

2003 Annual Evaluation Report

Evaluation and
Oversight Unit

September 2004

Evaluation and Oversight Unit
United Nations Environment Programme
P.O. Box 30552
Nairobi, Kenya
Tel: +(254-20) 623387
Fax: +(254-20) 623158
E-mail: Segbedzi.Norgbey@unep.org
E-mail: eou@unep.org
URL: <http://www.unep.org/eou>

www.unep.org

United Nations Environment Programme
P.O. Box 30552 Nairobi, Kenya
Tel: (254 20) 621234
Fax: (254 20) 623927
E-mail: cpinfo@unep.org
web: www.unep.org



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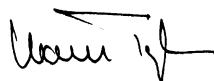
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Foreword

This document, like those from previous years, is one of the ways in which we provide accountability for the implementation of our programme activities to our governing body and interested stakeholders. Evaluations in the United Nations Environment programme (UNEP) are designed to determine, as systematically and objectively as possible, the relevance, efficiency, effectiveness and impact of the organization's activities in relation to its objectives. This report is a systematic look at programme and project performance with indications of what the programme has learned and recommendations for improving future programmes and policy. It does not provide an assessment of the overall impact of UNEP as an organizational entity.

Over the past several years we have made efforts to strengthen the evaluation function in the organization. The Secretary General's report to the General Assembly (2004) on strengthening the role of evaluation findings in programme design, delivery and policy directives acknowledged this and noted that positive developments are evident in the evaluation activities of UNEP. The report further stated that this resulted, in part, from a 1997 Secretary General's request to the United Nations Office of Internal Oversight Services (OIOS) to produce an inspection report which preceded a change in leadership of the organization. The resultant inspection report stressed the need to strengthen the evaluation function. According to the Secretary General's report, the 2001–2002 annual evaluation reports attest to the fact that the evaluation function has indeed been strengthened by the new leadership.

This organization is committed to transparency and accountability and every effort will be made to ensure that our governing bodies and stakeholders are provided with objective assessments of our programme activities through monitoring and evaluation and our effort to further strengthen the evaluation function in UNEP will continue.



Klaus Töpfer
Executive Director

Preface

As part of the synthesis and reporting of Evaluation and Oversight Unit evaluations conducted in the organization in 2003, this report has for the first time attempted to present ratings of projects evaluated by independent consultants. While acknowledging that numerical ratings, in and of themselves, do not reflect project performance, taken together with reasoned arguments and justifications, ratings can provide a rational framework within which to contextualize performance of UNEP projects in several areas. These include: achievement of objectives and results, attainment of outputs and activities, cost-effectiveness, impact, sustainability and stakeholder participation. Other ratings are country ownership, implementation approach, financial planning, replicability, and monitoring and evaluation.

We will continue to review and refine our approach to the rating of projects in order to produce a more rational and objective framework within which to determine project performance.

This year, against a background of increased attention within the United Nations system to capacity development at the national level, we have included, in a separate chapter, an analysis of the capacity development activities of UNEP in projects evaluated in 2003 with the hope that it will educate current efforts to prepare a strategic plan for capacity-building and technology support in the organization.



Segbedzi Norgbey
Chief, Evaluation and Oversight Unit

Acknowledgements

The 2003 Annual Evaluation Report of the United Nations Environment Programme (UNEP) was prepared from evaluations conducted by independent consultants and staff of Evaluation and Oversight Unit (EOU) in consultation with UNEP programme and project managers.

The Evaluation and Oversight Unit would in particular like to acknowledge the efforts of the following consultants:

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The efforts of all programme and project managers and coordinators who submitted self-evaluation reports are also highly appreciated.

The Evaluation and Oversight Unit expresses its appreciation to UNEP Division Directors and staff, whose comments have greatly enriched this report.

Evaluation and Oversight Unit

Acronyms and abbreviations

AGRIMED	Centre for Agriculture and Environment
ASEAN	Association of South-East Asian Nations
BFMS	Budget and Financial Management Service
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
EOU	Evaluation and Oversight Unit
DEC	UNEP Division of Environmental Conventions
DEPI	UNEP Division of Environmental Policy Implementation
DHI	Danish Hydrology Institute – Water and environment
DPDL	UNEP Division of Policy Development and Law
FAO	Food and Agriculture Organization of the United Nations
GCRMN	Global Coral Reef Monitoring Network
GEF	Global Environment Facility
GEMS/Water	Global Environment Monitoring System/Water
GISP	Global Invasive Species Programme
GIWA	Global International Waters Assessment
GLOBE	Global Legislators Organization for a Balanced Environment
GWP	Global Water Partnership
ICRAN	International Coral Reef Network
IETC	International Environmental Technology Centre
IMDIS	Integrated Monitoring and Documentation Information System
IPCC	International Panel on Climate Change
NBSAPs	National biodiversity strategies and action plans
NEPAD	New Partnership for African Development
OED	Office of the Executive Director
OIOS	United Nations Office of Internal Oversight Services
PAG	Project approval group
PCMU	Programme Coordination and Management Unit
RMU	Resource Mobilization Unit
SMG	Senior Management Group
UCC-Water	UNEP Collaborating Centre on Water and Environment
UNESCO	United Nations Educational, Scientific and Cultural Organization

