processes.

The development, testing and refinement of environmental knowledge products constitute the basis for policy development and implementation and our activities in 2001 have made significant contributions to the development and dissemination of environmental knowledge.

The 2001 Annual Evaluation Report is organized around clusters of projects. This approach facilitates the discernment of lessons learned as well as the identification of design, institutional and programmatic constraints, which are specific to particular project clusters.

Segbedzi Norgbey
Officer-in-Charge
Evaluation and Oversight Unit

Acknowledgement

The UNEP 2001 Annual Evaluation Report has been the result of the joint efforts of independent consultants, UNEP programme and project managers, other divisional staff and the staff of the Evaluation and Oversight Unit.

The Evaluation and Oversight Unit would therefore like to acknowledge the efforts of the following consultants.

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

Evaluation and Oversight Unit

List of abbreviations and acronyms

ASEAN	Association of Southeast Asian Nations
CAMRE	Council of Arab Ministers Responsible for the Environment
CEDARE	Centre for Environment and Development for the Arab Region and Europe
DANIDA	Danish International Development Agency
DCPI	Division of Communication and Public Information
DEWA	Division of Early Warning and Assessment
DPDL	Division of Policy Development and Law
DRC	Division of Regional Cooperation
DTIE	Division of Technology, Industry and Economics
ECE	Economic Commission for Europe
ENRMD	Environmental and Natural Resources Management Division
ENSO	El Niño Southern Oscillation
EOU	Evaluation and Oversight Unit
ESCAP	Economic and Social Commission for Asia and the Pacific
ETN	Environmental Training Network for Latin America and the Caribbean
GCC	Gulf Cooperation Council
GEF	Global Environment Facility
GEO	Global Environment Outlook
IPCC	Intergovernmental Panel on Climate Change
ISDR	International Strategy for Disaster Reduction
IUCN	World Conservation Union
JPO	Junior Professional Officer
MCED	Ministerial Conference on Environment and Development (South Asia)
NCAR	National Centre for Atmospheric Research
PCMU	Programme Coordination and Management Unit
PERSGA	Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden
RNL	Riso National Laboratory
ROAP	Regional Office for Asia and the Pacific
ROE	Regional Office for Europe
ROLAC	Regional Office for Latin America and the Caribbean
ROMPE	Regional Organization for the Protection of the Marine Environment
ROWA	Regional Office for West Asia
SACEP	South Asian Cooperative Environment Programme
SCOPE	Scientific Committee on Problems of the Environment
SMG	Senior Management Group
SPREP	South Pacific Regional Environment Programme
UCCEE	UNEP Collaborating Centre on Energy and the Environment
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Education, Scientific and Cultural Organization
UNIDO	United Nations Industrial Development Organization
UNU	United Nations University
USCSP	United States Country Studies Project
WCIRP	World Climate Impacts Assessments and Response Strategies Programme
WCMC	World Conservation Monitoring Centre
WFP	World Food Programme
WHO	World Health Organization
WMO	World Meteorology Organization
WWF	World Wide Fund for Nature

I. EXECUTIVE SUMMARY

1. The 2001 UNEP Annual Evaluation Report is a synthesis of 11 in-depth and one desk project evaluations and 36 self-evaluation fact sheets. Independent consultants evaluated seven out of the twelve evaluations. The remaining five were evaluated by staff of the Evaluation and Oversight Unit. The synthesis of the 2001 evaluations incorporates the standard UNEP parameters of appropriateness and relevance, effectiveness and efficiency, and impact by cluster of projects. Within the framework of the foregoing parameters, this report presents an assessment of: approaches and strategies employed; external and internal linkages fostered; hierarchical integration of UNEP mission, programme and project objectives and activities. At the project level the report also assesses the effectiveness of management structures; timeliness of project completion; budget utilization; realization of results and outputs; impact, use and sustainability of UNEP project-initiated processes and results.
2. Overall, UNEP regional offices and projects evaluated in 2001 were successful. The projects have supported the mission and mandate of UNEP and collaborating partners. They have adopted effective strategies and approaches, forged fruitful linkages and realized planned outputs and results that have had a positive impact on the environment.
3. The regional offices have adopted appropriate strategies, fostered effective external linkages and collaboration and addressed relevant regional environmental issues and problems that complemented and supported the catalytic role of UNEP in the management of the global environment. Regional offices have proved to be effective in the delivery of UNEP global programmes through the institutionalization of regional and subregional ministerial forums and processes for the building of regional environmental policy consensus and catalytic collaborative actions.
4. Regional offices have enhanced the visibility of UNEP in the regions. This increased visibility is continuously improving the catalytic capacity of UNEP in the advancement and dissemination of environmental knowledge, development of environmental policies and implementation of environmental activities at the global, regional, subregional and national levels.
5. Some important policy and programming issues, which UNEP should address in order to consolidate and sustain successes that the regional offices have achieved in the effective delivery of global programme activities, have also been identified. While the establishment of the Division of Regional Cooperation has, among other things, facilitated coordinated programming among regional offices, there is a need for better vision and policy guidance.
6. In support of the implementation of environmental conventions, the enabling activity projects put in place by UNEP for the United Nations Framework Convention on Climate Change have met the reporting requirements of the Conference of the Parties to the Convention, the initial national communications. Countries were able to report on amount of emissions, assess the state of their vulnerabilities to climate change and plan mitigation and adaptation measures. In the course of implementation, the projects have enabled the countries to develop core expertise and competence in climate change issues. The projects have also exposed stakeholders, including government institutions, to new knowledge and concerns on climate change.
7. Some implementation and project design issues need to be addressed in order to ensure sustainability of the initiated Convention on Climate Change enabling activities and processes. Effective integration of mitigation measures into national economic planning will require the establishment of functional national institutions responsible for climate change issues. UNEP, in collaboration with its partners, needs therefore to focus on strengthening national ownership of the process through long-term approaches to technical assistance geared towards establishing appropriate institutions.

8. The development, testing and refinement of environmental knowledge products are the basis for policy development and the implementation of environmental activities at the regional and national levels. It is through this macro strategy that UNEP accomplishes its mission. In 2001, UNEP made significant contributions to the advancement and dissemination of environmental knowledge in the area of the Global Environment Outlook (GEO) process, on the El Niño Southern Oscillation (ENSO) phenomenon, and in collaboration with the UNEP Collaborating Centre for Energy and the Environment.

9. UNEP has made important strides towards strengthening the capacities of collaborating centres in the implementation of the GEO process. Major contributions are the regional and subregional reports on the integrated analysis of the environment in the period since the Stockholm Conference in 1972, the analysis of regional perception and perspectives, the various regional scenarios developed, and the improvements made on cataloguing and developing assessment tools for environmental information. The environmental assessments and socio-economic analysis products will positively impact the quality of future GEO reports which, in turn, should contribute to the development of effective international policy responses to global environmental challenges.

10. UNEP has also developed and applied climate change mitigation methodologies, renewable energy technologies, energy policy frameworks and instruments, and environmental valuation techniques for use by decision makers in the public and private sectors in developing countries. The use of these environmental knowledge products for the formulation of energy policies and the implementation of pertinent activities will contribute to ensuring sustainability of the environment. Examining the causes and effects of the 1997-1998 El Niño-related events have contributed to better understanding of the ENSO phenomenon. UNEP has helped establish and document the connection between events such as droughts, floods and forest fires, and the ENSO occurrence. The resulting awareness and appreciation for the ENSO cycles have consequently encouraged Governments and communities to develop and institutionalize appropriate preparedness strategies to minimize the effects of future ENSO phenomena. These important contributions to environmental knowledge reaffirm the intellectual leadership of UNEP in regard to the environment.

11. Extensive and effective external linkages have been forged for the advancement of environmental knowledge, formulation of environmental policies, mobilization of funds and implementation of environmental activities at global, regional, subregional and national level. These external linkages not only help to pool expertise and resources for the environmental agenda but also create synergy with the policies and development activities of UNEP partners, including Governments, United Nations agencies, intergovernmental and non-governmental organizations, communities and regional processes and institutions. The expansion of collaborative activities demonstrate the success of UNEP's catalytic approach to accomplish its mission.

12. The evaluation function is enabling UNEP to meet its substantive accountability requirements efficiently, as set out by the United Nations General Assembly and the Governing Council. Evaluation provides UNEP with useful operational and strategic management information to address future policies and strategies. A revamping of the evaluation function by strengthening the evaluation feedback mechanisms such as the self-evaluation fact sheets would ensure better use of evaluation lessons learned from the implementation of environmental programmes.

II. SUMMARY OF FINDINGS AND RECOMMENDATIONS

A. Regional offices

13. The four regional offices evaluated have carried out programmes consistent with the UNEP mission and mandate. The regional offices have adopted appropriate strategies, fostered profitable linkages and regional collaboration, and addressed relevant regional environmental problems that complemented and supported the catalytic role of UNEP in the management of regional and global environment. The UNEP strategy of working with regional and subregional ministerial processes has been rewarding.

14. However, evaluation has identified policy and programmatic issues that require some improvement in order to further enhance the results of UNEP regional collaborative activities in the management of global environment.

1. Policy support to regional offices

(a) Findings

15. The regional offices facilitate implementation of global programmes on behalf of UNEP substantive divisions. The activities of the regional offices must, therefore, be guided by the very broad objectives of the UNEP programme of work.

16. In practice, however, regional offices are provided with little strategic vision and policy guidelines on programme areas such as water, biodiversity, and desertification. Furthermore, there is inadequate backstopping from substantive divisions. In the absence of adequate numbers of environmental officers, regional offices do not have the required capacity to respond to requests from Governments. Such a situation hampers the initiation of new activities and subsequent expansion of environmental programmes in the regions.

17. Institutionalization of a functional mechanism by which regional programmes are formulated and implemented, based on a strategic policy framework taking into account regional realities, concerns and priorities and the UNEP strategic vision, is essential in order to have integrated and effective global UNEP programmes.

(b) Recommendations

18. There is a need for UNEP to develop policies and policy guidelines in all programme areas. Such a policy framework would help regional offices to respond to the needs and requests of the regions as well as to assist the Division of Policy Development and Law (DPDL) develop region-specific strategies. DPDL must provide leadership in the development of such policies and policy guidelines by working closely with other substantive programme divisions.

19. This UNEP strategic framework should create synergies between divisions at UNEP headquarters and regional offices and facilitate the development of an integrated global work programme, with inputs from regional offices.

20. The existing policy development process should be strengthened. The role of the UNEP central policy development mechanism and the policy issues under its mandate, together with policy issues addressed at division and sectoral levels, should be supported by a formal feedback mechanism and anchored in a UNEP-wide policy development process. A UNEP policy framework based on a formal feedback mechanism would ensure that policies and the programmes of the divisions conform to and support organizational policy, while providing the necessary flexibility for sectors to develop and execute programmes and activities efficiently.

2. Integrating regional activities with programmes of substantive divisions

(a) Findings

21. Lack of backstopping and funding support from pertinent Divisions at the UNEP headquarters is a constraint to the implementation of programme activities in the regions resulting, in part, from lack of strong interlinkages between divisional programmes and activities of regional offices. Divisional and regional programme interlinkages are not adequately and systematically institutionalized in the UNEP biennial programming process.

22. A conscious effort was made in the programming exercise for 2002-2003 to identify programme interlinkages, including regional office programmes. However, the information provided in the divisional costed workplans is not specific enough to facilitate planning and accountability.

23. The Millennium Development Goals set out in the report of the Secretary-General (A/56/326 - Annex, pp 55-58) to implement the United Nations Millennium Declaration poses a great challenge to Member States and the United Nations system, including UNEP. UNEP, as the United Nations authority on the environment is responsible for catalysing the Millennium Development Goal that refers to "ensuring environmental sustainability". In this respect, the regional offices, in collaboration with the regional intergovernmental processes, will play a critical role.

(b) Recommendations

24. The UNEP biennial programming exercise led by the Programme Coordination and Management Unit (PCMU) must develop a more effective mechanism that allows subregional and regional priorities to be considered and included in the work programmes of UNEP divisions. The programming mechanism should ensure that proposed programme activities of the regions are adequately reflected in the work programme of the organization.

25. Regional directors should become part of the UNEP Senior Management Group, perhaps through video conferencing. This would show Member States that regional directors take part in high-level decision-making, which could help the regional offices to have greater influence on regional collaborative processes. Such a measure could also provide regional offices with an opportunity to put forward regional inputs to the programming process. Regional directors could also bring a unique perspective to the deliberations of the Senior Management Group and enhance the quality of discussions at its meetings.

26. The UNEP biennial programming exercise of 2004-2005 should take account of the United Nations Millennium Development Goals set out in the Secretary-General's Report (A/56/326). Regional offices should be involved in the assessment of the current state of the environment in their respective regions and in the development of appropriate regional action plans to attain those environmental sustainability targets identified in the Secretary-General's report.

27. The UNEP programming process for 2004-2005 should also provide for special "programme teams", formed along thematic or sectoral issues, to identify the necessary interlinkages between divisional programmes and activities.

28. Such integrated programming process would help:

(a) UNEP divisions to programme resources to support activities in the regions, including funding, backstopping and other supports. Commitments specified as interlinkages in their respective costed workplans would make divisions accountable for the provision of the stated support;

(b) Regional officers prepare more realistic plans of activities. Regional office staff could then concentrate more on substantive activities;

(c) Incorporate regional programmes into the UNEP biennial programming exercise, with the knowledge and endorsement of regional ministerial forums. This would enhance the facilitating role of the regional offices in environmental agenda-setting in their respective regions.

(d) Ensure that the UNEP programme of work and budget are more relevant and integrated and tied in to UNEP's strategic policy framework.

3. Capacity of regional offices and programmes

(a) Findings

29. Most of the regional offices evaluated lack adequate core professional staff for programme areas, such as environmental law, biodiversity and environmental assessment. In the absence of adequate backstopping, funding and policy guidance from UNEP substantive divisions, the consequent constraint on programme delivery and expansion has been apparent.

30. Regional office staff lack exposure to the overall UNEP system and its working methods. Staff need training in fund-raising, project development and project management.

31. Most of the regional offices evaluated do not cover the various subregions evenly in response to their respective environmental problems and priorities. Regional offices need to address this issue in order to widen collaborative activities across entire regions, create opportunities for synergies and integrated regional programmes and avoid the perception of marginalization in neglected subregions.

32. With respect to the scope of regional programmes, the Regional Office for Latin America and the Caribbean (ROLAC) has broad-ranging activities, while there are considerable gaps in the other regional offices evaluated, despite the fact that biodiversity, environmental law, and early warning and assessment are confirmed as priorities in the regions by their respective intergovernmental forums. The Regional Office for West Africa (ROWA), for example, is not active in the field of environmental law, assessment and biodiversity, while the Regional Office for Asia and the Pacific (ROAP) has not been active in the areas of freshwater and biodiversity. This is gradually changing as ROAP begins to work in and contribute to nature conservation and biodiversity programmes of subregional bodies such as the Association of Southeast Asian Nations (ASEAN), the South Asian Cooperative Environment Programme (SACEP) and the South Pacific Regional Environment Programme (SPREP). The reason given for such gaps in global programme areas is mainly lack of funding and professional staff. UNEP headquarters is also quite overextended and unable to provide backstopping. As a result, regional offices cannot be proactive in these areas, nor can they adequately respond to requests for assistance from countries.

33. Failure to implement environmental activities evenly across subregions partly results from lack of capacity in the regional offices. Lack of coordination and collaboration between regional offices and other UNEP offices in the regions is another constraint. Moreover, programme planning at the regional level is not rigorous enough. In some regions, there is a clear pattern of similar programme activities being carried out, year after year, in a limited number of subregions. Regional programme activities tend not to include new or emerging environmental issues.

(b) Recommendations

34. Regional offices should have sufficient core professional staff to implement global programmes. UNEP should periodically assess the staff needs of regional offices to cope with region-specific environmental needs. Without specialists in core global programmes, regional offices will not have the capacity to help the ministerial processes with the development of strategic plans for UNEP global programmes. Since they often lack adequate headquarters support, it is vital that the regional offices be adequately staffed.

35. Training of regional office staff in the areas of project development and management should be intensified. The introduction of a staff rotation system could also familiarize regional office staff with the UNEP system and the working of the administration at headquarters. In the long run that could

improve communication between the regional offices, the **DRC liaison office at the headquarters** and other divisions. The idea of exchanging environmental staff with other United Nations agencies such as the United Nations Development Programme (UNDP) and the World Food Programme (WFP) should be explored. In the long term, such exchange arrangements could contribute to creating synergies in sustainable development. It is recommended that staff exchanges should be considered part of a training and staff development programme for environmental officers in UNEP.

36. Programme planning at the regional office level should aim for comprehensive coverage of environmental activities and a balanced subregional focus. The regional offices should take or intensify the following measures in order to achieve these objectives:

(a) Initiate a multi-pronged approach, including awareness raising activities, publications, training and support to subregional networks and conferences in the affected subregions;

(b) Promote focused partnership and collaborative activities with regional action centres, regional seas programmes and other relevant UNEP out-posted offices in the respective regions;

(c) Conduct a thorough review of programme scope and subregional focus. That exercise should also involve the respective regional and subregional ministerial forums, should review past regional programmes of action, identify emerging issues and develop informed policies and new action plans. A Regional programming exercise of this type would ensure effective input into and synchronization with the UNEP biennial programming process.

4. Resource mobilization

(a) Findings

37. The continuing challenge to UNEP has been to ensure adequate, stable and predictable funding to accomplish its mandate and mission.

38. UNEP adopted a new resource mobilization strategy, at the twenty-first session of the Governing Council, that streamlined its fund-raising guidelines and activities in order to meet its funding challenge more effectively. Although it is too early to assess the impact of this strategy, it has the potential for broadening the donor base of UNEP.

39. The issues involved in the mobilization of resources in the regions are the lack of expertise in regional offices in fund raising, and a lack of common understanding of the respective roles of the regional offices and UNEP in the implementation of the UNEP resource mobilization strategy.

40. Regional offices should be encouraged to help with fund-raising for the Environment Fund.

(b) Recommendations

41. UNEP management should take the necessary steps to internalize and implement the resource mobilization strategy, with emphasis on a feedback mechanism to allow periodic review of its appropriateness across regions and divisions. Reconciling the strategy aim of improving complementarity with the freedom sought by regional offices would avoid the perception among donors that UNEP does not prioritize or coordinate its fund-raising efforts.

42. UNEP and the regional offices do not sufficiently exploit opportunities for expanding activities by accessing available global funding mechanisms, broadening the donor base and using their resources effectively. Regional offices should receive training to help them to access Global Environment Facility (GEF) funding. Collaborative activities with the private sector should also be given due attention. In many cases, the provision of minor UNEP funding as seed money has leveraged contributions from other development partners and the private sector. In addition, to take advantage of the political and technical potential of regional offices and their relationship with the Governments of their regions, UNEP GEF projects should be implemented through the regional offices.

5. Coordination of information flow

(a) Findings

43. The regional offices view **the DRC office at headquarters** as having the essential role of linking the work of the regions with other divisions at UNEP headquarters, through facilitating dialogue and information flow and by submitting regional concerns to the UNEP Senior Management Group.

44. The DRC facilitates the work of the regional offices by responding to day-to-day requests. It seems, however, that additional work could be done to streamline the requests for information that DRC is required to obtain from regional offices.

(b) Recommendations

45. It is recommended that DRC and the regional offices review the current information flow system with a view to creating an agreed system that simplifies and streamlines information flow, especially with regard to ad-hoc requests sent to the regions.

46. With regard to requests for reports currently forwarded in different formats, DRC should initiate procedures to reduce paperwork by creating a “one-stop shop” for information flow. It is recommended that an electronic monitoring system should be developed for the generation of reports at UNEP headquarters, to avoid receiving reports in separate formats from each region. This would facilitate faster, more efficient and cost-effective reporting to UNEP headquarters. The Programme Coordination and Management Unit (PCMU), whose responsibility it is to monitor programme implementation, should take the lead in developing such a monitoring system.

B. Enabling activity project for the United Nations Framework Convention on Climate Change

47. The United Nations Framework Convention on Climate Change projects have enabled countries to meet their commitments to the Convention and thereby contribute to better management of the global environment. Countries were able to report on the amount of emissions, assess the state of their vulnerabilities to climate change and report on planned mitigation and adaptation measures. Countries have also developed a higher level of scientific understanding of the potential impacts of climate change on their national economies.

48. Some implementation issues which need to be addressed in order to ensure sustainability of the results achieved through these enabling activity projects, are outlined below.

1. Implementation issues

(a) Findings

49. Most participating countries do not possess the required experience, technical expertise or appropriate institutional structures.

50. In the case of the projects evaluated, although the contexts of the existing enabling environment differed from country to country, the non-availability of national experts and lack of prior experience in addressing climate change related issues were the common constraints. These constraints impacted on the quality of outputs, timely completion of activities, and sustainability of project activities.

51. The main constraints observed include: difficulty in applying analytical models, poor quality data, lack of stability in the composition of the national study team and insufficient time to implement project activities.

52. The time frame for the incorporation of the outputs of the climate change enabling activity projects into national development plans was unrealistic. As a result, all the countries did not accomplish this component.

(b) Recommendations

53. UNEP should, in collaboration with GEF and the executing agencies, address the following basic issues in the formulation of climate change enabling activity projects:

(a) Appropriate training related to key project activities should be provided before the project commences, as a pre-implementation preparatory phase component;

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

(c) Specific country conditions, such as the availability of appropriate technical expertise, the policy environment, or political commitment that can be realistically expected for effective implementation should be considered at the project formulation stage;

(d) The incorporating of climate change enabling activity projects into national development planning processes should be viewed as a long-term objective, which can be achieved by developing and implementing strategies and projects that support:

(i) Public awareness and capacity-building activities in enabling activity projects directed towards decision and policy makers; and

(ii) Building institutional frameworks responsible for the continuity of climate change activities including data collection, studies and follow-up.

2. Stakeholder participation

(a) Findings

54. Stakeholder participation is the cornerstone of the successful implementation of climate change enabling activity projects. In the case of the projects evaluated, however, the level of participation of women, policy makers and grass roots representatives was very low due to the technical nature of these projects. Most of the participants were technocrats, academics and experts from research institutes.

55. The reason for such imbalance seemed to be the focus on identification and quantification of industrial data rather than on identification of the wider impact of climate change and the sustainability of socio-economic processes. It is expected that Parties to the Convention on Climate Change will stress this aspect in the subsequent national communications, which would require participation of a variety of stakeholder groups from all levels of society. This approach will further facilitate the collection of relevant data from the grassroots all the way up to the policy level.

(b) Recommendation

56. In the future, GEF operational guidelines should ensure that formulation and implementation planning should include the participation of a wider range of stakeholders, particularly women, non-governmental organizations and grassroots community organizations throughout the project cycle and at all levels, including at the decision-making level.

C. Self-evaluation fact sheets

1. Submission of self-evaluation fact sheets

(a) Findings

57. In order to improve the level of compliance and clarify issues related to reporting, the Deputy Executive Director sent a circular to programme managers, chiefs, programme officers, fund management officers, regional directors and outposted offices, on 14 April 2002. The circular

emphasized the need for UNEP to comply with Governing Council requirements and to facilitate the preparation of the UNEP annual evaluation reports.

58. In accordance with the recommendations of the 1999 UNEP Annual Evaluation Report, the Evaluation and Oversight Unit (EOU) provided each division with a list of all active projects generated from the Project Reports Database before the end of 2001. EOU will continue to do so for each year being evaluated.

59. Despite efforts to increase the response rate for the submission of self-evaluation fact sheets, the level of compliance by divisions remains very low. Self-evaluation fact sheets were submitted for less than 20 per cent of active projects.

60. With this limited level of compliance, it would seem that UNEP management is being denied the opportunity of learning from its past and present experience with a view to improving the design and implementation of future programmes and projects.

(b) Recommendations

61. Each division must insert the preparation of self-evaluation fact sheets into its programme of work as part of the programme outputs and deliverables. Division directors must hold their programme officers accountable for producing these self-evaluation fact sheets.

62. The Senior Management Group need to take a decision on this issue in the year 2002.

63. It is recommended that the Project Approval Group (PAG) should deny revisions to projects for which the required reports and annual self-evaluation fact sheets have not been submitted.