Executive summary



Evaluation

1. This annual evaluation report is a synthesis of evaluations conducted in 2003 and comprises data provided in one comprehensive subprogramme evaluation, 17 in-depth project evaluation reports and 134 self-evaluation reports. The report also contains a review on the status of implementation of the recommendations contained in the 1999–2002 evaluation reports and a separate chapter on UNEP capacity development activities in the projects for which evaluations were prepared in 2003.
2. The in-depth evaluation of the Division of Policy Development and Law focused on the division's programme activities in the 2000–2001 and 2002–2003 bienniums. The overall objective of the evaluation was to establish how successful the division had been in implementing its programme of work and other decisions and requirements of governing council, General Assembly and UNEP senior management for UNEP to provide leadership in environmental policy development.
3. The evaluations show that the Division of Policy Development and Law has accomplished the main objectives in its programme of work. Among its activities, the water policy was most highly commended for successful interdivisional collaboration. Success of the climate change activities was attributed to very strong links to the scientific community which give strong credibility to the policy processes and outputs of the programme. UNEP publications in environmental health were also considered of high quality and serve as an excellent example of interagency cooperation within the United Nations. The environmental law programme was also considered successful. Among other things, the programme prepared several publications and guidelines on compliance and enforcement of international environmental agreements and organized global and regional symposiums for judges on environmental matters. An evaluation of the UNEP Collaborating Centre on Water and Environment (UCC-Water), which supports some Division of Policy Development and Law activities, presented the centre as a model in how collaborating centres can be used to support UNEP work.
4. The evaluation of the Division of Policy Development and Law identified several challenges including: the lack of sufficient funds to implement the work programme of the division; the lack of balance between staff costs and resources for the implementation of programme activities; slow recruitment processes; initiation of activities in areas including cultural diversity and poverty reduction where the organization does not have comparative advantage within the United Nations system; limited private sector partnerships and limited orchestrated operational links and synergies between the various branches of the division.
5. For the first time, an analysis of ratings of independent project evaluations has been done as part of the annual evaluation report. The ratings were based on assessments of eleven parameters, including achievement of overall objectives. The level of achievement of objectives is determined by comparing the extent and quality of actual objectives against planned objectives. The evaluations also concluded that for the most part the outputs produced by UNEP were of very good quality. As in previous years, the projects have continued to strengthen the capacity



of partner institutions at the local level, contributed to the implementation of international conventions, developed analytical tools, increased awareness of decision makers and were characterized by strong stakeholder participation.

6. The evaluations identified several challenges in the areas of financial management, limited participation of the private sector in UNEP activities, weaknesses in monitoring and reporting and inadequate resource mobilization to support project implementation and follow-up.
7. An electronic self-evaluation system was implemented and used for the first time in 2003 and 134 self-evaluation reports were completed. This represents 85 per cent of the total number of projects subject to reporting. This is a 12 per cent increase over submissions in 2002. As in the 2002 self-evaluations, the level of outputs achieved overall was rated highly. UNEP has continued to focus its work on building capacity in the areas of water, energy, health, agriculture and biodiversity, which support the priorities of the World Summit on Sustainable Development. As much as 81 per cent of UNEP work has primarily been done at the global, subregional and inter-regional level. However, work at the national level, especially in capacity-building, continues to expand.
8. The substantive input of UNEP into projects included provision of expertise, development of methodologies and approaches, and quality assurance. To a lesser extent, inputs also included project development, logistical support and backstopping.
9. The self-evaluations identified challenges in several areas. The most important relate to inadequate institutional support, poor project design, management, monitoring and evaluation as well as changes in subprogramme objectives and priorities. A recurring concern in the financial management of projects has been delay in disbursements of funds to the projects, which often led to delays in implementation of planned activities. Other frequently-stated reasons for delays include late start of projects, inadequate time allocated for planned activities, new additions to project activities, poor communication among collaborating agencies and project partners, and political unrest, especially in the Middle East. These challenges have to some extent been addressed by initiating procedures such as the Divisional Review and Oversight Committee for Global Environment Facility (GEF) projects.
10. Almost all of the projects evaluated in the organization in 2003 contain aspects of capacity-building or development. The experiences and challenges encountered in implementing capacity-building activities have been discussed in a separate chapter of this report with the hope that this will educate implementation of future capacity development activities and to a certain extent focus current discussions on the development of a strategic plan on technology support and capacity-building.
11. Every programme and project evaluation is followed by an implementation plan for the recommendations. Considering the often-complex nature of the recommendations, Evaluation and Oversight Unit is satisfied that recommendations do not generally remain open for more than four years and that implementation is in progress for over 60 per cent of the open recommendations. Nevertheless, the unit is concerned that up to 40 per cent of the outstanding recommendations, especially from 2000 and 2001, still have no clear implementation plans due to lack of responses from project and programme managers. This may lead to recommendations becoming obsolete before they are ever addressed. Evaluation and Oversight Unit aims to strengthen the enforcement of timely responses for implementation plans and will seek support from senior management in this effort.
12. The findings of the 2003 evaluations produced a number of recommendations. This year we have focused on recommendations that are of a critical nature and require immediate attention. They are discussed in the next section.