2. Content of self-evaluation fact sheets

(a) Findings

64. A sizeable portion of the information provided in the self-evaluation fact sheets does not conform to the itemized explanation given in the standard format of Annex 13.28, to the UNEP Project formulation, approval, monitoring and evaluation manual.

65. Some self-evaluation fact sheets provide incomplete information, rendering the reports less informative and therefore less useful for analysis.

(b) Recommendation

66. There is a need to respond to management's expressed need for strategic information about the performance of UNEP projects for informed future policy review by means of self-evaluation fact sheets.

67. It is recommended that EOU should prepare a summary of its findings on gaps and other inadequacies in the self-evaluation fact sheets, and:

(a) Send additional clarification regarding the self-evaluation fact sheet format of Annex 13.28 to the above-mentioned UNEP Manual to all programme and project managers; and

(b) Present the summary for discussion by programme officers at subsequent project design and management workshops organized by the Project Coordination and Management Unit (PCMU).

D. Design of complex projects

(a) Findings

68. Complex projects require a multi-disciplinary approach to implementation, involving multiple implementing and collaborating partners distributed globally in many regions and subregions, multi-level implementation structures, a wide variety of stakeholders, and many parallel and sequential activities and inter-linked outputs. Enabling activity projects, ENSO and the new UNEP Global Participative Observing and Assessment Strategy (phase 1) projects are examples of complex projects.

69. These complex projects have suffered from lack of precise planning in project design. Some of the constraints encountered during implementation of these projects included delayed transfer of funds, lack of adequate capacity and substantive competence of some implementing partners, lack of periodic monitoring and coordination, and lack of well placed project management teams. Although those constraints did not significantly impact the overall outcome of the projects, they contributed to delays in project completion, to the extent that some of the outputs were not delivered.

70. Such complex projects call for more rigorous project design and formulation processes in order to ensure timely completion and quality project outputs and impacts. Precise planning is required in project formulation, management, implementation, monitoring and evaluation.

(b) Recommendations

71. UNEP annual evaluation reports have repeatedly reported project design discrepancies. PCMU organized a series of training workshops on project design in the year 2001. This is a welcome initiative. Future PCMU training workshops should, however, address the design discrepancies identified and the relevant recommendations made in EOU evaluations, such as unrealistic time frames, lack of pre-phase preparation and insufficient or weak coordination mechanisms.

72. In the case of complex projects, recommendations for the precise planning of project formulation, management and monitoring and evaluation are outlined below:

(a) UNEP should institute, as a requirement, an intensive implementation planning phase before the start of implementation of such complex projects. The planning phase should aim at minimizing uncertainty by identifying and preventing, where appropriate, potential institutional problems. Such an exercise should address issues such as the harmonization of internal budgetary approval procedures of participating organizations, as they relate to project implementation, determination of the managerial and substantive capacities of collaborating and executing agencies to meet deadlines and qualities of outputs, the establishment of well understood and agreed progress and monitoring mechanisms and ensuring political commitment at the highest level. This project implementation-planning phase should culminate in a workshop, where all concerned would participate. A distinct period should be dedicated to such implementation planning activities;

(b) A strong and stable project coordination team should be established well before the start of project implementation. The responsible division at the UNEP headquarters should strongly consider establishing an internal project coordination unit if budgetary constraints do not permit an allocation for support services. Under such arrangements, project coordination could benefit from administrative support services and ease of access to decision makers.

73. Complex projects with multiple parallel and sequential activities require effective planning tools for the estimation of time frames and periodic monitoring, provided through the strict use of the UNEP Logical Framework Matrix, (section 3, pp. 4-6, UNEP Project formulation, approval, monitoring and evaluation manual). In some cases, activities have a lifetime beyond the time frame set in project documents.

E. Capacity-building

(a) Findings

74. One of the major strategies of UNEP is capacity-building, which assists Governments, collaborating institutions and communities to understand environmental issues and participate in the management of the environment. Capacity-building enhances the sustainability of UNEP-initiated processes by enabling stakeholders to take on responsibility and continue those environmental activities. Capacity-building is, an ongoing strategic endeavour for UNEP to accomplish its mission and mandate.

75. Capacity-building activities in UNEP are either embedded in projects or are included as distinct components of projects. Project participants are trained through "learning-by-doing", as happens on the case of climate change projects. Technical workshops and fellowships are also widely used as a means of training.

76. There is concern, however, that the capacity built through the implementation of UNEP projects will not be sustained because the appropriate institutional structures are not in place, so that trained nationals may continue to work and further develop their expertise. In many cases, therefore, capacity is not being retained at the country level for future utilization in environmental activities.

77. One of the main reasons why that happens is because the design of capacity-building activities is largely restricted to short-term project objectives, such as training national study teams in enabling activity projects to produce initial national communications, rather than assisting countries to attain sustainable capacity, including capacity in institutional and technological issues.

(b) Recommendations

78. UNEP should, in cooperation with collaborating agencies and partners, consider the design of a more strategic and long-term approach to capacity-building. The fundamental element of such a strategic approach should be the provision of follow-up technical assistance to countries and/or regions to establish functional institutions at the national and regional level. The long-term approach to capacity-building should be anchored on institution building, within which training needs would be addressed.

79. It is further recommended that UNEP should gradually move its focus towards the development of a sustainable capacity-building strategy, which incorporates the building of capacity of national and regional institutions: government institutions; centres of excellence for research and training; and universities. UNEP has already achieved significant success in some of those areas. UNEP needs to review its experience therefore and develop strategic capacity-building approaches focusing on thematic issues and compatible with longer-term regional strategies.

80. UNEP should launch a comprehensive study in the year 2003 on the capacity-building activities it has carried out in the last decade, across subprogrammes, divisions, sectors, functions and regions to assess their effectiveness, with a view to developing a sustainable capacity-building strategy. The preparation of a book cataloguing capacity-building activities in UNEP would be a significant starting point in the preparation of such a study.

F. Follow-up activities

(a) Findings

81. UNEP formulates and designs projects to achieve certain specific short-term objectives within a set time frame. UNEP also realizes that long-term environmental objectives related to a country, ecosystem, region or subregion can only be achieved through sustained activities.

82. Although the importance of follow-up activities cannot be overemphasized, in most projects they are often not clearly identified and understood by beneficiaries. Most follow-up actions recorded in project reports deal with administrative rather than substantive project activities. Whenever the latter are indicated, they are not presented comprehensively.

(b) Recommendations

83. It is recommended that all UNEP projects should identify follow-up activities, as required in the UNEP Project formulation, approval monitoring and evaluation manual (pp.11.3 and Annex 13.45) on the completion of a project.

84. Such substantive follow-up activities should be taken into account in subsequent planning and programming exercises of concerned divisions.

85. Follow-up activities should support the UNEP strategy of wider replication of activities that have been proved to produce an impact on the global environment, instead of being merely an uncoordinated set of activities.

G. Assessing the United Nations Environment Programme evaluation function

1. The need for revamping the capacity of the Evaluation and Oversight Unit

(a) Finding

86. The present report demonstrates that UNEP derives benefit from its evaluation function, in complying with substantive accountability. Evaluation provides useful operational and strategic management information that helps UNEP management to improve programme, policy, design and delivery.

(b) Recommendation

87. In the face of growing environmental challenges, UNEP would benefit from the revamping and strengthening of EOU so that it may make a more effective contribution to efforts by UNEP to meet those continuing challenges. Strengthening EOU should not only make the existing evaluation feedback mechanism more effective, but also strengthen the evaluation function itself, to focus more on proactive and strategic activities. Such activities could include:

(a) Facilitating the knowledge management framework of UNEP in regard to the consolidation, distillation and dissemination of evaluation outputs, namely, lessons learned, good practices, new environmental knowledge products and refinements of existing environmental products;

(b) Conducting various studies and reviews on tools, methodologies and management practices that relate to project design, implementation, monitoring and evaluation of projects, with a view to eliminating the constraints identified by evaluation;

(c) Undertaking more strategic and management studies that enhance UNEP policy, policy development processes, programming, and management practices, as identified by UNEP senior management and recommended by evaluations.

2. Annual evaluation planning

(a) Finding

88. The UNEP Annual Evaluation Plan is based on the criteria for evaluation established by the United Nations General Assembly resolutions and Governing Council decisions. The annual evaluation work plan consists of mandatory evaluations, in-depth project evaluations, and desk evaluations. The

process of preparing the annual evaluation work plan involves the Evaluation and Oversight Unit, the various divisions and the Senior Management Group.

89. EOU maintains a database of evaluation schedules for all UNEP projects on the basis of information obtained from project documents approved by the Project Approval Group. At the beginning of every year EOU makes a list of those projects that are to receive in-depth or desk evaluation in that particular year. EOU forwards that list to division directors, requesting them to indicate when evaluation of their respective projects could be carried out. EOU then prepares a draft annual evaluation work plan incorporating the feedback it has received from divisions. That draft is then discussed and agreed to by the Senior Management Group. EOU takes the draft plan adopted by the Senior Management Group as a directive from the Executive Director to carry out evaluations.

90. In compiling the draft annual evaluation plan, EOU takes into consideration the geographical and divisional distribution of projects and other statutory factors. A decision to evaluate a particular type of project implemented across regions, as a percentage of the total in-depth project evaluations for the year, does not seem to be reflected in developing the annual evaluation work plan.

(b) Recommendation

91. It is recommended that, in planning annual evaluations, EOU, in consultation with the Senior Management Group, should select a third of the total in-depth project evaluations to focus on particular types of projects: support to climate conventions, regional seas action programme, water projects, biodiversity, etc. The particular type of projects chosen for evaluation in a given year should not prejudice statutory requirements and should respond to management's expressed need for strategic information about the performance of those projects, to help with future policy review. The projects could also be chosen to allay perceived or real concerns expressed internally or externally.

III. PURPOSE AND METHODOLOGY OF THE EVALUATION

A. Introduction

92. UNEP complies with the United Nations General Assembly and Governing Council programme accountability requirements by undertaking subprogramme and project evaluations. Evaluation is also a management tool. Evaluation activities and results provide UNEP with operational and strategic management information. As a management tool, evaluation determines to what extent UNEP activities achieve results and contribute to and support its mission. This information helps UNEP to plan its future activities.

93. The present Annual Evaluation Report is a synthesis of 11 in-depth project evaluations, 1 desk project evaluation, and 36 self-evaluation fact sheets. The analysis is based on the terms of reference attached as annex 1. The synthesis is organized according to the standard UNEP evaluation parameters of appropriateness and relevance, effectiveness and efficiency, and impact. Within the framework of the foregoing parameters, the report has assessed: the approaches and strategies employed; the external and internal linkages fostered; the hierarchical integration of UNEP mission and subprogramme (divisional) and project objectives and activities; the effectiveness of management structures; the timeliness of project completion; budget utilization; the realization of results and outputs; the impact, use and sustainability of UNEP project-initiated processes and achieved results.

B. In-depth project evaluations

94. The structure of the report is organized in clusters of projects. This approach allows an analysis of lessons learned, practices and design, institutional or programmatic constraints specific to particular clusters of projects, and makes evaluation recommendations that are more focused, relevant and practical.

95. The summary of analysis of the in-depth and desk project evaluations is presented in chapters IV, V, and VI. Chapter IV presents the summary of findings of the evaluations of the activities of four regional offices. Chapter V deals with the four enabling activity projects for the United Nations Framework Convention on Climate Change, and chapter VI deals with the four projects focusing on environmental knowledge advancement.

96. Each chapter approaches the discernment of trends and patterns by determining appropriateness and relevance, effectiveness and efficiency, and the impact of projects. The analysis raises key issues of concern to UNEP based on their scope and strategic significance. Such concerns and issues may relate, among others, to project design and implementation and functionally to capacity-building; awareness raising; development, refinement and dissemination of environmental knowledge products; and the building of environmental policy consensus.

97. The report also highlights results achieved and lessons learned, so they can be shared within the UNEP system. A summary of findings and recommendations relating to the cluster of projects and those with system-wide applicability is presented in chapter II. The list of 11 in-depth project evaluations and one project desk evaluation analysed in this report is attached in annex II.

C. Self-evaluation fact sheets

98. UNEP policy requires self-evaluation fact sheets for all projects under implementation at the end of each year. Self-evaluation fact sheets are prepared in standard formats. These provide management information essential for monitoring the progress of project implementation.

99. Information provided by self-evaluation fact sheets includes the following:

- (a) Attainment of needs and results measured against what is stated in the project document;
- (b) Outputs as specified in the project document;

- (c) Accomplishment of activities;
- (d) Financial utilization relative to project outputs;
- (e) Budget variations;
- (f) Timeliness of outputs.

100. Self-evaluation fact sheets are also designed to provide information on problems, causes and consequences of budgetary deviations, late commencement and completion of projects, and less than satisfactory quality of outputs. To this extent, self-evaluation fact sheets serve as effective tools to improve the management of UNEP programmes, both operationally and strategically.

101. Information provided by self-evaluation fact sheets is compiled and analysed in chapter VII. In chapter VII, the report presents a summary of analysis of the 36 self-evaluation fact sheets received as of the end of March 2002 from UNEP divisions. As discussed in detail in this chapter, the summary of the findings of 36 out of 205 eligible active projects (17 per cent) should not be taken as representative information on the performance of all the active UNEP projects in 2001.

D. Assessing the United Nations Environment Programme evaluation function

102. The 2001 Annual Evaluation Report concludes with chapter VIII, which discusses how effectively UNEP is using evaluation as a strategic management tool. The added value of evaluation for UNEP is measured by the extent to which evaluation outputs, findings, lessons learned, environmental knowledge products and recommendations made are being used or acted upon at all levels of UNEP management, as appropriate. In this respect, the evaluation also attempts to assess the effectiveness of the existing evaluation mechanism in enhancing the capacity of UNEP as a learning organization.

103. The chapter also assesses the role and capacity of EOU, as an important catalysing factor in identifying, compiling, distilling and disseminating knowledge gained and lessons learned through the implementation of UNEP's mandate and mission. To this extent, the chapter determines the effectiveness of EOU in influencing the UNEP system to use annual evaluation reports in order to inform future policies, strategies, programmes and projects in strategic ways.

IV. REGIONAL OFFICES OF THE UNITED NATIONS ENVIRONMENT PROGRAMME

A. Introduction

104. Decisions taken at the eighteenth, nineteenth and twentieth sessions of the UNEP Governing Council and associated programmes of work (1996-1997, 1998-1999, and 2000-2001) have kept the fundamental functions of the Division of Regional Cooperation and the regional offices essentially unchanged. The overall objective is to enhance the responsiveness of and cooperation among Governments in each region to address environmental issues strategically and effectively, as well as to ensure that regional needs and priorities are satisfactorily addressed by UNEP global programmes.

105. The UNEP regional objectives are implemented through the Division of Regional Cooperation, which has a coordinating office at headquarters in Nairobi, and through the regional offices, by pursuing the following strategies:

(a) Promote intergovernmental dialogue and cooperation in the development of environmental policies through regional and subregional processes;

(b) Promote regional and subregional cooperation for the joint development and implementation of environmental programmes;

(c) Stimulate environmental information exchange among Governments and organizations through networking;

(d) Carry out public awareness activities on environmental issues and on UNEP responses and activities;

(e) Encourage Governments and regional organizations to contribute additional funds for UNEP programmes in coordination with the UNEP Resource Mobilization Unit.

106. The Nairobi-based coordination office is responsible for promoting regional policy integration, coordinating programme planning and providing services to the regional offices as appropriate in order to enhance regional delivery. **The DRC liaison office at headquarters** is responsible, in particular, for ensuring policy and programme integration between UNEP and the regions, for facilitating the flow of information between UNEP headquarters and the regions and for servicing logistical and backstopping needs of the regions, as necessary.

107. In 2001, four out of six UNEP regional offices were evaluated: the Regional Office for Asia and the Pacific (ROAP), the Regional Office for Europe (ROE), the Regional Office for Latin America and the Caribbean (ROLAC) and the Regional Office for West Asia (ROWA). The divisional programme for the Regional Office for North America (RONA) and the Regional Office for Africa (ROA) were evaluated in 1999, and are not included in the present report.

B. Regional context

108. The regional offices operate in a regional context, each with their own respective enabling environment, region-specific environmental problems, resource capacities, level of public awareness and opportunities for collaborative activities.

1. The Regional Office for Asia and the Pacific (ROAP)

109. The ROAP region covers 52 countries and is the largest and the most diverse in terms of geography, population, economic systems and cultures. Many countries in this region face common problems of pollution, depletion or degradation of natural resources, rapid population growth and health and nutrition problems.

110. ROAP has been through its own successful recovery process. ROAP activities reached their lowest point in 1997 when staffing was at an unacceptably low level due, in part, to inadequate funding in UNEP in the 1996-1997 biennium. That long-term staffing problem has now been solved. The regional office is now in a position to improve regional programme delivery. Since 1999 the reinvigorated ROAP has launched new initiatives, which are refocusing the regional programme to make it more strategic, partnership-based and results-oriented.

2. The Regional Office for Europe (ROE)

111. ROE covers 54 countries with diverse environmental problems. The countries include the industrialized economies of Western and Central Europe, and countries of Eastern Europe with economies in transition. The environmental problems are many and the capacity of the region to respond has been considerable.

112. ROE is able to carry out more regional activities because of the availability of more resources for the environment in the region. The region has a pool of qualified people and Governments are competent in addressing environmental issues. The regional office is also fortunate in having experienced long serving staff. Governments in the region also provide junior professional officers and seconded staff to UNEP.

3. The Regional Office for Latin America and the Caribbean (ROLAC)

113. ROLAC covers 33 countries in the Latin American and Caribbean region. The region struggles with environmental problems linked to poverty, unsustainable agriculture, industrial development and tourism, unplanned urbanization, demographic growth and high population density. No less than three quarters of the population lives in large cities. Natural forest covers 47 per cent of the region's total land area, of which 95 per cent is tropical forest. From 1990 to 1995 an estimated 3 per cent of total forest cover was lost, with negative impacts on global climate. Climate change in the region has been manifested in the recurrence of El Niño, hurricanes and floods.

114. Public awareness of environmental issues in the region has increased significantly since the 1990s, due to the problems caused by increased pollution and urban congestion, threats to the survival of renewable natural resources, environmental restrictions in the global market and a commitment to international environmental conventions and agreements.

115. The Caribbean subregion is characterized by its unique biodiversity, the fragility of its ecosystems and its vulnerability to natural hazards. The most serious environmental challenges in the Caribbean, as highlighted by the UNEP Global Environment Outlook process, include increasing vulnerability due to the regional impact of global climate change, sea level rise and an increase in the frequency and intensity of natural disasters caused by hurricane, floods and droughts. Other primary concerns are the sustainable management of marine and coastal resources, the increasing shortage of freshwater resources and the management of waste resulting from urbanization and tourism.

4. The Regional Office for West Asia (ROWA)

116. ROWA covers 12 countries. The most urgent environmental problems facing the Arab world were seen as severe shortage of water, deterioration of water quality, unsustainable consumption of natural resources, increasing urbanization and its consequent problems and deterioration of marine, coastal and wetland resources. The issue of industry and cleaner production is also important in this region because of the presence of a large petroleum industry that poses a threat of major source of pollution from oil leaks and spills and the burning of fossil fuels.

C. Appropriateness and relevance

117. Appropriateness and relevance are two of the key criteria UNEP uses to evaluate policies, divisional programmes and projects, in accordance with its Guidelines on Evaluation Indicators (elaborated in the UNEP manual on project formulation, approval, monitoring and evaluation –

Annex 13.29). Appropriateness and relevance are used as criteria to determine whether the objectives, approaches, strategies and priorities of divisional programmes and projects contribute to the respective programmes and ultimately to the mission and mandate of UNEP.

118. The evaluations have concluded that the four regional offices have carried out programmes consistent with the mission and mandate of UNEP. The regional offices have generally adopted appropriate strategies, fostered profitable linkages and regional collaboration, and addressed relevant regional environmental problems that complemented and supported the catalytic role of UNEP in the management of regional and global environment.

1. Promotion of intergovernmental dialogue and regional cooperation

119. Pursuant to the decisions of the nineteenth and twentieth sessions of Governing Council, the regional offices have promoted, supported and worked within cooperative regional and subregional frameworks in order to influence environmental policy and implementation in the regions. The strategy of working with regional and subregional ministerial processes has been rewarding.

120. ROAP has undertaken successful collaborative activities in the development of regional and subregional environmental action plans and cooperative arrangements. It has collaborated with the Association of Southeast Asian Nations (ASEAN), the Ministerial Conference on Environment and Development (Asia) (MCED), the South Asian Cooperative Environment Programme (SACEP), South Pacific Regional Environment Programme (SPREP), and the Economic and Social Commission for Asia and the Pacific (ESCAP), and Environment and Natural Resources Management Division (ENRMD).

121. ASEAN, with 10 member Southeast Asian countries, is an important regional organization in terms of political influence and environmental activities. ROAP has collaborated with ASEAN in a number of environmental issues, which resulted in the ASEAN Environmental Education Action Plan 2001-2005 and the ASEAN Agreement on Transboundary Hazardous Pollution. ROAP is also assisting the ASEAN working group on multilateral environmental agreements.

122. ROE has been actively involved in promoting intergovernmental environmental processes in Europe with various partners. Major processes include:

(a) The “Environment for Europe” ministerial process, in collaboration with the United Nations Economic Commission for Europe (UNECE);

(b) The “Environment and Health” ministerial process: in collaboration with the the European Office of the World Health Organization (WHO);

(c) The Ministerial Conference on the Protection of Forests in Europe (MCPFE) served by the ROE Liaison Unit in Vienna;

(d) The Ministerial/High-level process on Transport and Environment, in collaboration with UNECE.

123. ROLAC acts as the secretariat of the Forum of Ministers of Environment of Latin America and the Caribbean. This is an important intergovernmental political forum for reaching consensus on environmental policies and an effective means to address the priority issues identified in the region, congruent with UNEP’s mission and mandate as well as with the international environmental agenda. The ninth meeting of the Forum of Ministers in Havana in 1995 was a crucial turning point in defining regional environmental priorities, which eventually resulted in adoption of the 1998-2002 Regional Action Plan by the Forum of Ministers. At the same time there has been growing institutionalization, in the form of the establishment of environmental ministries at the country level. This region-wide move has firmly placed environmental issues on the political agenda and has also increased public awareness. In addition to acting as the secretariat of the Forum, its recognized leadership in the area of environmental assessment activities in the region through the GEO process makes ROLAC the key provider of increased access to environmental data and information for decision-making.

124. At the Caribbean subregional level, ROLAC has catalysed collaborative processes with regional organizations, such as the Caribbean Community Secretariat, expert institutions (e.g. the University of the West Indies) and civil society (e.g. Caribbean Conservation Association). ROLAC catalyses collaborative activities to promote sustainable development priorities of the Caribbean States as elaborated in the Barbados Programme of Action for the sustainable Development of Small Island Developing States, the decisions of the Ministerial Forum and the Global Ministerial Environment Forum.

125. Increased coordination at the planning and operational levels between ROLAC and the Regional Seas programme would have enhanced ROLAC cooperative activities in the Caribbean subregion. Numerous attempts have been made to address this situation, and DRC might consider trying to find ways in which ROLAC and the Regional Seas Unit could become more integrated. Emphasis on divisional programmes at the expense of the overall objectives of UNEP is a constraint to cooperation between UNEP programme units in the region. It is the view of the Caribbean countries that current arrangements at ROLAC are inadequate to serve the Caribbean islands effectively and efficiently.

126. ROWA works with several ministerial forums in the region. These include the Gulf Cooperation Council (GCC), the Council of Arab Ministers Responsible for the Environment (CAMRE), in which 22 Arab countries participate; the Regional Organization for the Conservation of the Environment of the Red Sea and the Gulf of Aden (PERSGA); and the Regional Organization for the Protection of the Marine Environment (ROPME). Although many ROWA activities stem from decisions made by these bodies, ROWA does not cover all these organizations directly.