A. Findings and Recommendations

1. Monitoring and reporting

13. Generally projects did not submit required reports on time and sometimes reports were not submitted at all. Even in cases where reports were submitted, their quality was poor. The evaluations also found that enforcement of the current reporting requirements was not effective. At the same time, the projects recognized monitoring and reporting as both a challenge and a risk. Over 25 per cent of the projects described monitoring and reporting as high risk. Weaknesses in reporting at the subprogramme level were also recognized to the extent that assessing the success of the subprogramme was difficult.

Recommendation 1

14. The UNEP Senior Management Group should review and assess the current monitoring and reporting system and requirements. This review should include, among other things, assessment of the content of the reporting and data needs, identification of possible duplication between current reporting requirements, and mechanism for monitoring and enforcing compliance both at project and subprogramme level. The review should be followed by an implementation plan for streamlining new reporting requirements and training of staff.

2. Stakeholder involvement

15. While UNEP has made some progress in engaging partners in universities and scientific institutions, engagement of the private sector remains limited both at the project and subprogramme level. In the absence of commitment from the private sector, for example in cases where private sector companies are the main stakeholders of the project, the sustainability of project results can be questioned. When discussed with UNEP programme management it was recognized that no guidelines exist and there is no inventory of whether any tools have been developed and are available for selecting partners in general and, specifically, from the private sector.

Recommendation 2

16. The Civil Society Task Group and the Civil Society Branch of Division of Policy Development and Law should analyze and prepare a proposal on how the engagement of the private sector could be strengthened at the project level. This should include guidance to programme or project managers on, for example, how to identify private sector partners, what role these partners would play, what mechanism would be appropriate in their engagement and management as well as what incentives can be offered to them. As follow-up UNEP should also review existing mechanisms for collecting data on private sector partners and how these could be enhanced and deployed for wider use.

3. Financial sustainability

17. Financial planning for securing sustainability of project activities is inadequate. Almost forty per cent of the projects had made no provision for ensuring financial sustainability after the closure of the projects. This was mainly due to inadequate resource mobilization and absence of financial strategies. The finding is in line with recommendations of the 2002 annual evaluation report which requested inclusion of resource mobilization activities in project design to support in-country follow-up activities beyond the funded life of projects.



Recommendation 3

18. In order to support increasing efforts of UNEP to build capacity and increase sustainability of activities at the country level, UNEP should ensure, through its project approval group and project guidelines, that strategies and approaches for financial sustainability of projects are included as outputs in those projects where the activity is expected to continue beyond the involvement of UNEP.

4. Financial management

19. A recurring concern in the financial management of projects has been delay in disbursements of funds to the projects which often leads to delays in implementation of planned activities.

Recommendation 4

20. The Programme Management and Coordination Unit in cooperation with the Budget and Finance Management Service of United Nations office in Nairobi should assess the reasons behind delays in disbursements and provide a report to the Senior Management Group of UNEP, including recommendations on how the situation could be improved.

5. Resource allocation

21. Like previous evaluations of Division of Environmental Conventions, Division of Environmental Policy Implementation and Division of Communications and Public Information, the evaluation of Division of Policy Development and Law points to a need to review the mechanism of allocation, prioritization and monitoring of resources at the subprogramme level. With over 70 per cent of the resources (excluding overheads, such as communication, equipment, rent and so on) being tied to human resources it was not clear how the division would be able to implement its programme of work. Additionally, some core activities, such as gender, suffered because already scarce programme funds were reallocated to new emerging activities.