127. In conformity with the mandate of UNEP, ROWA has adopted partnership and collaborative efforts with intergovernmental and regional organizations to deliver the UNEP global programme. ROWA has supported 18 activities in collaboration with the Council of Arab Ministers Responsible for the Environment (CAMRE) in such areas as desertification, water, remote sensing, environmental impact assessments and industrial pollution. In May 1999, a major agreement was signed between CAMRE, PERSGA, ROPME and UNEP, to establish an efficient, integrated and transparent mechanism for planning and implementing environmental programmes and exchanging information. CAMRE, PERSGA and ROPME and ROWA coordinate and cooperate in developing and implementing activities. These four institutions identify programmes and activities related to the region's coastal environment on the basis of the 1999 Agreement. For ROWA, this arrangement provides the framework for its activities in the region.

128. ROWA has also initiated the formation of other important regional collaborative mechanisms including the Jeddah Declaration on the Environment from an Islamic Perspective (Jeddah 23-25 October 2000) and the Abu Dhabi Declaration on the Perspective of Arab Environmental Action (reached during a special session of CAMRE, February 2001).

129. As mentioned in the preceding paragraphs, UNEP has through its four regional offices, helped to institutionalize intergovernmental dialogue and cooperation in the regions. Regional forums promote joint development and implementation of environmental programmes, regional and subregional environmental agreements and strategic plans of action in Latin America and the Caribbean, Europe, West Asia and Asia and the Pacific. Intergovernmental forums and processes are now the accepted means for regional environmental management for Governments in those regions.

2. Integration of regional programmes with the UNEP global programme

130. UNEP regional offices have contributed to the development and implementation of regional collaborative programmes incorporating regional needs and priorities as well as supporting UNEP mandates and mission. Enhanced integration has been achieved through effective collaboration with regional and subregional and intergovernmental processes.

131. For UNEP to fully realize the potential benefits from the strategy of regionalization and decentralization of global environmental programmes, however, it needs to address certain critical policy and programming issues. These issues include the provision of adequate funding for global programmes implemented by regional offices the provision of policy guidelines on global programmes

implemented by regional offices and the provision of backstopping for global programme implementation at the regional level. The foregoing issues can only be appropriately addressed if the activities of regional offices are considered and incorporated in the UNEP programme of work and budget during the biennial programming exercise. Addressing those issues through the UNEP programming exercise will ensure that the UNEP work programme is integrated.

132. The programme for the implementation of the Montevideo Global Environmental Law programme in ROAP, for example, is inadequately funded, although it is a regional priority. Despite the fact that the expert meeting of senior government officials in environmental law for the mid-term review of the programme recommended adequate funding for UNEP activities in environmental law in Asia and the Pacific, DPDL is not providing sufficient funding for those activities. Consequently, capacity-building for government officials in environmental law is one of the main priorities for the Asian and Pacific region, particularly for north-east Asia but is not being sufficiently addressed. In the case of ROLAC, several programmes, such as the environmental law programme, the industry programme, and the information and public outreach programme, not only receive inadequate funding from their respective global programmes, but their activities are not adequately integrated or taken into account by global programmes.

133. The ROE environmental law and cleaner production programmes do not currently receive core funding from the relevant UNEP divisions. In the absence of core funding, professional staff in the regional office are obliged to spend much time raising funds for programme activities, a task for which they are not adequately trained. There is a need to establish a coherent fundraising strategy in the regions.

134. Regional offices also lack specific policy guidelines and adequate backstopping from UNEP substantive divisions for the implementation of the global programme at the regional level. Biodiversity and water activities and environmental law in the Asian and Pacific region, the Europe region; and environmental law and assessment in the West Asia region face the same problems. In the absence of qualified senior staff in the regions, it is difficult for these regions to develop and implement global programmes effectively without the support of the substantive divisions at UNEP headquarters.

135. There is a need, therefore, for UNEP to develop and provide a clear policy on programme areas for the regions in order for regional environmental activities to conform to the UNEP mandate and mission and also integrate them into the UNEP programme of work. The concerned substantive divisions, DPDL and DRC, should come to a common understanding on a method of responding to the needs and requests of the region on specific environmental issues, such as biodiversity. This should not be on an ad-hoc basis, as at present, but systematically. There also needs to be greater involvement by DEC in creating synergies between conventions in Latin America and the Caribbean, taking advantage of and working through ROLAC and the Forum of Ministers of Environment of Latin American countries.

136. While external linkages and partnerships are continually expanding, internal linkages between programmes and activities, including regional office programmes, remain weak. With respect to interlinkages between UNEP divisional programmes and activities (also those of regional offices), the 2000 UNEP Annual Evaluation Report identified this weakness and made appropriate recommendations. Those recommendations are still valid and should be reinforced by the need to form special "programme teams" along thematic or sectoral issues to identify the necessary internal linkages for all divisional programmes and activities during the UNEP biennial programming exercise.

137. Weaknesses in internal linkages exist because the required integration, especially of regional programmes, is not sufficiently or systematically institutionalized in the UNEP biennial programming process. Although the 2002-2003 programming exercise made some attempt to identify programme interlinkages, the information provided in the appropriate column in "Division costed workplans" are not specific enough to facilitate implementation at the regional level. Funding and/or backstopping or other kinds of support from divisions for specific regional programmes and project activities were not indicated. Such specific information would help divisions to programme their resources in terms of time and funds and also make them accountable. For regional offices, clear commitments would clarify what to expect from the divisions and enable them to plan for realistic and implementable activities.

138. The further strengthening of internal linkages by integrating regional priorities and programmes into divisional work programmes is essential for UNEP to fully realize the potential benefits accruing from collaborative activities in the regions. This could require the programming exercise led by PCMU to develop a more effective mechanism to consider and incorporate regional programmes in the programmes of UNEP divisions. That internal linkage would promote integrated programming in UNEP. Formal consideration of regional programmes, with the full knowledge of the regional ministerial forums, would also enhance the role of regional offices in environmental agenda-setting in their respective regions. In the long run, such programming would offer an opportunity to follow up on the relevance and performance of regional activities, help expand UNEP programme activities, and enhance the visibility of UNEP in the region.

139. Effective integration should mean the inclusion of the respective regional priorities into programmes of UNEP substantive divisions, through a formal mechanism or process, to enable the divisions to provide necessary policy guidelines, backstopping and funding, as appropriate.

3. External linkages

140. Fostering effective external linkages and partnerships is one of the key management strategies of UNEP, which allows it to pool both internal and external expertise and resources to accomplish its mission. By providing leadership, UNEP regional offices create partnerships and cooperation at the regional level with other United Nations organizations, non-governmental organizations, regional and international development agencies and financial institutions, regional international centres of excellence and convention secretariats, to develop and implement environmental programmes. Cooperative activities are integral to expanding the scope and impact of UNEP activities.

141. The evaluations of the four UNEP regional offices found that an array of effective linkages have been established in capacity-building, outreach and awareness raising, development of regional action plans and regional environmental agreements. The regional offices have contributed to an enabling environment by fostering extensive linkages and partnerships with national, subregional, regional and international organizations for the development, funding and implementation of programmes and activities. As a result, it was possible for regional offices to foster linkages and partnerships with inter-agency forums, official aid organizations, international environment organizations (e.g. the World Conservation Union (IUCN), the World Wildlife Fund (WWF)) and regional and subregional environmental associations. Such linkages and partnerships have strengthened regional and subregional environmental policies and priorities and created synergy between programmes of development agencies operating in the regions.

D. Effectiveness and efficiency

142. The extent to which subprogrammes, divisional programmes and projects have achieved objectives, results and outputs according to their respective planned budgets and time frames has been assessed. Other important indicators are the degree of efficiency of the institutional arrangements that supported implementation and the effectiveness of financial utilization in achieving the intended results.

143. The overall conclusion of the evaluation is that the four regional offices have consistently widened the range of programmes in their respective regions, through the expansion of global programmes, effective outreach and awareness raising, capacity-building and resource mobilization activities over the 1998-1999 and 2001-2002 bienniums.

1. Diversity and scope of regional environmental activities

144. The activities of regional offices, focus on core environmental issues, such as the development of synergy between environmental law and multilateral environmental agreements; environmental assessment and early warning; technology, industry and trade (ozone and cleaner production programmes); biodiversity protection; and, regional preparations for the World Summit on Sustainable Development. Cross-cutting activities include outreach, capacity-building and resource mobilization.

145. The regional offices are involved, in collaboration with international and regional partners, in strategic activities to help their respective regions to address specific regional environmental issues with long-term perspectives. Such initiatives included, among others:

Regional Office for Europe (ROE)

(a) Pan-European Biological and Landscape Diversity Strategy (PEBLDS): ROE and the Council of Europe provide the joint secretariat which reinforces the implementation of existing measures to protect biodiversity and identifies additional actions that need to be taken over the next two decades. PEBLDS also provides a framework to promote a consistent approach and common objectives for national and regional action to implement the Convention on Biological Diversity;

(b) Biodiversity: ROE, in collaboration with the World Conservation Union (IUCN), the Regional Environmental Centre for Central and Eastern Europe and the European Centre for Nature Conservation, promotes and facilitates the implementation of the Convention on Biological Diversity in Central and Eastern European countries and the newly independent states, by providing demand-driven and tailor-made assistance in implementing national biodiversity strategies and action plans;

(c) Caspian Environment Programme is a regional GEF-funded umbrella programme developed by the five Caspian littoral States and implemented by UNDP. ROE is providing support for the development of a legal framework for environmental cooperation in the Caspian region, to promote sustainable development and management of the Caspian environment. It also supports the implementation of the institutions building and economic instruments component of the project;

(d) The Convention on Access to Environment Information, Public Participation in Decision-Making and Access to Justice in Environmental Matter (Aarhus Convention): ROE has, over the past years, established very close cooperation with the Aarhus Convention secretariat with a view to enhancing the implementation of the Convention in regard to access to information, public participation in decision-making and access to justice in environmental matters in the region. Several workshops were jointly organized with ECE and others in Central and Eastern Europe;

(e) Black Sea: With GEF support, ROE is facilitating the preparation of a protocol on nutrients to the Convention on the Protection of the Black Sea against Pollution (Bucharest Convention). In cooperation with the World Council of Churches, ROE is preparing training and awareness-raising material for dissemination through capacity-building by churches;

(f) Environment performance reviews: ROE contributes to the United Nations ECE-led environment performance reviews of countries through preparation of the chapter on international cooperation;

(g) Carpathian Mountains: Following a request by Carpathian region countries, ROE supports the preparation of a regional instrument or convention for possible adoption at the Kiev Ministerial Conference on Environment for Europe in May 2003.

(h) European Environment Agency: Cooperation with the agency on the four years review of the state of the environment in Europe and a number of other activities.

Regional Office for Latin America and the Caribbean (ROLAC)

146. The consultative process on sustainable development with the Earth Council in preparation for the World Summit on Sustainable Development, went beyond the review process for the Summit. The ongoing consultation process will lead to the establishment of a Centre for Sustainable Development for the region and promotion of the Earth Charter in the Latin American Parliament, with the goal of institutionalizing national councils for sustainable development. Other awareness raising projects include:

(a) The Environmental Citizenship project, aimed at creating greater environmental awareness and the participation of civil society over a period of three years, through selected groups, has been submitted to the GEF secretariat and should be approved shortly;

(b) In January 2000, a draft of the pilot project entitled "Community Education and Training for Conservation and Sustainable Management of Tropical Forests" was completed and a cooperation agreement to jointly implement it was signed by the secretariat of the Environment, Natural Resources and Fisheries of Mexico and UNEP/ROLAC. The project is aimed at developing a strategy and a programme of activities for local community training (indigenous peoples and farmers) in order to generate the capacity to defend, preserve and sustainably manage tropical forests. The project will be extended in 2002 for two to three years in the state of Chiapas, Mexico.

146. Such strategic reviews and studies will provide for development of environmental knowledge and the expansion of activities on core environmental issues. Better understanding and knowledge of environmental issues will facilitate the development of new programme activities and refine existing programmes.

147. Regional offices make an effort, within their existing means, to cover all the various subregions and help them with their respective environmental problems. In practice, however, some subregions, such as Northeast Asia and the Pacific islands in the case of ROAP and the Caribbean islands in the case of ROLAC, do not seem to attract sufficient attention from the regional offices. This is also the case with the English-speaking Caribbean countries, while the Spanish-speaking Caribbean is fully taken into account in ROLAC activities. This stems from insufficient coordination between the relevant regional seas programmes and the regional offices, as well as linguistic differences between larger and smaller subregions within a region. The regional offices should nevertheless address these issues, to avoid the perception of marginalization in those affected areas, through intensive and formal consultation processes with the view to integrating their needs and priorities into the mainstream regional programmes.

148. Further expansion of global programme activities has also been constrained by a combination of policy and programming issues discussed in the previous section. Weak environmental focus in the political agenda of countries in some of the regions has also been a limiting factor. By and large, regional offices are unable to take full advantage of GEF funding to develop sound water and biodiversity projects due to the lack of systematic policy guidance from UNEP headquarters on biodiversity and water and insufficient expertise and staff to prepare GEF projects, in addition to the trend whereby headquarters discourages single country projects submitted for GEF consideration.

149. Some regional offices do not cover all their respective region-specific environmental problems and priorities. For example, in the West Asia region, environmental law and assessment remain weak although the need is well established. It is also clear that development of environmental strategies for water, energy and agriculture, although identified as priorities in West Asia, has not yet been formulated. ROAP carries out only a limited number of GEF-related projects because of inadequate capacity to prepare proposals. ROAP is one of the regional offices that is more active in developing GEF concepts and proposals with partners in the region and also providing substantive and backstopping support to the GEF Coordination Division. While ROAP is not yet as active in freshwater and biodiversity areas as it might be, this is changing gradually and it is now actively working to contribute to nature conservation and biodiversity programmes of subregional bodies such as ASEAN, SACEP and SPREP.

150. There is a need for the regional offices to conduct a thorough assessment of programme scope and focus in the regions to check that they conform to the needs and priorities of the regions. A mechanism for ensuring a balanced subregional focus and range of environmental programmes should be instituted at the regional level. This requires coherent regional level planning which should be carried out with full participation of intergovernmental forums. Such an exercise could be carried out concurrently with the UNEP biennial planning and programming process.

2. Outreach – media, youth and other awareness activities

151. The focus by UNEP on outreach activities is linked to the Rio Declaration on Environment and Development. The 1992 United Nations Conference on Environment and Development recognized the role and contribution of major groups of civil society in the identification and solution of environmental problems. Furthermore, regional offices reinforce the UNEP contribution to environmental management by enhancing its visibility and image in the regions. Regional offices achieve this through projects and media outreach activities.

152. To achieve these objectives, UNEP regional offices have adopted the following strategies:

- (a) Increasing public awareness about environmental problems and the steps necessary to deal with them;
- (b) Promoting constituency building and public support through networking;
- (c) Creating regional forums to exchange information and experiences on environmental activities.

153. In an effort to raise awareness and expand the environmental constituency advocating for better environmental management, UNEP regional offices have also carried out various initiatives such as:

- (a) The establishment of national committees for the environment that provide additional channels of communication, identify sources of funds and act as advocates in the region;
- (b) Facilitation of the participation of children in various regional and global environmental events (i.e. through painting competitions) and in inter-agency activities of United Nations organizations;
- (c) Support to non-governmental organizations for the participation in global and regional environmental forums;
- (d) Establishment of web sites for the dissemination of global and regional environmental information.

154. Awareness activities targeting youth include such activities as the regional youth poster contest, the Young Environmental Envoys Programme, and the Regional Youth Caucus 2000. Other awareness activities included the dissemination of various regular or single publications on various environmental issues of global and regional significance, including the ozone layer, biodiversity, cleaner production, environmental assessment reports, desertification, coastal area management, etc. Regular contact was maintained with the media (press, radio and television) for the dissemination of global environmental events, as well as awareness campaigns on region-specific environmental issues.

155. Innovative outreach and awareness initiatives worth replicating in other regions are shown below under "Good practices in outreach and awareness raising activities".

156. As mentioned above, regional offices are engaged in a series of strategic activities in the area of outreach and awareness raising. Regional offices have implemented comprehensive strategies by targeting various stakeholders, wider public participation through the media, special activities for the youth, collaborative activities with non-governmental organizations, local governments and civil society associations, and reaching policy makers and parliamentarians through the provision of up-to-date information and assessment for decision-making.

157. DRC, the relevant UNEP divisions and EOU should create a mechanism for disseminating these good practices to other regions for possible replication. For example, in order for the UNEP global media strategy to benefit from regional input and to create synergy at the regional level, DRC and DCPI should initiate exchange activities for regional information officers. Information officers would benefit from sharing good ideas, and UNEP headquarters could use the opportunity to promote the UNEP corporate profile in the regions.

Good practices in outreach and awareness raising activities

Network building

158. The ROE Geneva Environmental Network is a cooperative partnership of more than 30 environmental and sustainable development organizations, supported by the Swiss Government, including United Nations programmes, specialized agencies and non-governmental organizations. The objectives of the Network are: promotion of cooperation to achieve common goals of protecting the environment, including improvement of information dissemination, public outreach and other joint activities; promotion of environmental awareness and mobilization of the considerable potential for international collaboration in Geneva.

159. The ROLAC Terramerica project is one of the most important mass media projects in environment and development in the region. Approximately 8 million people from the region access the project's electronic, broadcast and printed forms a week. The Terramerica project was set up in the 1995-1999 period and is largely the result of synergy produced by UNEP-UNDP collaboration. In the first phase, (1995-1999), more than 1.2 million copies of the Tierramerica weekly page were included in major newspapers in Bolivia, Brazil, Uruguay and Venezuela. The second phase of Tierramerica launched in 2000 incorporates electronic media by disseminating environmental news through radio and the Internet. Tierramerica is an effective mechanism for consolidating citizen participation in environmental issues in the region.

160. The ROLAC Environmental Citizenship project, funded by GEF, will further strengthen environmental information dissemination and awareness in the region. The project is based on the UNEP Environmental Citizenship concept launched in 1996. The project is financially supported by ROLAC, UNDP and IDB. So far, seven countries have been identified, and toolkits on biodiversity, climate change, ozone depletion and international waters have been prepared. These pilot countries have included the project in their national strategies. The scope of collaboration on the Environmental Citizenship project is ambitious and includes non-governmental organizations such as the Latin-American parliament (PARLATINO) CAI, IICN-CEC, the World Association of Community Radio Broadcasters (AMARC), International Union of Local Authorities (IULA) and Consumer International. These organizations reach parliamentarians, local authorities, consumer groups, teachers and educators and mass media mostly through radio and religious groups. The participant network has an estimated five million listeners.

161. The ROLAC GEO Youth Latin America and the Caribbean (GEO LAC), is a project that offers youth the opportunity to exchange ideas and discuss concerns on environmental topics. Aimed at youth between the ages of 15 and 20, GEO Youth LAC is formed by an extensive network of more than 800 participants throughout the region, a web site, a discussion forum and an information bulletin. The project's main products are GEO Youth publications. The first one, GEO Youth or Latin America and the Caribbean: Open your Eyes to the Environment was launched in November 2001.

Media outreach

162. ROLAC media strategy has been a success. ROLAC has good contacts with the media, especially television and the Tierramerica environmental news network. Measured in minutes, the regional office received considerable media attention in 2000. ROLAC received a total of 24 hours of television space in 2000, ranging from interviews to programmes, including a five-minute television spot with several ministers of the region and the regional director giving their views on the environment. The successful television coverage was facilitated by the high standing of the regional office with the

media. The regional office is perceived as a reliable source of environmental specialists and material on environmental issues.

163. The Latin American and Caribbean Network of Video Libraries, for creating “videotecas” in four countries in the region will further increase the visibility of UNEP and the regional office as well as increasing public awareness of environmental issues and environmental problems.

Private sector fund raising

164. The ROAP Young Environment Envoys programme, funded by Bayer-Thai, has raised the awareness of young Thais on environmental issues. Youngsters are selected from universities and high schools and rewarded with a one-week trip to Germany at the invitation of Bayer-Thai to see modern environmental protection in practice. Back in Thailand, as members of the Young Environmental Envoy Club, they become actively involved in national environmental awareness activities, such as World Environment Day and the Clean Up the World Campaign. The project has received positive media coverage and has increased youth interest in environmental issues.

3. Resource mobilization

165. There has always been more demand for environmental activities than the world community can afford. This reality continues to pose enormous challenges for UNEP to accomplish its mandate and mission. In meeting this challenge, UNEP primarily encourages countries to increase their respective contributions to the Environment Fund and multilateral trust funds for its various global environmental activities. In this respect, UNEP adopted a Resource Mobilization Strategy, at the twenty-first session of the Governing Council, to facilitate the mobilization of adequate resources for UNEP. The strategy aims at enhancing the capacity of UNEP to implement its mandate by ensuring a broader donor base and stable, adequate and predictable funding.

166. Under this resource mobilization strategy, regional offices are required to play a significant role in mobilizing additional funds for UNEP, from traditional and non-traditional sources. The strategy specifies various measures that could potentially improve results of fund-raising efforts. Accordingly, regional offices exert substantial efforts in fund-raising activities. ROAP, ROE, and ROLAC have been particularly effective in raising funds from Governments and other United Nations agencies through collaborative activities, regional development banks and development agencies. Regional offices should further encourage countries to contribute more to the Environment Fund as well as exploring the possibility of creating new or expanding existing trust funds for financing projects with regional resources.

167. Regional offices raise funds for activities in their respective regions. In most cases, however, they neither possess the right skills nor the time. The disproportionate amount of time that professional staff spend could be better utilized on substantive activities (project development, advisory services, backstopping, etc.). For example, the DTIE officer in ROLAC spends 35 per cent of his time on fund-raising. Environmental officers in regional offices are usually forced to raise funds because substantive divisions provide only limited funds to implement global programme activities in the regions.

168. UNEP needs to address the issue of resource mobilization at the regional level. As far as possible, technical staff should be allowed to spend more of their time on substantive activities, including the preparation of project documents and proposals, backstopping and advisory services to Governments and project coordination and monitoring, and less time on fund raising. There is a lot of ground left to cover to exploit the potential contribution of the private sector to the UNEP programme. In mobilizing resources from the private sector, regional offices should follow guidelines stipulated in the UNEP Resource Mobilization Strategy.

169. Ongoing attempts to support some regional offices to raise funds by assisting them in the preparation of funding proposals and liaising with the Resource Mobilization Unit and PCMU have shown some positive results. This support should be continued and extended to all regional offices.

170. Fundamentally the problem of funding is rooted in the failure to incorporate regional activities in the programme of work. Funding for approved UNEP core programmes implemented at regional levels, should be provided for with the required resources in divisional programmes of work and budget through integrated programming. The regional offices would, however, be still required to encourage countries to contribute to the Environment Fund in cooperation with the Resource Mobilization Unit and also raise funds for additional activities.

171. In summary, the problems of the mobilization of resources in the regions are the lack of expertise in regional offices in fund raising and the lack of common understanding on the implementation of the UNEP Resource Mobilization Strategy by the regional offices and UNEP headquarters, vis-à-vis their respective roles and responsibilities. Regional offices seek a free hand to raise funds from major donor countries without the need to go through UNEP headquarters, while the UNEP Resource Mobilization Strategy requires regional offices to give information about their funding plans and efforts to enable it serve as a clearing house and provide necessary advice. Reconciling these issues could improve complementarity and the performance of UNEP fund-raising efforts and could also help to avoid the perception, among donors, that UNEP does not prioritize or coordinate its fund-raising efforts that the new strategy set out to minimize.

4. Environmental education and capacity-building

172. The four regional offices evaluated have undertaken extensive capacity-building activities at the regional level. These activities were geared towards providing Governments, communities, non-governmental organizations, regional and national institutions and other stakeholders with the capacity to develop appropriate policies and to act, demand and advocate in favour of environment-friendly policies. Activities were undertaken in environmental education training and capacity-building in the areas of cleaner production, environmental law, implementation of environmental conventions, integration of environmental assessments and impacts in national economic planning processes in accordance with their respective priorities.

173. The strategy for capacity-building in the regional offices has focused on the development of regional institutions and networks. Activities carried out under this strategy have enhanced the sustainability of regional capacity in environmental management.

174. An example of a successful programme is the Training and Research on Environmental Management (TREM) of ROAP. It consisted of building a network among universities that promote training and research in environmental management. Another example is the ROLAC Environmental Training Network for Latin America and the Caribbean (ETN), which comprises more than 100 centres of excellence from all over the region. ETN organizes courses, seminars and workshops on environmental management (please see below). Other environmental education, training and capacity-building activities include the organization of workshops and expert meetings and the provision of fellowships to target groups such as judges and legal practitioners.

Environmental Training Network for Latin America and the Caribbean

175. The Environmental Training Network (ETN) for Latin America and the Caribbean was first established in 1981, and was redesigned in 1990 with the launch of the third phase of the network programme. Since 1995, the UNEP environmental education and training network programme has been effectively a regional programme. The network produces a wide range of educational material and provides fellowships, technical assistance and activities. Four series of publications are produced by ETN: basic text books; manuals of environmental education and training; environmental forums and debates; and Latin American Environmental Thought. By the end of 2001, ETN had produced 21 publications. In the 1998-2000 period, it coordinated, supported and provided assistance for the development of postgraduate courses in approximately 50 centres of excellence in the region as a basic instrument for environmental policies and administration of natural resources in the countries in the region. It has also provided fellowships for participation in the network activities. Assistance and support for these activities and selection of participants have received the approval of the respective national focal points.

176. In the 1998-2000 period, a total of 133 fellowships was granted to nationals of 20 countries, including two countries outside the region: Spain and the United States of America. Eligible candidates from English-speaking Caribbean countries are few in number and were granted only one fellowship (Belize) during the same period. This was mainly because these meetings, seminars or conferences are held in Spanish and not because the focus of the event is not relevant to the Caribbean context. The activities supported were held throughout the region.

177. The Network is unique in the region as a think tank and catalyst for environmental education and training. The Network targets universities and ministries as well as community-level non-governmental organizations, trade unions and indigenous people. The Network comprises more than 100 centres, which organize courses, seminars and workshops.

178. The Centre for Agroforestry for Sustainable Development is a key partner in ETN and was declared a centre of excellence by the Government of Mexico in 2000. The regional office, the Rockefeller Foundation, the Ford Foundation and the MacArthur Foundation have funded the centre. About 25 per cent of the students of the centre are sponsored by the ETN fellowship programme. Students following the post-graduate programme become leaders in environmental management in their countries and proceed to develop projects in the area of agroforestry. The centre offers lectures in Spanish and English, but there were not many applicants for the courses from the English-speaking Caribbean countries in the year 2000.

179. The Network is largely funded by counterpart contributions to the ETN trust fund from countries in the region. The secretariat operational costs are covered by UNEP. The paid contributions to the trust fund have been stable but below the level pledged by 50 per cent. A proposal to further develop the regional collaborative scope of the Environmental Training Network through the establishment of a regional inter-agency project on environmental education and training has been pending since 1999.

180. Major obstacles to the creation of this inter-agency project are issues of co-financing and conflicts over areas of competence among United Nations agencies.

5. Institutional arrangements

181. Institutional arrangements employed within the Division of Regional Cooperation, including the regional offices, to support the delivery of regional programmes have been consistently improving. There are some issues that should be addressed, however, in order to further expand programmes and enhance the effectiveness of their delivery. Such issues include staffing, coordination and the flow of information between the regional offices, **the DRC liaison office** and substantive divisions at UNEP headquarters.

182. Significant improvements have been made in ROLAC and ROAP, but the Regional Office for West Asia and that of Europe still lack adequate numbers of core professional staff for programme areas such as environmental law biodiversity and environmental assessment. The constraint that such lack of core staff poses on programme activities has been apparent, particularly in the absence of adequate backstopping and provision of policy guidelines from UNEP substantive divisions.

183. UNEP could benefit from instituting a rotation scheme for its professional staff within the UNEP system with other United Nations agencies. This could help diversify the skill base of its staff. The rotation of environmental officers within the UNEP system would provide staff with opportunities to understand and appreciate how the UNEP system works. Exchange of staff with other United Nations agencies such as the UNDP would ensure the development of country level expertise, and UNDP could benefit from this exchange of expertise in applying an integrated environmental approach, thus improving compatibility with UNEP regional activities. Exchange should be part of a training and staff development programme for environmental officers in UNEP.

184. There is also a need for UNEP to actively support training initiatives and provision of information on training opportunities for its environmental officers. The relevant professional staff need training in areas such as in the formulation of project proposals, project management and fund-raising. UNEP could benefit from enhanced productivity of its staff if it instituted well planned rotation and training schemes. The training on project development offered by PCMU could meet some of the training needs of regional office staff.

185. DRC **liaison office at headquarters** plays a central coordinating role between regional offices and UNEP divisions. Information flow to and from regional offices has improved substantially since 1999. There is still room for improvement, however, in the consolidation and dissemination of information. There seems to be a lack of common understanding of the procedures for information flow between DRC and the regional offices.

186. It is recommended that DRC **liaison office** and the regional offices review the current system with a view to creating a common understanding of information flow between the regional offices and DRC **liaison office**, by simplifying and streamlining that information flow, especially with regard to requests sent to the regions. DRC should, in cooperation with PCMU, develop an electronic monitoring system that allows the generation of reports at UNEP headquarters to avoid having to write separate reports. Such a system could facilitate more efficient reporting to UNEP headquarters by creating a "one-stop shop" for information flow. The electronic database and procedures being developed in PCMU will, to a very large extent, assist DRC **liaison office** in its efforts to coordinate the monitoring and reporting activities of the regional offices within UNEP headquarters.

187. The above recommendation would be an improvement on the current biennial reporting requirement in the implementation of costed work plans.

188. The regional offices view DRC **liaison office** as having the important role of linking the work of the regions with other divisions at UNEP headquarters by facilitating dialogue and information flow and by submitting regional concerns to the Senior Management Group. Regional directors should be members of the Senior Management Group and attend relevant Senior Management Group meetings. This measure could have an impact on their status in the organization and indicate to the Member States that regional directors are part of the UNEP high-level decision-making machinery and represent UNEP in the regions. This is politically important, ensuring for UNEP a higher profile in the region and raising the effectiveness of UNEP regional representation. As a consequence, the catalytic capacity of the regional offices to deliver and influence regional collaborative programmes could be improved. Regional Directors could bring a unique perspective to the deliberations of the Senior Management Group and enhance the quality of discussions at Senior Management Group meetings. Communication should, nevertheless, continue to flow through DRC, which serves as a link between the programming process at UNEP headquarters and the regions.

E. Impact

189. The specific impact of UNEP programmes and activities on the environment cannot be easily determined, as was explained in detail in the UNEP Project Formulation Approval Monitoring and Evaluation Manual and in the 1999 and 2000 UNEP Annual Evaluation Reports. The main reasons include:

- (a) Lack of baseline data that could assist to measure changes/impacts on the environment resulting from UNEP activities;
- (b) The multiplicity of environmental actors and activities affecting the environment;
- (c) Time constraints, since environmental impact cannot be assessed during or shortly after a programme or a project life cycle, as impact is inherently a long-term result;
- (d) Lack of impact indicators.

190. In response to evaluation recommendations, UNEP management now has plans to develop a UNEP framework for assessing the impact of its activities. The framework will be an outcome of studies, reviews and considerations, including the development of baseline data at the regional, subregional, and national levels, using also the GEO process outputs by selectively launching follow-up activities to assess impact while using rapid impact assessment methodologies and exploring new approaches to develop thematic impact indicators. The assessment framework so produced will enable UNEP to carry out more impact assessments of its activities, by providing better indicators to determine the impact of UNEP activities on the global environment.

191. Presently, UNEP divisional programme and project evaluations do not establish the extent of direct impact of UNEP programme activities on the environment. Instead, UNEP evaluations attempt to identify other qualitative indicators that provide fairly firm evidence that UNEP interventions will, in the long run, create a positive impact on the environment. This report has examined the extent to which regional offices programmes and activities are likely to contribute to the longer-term positive impact on the environment. The report presents below a summary of its findings on the following: the impact on regional collaboration; expanding the strategic environmental constituency and the visibility of UNEP as an authority on the environment.

1. Impact on regional collaboration

192. In compliance with UNEP strategy, regional offices have promoted intergovernmental dialogue and cooperation for the development of policy perspectives and positions to address environmental issues, particularly by working with regional and subregional ministerial processes. In this respect, the regional offices have made significant advances towards putting the environment on the political agenda of the regions. The ministerial processes provide a legislative mandate for environment-related decisions and regulatory frameworks in various facets and levels of regional collaboration in the regions. Areas of environmental collaboration include: developing regional and subregional environmental action plans; mobilization of resources for common environmental activities; development and adoption of independent multilateral environmental agreements or in support of international environmental conventions; cooperation in regional environmental assessments; and, environmental capacity-building.

193. Implemented through a formal regional collaborative framework, the activities described above can positively impact the environment. Regional collaboration will ensure more binding political commitment of Governments, help pool and channel available resources, expertise and experience in the region for environmental protection, advance knowledge and understanding of the environment and create a consensus on environmental policy responses among Governments. Since not all environmental problems can be tackled separately by individual Governments or communities, such collaborative frameworks provide for an integrated approach to the management of the regional environment. Collaborative environmental activities among Governments in a region or subregion, such as coastal area resource management, management of international river basins, identifiable ecosystems across political boundaries of more than one country, are all excellent examples that are working.

194. UNEP regional offices are catalysing intergovernmental ministerial processes by targeting the highest level of political decision-makers, which provides the legislative mandate for national decisions and actions on the environment in an integrated manner rather than through using a sectoral approach. The forums in the regions are at different stages of effectiveness, and the regional offices recognize that the strengthening of those forums is a long-term process. In this respect, regional offices should continue to play their significant role in raising the dynamism of these important forums.

195. UNEP regional offices should exert more effort to provide high-level ministerial forums with the necessary environmental assessments, which will form the basis for evaluation of past regional programmes of action, identify emerging issues, and develop informed policies and plans for the future. A mechanism for periodic assessment of the effectiveness of regional collaboration should be instituted in the various forums. Such a regular exercise can be synchronized with the UNEP biennial programming process. UNEP should help regional forums establish a system for monitoring implementation of environmental strategies that would be developed and tested in the regions.

2. Expanding the environmental constituency

196. Awareness raising, outreach and media activities are strategic in the expansion of the environmental constituency at the global, regional, subregional and national levels. The objective of expanding the environmental constituency in UNEP is to enhance understanding of environmental issues among various stakeholders. This in turn increases environmental advocacy, influences decision makers, and galvanizes environmental action at the global, regional, subregional and national levels.

197. In line with this UNEP outreach strategy, regional offices have embarked on innovative initiatives, such as the Young Environmental Envoy programmes of ROAP, which instils environmental consciousness in the youth. The extensive media activities of ROLAC represent another successful example, which will impact on the level of understanding of the environment among the general public in the region. In the long term, such outreach activities can impact the environment by empowering stakeholders to demand and advocate environmental action in the management of natural resources. Sustainable development planning can be made more effective if citizen participation is institutionalized at the national, regional and global level. UNEP is contributing to this objective through the advancement of environmental knowledge and the dissemination of this knowledge to stakeholders.

3. UNEP visibility in the regions

198. Since UNEP is the leader and authority on environmental issues, its visibility is crucial for the effective discharge of its catalytic role in the advancement of environmental knowledge, development of regional consensus on policy responses, the galvanization of environmental action through collaborative activities, and the mobilization of global and regional resources.

199. Visibility for UNEP is achieved not only by the scope, volume and success of its environmental activities, but also by bringing those activities to the attention of the general public through the media and other means such as web sites. The higher the visibility in the regions, the higher is the level of the credibility of UNEP as a leader on environmental issues, and the better the results of its catalytic role.

200. Most of the regional offices evaluated have enabled UNEP to achieve a significant level of visibility. Some recognize that they need to do more in this area. Developing confidence in the environmental constituency through the provision of relevant environmental information and expertise is vital. The Division of Regional Cooperation should create a forum where regional offices can exchange experiences on various global environmental activities including media strategy.

V. SUPPORT TO THE IMPLEMENTATION OF ENVIRONMENTAL CONVENTIONS

201. The development of environmental conventions is one of the key UNEP strategies in the evolution of global policy consensus on the environment. UNEP support to activities under this strategy entails identifying the needs and conceptualizing convention frameworks; facilitating intergovernmental negotiations; promoting the ratification of conventions; and, participating in the direct implementation of conventions at the global, regional, subregional and national levels. In 2001, four in-depth project evaluations were undertaken for projects on “Enabling Activities for the Preparation of Initial National Communications Related to the United Nations Framework Convention on Climate Change”, implemented by UNEP for Turkmenistan, Côte d’Ivoire, Mauritania and Niue. These projects were the only Global Environment Facility (GEF)-funded enabling activities implemented by UNEP that were submitted for evaluation by EOU in 2001. Evaluations done by independent consultants provided a useful insight in the management of national-level enabling activities, a new but growing portfolio for UNEP.

A. Appropriateness and relevance

1. Approaches and strategies of implementation

202. The basic approach and strategy for implementing the project is the principle of national ownership of the project on process. This fundamental approach means that UNEP provides technical expertise and backstopping, while the project is managed on the ground by the countries concerned. Country experts and institutions implement the projects while UNEP and other external experts provide basic training.

203. The effectiveness of national ownership, however, depends on the political commitment of Governments, the technical capacity of personnel and the quality and relevance of technical support provided by the implementing agency. The foregoing factors also determine the attainment of the immediate objective of preparing the national communication and the long-term objective of laying the necessary foundation for increased awareness and institutionalization of monitoring of the effects of climate change on the sustainable management of natural resources.

204. National ownership can best be realized by ensuring the participation of a large number of stakeholder groups, such as women, farmers' associations, rural communities and fishing communities. The *raison d’être* of the enabling activity projects is to “enable” developing countries fulfil their obligations to environmental conventions. This is made possible with technical and financial support from GEF and its implementing agencies.

205. Stakeholder participation assumes greater importance as the enabling activity projects progress from technical and scientific assessment to social assessment. Current levels of stakeholder participation in these projects need to widen in the future as enabling activity projects move from their focus on emission inventory to impacts of climate change. Most of the projects did not, however, achieve wide stakeholder participation. In the case of Turkmenistan, major government ministries like health, transport, agriculture, oil industry forestry and the municipalities were not represented in the process. In Mauritania, the population at large, governmental departments, civil society, and private enterprises were reluctant to provide relevant information. The main reasons suggested were the lack of time for interviews, lack of knowledge and understanding by respondents as to why collection of such information was needed and the lack of available data in the informal sectors and confidentiality.

206. The strategy of national ownership is relevant to ensuring national capacity in the long run. If this strategy is to succeed, however, intensive awareness-raising activities should be carried out among all stakeholder groups on the purpose and scope of the projects during the project formulation and pre-implementation phases. The multidisciplinary nature of the process requires the participation of multi-sector and multi-stakeholder groups. In most projects the level of stakeholder participation was not satisfactory. The primary reason was that the main focus of the projects, as decided by the Conference of Parties to the Convention on Climate Change, was on preparing the inventory for sources and sinks of greenhouse gas emissions in the country. This was a technical exercise involving scientists,

civil servants and large industry and the involvement of other stakeholders likely to bear the brunt of climate change was not solicited.

2. Contribution to UNEP and GEF mission and the Convention on Climate Change

207. The Convention on Climate Change enabling projects were designed to: provide the inventory of sources and sinks of greenhouse gases; identify economic and social sectors that are vulnerable to climate change; highlight country specific assessments and response strategies; submit national communications; and promote capacity-building on climate change issues. Generally, the countries were able to report on the quantified amount of emissions, the state of vulnerabilities to climate change and on the mitigation and adaptation measures proposed to cope with climate change impacts. In the process, the projects have also created public awareness on climate change.

208. The projects have enabled member countries to comply with their commitments to the Convention and thereby contribute to the better management of the global environment. The countries have also developed some level of scientific understanding of the potential impacts of climate change on the national economy.

3. Linkages and collaboration

209. As with all UNEP projects, the Convention on Climate Change activities are required to seek and utilize available opportunities for collaboration and linkages where feasible. In the context of developing countries, fostering linkages with ongoing or completed projects, seeking cooperation of regional experts or institutions and drawing on the experience of other countries is vital in the implementation of complex projects.

210. The Côte d'Ivoire project has benefited from the outputs (the vulnerability study and mitigation measures assessed for the waste management sector) of the United States Country Studies Project implemented in the 1993-1994 period as well as the expertise of those who participated in that project. Much use was also made of the materials and information generated during phase 1 of the UNEP/UCCEE Economies of Greenhouse Gas Limitation Project. Reports produced under these projects formed the basis for the initial national communication.

211. Mauritania has also benefited from the support of the Environment and Development Institute (ENDA) of Senegal. ENDA supported the Mauritanian National Initial Communication project by providing training to Mauritanian experts and reviewing various study documents. The project management team was satisfied with the expertise of ENDA.

212. The Niue project did not benefit from any research organizations based in Australia. The project team realised that in future phases there was a need to fill identified gaps in national expertise through cooperation with scientific organizations and research institutions.

B. Effectiveness and efficiency

1. Capacity-building

213. Given the relatively short period within which climate change issues evolved, the capacity-building of national institutions and experts was key to project implementation.

214. Capacity-building activities targeted government decision-makers, the private sector, non-governmental organizations, national project consultants and various government sectoral institutions. Training included the use of analytical tools, assessment methodologies and research methodologies.

215. Overall, capacity-building activities have assisted the various national study teams to collect better data, improve their analytical capacities and deliver better quality outputs. This has had a direct and positive impact on the Convention on Climate Change negotiations, where the level and quality of participation by developing countries generally has significantly increased. It has to be noted, however,

that training activities generally benefited officials from the environment ministries and meteorological departments. Workshops which aimed at helping planners and decision makers to assess and integrate mitigation options and strategies into national economic planning process were not well attended by government officials from other departments of the Government.

216. Overall the capacity-building activities of climate change projects contributed to improving the scientific and technical knowledge of the project countries. Recognizing the need to sustain capacity, the secretariat of the Convention on Climate Change has asked its financial mechanism, GEF, to provide interim funding to countries that have completed their first national communications and have yet to start the second national communications. UNEP assisted all the four enabling activities evaluated to receive this interim funding, primarily to sustain their national capacities. However, the countries do not seem to have an institutional setup for climate change monitoring and impact assessment, in which the trained experts can continue to work and further develop their expertise as a team. In Niue, which is a small island developing state with a limited human resource base, many of the skills developed during this phase of the project will be retained.

217. Capacity-building activities seem to be largely restricted to enhancing the capacity of national study teams to produce outputs envisaged in the project. UNEP should, in cooperation with GEF, consider the design of a more strategic and long-term approach to the capacity-building component in these enabling activity projects. Such an approach could include follow-up activities and the provision of technical assistance to countries to establish functioning national structures for climate change monitoring, assessment and policy integration in order to consolidate and sustain the capacities so far achieved.

2. Technical reports

218. The projects produced the required initial national communication and associated reports, including the greenhouse emission inventory, the mitigation assessment reports, and vulnerability (impacts and adaptation) assessment reports. Evaluators rated the quality of the reports as very good. The technical reports produced fulfilled the obligations of the countries to the Convention on climate Change according to the guidelines issued by the Conference of the Parties.

219. The Mauritanian project produced the above reports for agriculture and coastal ecosystems, while the issues of forest or land use, energy, human health and the implications of climate change in exacerbating desertification were left for the next national communication. Côte d'Ivoire produced reports on coastal resources, water resources and forestry. Other sectors of equal importance to the process, including agriculture, fisheries, rangelands, livestock and biodiversity, were not addressed.

220. Some of the major reasons why project outputs were not always adequately addressed were shortage of time, lack of adequate financial means, lack of reliable official statistics in some sectors of the economy, inadequate existing quantitative statistics and lack of greenhouse gas emission coefficients at the regional level. Most of the assessments of mitigation and adaptation measures were not subjected to any economic analysis to ascertain their feasibility and cost effectiveness. Without a clear cost-benefit analysis of the proposed climate change policies and measures, it would be very difficult to convince Governments to adopt some of the policies and measures recommended by the studies.

3. Institutional arrangements employed to implement the projects

221. In line with the principle of national ownership of project implementation, all the country projects formed national project management teams and national study teams. The former were responsible for quarterly reviews of project progress and provided policy and strategic guidance to the projects, while the latter on the other hand, provided technical and scientific guidance.

222. These structures, together with the UNEP task manager, monitored and evaluated the progress of implementation through regular review meetings and reports submitted to UNEP.

223. In the case of Mauritania, the monitoring arrangement did not function as expected due to a high turnover of project management personnel and change of Governments. However, the project was completed satisfactorily after several interventions by UNEP. This contributed to the delay in project completion by over 20 months, which seemed to be the average for all climate change enabling activities funded by GEF.

224. In Côte d'Ivoire, the leadership of the project management team was effective and greatly contributed to the success of the project. A combination of institutional problems and technical constraints contributed to the delay in project completion by 28 months. The main institutional problems were related to high staff mobility in the project coordination unit, which constrained follow-up and representation in the steering or advisory committee meetings. Personnel mobility at the national study team level also caused the recruitment of less competent consultants and inadequate and irregular consultations among stakeholders.

225. As the implementing agency of these projects, UNEP was responsible for providing assistance in the development of the project proposals, liaising with government officials and other stakeholders, the provision of tools and methodologies, coordinating capacity-building activities and monitoring implementation progress. UNEP discharged those responsibilities largely to the satisfaction of the project countries. Some delays in the provision of analytical tools and technical advice were encountered. The effective monitoring of the progress of the projects and the taking of the necessary measures to avoid delays were virtually outside the control of the projects. Intervention by UNEP could not have substituted for the necessary national commitment to the project.

226. During the formulation of such projects, UNEP can help solicit appropriate government commitment for the execution of the project by spelling out the responsibilities of the country. Ensuring sustained commitment of high-level government officials for the monitoring of the progress of implementation and assisting the project management teams to solve implementation issues as they arise would improve the level of project delivery.

227. UNEP supervises project implementation through continuous interaction with project management teams and with the support of regional offices. Quarterly reports are also submitted by project coordinators. Reports were not however regularly submitted, which made it difficult for UNEP to react to problems on time. UNEP should therefore complement the use of the quarterly report with selective visits to problematic projects for monitoring purposes.

4. Integration of initial national communications recommendations into national policy making

228. The project documents envisage that national institutions will integrate the results and recommendations of the initial national communications into national policy making and planning. This objective may be difficult to achieve if there is a low level of political commitment to the implementation process, a lack of an institutionalized framework for the climate change process, a low level of awareness among the general public, or a lack of adequate expertise to link climate change considerations to the sustainable development planning process.

229. The objective of integrating climate change considerations into the planning process should therefore be taken as a long-term objective, which could be achieved by developing and implementing strategies and projects that support:

(a) Public awareness activities in enabling activity projects directed towards decision and policy makers;

(b) Building institutional frameworks within Governments responsible for the continuity of climate change activities including data collection, studies and follow-up actions.

C. Impact

230. The projects have developed national capacities to meet the Convention on Climate Change reporting requirements. These reports also assist in assessing the overall implementation of the Convention provisions.

231. At the national level, the enabling activity projects have made a significant contribution by enhancing scientific and technical knowledge in recipient countries. In Cote d'Ivoire and Mauritania, universities and academic institutions have benefited from enabling activity projects, through participation in training and technical studies. Cross-sectoral analysis has also helped to establish a new collaborative spirit among the stakeholders involved in the process. This should help improve interactions and consultations between national institutions, quite apart from the climate change process.

232. The ultimate impact of climate change enabling projects would nevertheless be the extent to which the results of these projects have been used by the Governments or global assessment and research groups, such as the Intergovernmental Panel on Climate Change (IPCC), the World Climate Research Programme (WCRP), the International Geosphere-Biosphere Programme (IGBP), Global Change System for Analysis, Research and Training (STAZRT), etc., to enrich scientific knowledge in the area of climate change.

233. The exercise has exposed stakeholders to new concerns and knowledge on climate change. This should assist Governments in identifying their technical assistance needs in this area. The experience gained through phase I enabling activity projects should help countries identify their respective priority needs for assistance in those areas stipulated in the GEF publication, Operational Guidelines for Expedited Procedures – Part II, for enabling activity projects.

234. The GEF guidelines are meant to respond to the general capacity-building and institutionalization needs of such countries besides preparing initial national communications. The support activities include, the identification of technology needs, including the necessary capacity-building to assess, acquire, design, implement and evaluate climate change projects, the maintenance and enhancement of national capacities to prepare national communications and developing, strengthening and improving national activities for public awareness and education, and access to information. It is hoped that the four countries will seize the opportunity to mitigate the main weaknesses encountered by the climate change enabling activity projects.