Recommendation 5

22. In order to maximize the use of resources and enable the divisions to implement their programmes, senior management in the UNEP divisions should analyze the size, composition, and distribution of human resources in each division. Based on the needs and requirements identified, a training and recruitment plan should be developed with the aim of securing a healthier balance between human resources and other expenditures.

6. Roles and responsibilities between divisions

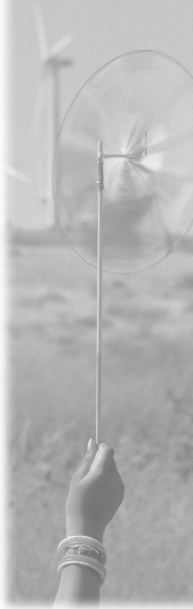
23. The roles and responsibilities among divisions are unclear in several areas which has led to duplication and increase in administrative workloads. For example, Division of Policy Development and Law is experiencing problems in the area of environmental law and capacity-building with Division of Environmental Policy Implementation as well as in the area of poverty and environment with Division of Technology, Industry and Economics.

Recommendation 6

24. UNEP Senior Management Group should develop and agree on a process to identify all areas of overlap and gaps between UNEP divisions and reach agreement on who will take the lead and perform the various roles and responsibilities with regard to these activities.

B. Lessons

25. The African process project demonstrated that establishing a mechanism for country participation can solve the problem of generating an equal sense of ownership throughout all the countries in global and regional projects. In this project the mechanism contained joint meetings among national teams, national workshops and linking projects to government programmes. The biosafety project, although global in scope, managed to address country needs by balancing consistency and uniformity in a general strategy and format with considerable flexibility at the country level. The design of a template project document, work plan and budget guided countries with limited biosafety experience in getting started and thereby established a sense of ownership of the project at the national level.
26. Using local resources (for example, local consultants) and available expertise in Governments is cost-effective and contributes to building capacity and ownership of projects at the national level. For example, the use of local consultants in the climate change enabling activity project in the Comoros both saved in consultancy fees of international experts and facilitated the development of local skills. Likewise in the St. Lucia enabling biodiversity project the use of a relatively large proportion of national experts as opposed to external consultants ensured cost-effective access to the required expertise.
27. The International Coral Reef Action Network (ICRAN) project demonstrated that while there are significant benefits to be reaped from partnerships such as ICRAN, partnerships are also costly in time and money, especially if basic institutional and financial arrangements are not clarified from the outset.





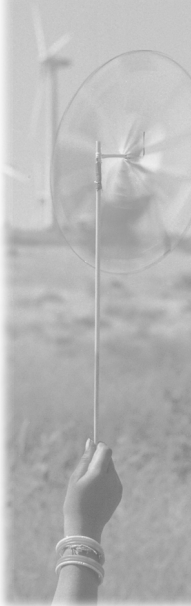
I. Introduction

A. Mandate and mission

1. This annual evaluation report is produced as part of the mission of the UNEP Evaluation and Oversight Unit. It acts as a strategic management tool that allows Governments, UNEP senior management and programme managers to review progress made and to critically reflect on the constraints and challenges of delivering a quality global environmental programme.
2. The mandate for conducting evaluations has been stated in various General Assembly resolutions and UNEP Governing Council decisions. UNEP Governing Council has recognized the importance of evaluation as an integral part of the programme planning cycle, while retaining its independence, and requested the Executive Director to continue to refine evaluation methodologies in collaboration with Governments (Governing Council decisions 75 (IV), 6/13, 13/1 and 14/1) and partners within the United Nations system. The council also requested that the Executive Director strengthen the oversight function in its decision 19/29. According to the ST/SGB/2000/8 on programme planning, monitoring and implementation, which consolidates the General Assembly decisions made on the evaluation function, the purpose of the evaluation function is to facilitate review of results achieved from programme implementation, examine the validity of programme orientation and determine whether there is need to change the direction of different programmes.

B. Scope and objective

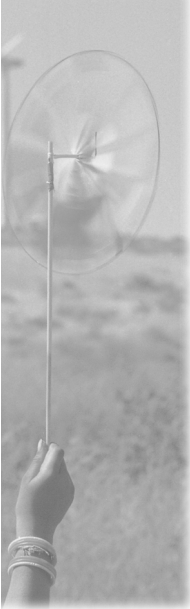
3. The report is based on evaluations conducted in 2003 and comprises data provided in one comprehensive subprogramme evaluation, 17 in-depth project evaluation reports and 134 self-evaluation reports. Global Environment Facility (GEF) projects represent 40 per cent of all the projects included in this report. The report also contains a review of the status of implementation of the recommendations contained in the 1999–2002 evaluation reports and a chapter on capacity-building in UNEP.
4. The main objective of the report is to provide recommendations and identify lessons which could assist UNEP in improving programme performance through assessment of achievements, problems, challenges and successes encountered during implementation of programmes and projects in 2003. This is accomplished through the review and assessment of the following parameters:
 - (a) **Relevance and appropriateness:** To determine the relevance and appropriateness of evaluated activities with regard to the mandate of UNEP (for example, General Assembly decision XVIII, Nairobi Declaration and Malmö Declaration) by:
 - (i) Assessing the relevance of activities to the pertinent parts of the programme of work 2002–2003;
 - (ii) Determining the relevance and contributions of activities towards integrating environmental considerations in mainstream decision making;

- 
- (iii) Assessing the success of UNEP in improving communication between the scientific community, decision makers and other stakeholders; and
 - (iv) Determining the relevance and contributions of activities towards building capacity at national level.
- (b) **Effectiveness and efficiency:** To review the performance of evaluated project activities (in-depth evaluations only) by:
- (i) Evaluating the ratings given of the following implementation aspects:
 - Achievement of objectives and planned results
 - Attainment of outputs and activities
 - Cost-effectiveness
 - Stakeholder participation
 - Country ownership
 - Implementation approach
 - Financial planning
 - Replicability
 - Monitoring and evaluation
 - (ii) Identifying recommendations and lessons learned based on the in-depth project evaluation reports.
- (c) **Impact and sustainability:** To determine the sustainability and impact of the evaluated activities with emphasis on capacity-building, using the following elements:
- (i) *Enabling environment:* whether there are political and regulatory frameworks in place which support the continuation or replication of activities through mainstreaming project activities;
 - (ii) *Financial sustainability:* effectiveness of financial planning and resource mobilization activities to enable continuation of activities and objectives;
 - (iii) *Institutional capacity:* whether there are adequate systems, structures, staff and expertise in place to continue the activities.

C. Methodology

1. Approach

5. The Evaluation and Oversight Unit conducts all evaluations in consultation with the relevant programme and project managers to ensure that, while the United Nations and UNEP evaluation standards are followed, the views and concerns of the respective programmes and projects are adequately and fairly reflected. The same approach has been used in the preparation of this report and issues and questions that rose from the reviews and interviews have been further discussed with relevant divisions and circulated to all divisions in the form of a draft report.
6. The analysis and conclusions contained in the report are based on the following:
 - (a) Review of in-depth evaluation reports: these are normally comprehensive evaluations comprising desk reviews, field visits and interviews, that examine a UNEP subprogramme or project either during the implementation (mid-term) or at the end of the project (terminal evaluation);



- (b) Review of self-evaluation reports: the project or task managers are required to prepare a self-evaluation report for all current projects. This is done annually by filling in a questionnaire developed by Evaluation and Oversight Unit which was available in electronic format as of year 2003;
- (c) Review of desk evaluation reports: desk evaluation comprises a review of available project documents, databases and information on project outputs and is mostly conducted for small and short-term projects, such as UNEP/GEF project development facility projects;
- (d) Review of implementation plans and management response to the recommendations of the evaluation reports from 1999 to 2002: each evaluation report, including the annual evaluation report, is followed by an implementation plan for its recommendations which management responds to. Evaluation and Oversight Unit monitors the status of implementation regularly;
- (e) Review of relevant UNEP publications and other documents;
- (f) Discussions with UNEP staff on subjects related to capacity-building, implementation of evaluation recommendations and self-evaluation reporting.

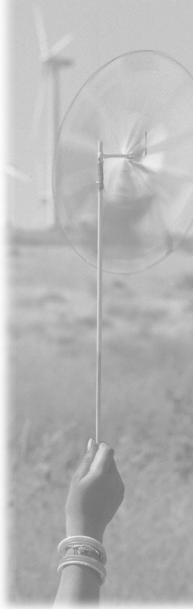
2. Coverage

7. All UNEP projects, independent of source of funding, are subject to evaluation through annual self-evaluation reporting, mid-term and terminal evaluations (conducted as desk or in-depth evaluations).
8. The UNEP subprogrammes are only covered by in-depth evaluations conducted every four to five years. To improve the coverage and provide a more accurate and timely analysis of UNEP activities, Evaluation and Oversight Unit is seeking to develop a self-evaluation mechanism for subprogrammes similar to that of projects during the 2004–2005 biennium, in cooperation with the UNEP divisions and offices.