VI. PROJECTS FOCUSING ON ENVIRONMENTAL KNOWLEDGE ADVANCEMENT FOR POLICY DEVELOPMENT AND ACTION

235. UNEP accomplishes its catalytic role in environmental management by advancing the knowledge and understanding of environmental issues through collaborative activities. UNEP fulfils its role as the “environmental authority” by the effectiveness and the quality of the intellectual leadership it provides in galvanizing environmental action to address global, regional, subregional and national environmental challenges through the collection and assessment of information and by developing appropriate environmental policy instruments. UNEP also supports the implementation of environmental conventions by providing tools, methodologies and backstopping in the assessment, dissemination and integration of pertinent environmental issues and concerns into sustainable development action plans at the regional and national levels.

236. The present Annual Evaluation Report presents a summary of evaluations of the following projects which focus on environmental knowledge advancement:

- (a) UNEP Collaborating Centre on Energy and Environment (UCCEE) Phase IV;
- (b) Reducing the Impact of Environmental Emergencies through Early Warning and Preparedness: the case of El Niño Southern Oscillation (ENSO);
- (c) New UNEP Global Participative Observing and Assessment Strategy;
- (d) Regionally Based Assessment of Persistent Toxic Substance (PDF-B project, for project preparation - desk evaluation)

237. The UNEP Collaborating Centre on Energy and the Environment (UCCEE) was established in 1990 under a tripartite agreement between UNEP, the Danish Ministry of Foreign Affairs, through the Danish International Development Agency (DANIDA), and the Riso National Laboratory. The main function of the Centre is to support UNEP in planning and implementing its energy policy and programme. The general objective of the Centre is to promote and facilitate the incorporation of environmental considerations into energy policy and planning, especially in developing countries. In addition to its energy programme support function, the Centre provides substantive support to UNEP in the areas of climate change, economics, and activities related to UNEP’s role as an implementing agency of GEF particularly in the development of assessment guidelines.

238. The project entitled “Reducing the Impact of Environmental Emergencies through Early Warning and Preparedness – the case of El Niño – Southern Oscillation (ENSO)” was initiated and designed by UNEP in consultation with the National Centre for Atmospheric Research (NCAR) and the United Nations University (UNU). The ENSO project objectives include: enhancing the understanding of ENSO issues (particularly social and economic impacts and response measures and options) through a review of recent global, regional and national predictions of El Niño; reviewing early warning and preparedness systems of the 16 countries selected for the study, and their information needs; developing preliminary guidelines for regional and national preparedness for ENSO extremes; and lastly the project aimed at initiating ENSO-related programmes for capacity-building including environmental education and outreach. The project ultimately aimed at contributing to improving the safety and welfare of people and protecting the environment by enhancing national preparedness for the potential impact of future ENSO events.

239. The “New UNEP Global Participative Observing and Assessment Strategy” project was designed to implement the new UNEP observing and assessment strategy aimed at strengthening regional and institutional capacity for early warning. Within this framework, the project aims at building regional analytical and reporting capacity to support the GEO process, catalysing innovative approaches, improving the quality and coverage of environmental observations and early warning, and developing a new integrated environmental information meta-system and a wider range of useful decision-support products, with an initial focus on information relevant to ecosystems and biodiversity. The project also aims at building the capacity of collaborating centres in the regions and subregions to participate

directly in the preparation of inputs for the UNEP GEO reports, thereby also strengthening their capacity to carry out similar activities at regional, subregional and national levels.

240. Finally, the “Regionally Based Assessment of Persistent Toxic Substances” project was launched to prepare a detailed project proposal for an objective, rapid and comprehensive regionally based assessment of the threats posed by persistent toxic substances to the environment and human health. The project’s final output was a GEF project brief for regionally based persistent toxic chemicals specifying the mechanism, participation, identification of the co-financing, and approaches to evaluating incremental cost elements and requirements for intervention at national and regional levels. This report will not make extensive references to findings specific to this project preparation activity, as it did not involve critical implementation issues.

A. Appropriateness and relevance

241. Overall, the four projects have adopted strategies and approaches, forged productive and sustainable collaboration and linkages consistent with the mission and mandate of UNEP, and with regional and global environmental priorities. A summary of the findings is presented in succeeding sub-sections.

1. Approaches and strategies

242. The UCCEE, ENSO, and the New Global Assessment Strategy projects adopted effective approaches to implement their activities. These included:

(a) Utilization of national teams, which allowed for building significant understanding and capacity in the environmental issues addressed. This approach ensured ownership and enhanced the likelihood of sustainability of project outcomes;

(b) Integrated multi-disciplinary and participatory approach to the understanding of environmental impacts on social and economic development. The ENSO project demonstrated that such an approach could be instrumental in the development of workable environmental policies on climate change and its management. Cross-cutting issues like impacts of ENSO on sustainable development can best be addressed through such wider coverage;

(c) The "learning-by-doing" approach, adopted in training the personnel of participating countries, offered hands-on skills on the subject of environmental issues;

(d) Organizing a project design and implementation-planning workshop for all partners in the formulation process for large and complex projects is essential in ensuring effective implementation. In this respect the ENSO project as well as “New UNEP Global Participative Observing and Assessment Strategy project” and the “Regionally Based Assessment of Persistent Toxic Substances Project” benefited from the exercise. A project design approach that includes organizing workshops to plan implementation helps implementing agencies to ascertain the relevant minimum knowledge and capacity of local institutions, institutional infrastructure and government procedures, which significantly impact on project implementation. The approach basically minimizes negative surprises in the course of implementation.

243. The following observations on the approaches and strategies adopted by these projects are also important:

(a) There is a need for more frequent appraisal of the UCCEE programmes with a view to taking advantage of accumulated experience. For example, focusing on national and international policy instruments, given the potential of the Clean Development Mechanism to foster sustainable development in developing countries, could allow for the convergence of global climate protection and natural resource development objectives for Asia and the Pacific region;

(b) The relevance of work plans of umbrella projects or continuing subprogramme elements could be enhanced when activities are identified and reviewed simultaneously with the latest analysis of subject environmental contexts especially when that is dynamic, as in the case of the global energy market as related to UCCEE activities. Such effort would provide a mechanism for periodically monitoring programme/project objectives and changing contexts in order to make adjustments in programme orientation as and when needed;

(c) Considering the global and regional significance of UCCEE, UNEP needs to explore the reorientation of the UCCEE approach to shift from project focus to a subprogramme focus, by establishing a network of regional collaborating centres cooperating in the implementation of the long-term programme, in addition to specific short-term activities. The proposed programming approach would help build sustainable capacity in the development of appropriate energy policies that enhance sustainable development, particularly in developing countries.

244. A pilot project phase aimed at launching a new strategy would have been more manageable if fewer implementing organizations were involved. Too many activities and implementing agencies, and a short time frame makes monitoring and evaluation for achieving quality environmental knowledge products difficult.

245. Basic lessons that can be learned from the foregoing findings include: precision in the implementation planning of programmes and projects is a design approach that enhances success of implementation; programmes and their objectives and strategies as well as underlying assumptions of umbrella projects should be reviewed periodically to confirm continuing relevance. Furthermore, effects of complexity should be reduced in the design of projects by instituting efficient management, monitoring and evaluating methods and procedures.

2. External linkages and collaboration

246. Fostering collaboration and linkages at regional and national levels with environment and development partners in the advancement of environmental knowledge, and in the formulation, development and implementation of environmental policies are key to enhancing the catalytic role of UNEP in the management of the global environment. The extent to which UNEP projects create linkages for collaborative activities significantly determines the appropriateness of environmental activities to accomplish the mission of UNEP.

247. In this respect, the project evaluation reports under review have shown that all of them have forged vital linkages with United Nations organizations, regional institutions, international and regional non-governmental and community organizations and regional and international development financial institutions. UNEP partners were instrumental in the implementation of these projects. Such successful large and complex collaborative projects demonstrate that UNEP enjoys international recognition as the authority on the environment.

248. The present report cites some innovative linkages fostered by these projects:

(a) The UCCEE project “economics of greenhouse gas limitations” was closely coordinated with other similar international and bilateral programmes and GEF-funded projects, such as CC-TRAIN, ALGAS oil, and other national and regional activities;

(b) UCCEE partnerships with non-governmental organizations, national research centres and governmental institutions are well illustrated by the significant resources channelled to these institutions for contract activities under joint projects (which now represent 40 per cent of the annual contract income for UCCEE);

(c) Linkages fostered with inter-agency groups (UNCTAD, UNIDO, UNESCO and other UNEP branches) to coordinate actions in the promotion of renewable energy and energy efficiency, as well as climate change mitigation have been rewarding;

(d) The work of UCCEE with the Asian Development Bank involved the management of funds to implement renewable energy and energy projects in Asia. Such linkages enable UCCEE to positively influence investment in renewable energy;

(e) The identification of the comparative advantages of collaborative partners was key in the success of the ENSO project. The National Centre for Atmospheric Research (NCAR) played a primary role in developing the content of the country studies; the World Meteorological Organization (WMO) provided technical backstopping on scientific issues; the International Strategy for Disaster Reduction (ISDR) developed an evaluation of the disaster management structures in the participating countries, and the United Nations University (UNU) helped with the formulation of policy recommendations and their dissemination.

249. There is a risk involved in forging linkages, as some partners may fail to meet their commitments. Such failures could result in delays in the submission of some final outputs, as happened with the New UNEP Global Participative Assessment Strategy and the ENSO projects. In such complex global projects, it is vital that partners' scientific and managerial competence and capacities are determined, to accommodate the project needs and meet deadlines. Such exercise offers an opportunity to attempt to rectify identified inadequacies or make the necessary adjustments in the project document before the start of implementation.

3. Support to UNEP mission and regional and national priorities

250. The foregoing cluster of projects, designed to implement work programmes of relevant UNEP subprogrammes approved by the governing Council, have contributed to the mission and mandate of UNEP towards a better managed global environment.

251. UCCEE has contributed to UNEP's overall objective of providing policy makers with relevant, practical and timely information and policy instruments and improving their skills so as to make informed decisions concerning energy policy, practices and technologies and investments. UCCEE has made significant contributions in the development and dissemination of practical policies, strategies and tools that enhance Governments' capacities to incorporate environmental valuation in energy policy planning in developing and countries with economies in transition. The provision of such environmental knowledge, in terms of environmental decision support systems, to government decision-makers and other environmental and development partners contributes to the UNEP mission of promoting a better managed global environment.

252. The sustained synergy of the mission and competence of UNEP, the goals and priorities of DANIDA, and Riso National Laboratory (RNL) strong scientific base have helped UCCEE to continue to contribute to the advancement of knowledge on mitigation analysis, renewable energy and the development of policy instruments that are being adopted by Governments and development banks. The ongoing (2000-2001) programme of strengthening of the System Analysis Department of RNL by establishing a centre for the analysis of the environment, economy and society within the energy systems analysis programme and the technology scenarios programme, will make a better contribution to the UNEP mission and mandate in the future.

253. The project has identified significant lessons to be learned so that the international community may be better prepared for future ENSO occurrences, by assessing how Governments, civil society and other actors involved in disaster management responded to the most intense El Niño of the twentieth century (1997-1998), its prediction, occurrence and subsequent inputs. This project has contributed to the capacity of UNEP to provide a better understanding of the phenomenon and the policy and institutional frameworks required at the international and national levels to cope with ENSO effects. The project has both enhanced and broadened the UNEP agenda on climate change issues and responded to the United Nations General Assembly resolution 52/200 of 1997, that called for Governments and United Nations bodies "to take appropriate action within the framework of International Strategy for Disaster Reduction (ISDR) to prevent and mitigate the change caused by the El Niño phenomenon".

254. The new UNEP Global Participative Observing and Assessment Strategy project responds to decisions 19/1 of 7 February 1997, 20/1 and 20/4 of 4 February 1999 of the UNEP Governing Council, which mandated UNEP to “analyse the state of the global environment and assess global and regional environmental trends based on the best scientific and technical capabilities available” and also “the strengthening of the Assessment and Early Warning subprogramme and the implementation of the work programme through partnership with outside collaborating centres”.

255. The project was aimed at strengthening the capacity of regional and international institutions for environmental assessment and early warning to prevent environment-induced disasters. It also emphasized an integrated strategic approach to partnerships among institutions and a decentralized observing and assessment process within a global framework. This pilot phase has laid down a firm foundation for the successive phases of the new strategy. When the five-year project is fully implemented, the strategic plan is expected to give UNEP a more enhanced role within the United Nations system and around the world as the most reliable global source of environmental information and assessment.

B. Effectiveness and efficiency

256. In this subsection, the 2001 Annual Evaluation Report presents a summary of findings on the effectiveness and efficiency of the second cluster of projects, focusing on the extent of their respective achievements compared to planned results and outputs, and the effectiveness of project implementation as well as the constraints encountered.

257. Overall, the projects have achieved the intended results and outputs in the development and advancement of environmental knowledge, their dissemination and use in decision-making, the strengthening of the sustainability of activities and processes, and in capacity-building. Some constraints were encountered in the institutional arrangements set up to support implementation of the projects.

1. Environmental knowledge products

258. The most significant environmental knowledge products achieved from implementing these projects are outlined below:

(a) UCCEE

(a) Methodological framework for climate change mitigation assessment, which provided a relevant contribution to the Convention on Climate Change process;

(b) Guidelines for the integration of external assessment in the climate change mitigation analysis, developed within activities on the economics of greenhouse gas limitations;

(c) Lessons learned on addressing issues of integrating environmental concerns into national energy planning, based on country case studies;

(d) The development of methodology under the GEF project on an approach to assessing the broader social and environmental costs of mitigation is continuing under the UCCEE clean development mechanism subprogramme activities;

(e) The establishment of baseline and sustainability indicators to assist the clean development mechanism of the Kyoto Protocol and joint implementation and emission trading;

(f) A sustainable energy advisory facility, providing information and technical support for sustainable energy activities in developing countries, with a focus on policy changes that provide a framework for sustainable energy approaches.

(b) ENSO

(a) An executive summary report entitled Reducing the Impact of Environmental Emergencies through Early Warning and Preparedness: the case of the 1997-98 El Niño has been prepared;

(b) The Millennium Summary entitled Lessons Learned from the 1997-98 El Niño: Once Burned, Twice Shy was also produced. The document provides the lessons learned from the 1997-1998 ENSO events and shows a clear connection between recurring droughts, fires, floods and ENSO events in the countries under study. The fact that the Millennium Summary presents key scientific relationships makes it useful, quite apart from policy references. It is considered an important academic output of the ENSO project;

(c) El Niño Scientific and Technical Retrospective, 2000 was published as key reference material for climate studies;

(d) ENSO country reports are available in CD-ROM, which constitutes a major contribution to knowledge on climate change;

(e) A network of ENSO experts and collaborating agencies has been established and is accessible on the web site www.esig.ucar.edu/un. In the long term, this network, if sustained, will in the long term facilitate exchange of knowledge and experience on the ENSO phenomenon among experts and organizations.

(c) New UNEP Participative Observing and Assessment Strategy (pilot phase)

(a) Five collaborating centres produced retrospective environmental policy analyses based on 30-year data series (1972-2002) for their respective regions, illustrating changes in the regional environment in relation to development trends. The analyses addressed nine thematic areas: atmosphere, land, freshwater, coastal and marine environment, biodiversity, forestry, urban areas, environmental disasters and human health and environment;

(b) Collaborating centres also prepared regional analyses based on the last 30 years of environmental perspectives and perceptions of Governments and political and academic leaders. These analyses provided the basis for projections and scenario development for the next 30 years;

(c) In the area of environmental knowledge dissemination, the project pilot phase strengthened UNEP.net, an Internet-based environmental information network. A web site for the Scientific Committee on Problems of the Environment (SCOPE) was established in Paris and four SCOPE national web sites have become operational;

(d) The "GEO-3 data portal", which is an aggregation and harmonization of relevant GEO-referenced and statistical data sets was developed and made available to the collaborating centres through the Internet. Statistical data and geo-spatial information were assembled and transformed and provided with their descriptive meta-information to all collaborating centres. Lack of appropriate core global data sets, identified as one of the major weaknesses of the GEO process and of environmental assessment in general, has thus been addressed as far as possible with currently available data;

(e) A prototype of a Sustainable Development Indicator Information System (SDIIS) was developed by the Central European Data Request Facility (CEDAR) based on the United Nations Commission for Sustainable Development and the Blue Plan. This prototype will also be used to test the feasibility of developing an integrated indicator information system for Africa;

(f) A strategic overview of the planning and coordination of ecosystems and biodiversity information flow and outputs for decision-making was prepared by the World Conservation Monitoring Centre (WCMC). The overview considered how wide-ranging related activities can best complement each other and produce a coherent set of information outputs;

(g) A case study of sustainable ecosystem management options in Africa, with a focus on savannah ecosystems in Southern Africa, was produced through a collaborative activity. This case study demonstrated how scientific research could produce practical guidelines for ecosystem management and also overcome barriers to good collaboration. As an additional output of this project, a web site with scientific information on Southern Africa savannahs was established.

259. The pre-phase (PDF-B) project entitled "Regionally Based Assessment of Persistent Toxic Substances" developed a scientific methodology for assigning priorities of action that mitigate the potential threat of persistent chemical contaminants to biodiversity and human health. This environmental knowledge product will be further developed and refined with GEF funding.

260. The foregoing list of environmental knowledge products demonstrates the extent of UNEP intellectual leadership on the environment. The role of UNEP in organizing and implementing or coordinating such large global and regional collaborative activities to advance environmental knowledge also shows its catalytic capacity at the regional and global levels.

2. Capacity-building

261. All three projects under review in this section have carried out capacity-building activities as distinct activities or embedded as cross-cutting activities within project components. There were varying levels of achievement in capacity-building activities in the organization in 2001.

262. The project "New UNEP Global Participative Observing and Assessment Strategy" pilot phase, whose main objective was capacity-building, provided the five collaborating Centres originally selected and 11 additional collaborating centres with extensive capacity-building support. These activities were carried out through training workshops and technical training. They covered the following:

(a) Staff development training needs in analytical methodologies for the development of regional integrated environmental assessment and scenario-building and modelling;

(b) Data integration and analysis for the development of shared information system and the provision of relevant and harmonized products for integrated assessment and scenario building;

(c) Electronic publication and information dissemination: technical training on integrated environmental assessment and data integration analysis, handling and management including electronic distribution.

263. The project pilot phase has further strengthened the regional assessment capacity of collaborating centres and the global assessment capacity of UNEP. In succeeding phases, the project should further strengthen capacity-building in developing regions, especially training in new information technologies and training in policy analysis and modelling.

264. The UCCEE project has also carried out capacity-building as a cross-cutting activity in all its programmes. It improved the capacity of national experts and regional institutions in the use of clean development mechanisms and climate change mitigation analysis methodologies and tools. Through these activities, UCCEE has contributed to the setting up of a minimum critical mass of skilled human resources, capable of undertaking climate change mitigation analysis in participating countries.

265. The ENSO project has conducted workshops, which helped to strengthen the capacities of country experts for the integrated analysis of ENSO impacts, while they were preparing country reports. The project plan to develop curricula and other training materials for enhancing climate change studies programmes in various institutions was not realized. The responsible partner agency did not deliver this particular output.

266. Two observations on the capacity-building activities carried out by the UCCEE and the ENSO projects are worth noting:

(a) There is a need to maintain the momentum created and develop climate change programmes in developing country institutions, to provide ongoing capacity development. The project reports also clearly indicate the need for continuing funding and methodological support for capacity-building on the part of those agencies involved in ENSO country studies. UNEP can catalyse such collaborative activities in this important area of environmental emergency management;

(b) The second observation relates to the sustainability of capacity-building carried out by UCCEE projects. Individuals trained in climate change mitigation analysis often move to other jobs compelling follow-up projects to start from the beginning. This happens mainly because the structures of public bodies in developing countries are fragile, and significant institutional building would be required to ensure sustainable activities. An international and regional network of centres of excellence needs to be developed to collaborate with UCCEE programmes.

3. Institutional arrangements

267. Despite some difficulties encountered in the managerial arrangements for the implementation of projects, these did not seriously impact on the outcome of the projects. Such institutional constraints should be taken into account in future project design and management for better results. In the case of ENSO and the New UNEP Global Participative Observing and Assessment Strategy project, the complexity, scope and large number of partners involved called for proper planning and preparation prior to the launch of the projects. More careful design and implementation planning stages of the projects would have addressed and rectified inadequacies in management arrangements, which became apparent during implementation. Delays in funds transfer caused by divergent budget approval procedures of partners then have been harmonized before the start of project implementation. The managerial and substantive competence and capacities of partners to deliver their assigned outputs would have been determined beforehand. Consequently, potential constraints causing delays of outputs would have been anticipated and appropriate measures taken to rectify them. The building into the project design of a reasonable planning period that addresses implementation issues would have ensured better results.

268. The New UNEP Global Participative Observing and Assessment project pilot phase lacked adequate project coordination and monitoring. The project management and coordination team was put in place only three months before the official end of the pilot phase. As a result, there was a gap in follow-up with the collaborating centres during project implementation, and project review meetings were not held. An end-of-project meeting, which would have helped stakeholders to compare notes, share experiences and plan future phases of the project, was not held. For such a complex project, with many collaborating centres and other partners and numerous planned outputs, an effective monitoring and evaluation mechanism should have been established right from the start to ensure project delivery.

269. The ENSO project on the other hand, benefited from having an effective project management and monitoring arrangement. There was a mid-course correction meeting, which assessed the progress of the country reports and the entire project, including the contributions made by core advisory bodies. The meeting enabled country team leaders to report and compare reports, and provided mid-term suggestions, which steered the project effectively thereafter.

270. In order to avoid delay in the implementation of UCCEE activities, careful assessment of the capacity and reliability of government bodies as sources of data and general information must be undertaken to provide a realistic time-frame for project execution. Similarly, appropriate institutional building for undertaking the national studies should follow from a pre-feasibility study in the planning stages.

271. The main problems identified were: lack of adequate professional staff; inadequate project pre-implementation planning; an unrealistic time frame for project completion; inadequate project coordination and management; ineffective project monitoring mechanisms and delay in funds transfers.

C. Impact

272. The environmental knowledge development projects have advanced the knowledge and understanding of targeted environmental issues; they have generated interest in pertinent policy changes and improvements at the global, regional, subregional and national levels; they have improved the capacity of regional and national institutions in environmental management; and they have galvanized the expansion of environmental activities at the regional and national level. The foregoing specific positive contributions to environmental knowledge and action will have a direct impact on environmental management in the future.

1. Improvement in environmental knowledge and understanding

273. This cluster of projects has contributed to the improvement and understanding of important environmental issues, such as the El Niño phenomenon, regional assessment and global environmental trends.

274. By assessing the 1997/1998 ENSO event, the project has improved our knowledge and understanding of the El Niño phenomenon in the following ways:

(a) It has brought to light important information, namely, that reliable forecasts are not enough to protect society from climate change-induced disasters. Existing socio-economic, political and environmental conditions in the affected countries make them highly vulnerable to any major disruptive activity, such as the damage caused by natural hazards, including floods and droughts;

(b) ENSO effects can disrupt the socio-economic system, as climate-related anomalies can influence sustainable development in the long term;

(c) There is a lack of reliable data, information and forecasts of ENSO events, resulting from a lack of understanding of the connection between events such as droughts, floods and forest fires, and ENSO occurrences;

(d) The project has created significant awareness of the ENSO cycles and Governments and communities are now able to connect environmental disasters with this predictable phenomenon;

(e) The short-term and long-term impacts of ENSO phenomena may be minimized, with the help of the appropriate preparedness strategies.

275. The scientific knowledge and local experience obtained from this project should be widely disseminated, to help societies change. United Nations agencies and non-governmental organizations, community-based organizations and development institutions should also have access to this newly gained knowledge so that policies and decisions can be based on it. However, it would seem that the outcome of the project has not been appropriately packaged and disseminated to concerned stakeholders, particularly to national stakeholders and official donor agencies.