3. Rating

9. To support and strengthen qualitative analysis of project performance in evaluations, Evaluation and Oversight Unit revised the project rating system in early 2003. The revision introduced five new implementation aspects and ensured consistency with the rating approach used by GEF secretariat.
 - 1 Achievement of objectives and planned results
 - 2 Attainment of outputs and activities
 - 3 Cost-effectiveness
 - 4 Impact
 - 5 Sustainability
 - 6 Stakeholder participation (new)
 - 7 Country ownership (new)
 - 8 Implementation approach (new)
 - 9 Financial planning (new)
 - 10 Replicability (new)
 - 11 Monitoring and evaluation (new)
10. Each aspect is rated on a scale of 1–5 with 1 reflecting excellent and 5 reflecting unsatisfactory performance. While the ratings are based on the judgement of the evaluator, they provide a good indication of general performance of projects that can otherwise be difficult to generate out of a large volume of evaluation material.

11. Since year 2003 was a bridging period between phasing out the previous rating system and introducing a new one, this report discusses the aggregated ratings for each aspect separately but not by projects. No rating mechanism has been applied to the performance of the subprogrammes.





II. Subprogramme evaluations

A. Division of Policy Development and Law

1. Background

12. The in-depth evaluation of the Division of Policy Development and Law was the only subprogramme evaluation conducted in 2003.
13. The evaluation of the division was the first since its creation in 1999 and focused on its activities in 2000–2001 and 2002–2003 bienniums. The overall objective of the evaluation was to establish how successful the division had been in implementing its programme of work and other decisions and requirements of Governing Council, General Assembly and UNEP senior management for UNEP to provide leadership in environmental policy development.
14. This section presents a synthesis of the findings and recommendations of the evaluation.

2. Relevance and appropriateness

15. The evaluation concluded that the Division of Policy Development and Law mandate of “enabling the international community to formulate policy and legal responses to environmental problems” supports the overall mandate of UNEP. The division is also instrumental in implementing Governing Council decisions out of which over a third are its responsibility.
16. Since the evaluation, the division has been reorganized into four branches, instead of the earlier three, to support implementation of its mandate and in line with the programme of work. The branches include: Policy analysis, development and partnerships branch; Environmental law branch; Major groups and stakeholders branch; and Policy coordination and interagency affairs branch. This is in line with the findings and recommendations of the evaluation.

3. Effectiveness and efficiency

17. The division was complimented for a dynamic leadership, executive attention and commitment. It also recognized that the division had achieved many successes despite its structural and resource challenges.
18. With regard to successes, the following achievements were highlighted. Where possible, the reasons behind the successes are also discussed in order to assist UNEP in identifying activities and approaches that could improve performance of the organization and be replicated.
 - (a) Water policy is one of the most significant outputs of the division and was particularly complimented for successful interdivisional cooperation. The other contributing factors were: high political profile and attention secured by UNEP; a participatory approach



- that involved frequent reporting to Governments; and recognition of sectoral linkages between, for example, land, agriculture, industry and energy;
- (b) The success of climate change activities was attributed to: explicit and strong links to the scientific community, especially the International Panel on Climate Change (IPCC) which gives credibility to policy analysis and outputs; and identification of an organization or mechanism to implement the results of policy analysis and development work (the Conference of Parties to United Nations Framework Convention on Climate Change was considering and implementing the results of the division's work);
 - (c) The activities addressing major groups and stakeholders were effectively supported by a dedicated website which not only contained information on UNEP activities in the area but also was a rich source of wide-ranging initiatives of civil society organizations around the world. The activities also included setting up an international consultative mechanism which led to the establishment of a strategy for active engagement of civil society, the private sector and other major groups in the work of UNEP;
 - (d) The publications on environmental health were considered to be high quality and an example of good cooperation among United Nations organizations. The evaluation recommended that UNEP further strengthens its co-operation with WHO and requests the division to give more attention to analysis and development of policies aimed at mainstreaming environmental considerations in the operations of health departments and ministries;
 - (e) The environmental law activities were successful in planning, implementing and reporting. To name a few outputs, over 30 developing countries were supported in conducting reviews of their legislation, various international negotiations were supported, for example, on transboundary issues (South-East Asian forest fires and haze, water resources in Africa) and on international legal instruments on chemicals, pesticides and persistent organic pollutants (2001 Stockholm Convention on Persistent Organic Pollutants and the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade). Several publications and guidelines had been produced, for example, guidelines on compliance and enforcement of international environmental agreements in collaboration with Division of Environmental Policy Implementation and regional and global symposiums had been organized for judges on environmental matters;
 - (f) The division, through its policy coordination and interagency affairs activities, seems to possess the capacity to engage other United Nations agencies and other partners in the work of UNEP. For example, the Environmental Management Group had been re-established with a clear mandate and played an instrumental role in getting United States based academic institutions, religious groups, civil society and the private sector to participate in the work of UNEP. The interagency activities also supported and provided papers on the international environmental governance process.
19. The division was faced with several challenges in the management and implementation of its programme of work. If these issues are addressed, they will enable the division, and in some cases other UNEP divisions and the organization as a whole, to improve programme performance. Among the most important challenges are the following:
- (a) The ratio between staff costs and funds available for activities was not in balance. Over 70 per cent of resources were allocated to staff and travel costs which did not leave adequate funds to implement the programme of work and the increasing number of activities. For example, gender activities were cut due to lack of resources;
 - (b) While the division has a good mix of staff with background and experience in different disciplines, it has suffered from slow recruitment processes, for example, for the position of Chief of the Civil Society and Non-Governmental Organizations Unit;



- (c) Roles and responsibilities between Division of Policy Development and Law and other divisions are not clearly defined leading to duplication, for example, in the area of law, in particular on compliance and enforcement of environmental law, with Division of Environmental Policy Implementation, and on poverty reduction with Division of Technology, Industry and Economics whose expertise in economics is not mobilized to support the work of Division of Policy Development and Law. Instead, the two divisions work separately on the same issues;
- (d) Division of Policy Development and Law has initiated some activities in areas where it is not clear what the role of UNEP should be. Concerns were raised about the value added by UNEP to activities that are already being implemented by other agencies. For example, the evaluation did not find any areas in the work of the division on poverty reduction that the World Bank and the Department for International Development (DFID) are not already addressing. UNEP is also involved in work related to cultural diversity and its links to the environment although it lacks the necessary staff resources and there is little evidence that it will add value to work which the United Nations Educational, Scientific and Cultural Organization (UNESCO) is already doing;
- (e) Collaboration with the scientific community currently includes academic institutions in developing countries on law and climate change issues but still lacks collaboration in the area of policy development. Opportunities such as the upcoming policy research programmes in scientific institutions in Africa were specifically mentioned in the evaluation as being worth using. There are few substantive links with the private sector and currently these mainly concentrate on partnerships for clean fuels and vehicles in East Africa;
- (f) The work of the division with the regional offices and the regionalization of the programme mainly focuses on work with the Regional Office for Africa. Work with the regional offices for Latin America and the Caribbean, West Asia and Asia and the Pacific focuses on legal issues. There is no substantive collaboration with the regional offices for Europe and North America;
- (f) Within the division, there are no orchestrated operational links and synergies between the Policy Analysis, Development and Partnerships Branch and the Environmental Law Branch, although the linkages between policy analysis, development and law are recognized.
- (h). Follow-up work on policy development is required and should be budgeted for. For example, in the case of water policy and international environmental governance there was no budget for follow-up activities and resources had to be diverted from other activities of the division.

4. Key recommendations

- 20. The evaluation recommendations focus on: first, improving the organization and arrangements within the division for improved performance; second, strengthening and focusing policy development work on specific areas; and third, increasing and improving work with the scientific community.
- 21. With regard to improving the efficiency and effectiveness of the division, the evaluation recommends that it should devise ways and means to organize its activities and professional staff in a more multidisciplinary manner to ensure cross-fertilization and convergence of professional skills. This should be supported by regular seminars to improve internal capacity. The evaluation also emphasizes the need to create teams to review the division's publications in order to improve their quality.
- 22. The evaluation further recommends that Division of Policy Development and Law should strengthen its policy development activities on gender issues and energy. With regard to poverty–environment linkages and cultural aspects of environmental sustainability, the division needs

to reassess whether it should play a role and what focus this role should have. It should also ensure that it has adequate resources to do follow-up work on the water strategy and international environmental governance.

23. In addition to recommending improved linkages with the scientific community, the evaluation stresses that the experience of the water policy and strategy process and climate change activities should be used to enhance interdivisional cooperation and, where possible, strengthen its cooperation with individual divisions in areas like poverty and environment.