276. The New UNEP Global Participative Observing and Assessment Strategy, phase 1, has also significantly improved the quality and usefulness of the assessment tools and the GEO-process outputs. Some of the most important advances made include the following:

(a) Regional and subregional reports based on an integrated analysis of the environment since the Stockholm Conference in 1972 have been prepared. The analysis of the evolution of regional perception and perspectives, as well as the various regional scenarios, is a major contribution to the preparation of the GEO-3 reports;

(b) The WCMC strategic overview will be used by environmental scientists and other professionals in the field for the development of proposals for the production of a set of maps and graphic outputs for non-specialists, on critical ecosystem issues and biodiversity hot spots. It will help in the more effective delivery of ecosystem and biodiversity information, increasing the environmental information available, for ease of decision-making by policy makers;

(c) The Southern Africa Savannah case studies provide information important to the management of similar ecosystems in Africa and elsewhere;

(d) The web site created by the project, such as the SCOPE web sites, the GEO Data Portal and regional web sites increase access to environmental knowledge and facilitate its use;

(e) The enhanced UNEP.net which provides a web-based interactive dialogue and a decentralized multi-faceted portal, offers access to environmentally relevant geographic textual and pictorial information. UNEP.net hosts information developed to address specialized environmental issues and concerns and it also provides resources on emerging issues related to climate, water, land and biodiversity;

(f) The GEO-3 Data-Portal, established by the Global Resource Information Database (GRID-Geneva), under this project, has enabled all collaborating centres, for the first time in the ongoing GEO-process, to access and use common standardized data set and time series data to prepare inputs for the GEO-3 report and future GEO reports. The GRID documentation of data gaps will guide future data work on acquisition, creation and gap filling.

277. In summary, the project has contributed to the organization and assessment of relevant environmental information and assessment for better quality GEO-process reports. The project has initiated an electronic network within the scientific community to deliver warnings of emerging environmental threats. It has also launched the development of an Internet-based environmental information system among the various partners.

278. UNEP has demonstrated its capacity to catalyse the advancement of environmental knowledge by mobilizing diverse partners across the regions to deliver information useful for decision-making at the global and regional levels.

279. The Division of Early Warning and Assessment (DEWA) has, through the pilot phase of the project, progressed further towards the resolution of the data issues by producing the GEO-3 data portal. UNEP, the institutions concerned and the collaborating centres still need to put a mechanism in place to collect, compile and analyse primary data at the national level, as a first step towards collecting primary data for future GEO reports. These activities would implement recommendation of the previous evaluations, which called for the establishment of an adequate infrastructure at national, subregional and regional levels for data collection, compilation and analysis.

280. UCCEE has also consolidated its position as the leading institution on mitigation methodology development, applied research on renewable energy technologies and the development of policy frameworks and instruments in the energy sector and environmental valuation techniques for decision-making. It continues to refine its environmental knowledge products by applying them over wide geographical and thematic areas. In the area of climate change mitigation, the centre has made a significant contribution to the work of IPCC and the scientific debate through the publication of its research findings.

281. Regarding the usefulness of the UCCEE knowledge products, there seems to be a clear need for a more systematic public information and publication strategy with the view to expanding the dissemination and use of UCCEE publications. Although UCCEE reports are published on its web site, more should be done to make the Centre better known and its contributions accessible to regional research institutions, official development aid agencies, international financial institutions, and non-governmental organizations and Governments. DCPI could assist with this.

282. The distribution, presentation, dissemination and wider use of environmental knowledge products is an important issue. The evaluation reports of these four projects have revealed some weaknesses.

2. Impact on Governments and international and regional institutions

283. UNEP environmental assessments and knowledge products, which were produced in cooperation with global and regional partners, have helped Governments, United Nations agencies, multilateral organizations and regional institutions to revise their policies and develop new strategies and plans of action for environmental issues and their impact on sustainable development planning. Some notable impacts are presented in succeeding paragraphs.

284. The UCCEE project has contributed to the identification and development of cost-effective mitigation options for use at national levels. For some countries, selected policies and measures were also identified (e.g. energy tax and energy conservation options) and taken into account in the formulation of national energy policies. UCCEE can further develop its work on the identification of national portfolios of mitigation projects, barriers to their implementation, policies and measures.

285. UCCEE activities have significantly contributed to GEF strategies, policies and policy implementation in the field of mitigation analysis by consolidating its experience since the early 1990s.

286. New projects undertaken by UCCEE have increased its influence on Governments and regional development banks in the area of sustainable energy policies and investments. At the national level, the African Rural Energy Enterprise Development (AREED) project and capacity-building for the Clean Development Mechanism have contributed to the development of renewable energy efficiency projects.

287. UCCEE activities have also influenced inter-agency groups (UNCTAD, UNIDO, UNESCO) to make use and incorporate their contributions on renewable energy and energy efficiency, as well as on climate change mitigation.

288. The ENSO project served as a "wake-up call" for Governments on the need to formulate appropriate disaster management policies and establish appropriate institutions. Participating countries gained a better understanding of pertinent issues (teleconnections/attributions) including the need for the development of baseline data for use in policy development and establishing or strengthening institutions for disaster prevention and management. Some countries have already developed geographical information databases for vulnerability studies and related research. Overall, the ENSO project has produced important reports that catalyse policy consensus and action on the ENSO phenomenon. The actual impact can, however, only be ascertained once such policy instruments are implemented on the ground. It is recommended that UNEP should initiate follow-up activities to assess and measure the impact of the ENSO project process, on the basis of which appropriate activities may be planned to consolidate what has been gained to date.

289. Most of the countries are already working proactively in the prevention, preparedness and mitigation aspects to avoid a repetition of the disastrous socio-economic and environmental impacts experienced during the 1997/1998 El Niño event. UNEP and its partners should mobilize support from donors and institutions to build appropriate institutional arrangements for effective preventive and disaster management.

VII. SELF-EVALUATION FACT SHEETS

290. Governing Council decisions 2/15 of 28 May 1984, 13/1 of 23 May 1985 and 14/1 of 17 June 1987, required that all UNEP projects be evaluated. In order to meet this requirement, UNEP prepares end-of-year self-evaluation reports.

291. The Evaluation and Oversight Unit received only 36 self-evaluation fact sheets, representing 17.5 per cent of all active UNEP projects (205) in the year 2001. Ten self-evaluation fact sheets received for PDF-A projects (GEF project preparation projects) were not included in the analysis, as they do not involve extensive design and implementation issues that could be of system-wide relevance to project formulation and management. The trend for the number of submissions has been deteriorating: 25 per cent for 1998, 27 per cent for 1999, 17 per cent for 2000.

Table 1

Project status

	No. of projects	Percentage
Ongoing	17	47
Completed/Closed	14	39
Completed but not closed	2	6
Terminated	2	6
Not stated	1	3
	36	100

292. UNEP is, therefore, neither fully complying with the relevant Governing Council decisions nor benefiting from the operational and strategic management information, which could have been gleaned from the self-evaluation fact sheets.

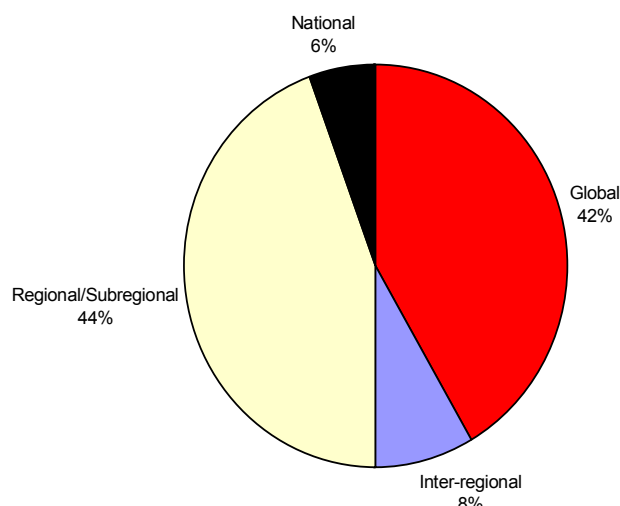
293. A higher response rate would have provided sufficient information to help identify and discern good practices and constraints from a wider range of projects that could, in turn, influence future UNEP policies, and the design and management of projects. Enforcing this policy by institutionalizing an effective compliance mechanisms continues to be a challenge for UNEP.

294. The degree of performance and problems identified in this report cannot be attributed to all ongoing or completed UNEP projects. The number of evaluation fact sheets submitted for active projects is too small a sample (36: 205 or about 17.5 per cent) to be taken as a reasonable representation of information applicable to all ongoing UNEP projects.

A. Appropriateness, scope and mode of implementation

295. As shown in figure 1, 44 per cent of the projects which submitted self evaluation fact sheets are regional and subregional, 42 per cent global and 8 per cent interregional and 6 per cent national in scope. This information conforms to the UNEP mandate that should focus on global, regional, subregional and interregional efforts.

Figure 1
Project scope



296. As reported in the self-evaluation fact sheets, the mode of implementation of projects conforms to the catalytic role of UNEP in the management of the global environment. Table 2 below shows that 44 per cent of the projects were executed externally, while 50 per cent were implemented by UNEP divisions and out-posted units, such as programme activity centres and collaborating centres. The slight shift from external to internal, as compared to previous years, is mainly because the UNEP Governing Council requested the UNEP secretariat to play a greater role in areas where the executing agencies and supporting organizations did not have a mandate or the necessary expertise.

Table 2

Mode of implementation

	No of projects by percentage
Internal	50
External	44
Not stated	6

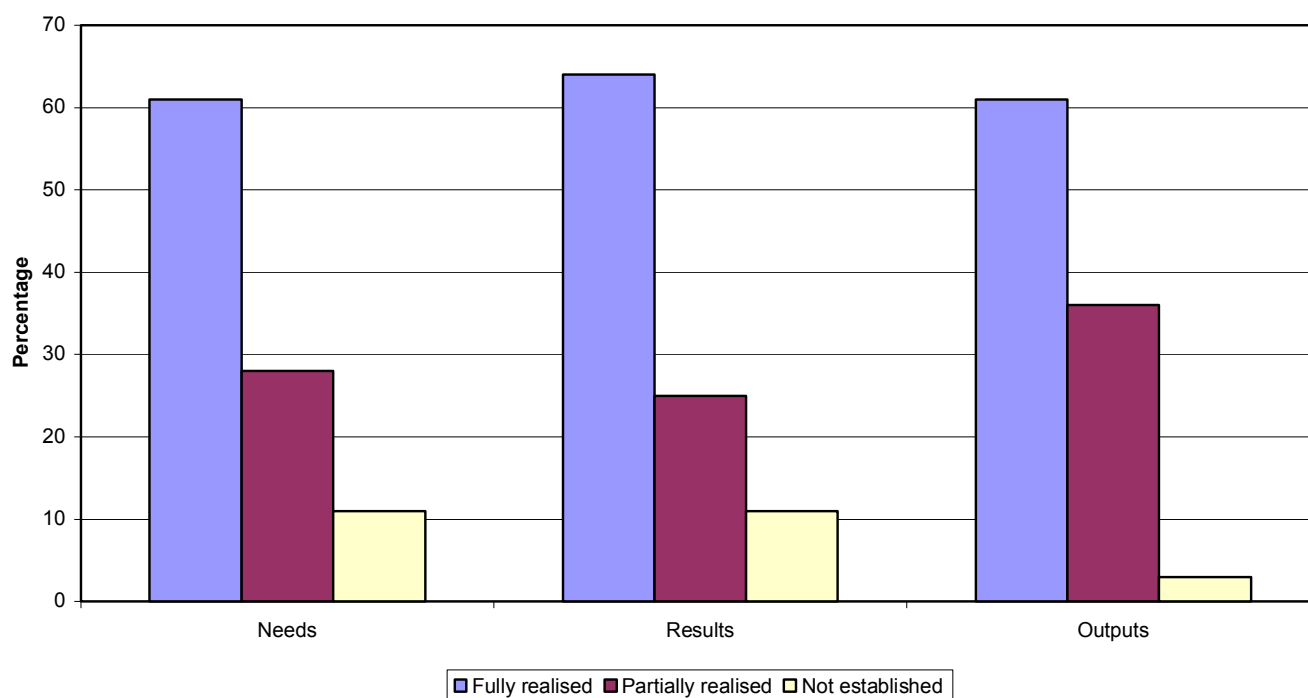
297. The major contribution of UNEP to external projects, as can be seen in table 3 below, has been providing intellectual support, such as: provision of expertise, methodologies and approaches; coordination; backstopping and reviewing technical reports and project outputs for quality assurance.

Table 3

UNEP contribution

Contributions	No. of projects by percentage
Provision of expertise, methodologies and approaches	72
Coordination	22
Review of project technical reports, documents and outputs for quality assurance	14
Backstopping	11
Technical assistance	11
Project development	11
Logistic support	3

Figure 2
Extent of attainment, results and outputs



B. Effectiveness and efficiency

298. Self-evaluation fact sheets, prepared by project managers themselves, provide valuable information on the extent to which results and outputs are realized, the utilization of funds vis-à-vis outputs, whether or not the project activities have taken place on time and within the budget, the causes of deviations from the budget, and finally the degree of efficiency of project completion. A summary of findings on the foregoing issues is presented in the following paragraphs.

1. Achievement of outputs and results

299. The extent of achievement of outputs and results indicates whether or not projects have met their core objectives. An analysis of information contained in the self-evaluation fact sheets reveals that over 60 per cent of the projects fully met the needs identified and realized the planned results and outputs. On the other hand, about 30 per cent of the projects have partially achieved their targets (figure 2). Considering that 47 percent of those projects are still ongoing these results are very good.

2. Utilization of funds vis-à-vis outputs

300. The relationship between funds utilized and outputs achieved is employed to determine the effectiveness of utilization of funds to achieve project objectives. As shown in table 4, 69 per cent of respondents reported that they had used the funds budgeted to fully realize the expected outputs. This represents a significant increase from the 47 per cent expenditure level reported in 2000. This is an improvement over what was achieved in those project reports submitted in the year 2000.

Table 4

Comparison of expenditure to output

	No of projects by percentage
Excellent (100 per cent expenditure and 100 per cent output completion)	69
Very good (100 per cent expenditure and 80-90 per cent output completion)	3
Good (100 per cent expenditure and 50-79 per cent output completion)	3
Poor (100 per cent expenditure and less than 50 per cent output completion)	3
Not stated	22

3. Project execution within budget

301. Financial performance of projects is also related to the extent to which project activities are executed within the set budget. As shown in table 5, 75 per cent of the projects completed their activities within their prescribed budgets and none reported budget overruns, while 6 per cent were completed with less than budgeted funds. This financial performance can be attributed to sound project design and effective monitoring among others.

Table 5

Financial utilization

	No. of projects by percentage
Projects completed within budget	75
Projects showed budget overrun	0
Project completed with less than budgeted funds	6
Not stated	19

4. Project completion efficiency

302. For the current reporting period, the self-evaluation fact sheets reported that 39 per cent of the projects were completed within the planned time compared to 43 per cent for those of 2000. Fifty (50) percent of the projects were not completed within the planned time-frame. This represents a slight improvement on that of last year of 54 per cent.

Table 6

Project completion efficiency

	No of projects by percentage
Completed within planned time	39
Not completed within planned time	50
Completed before planned time	0
Terminated	11

303. A summary of the most frequently recurring reasons cited for delayed completion of projects is presented in table 7. These reasons can be categorized into design and institutional problems. The project design problems (i.e., inadequate time frame for planned activities, additional project elements and activities, allowing time for project completion and reporting) constitute 20 per cent of the reasons

for delayed project completion. Institutional problems are caused by late transfer of funds, delay in approval of final reports, late start of project and poor communication among cooperating or supporting agencies.

Table 7

Reasons for delay in project completion

Reasons for delay in completion	Ratings
Inadequate time frame for planned activities	1
Force majeure	2
Additional project elements and activities	3
To allow project completion and reporting	4
Late transfer of funds	5
Delay in approval of final report	6
Late start of project	7
Poor communication among cooperating/supporting agencies	8

C. Catalysis

304. UNEP projects often result in environmental benefits beyond the objectives and outputs explicitly set out in project documents. Examples of catalytic effects (i.e., benefits, spin-offs, or by-products) include contributions made to: the mobilization of funds to similar projects or succeeding phases; advancement of environmental knowledge products and their wider dissemination to stakeholders; influencing decision-makers in other countries or regions; the expansion of the environmental constituency beyond the project target group; and enhancement of UNEP visibility and credibility. Although these positive contributions are overall objectives of UNEP, they are not often explicitly included in UNEP project documents. The breadth of catalytic effects of UNEP projects, in the form of the foregoing benefits is, therefore, an important additional measure of success of the environmental activities of UNEP at the global, regional, subregional and national levels. Catalytic effects are additional sound general indicators for the sustainability of UNEP-initiated or supported environmental activities and processes.

305. The following is a summary of catalytic effects of the projects, which submitted self-evaluation fact sheets in 2001. Many UNEP projects had achieved results beyond those indicated in the project document.

Selected catalytic effects identified

1. Financial

306. These include:

- (a) As a direct catalytic effect of ROE programmes and projects, European Governments are getting interested in providing more funding for environmental activities;
- (b) Successful implementation of a number of activities catalysed interest from new donors;
- (c) Projects leveraged co-financing from participating Governments;
- (d) Project generated new funding because of their success. With the additional funding it was possible to extend the programme to other subregions;
- (e) Project generated a multiplier effect by supporting complementary fund-raising efforts developed by partner institutions in the implementation of the project components;
- (f) Project generated additional funding from the private sector;

- (g) Project created interest in government agencies to provide in-kind financial contributions;
- (h) Seed money provided by the project to many institutes had a very important catalytic effect, attracting much larger investment from countries to carry out similar projects.

2. Environmental knowledge products

307. These include the following:

- (a) Earth Report environmental knowledge products are being sold to many television stations, which are also being used in other presentations, educational, commercial footage sales, public source and announcements;
- (b) The Global Biodiversity Forum (GBF) has enabled a larger participation of non-governmental organizations in conferences of the Parties to the Convention on Biological Diversity, thus increasing stakeholder involvement and in the process enhancing the scope of the Convention on Biological Diversity agenda;
- (c) The continued chairmanship of the Director of CPI of the Joint United Nations Information Committee (JUNIC) demonstrates the recognition of the UNEP contribution to the information and communications work within the United Nations family;
- (d) The UNEP media and communication strategy framework has contributed to the intellectual debate on the development and implementation of a communication culture in the wider United Nations family;
- (e) Higher learning institutions are using project materials in teaching their students;
- (f) Projects catalysed intellectual inputs from relevant scientific institutions and universities in the design of the full project;
- (g) Training courses attracted participants from the private sector;
- (h) Projects facilitated consultation and exchange of information among the region's institutions and specialists on environmental issues;
- (i) Project raised a number of environmental problems in the region and contributed to research and studies on subjects, which are continuing and expanding;
- (j) UNEP projects have facilitated the cross-fertilization of ideas between West, Southern and Eastern Africa;
- (k) The UNEP pertinent methodologies and guidelines were extensively applied and tested by a wide range of countries and partners under the enabling activity projects. These projects are providing opportunities for the continuous refinement of knowledge on various aspects of climate change including mitigation and adaptation;
- (l) The UNEP methodology on Transboundary Diagnostic Analysis/Strategic Action Programme (TDA/SAP) approach for integrated watershed management practices is being refined with multi-stakeholder involvement.

3. Influence on Governments

308. The projects have influenced Governments in the following manner:

- (a) Provided opportunity for government officials in participating countries to participate in conservation-related programmes of a regional nature;

(b) Generated more government requests for UNEP assistance; influenced donor response encouraged other countries to replicate programme project activities; facilitated cooperative mechanisms among Governments;

(c) Generated interest in other Governments for technical assistance to establish national environment-focused civil society initiatives; increased environmental awareness prompting active environmental litigation;

(d) International and multilateral financial institutions have shown interest in introducing Cleaner Production considerations in the training of staff;

(e) Provided opportunity for government official to get involved in relevant environmental issues;

(f) The project on the preparation of national communications for the Convention on Climate Change has resulted in the awareness of the political implications of the results of mitigation analysis. Governments are becoming increasingly aware of the importance of national mitigation studies and economic and financial consequences.

4. On UNEP visibility

309. With regard to UNEP visibility:

(a) UNEP is perceived as a major player in spite of its limited financial resources because of the neutral political platform it provides on politically sensitive negotiations;

(b) Partners are not only providing funds and helping to avoid overlaps with other organizations, but are also raising the profile and credibility of UNEP in the regions.

D. Lessons learned

310. Based on the information provided by self-evaluation fact sheets, a number of lessons can be drawn from the implementation of projects. These lessons are presented in broad categories, related to: fund raising, involvement of stakeholders, institutional arrangements supporting project implementation, project design, and finally lessons learned from the implementation of the enabling activity projects.

311. With an appropriate knowledge management framework, UNEP will utilize these important empirical lessons to address future policy, programme development, project design and implementation.

Lessons learned

1. Funding

312. Mandates and areas of competence of regional and global action programmes should be formulated and designed with a realistic assessment of the possibility of acquiring funds for implementation and taking into account existing environmental funding mechanisms for similar programmes.

313. UNEP should continue to encourage national authorities to make financial contributions to project implementation in order to promote national ownership of the process.

314. In view of the limited financial and human resources of UNEP and in line with its catalytic role in the management of global environment, UNEP needs to further expand its collaboration with other potential partners. In particular, the direct involvement of the private sector and private banks in the implementation of project activities at the local, national and regional levels is necessary.

2. Involvement of stakeholders in environmental activities

315. In compliance with the resolutions of global summits and decisions of successive UNEP Governing Council sessions, UNEP needs to do more to promote participation in environmental programme implementation (through major groups of stakeholders, including, non-governmental organizations, women and youth and community-based organizations in general) by implementing projects targeting such stakeholders. Involvement of such stakeholders in environmental activities enhances the performance of implementation, extends impact and broadens the environmental constituency at national, subregional, regional and global levels.

316. The full involvement of farmers and other natural resource users in biodiversity projects, from development to execution and evaluation is encouraging. Recognition of the value of farmers' knowledge in agrobiodiversity (i.e., agricultural biodiversity and its management) is very important and pays off when involving them as educators of their non-expert colleagues because they speak the same technical language. They are invaluable in the dissemination of information to the rural community at large.

317. When enthusiastic participation of communities becomes a hallmark of project implementation, projects succeed in attaining their objectives. Community involvement, both by individuals and by government, is the key to sustainable community development.

3. Programmatic and substantive issues

318. There is a need to develop the ecosystem approach in the formulation of marine and coastal biodiversity management programmes. The multidisciplinary nature of biodiversity issues calls for the inclusion of a wide range of related sectors that could define the required levels and methods for a better conservation of species, their habitats and ecosystems.

319. The landscape or ecosystem approach to the project "People Land Management and Environmental Changes" is found to be a useful input to the general field of agricultural biodiversity. Many other agencies are gradually shifting in this direction. The integrative aspects of this international project have been beneficial in helping to direct research and demonstration across different environments and social contexts.

320. The participation of a wide range of stakeholders remains the cornerstone of basin-wide projects as demonstrated by the above project. It is indeed a prerequisite for ensuring compatibility of data collected from the various ecotones and ecoregions within a basin. This data informs the transboundary analysis that is the basis for the determination and formulation of basin-wide strategic actions. Closer coordination between subproject teams will also be an essential step towards achieving the necessary level of programme integration needed to move forward with basin-wide analysis and strategy formulation.

321. UNEP should ensure that any future follow-up linked to a nature sanctuary biodiversity conservation project includes the necessary scientific and social science expertise.

4. Implementation arrangements

322. Employing competent experts in Project Preparation and Development Facilities (PDFs) - (GEF project proposal) – helps ensure that the momentum created through the process among stakeholders and donors.

323. The complexity of operational flood risk monitoring requires more time for implementation and better trained scientific personnel to work on the project from developing countries.

324. Large multi-country, multi-disciplinary projects require higher commitment from collaborating organizations, team spirit, and flexible arrangements to allow flexibility in solving problems arising in the course of implementation.

325. The lack of a systematic project monitoring mechanism allows non-performing projects to drag on with few deliverables.

326. The periodic intergovernmental review of strategic objectives and priorities of the global and regional action programmes of UNEP helps to maintain the momentum of political interest in such programmes. The need for reorientation in view of emerging issues, if any, and the issue of funds mobilization, which are often critical to the success of such programmes also gain consistent attention and keep the programmes relevant.

327. The support of Governments and host institutions is essential, and is indispensable at the time of crisis.

5. Design

328. The process of engaging users in the design of ecosystem assessment has proved to be well worth the effort. Specifically, engaging a geographically diverse set of individuals and organizations gives such assessments validity in the eyes of Governments, who eventually are expected to use this information. Individuals and institutions that will be involved in the development of follow-up projects are also more likely to use the information.

6. Convention on Climate Change enabling activity projects

329. More consideration must be given to ensuring smooth transition from enabling activities to projects, funded by GEF or other donors, which respond to the priorities identified in national Biodiversity Strategic Action Plans (NBSAPs) and ensure effective implementation of biodiversity conservation and sustainable use "on the ground".

330. It is imperative that UNEP/GEF presents a detailed and comprehensive orientation to implementing organizations and executing agencies and then to closely follow the development of the project brief to ensure timely delivery of a quality product.

331. Collaboration among experts and partners in various countries provides substantial technical and intellectual inputs that contribute to the success of climate change projects, especially in the developing regions.

332. The objectives of enabling activity projects were considered too ambitious in relation to the time frame set for the projects, the level of funding and the limited technical capacity available in developing countries. In future project objectives and outputs need to be far more modest.

333. Strategic partnerships with strong executing agencies are the foundation of successful implementation of UNEP/GEF projects.

334. In the formulation of enabling activity projects, wrong assumptions of the training needs of countries hamper the effectiveness of project implementation. Conducting a thorough training needs assessment, concurrently with planning field implementation, could help to establish actual training requirements in project countries. On the basis of that assessment, a demand driven and implementable training programme can then be designed. Such an approach would help to create a team of experts with complementary skills. It also enhances the competence of the trainers and the credibility of the deliverables.

335. The project design was not fully realistic with regard to the time required to formalize agreements with Governments and for creating a sense of national ownership in the participating countries. The success of projects at country level depends on the commitment and contribution of the National Focal Point and the National Project Coordinator. Focus on fostering and securing this commitment, in the course of the preparation of the project proposal can ensure a strong sense of ownership and effective implementation of the project.

E. Problems encountered

336. A summary of the problems encountered as reported by self-evaluation fact sheets is presented in table 8. There is a recurrence of these problems, as documented in the UNEP 2000 Annual Evaluation Report, which can be attributed to the need for the strengthening of the UNEP evaluation feedback mechanism within the overall UNEP knowledge management system.

Table 8

Problems encountered

Problem	Causes of problems	Consequences
FINANCIAL		
<ul style="list-style-type: none"> • Late receipt of allotments 	<ul style="list-style-type: none"> • Operational problems that surfaced due to the introduction of IMIS 	<ul style="list-style-type: none"> • Delayed completion of activities and deliverables
<ul style="list-style-type: none"> • Late transfer of funds 	<ul style="list-style-type: none"> • Lengthy process for internalization of the UNEP/GEF project document • Introduction of the IMIS computerized administrative system 	<ul style="list-style-type: none"> • Delay in the initiation of the implementation of project activities.
<ul style="list-style-type: none"> • Insufficient funding 	<ul style="list-style-type: none"> • National Governments failed to meet their commitments. • Lack of reliable long-term and steady contributions • Limited and uncertain financial allocation • Limited contribution from UNEP to core activities • Reduced contribution from Governments 	<ul style="list-style-type: none"> • Delay in completion of project • Staff time spent on fund mobilization rather than on substantive project activities • Reduced UNEP potential for making better impact • Imposed limitation on possibilities of expanding activities
<ul style="list-style-type: none"> • Required funds not raised on time 	<ul style="list-style-type: none"> • Donor country response requires time to consider proposals 	<ul style="list-style-type: none"> • Slow start of project activities
<ul style="list-style-type: none"> • Lack of funding 	<ul style="list-style-type: none"> • No allocation made from the Environment Fund • Partially met commitments 	<ul style="list-style-type: none"> • Considerable time spent on fund-raising. • Necessitated mobilizing external funding in order to maintain specific competencies and hire consultancies. • Delayed project completion
<ul style="list-style-type: none"> • Withdrawal of funding by a major donor (WWF) to the Earth Report. 	<ul style="list-style-type: none"> • WWF felt the Earth Report programmes increasingly reflected the UNEP broad global mandate, hence it felt marginalized. 	<p>The TV/Earth Report will be in dire problems in 2002, as UNEP has not also budgeted for such support.</p>
INSTITUTIONAL		
<ul style="list-style-type: none"> • Mismatch of strategy and available resources 	<ul style="list-style-type: none"> • Too broad a programme mandate and objective 	<ul style="list-style-type: none"> • Difficulty in making impact on all aspects of programme objectives

Problem	Causes of problems	Consequences
<ul style="list-style-type: none"> Late processing of memorandums of understanding and related agreements 	<ul style="list-style-type: none"> Slow process of identifying national focal points and project coordinators Slower processing of formal agreement by participating countries than anticipated. Organizing and launching workshops and starting capacity-building activities were subject to signing formal of agreements 	<ul style="list-style-type: none"> Late commencement of project activities and project completion
<ul style="list-style-type: none"> Slow project and funding approval process 	<ul style="list-style-type: none"> Funding Governments' internal approval procedures take time 	<ul style="list-style-type: none"> Late commencement of project activities Delayed implementation of project activities.
<ul style="list-style-type: none"> Difficulty in establishing efficient coordination mechanism by government partners 	<ul style="list-style-type: none"> Lack of capacities in national focal points to translate the Ministerial Forum's decisions into specific projects and activities 	<ul style="list-style-type: none"> Delay in the implementation of strategic action plans
<ul style="list-style-type: none"> Weak institutional capacity in project management 	<ul style="list-style-type: none"> Departure of key senior project staff Restructuring of Government institutions during project implementation Change of national project personnel due to promotions and transfers 	<ul style="list-style-type: none"> Serious delay of reporting and low quality outputs Delay in start and completion of project activities Delay in project completion and increase in costs.
<ul style="list-style-type: none"> Delayed approval of the UNEP/GEF project document 	<ul style="list-style-type: none"> Lengthy process for the internalization of the UNEP/GEF project document 	<ul style="list-style-type: none"> The long delay in approval of project, necessitated project revisions as the needs of the project changed.
PROGRAMMATIC		
<ul style="list-style-type: none"> Developed management plan and strategy not robust 	<ul style="list-style-type: none"> Lack of adequate UNEP input 	<ul style="list-style-type: none"> Uncertain long-term management of the game reserve
<ul style="list-style-type: none"> Logistic difficulties in arranging workshop 	<ul style="list-style-type: none"> Identifying suitable national participants difficult 	<ul style="list-style-type: none"> Delay in start and completion of activities and outputs.
<ul style="list-style-type: none"> Poor project coordination 	<ul style="list-style-type: none"> Lack of political support to climate change enabling activity projects. 	<ul style="list-style-type: none"> Delay in submission of National Initial Communication report despite project activities being completed
<ul style="list-style-type: none"> Delay in preparation and publication of training materials 	<ul style="list-style-type: none"> Failure of recruiting competent consultants and limited in-house professionals in the executing agency. 	<ul style="list-style-type: none"> Some delay in project outputs

VIII. ASSESSING THE ROLE OF EVALUATION IN STRATEGIC MANAGEMENT

A. Introduction

337. UNEP has developed and put in place a system to comply with General Assembly and UNEP Governing Council programme accountability requirements. General Assembly resolutions govern evaluation activities in the United Nations, including UNEP, resolution 37/234 of 21 December 1982, and 40/240 of 18 December 1985. Evaluation activities are also guided by Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation adopted by the General Assembly in 1982 and revised in 2000 (ST/SGB/2000/8 of 19 April 2000). Guided by these General Assembly Resolutions, the UNEP Governing Council decisions 12/15, 13/1 and 14/1 require that all UNEP projects and activities be evaluated.

338. Evaluation plays an effective role for UNEP to comply with substantive accountability requirements of the United Nations General Assembly and its own governing body, as noted above, and its donors in general. Furthermore, evaluation plays a strategic role in the continuous effort by UNEP to improve programme delivery, by providing the opportunity for identifying its strengths and weaknesses in the design, management and implementation, monitoring and evaluation of environmental policies, strategies, programmes and projects. Evaluation therefore serves UNEP as a management tool both for meeting compliance requirements and for improving future policies and strategies in light of the experience gained, for improving future policies and strategies that would have an impact on the environment.

339. This chapter discusses how effectively UNEP is using evaluation as a strategic management tool. The value added of evaluation for UNEP is the extent to which evaluation outputs, findings, lessons learned, environmental knowledge products and recommendations are being used or acted upon at all levels of UNEP management. In this respect, evaluation attempts to assess the effectiveness of the existing evaluation mechanism as it enhances the capacity of UNEP as a learning organization.

340. The other issue is assessing the EOU role and capacity, as an important catalysing factor in identifying, compiling, distilling, and disseminating knowledge gained and lessons learned through the implementation of the UNEP mandate and mission. How effectively is EOU influencing the UNEP-system to use its products to inform future policies, strategies, programmes and projects in strategic ways?

B. Implementation of evaluation recommendations

341. Overall, UNEP complies with the United Nations General Assembly and UNEP Governing Council requirements regarding the need for all its programmes to be evaluated. However, UNEP needs to strengthen accountability for the submission of self-evaluation fact sheets by divisions.

342. The rate of implementation of evaluation recommendations has improved. All the 12 in-depth and desk project evaluations carried out in 1999 have submitted plans to implement evaluation recommendations. Of the 134 recommendations 56 per cent have already been implemented, 16.7 per cent are in progress and 4.7 per cent are partially implemented. Only 22.6 per cent have not yet been implemented. This performance is a substantial improvement on previous years.

343. The issues involved in those recommendations not-yet implemented are important and need to be addressed by management. Analysis of the causes shows that 15 recommendations were meant to be implemented by the "Caring for Biological Resources and Caring for Land Resources" subprogrammes, which do not exist as distinct units within the current UNEP functional structure. The other recommendations were not implemented because, as reported by programme managers, successive planned phases did not secure funding.

344. Regarding the implementation of project evaluation recommendations for 2000, the record has significantly improved over those of 1999, for the same period. Implementation of 50 per cent of the 2000 evaluation recommendations is currently in progress. For the other half (71 recommendations

related to seven project evaluations), however, the relevant divisions have not yet submitted implementation plans to EOU. Over 50 per cent of these recommendations are related to four climate change enabling activity projects, which DPDL has reported will be implemented by Governments as and when the appropriate meeting of the Parties takes decisions on the funding of successive phases. Likewise, there are no plans yet to implement the other 18 recommendations, as funding for their planned successive phases has not yet been put in place. These recommendations are related to two projects. "A Participatory Approach to Managing the Environment: an Input to the Inter-American Strategy for Participation" and the DTIE project "Training on Environmental Management for Industry and Business in Thailand".

345. UNEP has substantially implemented the policy and programmatic recommendations of strategic importance made by the 1999 UNEP Annual Evaluation Report. The 2000 UNEP Annual Evaluation Report made several strategic recommendations. They included those that called for the initiation of major reviews of the UNEP policy development process and the UNEP knowledge management framework. Another significant recommendation was related to the need to strengthen internal linkages among subprogrammes by establishing "programme teams", on thematic and sectoral lines, that would review programme and project proposals to ensure the integration of relevant environmental issues and the coherence and complementarity of divisional programmes. Additional recommendations have been made in this 2001 Annual Evaluation Report in order to complement and reinforce the 2000 recommendations. Importance should be attached to the implementation of those recommendations because those exercises and their respective outcomes could significantly improve UNEP programme delivery in the long run. UNEP senior management has accordingly responded with firm plans to address the foregoing recommendations in the year 2002 (See annex V).

346. The UNEP performance in the implementation of evaluation recommendations is clearly improving, as evidenced in the previous paragraph. It is important however to consider the causes of the non-implementation of evaluation recommendations presented in paragraphs 140 and 141 above. There is a need for the UNEP Senior Management Group and DPDL to review the applicability and appropriateness of the 1999 recommendations related to the Caring for Biological and Land Resources subprogrammes, to ascertain whether programme linkages are sufficiently integrated and internalized in the current UNEP programming approach. The effectiveness of the UNEP functional structure can be enhanced if the thematic environmental issues, now being dealt with by all substantive divisions, are interlinked through a formal policy and programming process and mechanism, as discussed in chapter IV.

347. Most of the climate change enabling activity recommendations contained in paragraph 141 above are not necessarily country-specific. Those country-specific recommendations can wait to be addressed in the formulation and implementation planning phases of successive project phases, as and when funding is secured. Those recommendations addressing programmatic and institutional problems common to country projects, however, should be compiled and distilled for use in the formulation of similar Convention on Climate Change enabling activity projects in other countries. EOU and DPDL should also develop a summary of lessons learned and problems encountered in the design, implementation and monitoring of Convention on Climate Change enabling activity projects implemented by UNEP, to share these with GEF and the other GEF implementing partners.

348. The Evaluation and Oversight Unit should raise such wider issues related to the implementation and use of recommendations at the two available levels of decision-making. The first level would be at the meetings chaired by the Deputy Executive Director and attended by relevant divisions, directors, regional directors, programme managers and the Chief of the Evaluation and Oversight Unit, which are convened to review programmatic recommendations made in evaluation reports of subprogrammes or projects. The Senior Management Group, which convenes every six months, in June and December, to review policy-related recommendations compiled and presented by EOU, including those in the UNEP Annual Evaluation Reports, provides another opportunity. Both the UNEP management and EOU should benefit from these mechanisms, which could, if used regularly and properly, enhance the capacity of UNEP to learn from its experience.

C. Internalization of lessons learned and rectification of problems encountered

349. The pattern of funding, institutional and programmatic problems identified in the project evaluations discussed in chapters IV to VI and chapter VII (Summary of self-evaluation fact sheets) shows recurring constraints. The recurrence of most of these constraints indicates the need to strengthen UNEP staff capacity in project design and management, evaluation feedback and the UNEP knowledge management framework generally. UNEP management has recognized the strategic nature of this issue and has accordingly planned to conduct a review of its knowledge management framework.

350. UNEP has been engaged in identifying good practices and the discerning of lessons learned from the implementation of its programmes as well as of activities carried out by other organizations or communities. The UNEP initiative entitled "Success Stories in Land Degradation and Desertification Control" is one of those worth noting. This programme has so far publicized over 25 projects and community-based initiatives by granting them the UNEP "Saving the Drylands" award, in recognition of their substantive contribution to the prevention of dryland degradation or to the reclamation of degraded land, using appropriate methodological and practical approaches. DEPI has also been developing a database on best practices for the implementation of projects related to several types of ecosystems and environmental themes. This database will soon be accessible on the UNEP web site.

351. The present UNEP Annual Evaluation Report has also identified a range of lessons learned from the implementation of UNEP programmes (See chapters IV-VII). UNEP has however, yet to put in place a system-wide mechanism for distilling, disseminating and internalizing lessons learned and good practices identified by evaluations for use by the whole organization.

D. Capacity of the Evaluation and Oversight Unit

352. With the guidance and full support of UNEP senior management, the quality and scope of activities of the Evaluation and Oversight Unit has been improving over the recent years. Some of the significant improvements include:

(a) The establishment of a sub-web site for UNEP evaluation reports. New project evaluation reports and annual evaluation reports are being added to the web site www.unep.org/eou. This sub-web site will help UNEP forge a link with other United Nations organizations, both to share its experience with them and also benefit from the experience of others in the area of evaluation;

(b) EOU has developed a computer database for monitoring the status of implementation of evaluation recommendations. The database has already facilitated monitoring and has strengthened the UNEP evaluation feedback mechanism, by improving communication with divisions and programme managers. The database is still being refined however, and will require continued cooperation from the divisions.

353. The quality of evaluation reports has also been improving, with a more exact analysis, and the highlighting of lessons learned and programme and project constraints. These improvements may be attributed to the further elaboration of evaluation indicators and to the continuous refinement of the scope and exactness of evaluation terms of references over the recent past. That basis for a more rigorous independent assessment of UNEP performance has enabled the evaluation unit to make several strategic policy and programmatic recommendations. When implemented, those recommendations could positively impact the overall UNEP programme delivery in the long term.

354. The future challenge for UNEP will be to consolidate the institutionalization of its evaluation function, as well as improving the capacity of EOU so that it may continue to improve its support for UNEP programme accountability and programme delivery in strategic ways.

Annex I

Terms of reference for the 2001 Annual Evaluation Report

The purpose of the 2001 Annual Evaluation Report is to provide a comprehensive analysis and objective assessment of UNEP performance in 2001. The main objectives are to share the evaluation results with Governments and for UNEP to use the report as a management tool. This evaluation report also provides a means for UNEP to be accountable to its Governing Council, donors, partners and the United Nations.

The evaluation report is a summary of how the UNEP programme was delivered during 2001 and focuses on the main issues arising from the analysis. The major themes that occur in the evaluations are delineated to facilitate clearer understanding. This enables UNEP to determine the overall outcome of its activities. Emphasis will be placed on the impacts of evaluation on programmes and project management and policy formulation.

The 2001 Annual Evaluation Report produced by the Evaluation Unit will cover aspects of UNEP work by analysing and summarizing the results of subprogramme/division and project evaluations and self-evaluation fact sheets submitted to the Evaluation Unit during 2001 (see attached list). Discussions with key members of UNEP staff will complement the review of evaluation reports, project documents, progress reports and publications. Wherever applicable, statistical analysis shall be applied to some aspects of evaluations, such as budget variance and project/programme duration. The evaluation report will also assess if and how the recommendations of the 2000 Annual Evaluation Report have been implemented and what impact they have had on UNEP programme delivery in 2001.

Specifically, this evaluation report will provide a summary of the projects evaluated in a logical sequence, which embodies the main facets of "evaluation"; relevance, effectiveness, efficiency and impact. It will also provide a summary of the actions taken following the recommendations of the 2000 Annual Evaluation Report and the management response to that report.

1. Relevance and appropriateness

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

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

2. Effectiveness and efficiency

To review the effectiveness of subprogrammes and projects by:

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

- Determining the effectiveness of UNEP administrative procedures and financial systems and institutional arrangements, including how effectively UNEP has collaborated with other agencies and organizations and how these affect subprogramme/project implementation;
- Determining UNEP efficiency in programme delivery through the examination of subprogramme and project implementation.

3. Impact

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

- Examining the catalytic function fostered by UNEP, including where possible, a presentation of how they have influenced policies, strategies and other activities of the cooperating and supporting agencies, Governments and partners;
- Determining the progress made in attaining long-term results and how these results have impacted on the environment;
- Assessing the value of subprogramme/project results from any follow-up processes, such as monitoring and reporting;
- Evaluating the usefulness and impact of outputs, including where possible, the opinions of recipients and beneficiaries;
- Judging the contribution of outputs and activities to the improvement of environmental quality and the implementation of sustainable development.

4. Policy and strategic management

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

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

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

(a) State the major areas of concern arising from the analysis, separating the issues into:

- Policy concerns, such as institutional arrangements, administrative procedures and funding arrangements;
- Subprogramme and project concerns, such as implementation, management, attainment of results, and monitoring and follow-up;

(b) Prepare recommendations, addressing both the policy concerns and the subprogramme and project concerns, that:

- Draw on the lessons learned from the successful implementation of relevant and effective subprogrammes and projects;
- Formulate responses that can be implemented efficiently and with available resources;

(c) Review the implementation of the recommendations made in the 1999 Annual Evaluation Report by:

- Reviewing implementation of the UNEP management response to the 1999 Annual Evaluation Report and how this has impacted on programme delivery in 2000.
- Reviewing the implementation plan set out in the 2000 Annual Evaluation Report;
- Reviewing the individual implementation plans for relevant subprogrammes and programme elements;

- Assessing implementation progress from information received by the Evaluation and Oversight Unit and information from the subprogrammes and programme elements;
- Assessing how the implementation of the evaluation recommendations has impacted on the management of projects and subprogrammes, including the identification of aspects of project management that have improved as a result of learning from the evaluations. Examples must be given to demonstrate this impact;
- Determine if and how evaluation recommendations have impacted on the quality of project documents;

(d) Set out a course of action necessary for UNEP to implement the 2000 recommendations and any outstanding matters from the previous year, taking into account the policy and subprogramme changes required.

5. Evaluation schedule

The evaluation will be for a duration of 10 weeks spread over 12 weeks. A draft report will be submitted nine weeks after the commencement of the assignment, i.e., on 19 February 2002. UNEP will take two weeks to give feedback on the draft and a further one week will be used to finalize the document.

6. Report outline

Executive summary - Not more than five pages.

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

Annex II

LIST OF EVALUATIONS FOR 2001

In-depth project evaluations

1. Evaluation of the Regional Office for West Asia (ROWA)
2. Evaluation of the regional offices as per Governing Council decision 19/22 - Regional Office for Europe (ROE)
3. Evaluation of the Regional Office for Asia and the Pacific (ROAP).
4. Evaluation of the Regional Office for Latin America and the Caribbean (ROLAC)
5. FP/2200-98-02 – UNEP Collaborating Centre on Energy and Environment – Phase IV.
6. In-depth Evaluation of MT/5510-99-03 - New UNEP Global Participative Observing and Assessment Strategy.
7. MT/1500-99-01 - Reducing the Impact of Environmental Emergencies Through Early Warning and Preparedness - the Case of El Niño Southern Oscillation (ENSO)
8. GF/2200-97-44 - Enabling Activities for the Preparation of Initial National Communications Related to the United Nations Framework Convention on Climate Change (UNFCCC) - Mauritania
9. GF/2200-97-41 - Enabling Activities for the Preparation of Initial National Communication Related to the United Nations Framework Convention on Climate Change (UNFCCC) – Turkmenistan.
10. GF/2200-97-51 - Enabling Activities for the Preparation of Initial National Communication Related to the United Nations Framework Convention on Climate Change (UNFCCC) - Cote d'Ivoire
11. GF/2200-97-47 - Enabling Activities for the Preparation of Initial National Communication Related to the United Nations Framework Convention on Climate Change (UNFCCC) - Niue

DESK EVALUATION

1. GF/3100-98-07 - Regionally Based Assessment of Persistent Toxic Substances.

Annex III

LIST OF SELF-EVALUATION FACT SHEETS AND REPORTS FOR 2001

Self-evaluation fact sheets submitted and analysed

FP/CP/5310-99-01	Earth Report/BBC World/TVE
FP/7000-00-01	Communication and Public Information
ME/XM/6030-00-18	Support to the Blue Plan Regional Activity Centre
ME/XM/6030-00-12	Support to Regional Activity Centre for Specially Protected Areas (RAC/SPA)
FP/ME/6030-00-13	Technical support to the implementation of MEDPOL-Phase III programme
EL/3010-01-18	Partnership for the development of Environmental Law and Institutions in Africa (PADELIA)
FP/RA/CP/3000-00-01	Division of Environmental Policy Implementation
FP/CP/RA/GN/GN/3010-00-35	Implementation of UNEP functions as the secretariat of the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities
GF/1100-95-12	UNEP participation in the Global Environment Facility (GEF): General support
GF/1300-95-65	Integrated ecosystem approach to conserve biodiversity and minimize habitat fragmentation in the Russian Arctic
GF/5510-99-02	Millennium assessment of the state of the world's ecosystems
SP/1020-00-70	GEF Programme tracking and mapping system
GT/1010-00-04	Operational flood risk monitoring in Asia
GF/1100-99-16	Implementation of integrated watershed management practices for the Pantanal and Upper Paraguay River Basin
CP/1010-00-16	Bridging project for the Millennium Ecosystem Assessment
GF/1300-98-01-6161 GF/1200-95-55	People, land management and environmental change (PLEC) Catalysing conservation action in Latin America: Identifying priority sites and best management alternatives in five globally significant ecoregions.
GF/1200-95-54	An indicator model for dryland ecosystems in Latin America
GF/1300-99-02	Strategy for integrated conservation of dryland biodiversity through land rehabilitation in the arid and semi-arid regions of Mozambique, Zambia and Zimbabwe
GF/1200-98-10	The Global Biodiversity Forum (GBF): Broadening support for the implementation of the Convention on Biological Diversity - Phase II

GF/1200-99-01	Lop Nur nature sanctuary biodiversity conservation
GF/1200-98-11	Development of best practices and dissemination of lessons learned for dealing with global problem of alien species that threaten biological diversity
GF/1200-96-03	Assistance for the preparation of the National Biodiversity Strategy Action Plans and First National Report to the Convention on Biological Diversity
GF/1200-99-04	Management of agrobiodiversity for sustainable land use and global environment benefits (PDF-B)
GF/4310-95-43	Development of national legislation for the implementation of the United Nations Framework Convention on Climate Change
GF/1100-99-14	Integrated management of land-based activities in the Sao Francisco basin
GF/2200-97-16	Assistance to Selected Non-Annex I Parties for the Preparation of Initial national Communications to the UNFCCC
LA/4310-99-02	Implementation of the Lusaka Agreement on Cooperative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora
CP/5230-99-04	Joint European Meeting Preparing for the Fifth Conference of the Parties to the Convention on Biological Diversity (Riga Conference)
FP/GF/5023-00-07	Addressing transboundary environmental issues in the Caspian Environment Programme (CEP) - strengthened institutional, legal, regulatory and economic frameworks for SAP implementation
ES/5023-00-05	Service for implementation of national biodiversity strategies and action plans
AH/CP/5230-96-01	Support to regional and subregional cooperation: Europe
ET/5240-96-02	Environmental Training Network for Latin America and the Caribbean
GEF/3100-98-07	Regionally based assessment of persistent toxic substances
GF/3100-98-07	GEF PDF-B Regionally Based Assessment of Persistent Toxic Substances
KT/2110-99-09	Strategies and mechanisms for promoting cleaner production investments in developing countries
Other self-evaluation fact sheets submitted.	
AS/1201-95-04	Capacity-building for chemical risk management in Guinea
CP/5400-97-71	Establishment of GRID Moscow, pilot phase
FP/2200-96-10	Reduced environmental impacts of energy utilization
FP/0904-94-01	Developing an energy policy for UNEP

EA/1100-97-01	Support for the establishment and the operation of the Regional Coordinating Unit for the Eastern African Action Plan
FP/1200-98-09	Models for integrated management of Himalayan ecosystems
FP/EA/1100-96-16	Protection and management of the Marine and Coastal Areas in the Eastern African Region - EAF/5 Phase II
GF/2200-96-15	Economics of GHG Limitations - phase I: Establishment of a methodological framework for climate change mitigation assessment
GF/1300-97-04	Management of indigenous vegetation for the rehabilitation of degraded range lands in the arid zone of Africa - Botswana, Kenya, Mali
GF/0301-94-06	Biodiversity data management capacitation in developing countries and networking biodiversity information

Annex IV

MISSION, MANDATES AND OBJECTIVES OF THE UNITED NATIONS ENVIRONMENT PROGRAMME

1. The mission of UNEP is "to provide leadership and encourage partnerships in caring for the environment by inspiring and enabling nations and people to improve their quality of life without compromising that of the future generations."
2. The mandate and objectives of UNEP emanate from General Assembly resolution 2997 (XXVII) of 15 December 1972 and subsequent amendments contained in Agenda 21, paragraph 38.22¹, Nairobi Declaration on the Role and Mandate of the United Nations Environment² of the nineteenth session of UNEP Governing Council and the Malmö Ministerial Declaration³ of 31 May 2000 and the United Nations Millennium Declaration⁴.
3. The above legislative mandate and relevant Governing Council decisions, act as the authority for environmental actions, at the global and regional levels, within the United Nations system. To this effect UNEP is mandated to catalyse and coordinate the development of environmental policy consensus, by keeping the global environmental situation under review, and bringing emerging environmental issues to the attention of the international community and to Governments for action. The following specific mandates determine UNEP activities.

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

4. The Earth Summit mandated UNEP (Agenda 21 paragraph 38.22(m)) to support, upon request, Governments, development agencies and organs in the integration of environmental aspects into their development policies and programmes. The support was to include provision of environmental, technical and policy advice during programme formulation and implementation of various United Nations agencies, official donor agencies.

2. Governing Council decisions - eighteenth session, May 1995

5. In its decision 18/1 the Governing Council gave the following guidance on the role of UNEP and the areas of concentration for the 1996-1997 biennium:
 - (a) Assessing and addressing existing and emerging critical issues in the field of the environment;
 - (b) Promoting international cooperation in the field of the environment and recommending, as appropriate, policies to this end;
 - (c) Acting as a catalyst to address major threats to the environment;
 - (d) Monitoring the status of the global environment through gathering and dissemination of reliable environmental information;
 - (e) Facilitating the coordination of activities of all United Nations bodies on matters concerned with the environment, ensuring, through cooperation, liaison and expert participation, that environmental considerations are taken into account in their activities;

¹ Report of the United Nations Conference on Environment and Development, Rio de Janeiro, 3-14 June 1992, (United Nations publication, Sales No. E.93.I.8 and corrigenda), vol. I: Resolutions adopted by the Conference, resolution 1, annex II.

² Governing Council decision 19/1, annex.

³ Governing Council special session decision SS.VI/1, annex.

⁴ General Assembly resolution 55/2 of 8 September 2000.

- (f) Supporting, upon request, environment ministries and other national environmental authorities, in particular in developing countries and countries with economies in transition, in the formulation and implementation of their environmental policies, and related capacity-building activities;
- (g) Furthering the development of international environmental law;
- (h) Providing expert advice on the development and use of environmental economic concepts and instruments;

3. Developing regional programmes for the environment

6. In the same decision the Governing Council also resolved that the major results of the activities of UNEP should be:

- (a) International arrangements to enhance environmental protection;
- (b) Periodic assessments and scientifically sound forecasts designed to support decision-making and the creation of an international consensus on the main environmental threats and responses;
- (c) More effective coordination of environmental matters within the United Nations system;
- (d) Policy options and advice to Governments, multilateral organizations and others, which incorporate the environmental dimension into the sustainable development process and strengthen environmental protection;
- (e) Higher public awareness and greater capacity for environmental management and effective national and international responses to the threats of environmental degradation.

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

7. The Nairobi Declaration further elaborated the existing UNEP policy mandate as summarized below:

- (a) Provide policy advice based on the best scientific and technical capabilities available;
- (b) To advance the implementation of agreed international norms and policies;
- (c) To serve as an effective link between the scientific community and policy makers;
- (d) To provide policy and advisory services in key areas of institution building, to Governments and other relevant institutions.

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

9. UNEP then adopted the following programme structure to discharge its expanded mandate:

- (a) Sustainable management and use of natural resources;
- (b) Sustainable production and consumption;
- (c) A better environment for human health and well-being;
- (d) Globalization and the environment;
- (e) Global and regional servicing and support.

10. In the course of the 1998-1999 biennium, UNEP also changed from the above thematic/sectoral to a functional structure. The new structure became fully effective in the biennium 2000-2001. The structure is composed of the following six functional divisions:

- (a) Environmental assessment and early-warning;
- (b) Policy development and law;
- (c) Policy implementation;
- (d) Technology, industry and economics;
- (e) Regional cooperation and representation;
- (f) Environmental conventions.

5. The Malmö Ministerial Declaration

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

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

12. The Malmö Declaration enhances the UNEP enabling international environment and provides further direction for present and future environmental strategies and action, which will help UNEP fulfill its mission.

6. The United Nations Millennium Declaration

13. During the fifty-fifth session of the General Assembly the Heads of State and Government adopted the United Nations Millennium Declaration. The United Nations Millennium Declaration resolved, *inter alia*, to take the following measures in order to protect "our common environment":

(a) Spare no effort to free all of humanity and above all our children and grandchildren, from the threat of living on a planet irredeemably spoilt by human activities, and whose resources would no longer be sufficient for their needs;

(b) Reaffirm and support the principles of sustainable development, including those set out in Agenda 21, agreed upon at the United Nations Conference on Environment and Development;

(c) Resolve, therefore, to adopt in all environmental actions a new ethic of conservation and stewardship and, as first steps, resolve:

(i) To make every effort to ensure the entry into force of the Kyoto Protocol, preferably by the tenth anniversary of the United Nations Conference on Environment and Development in 2002, and to embark on the required reduction in emissions of greenhouse gases;

(ii) To intensify our collective efforts for the management, conservation and sustainable development of all types of forests;

(iii) To press for the full implementation of the Convention on Biological Diversity and the Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa;

(iv) To stop the unsustainable exploitation of water resources by developing water management strategies at the regional, national and local levels, which promote both equitable access and adequate supplies;

(v) To intensify cooperation to reduce the number and effects of natural and man-made disasters;

(vi) To ensure free access to information on the human genome sequence.

14. The United Nations Secretary-General has prepared a report, A/56/326, "Road map towards the implementation of the United Nations Millennium Declaration" detailing how the above commitments could be fulfilled. The Secretary-General's report identifies the following three targets for "ensuring environmental sustainability":

(a) Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources;

(b) Reduce by half the proportion of people without sustainable access to safe drinking water;

(c) Achieve significant improvement in lives of at least 100 million slum dwellers, by 2020.

15. According to the 25 March 2002 communication of the Secretary-General to all United Nations staff, the United Nations agenda, including UNEP, for the foreseeable future emanates from the Millennium Declaration and the associated development goals.

Annex V

IMPLEMENTATION PLAN FOR THE RECOMMENDATIONS OF THE
2000 ANNUAL EVALUATION REPORT

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
I. United Nations Environment Programme policy development process					
A. <u>Policy framework</u>					
<p><u>Finding</u></p> <p>The evaluation has established that, among UNEP policy makers in DPDL and in the other divisions, there is a lack of clarity and consensus as regards policy development. There would also appear to be no functioning feedback mechanism that could facilitate upward or downward flow of information relating to implementation of policies and the provision of policy guidance.</p> <p>For these reasons, it seems that there is no clear or working mechanism that allows programme implementers to participate in policy development, formulation and change; and that, at the same time, ensures that activities conform to the UNEP policy framework.</p>	<p><u>Recommendation 1</u></p> <p>UNEP should review its existing policy development process with a view to defining:</p> <p>(a) The role of the UNEP central policy development mechanism (DPDL) and the policy issues under its mandate;</p> <p>(b) Those policy issues which should be addressed at the divisional and sectoral levels;</p> <p>(c) The interactions that should be supported by formal feedback mechanisms and anchored in a UNEP-wide policy development process and framework.</p> <p>A UNEP policy framework developed through such a process and interaction would ensure that policies developed by sectors and divisions conform to and support the organizational policy, while providing the necessary flexibility for sectors to develop and execute programmes and activities efficiently.</p>	<p>SMG to review the current UNEP-wide policy development process and framework, and if it deems it necessary, to initiate a comprehensive and deeper study with the view of further strengthening the mechanism for integrated UNEP policy development that links UNEP policy with divisional and regional policies.</p>	<p>UNEP policy development process more integrated.</p>	<p>Outcome of the review exercise/study ready for the preparation of the UNEP 2004-2005 Biennium Programme of Work</p>	
B. <u>Internal linkages</u>					
<p><u>Finding</u></p> <p>UNEP specifies that at the divisional programme of work level, internal and external linkages should be forged to effectively implement strategies and activities. Internal linkages, which consist of operationalizing interactions and inputs among the functional divisions during the design and implementation of programmes, are important in promoting integrated programmes.</p> <p>Although external linkages are generally</p>	<p><u>Recommendation 2</u></p> <p>Need for further strengthening and institutionalizing internal linkage mechanisms by taking the following measures:</p> <p>(a) Establishing "programme teams" comprising staff from each of the divisions with appropriate and relevant experience on various sectoral or thematic issues;</p> <p>(b) Charging the teams with the responsibility of reviewing pertinent proposals to ensure, during the design phase, the integration of relevant environmental issues, coherence and complementarity of these proposals with related programmes or projects;</p>	<ul style="list-style-type: none"> SMG to establish the proposed "programme teams" on thematic and sectoral lines to review programme development and project proposals with a view to ensuring the integration of relevant environmental issues, coherence and complementarity of divisional programmes and project proposals 	<p>UNEP programmes and projects more integrated allowing for wider scope and environmental impact.</p>	<p>2002</p>	

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
<p>well developed, the strategy of forging internal linkages has not been uniformly or sufficiently adhered to. The evaluation has observed that the internal linkages between divisions and projects that do exist are weak and at best created on a case-by-case basis.</p> <p>The failure by divisions to foster appropriate internal linkages denies them the opportunity to benefit from one another's expertise and experience; reduces the environmental scope and issues each division can address; and thus minimizes the extent of UNEP's environmental impact.</p>	<p>(c) Ascertaining that internal linkages have been applied, both during the design of a project and during its implementation phase. The Programme Coordination and Management Unit, representing senior management, would be entrusted with this responsibility. It would check the linkage requirement defined for a particular programme element in the pertinent divisional programme of work;</p> <p>(d) Adhering to the linkage requirement as one of the prerequisites for approval of project proposal documents.</p> <p>The above procedures could strengthen the organizational structure of UNEP by encouraging a holistic approach and fostering interdivisional joint development and implementation of programmes and projects, all of which could improve the impact of UNEP activities on the environment.</p>	<p>with related programmes or projects.</p> <ul style="list-style-type: none"> • PAG to continue to monitor that projects consider appropriate internal linkages as stipulated in the appropriate programme of work 		Continuing	

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
C. Knowledge management framework					
<p><u>Finding</u></p> <p>In conformity with its mandate and mission, UNEP is providing intellectual and scientific leadership to the international community on the environment as evidenced by the many environmental knowledge products it has developed. These products include methodologies, technical guidelines, national and regional frameworks of action, national and regional policy instruments and mechanisms, voluntary initiatives, policy implementation approaches, and environmental assessment models. These products translate environmental knowledge into appropriate actions resulting in a better quality environment.</p> <p>Indeed, UNEP environmental knowledge products are now the standard reference for assessing the environment, building environmental and sustainable development policy consensus and promoting action at the global, regional and national levels.</p> <p>There is, however, a need for UNEP to do more to institutionalize a system-wide knowledge management framework as demonstrated by the following evidence:</p>	<p><u>Recommendation 3</u></p> <p>It is recommended that UNEP initiate a major review of its existing knowledge management framework. The review should address issues, including: mechanisms of distilling lessons learned from implementing environmental activities and new knowledge gained from applying environmental knowledge products; sharing and disseminating such lessons and new knowledge to both internal and external users; and following up their implementation, internalization and use.</p> <p>This system-wide comprehensive review should aim to determine the extent to which the UNEP knowledge management framework supports the UNEP mission of impacting on the global environment through the interacting processes of "environmental assessment, policy development and environmental action."</p> <p>The evaluation proposes that the system-wide review should consider the following recommendations:</p> <p>(a) It is the responsibility of the senior management to ensure that subprogramme and in-depth project evaluation recommendations are implemented. The measures taken to expedite the process will be assessed at the end of 2001. In order to ensure compliance with the evaluation recommendations, the management should, in accordance with the Evaluation and Oversight Unit implementation progress report, consider taking strong measures in respect of those divisions and programme managers who fail to comply.</p>	<p>SMG to consider these recommendations and transmit its decision and/or instruction to the substantive Divisions, PCMU and EOU.</p>	<ul style="list-style-type: none"> Enhanced UNEP knowledge management framework that strengthen the internalization of lessons learned from implementation of environmental activities. This would feed into policy formulation. Enhanced proactive role of EOU by contributing to the UNEP knowledge management framework. 	2002	

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
<p>(a) The recurring problems reported every year by subprogramme and in-depth project evaluations and self-evaluation fact sheets that negate lessons identified by past evaluations. These recurring constraints continue to impede project delivery;</p> <p>(b) The continuing gaps in the implementation of evaluation recommendations;</p> <p>(c) The failure by divisions to submit self-evaluation fact sheets for ongoing projects and the failure of senior management to enforce the requirement. Non-compliance with this requirement is denying UNEP strategic and operational management information to improve future policy making;</p> <p>(d) The long process of developing, applying, testing, and refining the UNEP environmental knowledge products across thematic, functional, and geographic lines. It is clear that such a complex activity requires a more robust system-wide knowledge management mechanism.</p> <p>The foregoing findings point to the need for a functioning knowledge management system that consolidates, disseminates and follows up the implementation of recommendations and internalization of lessons learned and the development, testing and refinement of knowledge products throughout the UNEP system.</p>	<p>(b) As regards lessons learned and constraints identified, it is recommended that the Evaluation and Oversight Unit, jointly with the Programme Coordination and Management Unit and relevant divisions, work to consolidate, distill and share the end product with internal and external users through an accessible format and medium. This process should be aimed at:</p> <p>i) Consolidation : The Evaluation and Oversight Unit consolidates lessons learned and constraints identified in subprogramme and in-depth project evaluations and self-evaluation fact sheets;</p> <p>ii) Distilling knowledge: The Evaluation and Oversight Unit analyses lessons learned and constraints in terms of their recurrence, scope, system-wide implications and their underlying causes in a special report. The report is distributed through the Deputy Executive Director to all divisions for their comment. The Evaluation and Oversight Unit, in cooperation with divisions and the Programme Coordination and Management Unit, organizes a workshop with the Evaluation and Oversight Unit report and the feedback from the divisions serving as the main resource material. The workshop assesses the integrity, usefulness and value added, relevance and applicability of future policy and project design. Depending on the significance of the issues and need, external experts and resource persons can be invited to participate in such workshops;</p> <p>iii) Sharing and dissemination: The outcome of the workshop is published as a UNEP knowledge product as Evaluation Digest and widely distributed internally and externally. Depending on findings of evaluations, the Evaluation and Oversight Unit "Evaluation Digest" can focus on thematic, functional and programmatic issues; such as, integrated coastal area management, water basins, environmental awareness-raising, capacity-building, and environmental assessment and impact.</p>				

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
	<p>(c) While the substantive divisions and programme managers are primarily responsible for managing the application and refinement of environmental knowledge products, the Evaluation and Oversight Unit and the Programme Coordination and Management Unit should also have a role in facilitating the distilling of knowledge gained from such activities and in following up their dissemination and internalization within the UNEP system. It is therefore recommended that:</p> <p>i) The Evaluation and Oversight Unit initiates the process of distilling the refinements, improvements and new knowledge gained from the evaluation of a particular environmental knowledge product. Furthermore, that it compiles and consolidates refinements reported by evaluations and terminal reports and organizes a workshop where the substantive division responsible, other divisions, Programme Coordination and Management Unit, specialist resource persons and participant organizations (implementing and collaborating agencies) are represented;</p> <p>ii) The outcome of the workshop, which identifies relevant refinements, is published as an update to the original knowledge product. The update is published by the substantive division, as a UNEP publication, and disseminated internally and externally for implementation and internalization;</p> <p>iii) The substantive divisions are the owners of the process, the Evaluation and Oversight Unit is the facilitator and monitors application and results through future evaluations, while the Programme Coordination and Management Unit ensures that future project proposal designs, use, consider, or incorporate the latest refinements of a relevant knowledge product.</p>				
<u>D. Programmatic issues</u>					
<u>4. Impact</u>					
<p><u>Finding</u></p> <p>As discussed in greater detail in the 1999 Annual Evaluation Report, the current report also recognizes the difficulties involved in determining the impact of UNEP activities on the environment (chapter VII), particularly within the subprogramme or project life cycle. In practice, it may not be possible for UNEP</p>	<p><u>Recommendation 4</u></p> <p>Considering the various assessment methodologies being developed and refined in the GEO process and the concurrent institutional capacity-building activities and methodologies being developed by other substantive divisions and partner organizations, UNEP should increasingly focus on impact assessment activities. For example:</p> <p>(a) UNEP should conduct more impact assessment activities than before;</p>	<p>While it is a fact that impact of UNEP environmental activities is difficult to measure (as discussed in detail, in the 1999 and the 2000 Annual Evaluation reports) UNEP should still endeavour to develop a systematic approach</p>	<p>A blue-print for assessing impact of UNEP activities</p>	<p>End of third quarter 2002</p>	

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
<p>to undertake impact assessment for all its activities.</p> <p>Since UNEP's strategic objective is to make an impact on the environment, UNEP should continue to explore possibilities of measuring that impact. Project outputs and results are not, after all, an end in themselves but they should contribute to a better environment and this can be determined by impact assessment. Such impact assessment should measure the catalytic role of UNEP in encouraging others to adopt approaches and solutions developed by UNEP to better manage the environment.</p>	<p>(b) Programme managers should use rapid assessment methodologies to establish baseline data during the project formulation to serve as a basis for future impact assessment;</p> <p>(c) Projects should incorporate in the project document relevant impact assessment capacity-building components for participating national or regional organizations;</p> <p>(d) UNEP should utilize follow-up activities to assess impact;</p> <p>(d) UNEP should assess and document its catalytic role and demonstrate that its knowledge products are influencing Governments, other United Nations organizations, non-governmental organizations, and the private sector to manage the environment better.</p>	<p>to the determination of its impact on the global environment. UNEP can perhaps explore varying approaches and levels to determine its impact:</p> <ul style="list-style-type: none"> • The development of baseline data at the regional and national levels, using also the GEO process outputs. • Selectively launching follow-up activities to assess impact of (through rapid impact assessment methodologies) projects or programmes (specific objectives and processes of regional seas Programmes, for example). • Measuring UNEP influence on the behaviours and policies by assessing compliance and commitment of Governments to the implementation of international environmental conventions regional arrangements UNEP helped to create. (Such indicators, as, improvement of environmental knowledge achieved at the international level through its catalytic role, internalization of environmental issues into regional and national 			

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
		<p>sustainable development process, legislation enacted, enforcement mechanisms established, institutionalization of citizenship participation, the level of decentralization of environmental issues at the national and community levels etc.)</p> <ul style="list-style-type: none"> • SMG initiate discussion on approaches to impact assessment of UNEP activities, by forming a committee from the substantive divisions, PCMU and EOU with a view to preparing a blueprint for the consideration of the SMG. • On the basis of the blueprint, SMG prepares a UNEP impact assessment strategy including appropriate thematic indicators measuring various environmental problems. • EOU will include impact evaluations in its annual programme of work in conformity with UNEP Impact Assessment Strategy proposed above. 	<p>SMG approve UNEP framework for assessing impact of UNEP activities by 2003</p> <p>End of 2002</p>		
<u>E. Design</u>					
<u>Finding</u>	<u>Recommendation 5</u>				
As discussed in greater detail in chapters IV and VII, manifestations of weakness in the project design process reported in past annual evaluation reports have also been	<p>The following recommendations are therefore put forward:</p> <p>(a) UNEP should institutionalize systematic appraisal of project concept and implementation strategy to arrive at implementable</p>		<p>UNEP projects design process better adhered to the guidelines elaborated in the <u>UNEP Project</u></p>	<p>PCMU and EOU, a continuing activity</p>	<p>A continuing process</p>

Findings	Recommendations	Action required	Expected results	Date of completion	Responsible Unit
<p>revealed in the present subprogramme and in-depth project evaluation reports.</p> <p>The programmatic and institutional constraints identified affect programme and project delivery in terms of delayed commencement and completion and failure to achieve the quality of results and outputs expected. Consequently, the evaluation has raised concerns as to whether the capacity to sustain the processes created and results achieved have been retained. Therefore, the evaluation underlines the need for the UNEP management to take concrete measures to improve design and thereby enhance the delivery and impact of UNEP projects.</p>	<p>project documents;</p> <p>(b) The Project Approval Group should take stricter measures in reviewing and approving project proposals to ascertain that the project formulation framework includes the tools for assessing assumptions, project duration estimates and resources required, as stipulated in the <u>UNEP Project Formulation, Approval, Monitoring and Evaluation Manual</u>.</p> <p>(c) Programme and project managers should establish appropriate coordination and follow-up mechanisms, assess the institutional capacity of executing and cooperating/supporting agencies selected to implement projects and harmonize the participating organizations' respective internal policies and procedures as they relate to project implementation.</p>	<p>organize project design workshops for task managers, project managers and coordinators in 2001. This should continue in greater frequency and for more participants.</p> <ul style="list-style-type: none"> Organizing training on project management to task managers, project coordinators and managers would also be highly complementary. 	<p><u>Formulation, Approval, Monitoring and Evaluation Manual</u>. Indicators to be the findings of PAG and EOU independent evaluations.</p>		

Key

- PAG: Project Approval Group
- PCMU: Programme Coordination and Management Unit
- SMG: Senior Management Group