B. UNEP Collaborating Centre on Water and Environment (UCC-Water)

1. Background

24. The UNEP Collaborating Centre on Water and Environment (UCC-Water) is contributing in a substantive way to the implementation of the programme of work of Division of Policy Development and Law and is presented in this section as a study in how the collaborating centre model has been used to support implementation of the UNEP programme of work.
25. The centre was established in 2002 to implement and ensure greater cooperation on UNEP water policy and strategy. As per the tripartite agreement between UNEP, the Danish Ministry of Foreign Affairs (hereafter referred to as DANIDA) and the Danish Hydrology Institute – Water and Environment (DHI), the centre was evaluated after 18 months of its operations to determine progress towards achieving its objectives.
26. The main objective of the centre is to support UNEP in planning and implementing its water policy and strategy, and related programmes, especially those related to fresh water and coastal areas management.

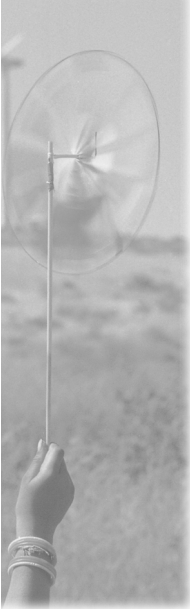
2. Appropriateness and relevance

27. The evaluation found that the work programme of the centre carefully reflects the key issues outlined in UNEP water policy and strategy and therefore is relevant to the mandate of UNEP.
28. The centre also supports the overall goals of the two other partners, DANIDA and DHI. Water issues are of high priority for Danish development assistance and DANIDA draws upon the centre for technical advice and assistance on key policy issues. Through UNEP, DHI expects to expand its water expertise and services into the international arena.

3. Effectiveness and efficiency

29. Overall, the centre's performance was assessed positively and found effective and efficient. The centre has been able to fulfil expectations and despite its limited resources contributed effectively to the implementation of UNEP water policy and strategy. Furthermore, although it was too early to assess any impact due to the short duration of operations, the evaluation found that the centre had contributed to promoting the integrated water resources management agenda focusing, in particular, on linking fresh water and coastal zone management.





4. Institutional and administrative arrangements

30. The present institutional and governance arrangements were found to be appropriate and working generally well.
 - (a) The centre is overseen by a steering committee which comprises three members, each representing one of the three founding institutions. The steering committee meets biannually to decide on policy issues and give strategic advice and directions to the centre;
 - (b) The creation of a scientific advisory panel was on hold. It was waiting for UNEP to determine its structure for managing water issues which may comprise an advisory committee on water that could also cater for the needs of UCC-Water. The evaluation agreed with this view and recommended that the matter be revisited.
31. The evaluation further noted that staffing of the centre needs strengthening. The three highly qualified and experienced staff need more junior level staff to support them in areas like information dissemination. The centre could also benefit from the expertise of guest researchers, PhD students and water policy experts.
32. Existing arrangements for administrative and management support to UCC-Water were considered adequate. They comprise secretarial support, information technology, management and accounting support as well as office space.
33. The financial management of the centre by UNEP headquarters was considered efficient and the overall arrangements seemed appropriate, except for a need to review possibilities to minimize currency risks. The evaluation recommended that in order to reduce the overall dependency on DANIDA and improve longer-term sustainability, the centre should continue its efforts to attract project and programme specific support from other donors.

5. Implementation of UNEP water policy and strategy

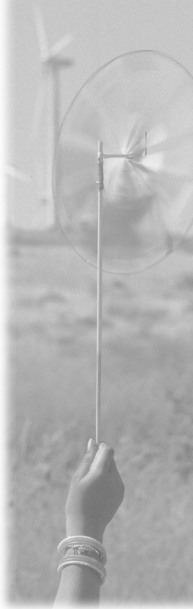
34. UCC-Water, during its relatively short period of operations, provided timely and highly relevant support to the key global water projects and programmes of UNEP.
 - (a) About 35 per cent of UCC-Water resources were used to assist the GIWA programme mainly to redesign and operationalize the Global International Waters Assessment (GIWA) methodology;
 - (b) High priority was also given to Global Programme of Action for the Protection of the Marine Environment from Land-Based Activities (Global Programme of Action) (20 per cent). The centre assisted the programme in: first, development of internet services on integrated coastal zone management; second, promotion of the Global Programme of Action; and third, preparation of guidelines and coordination of programme activities at regional level. Additionally, Global Programme of Action and UCC-Water jointly developed the UNEP FreshCo partnership and prepared project proposals on freshwater and coastal zone management;
 - (c) Integrated coastal area and river basin management was allocated around 10 per cent of the centre's resources and focused mainly on maintaining and developing links on integrated water resources management for the Global Water Partnership (GWP);
 - (d) The remaining resources were allocated mainly to supporting activities related to integrated water resources management and the Global Environment Monitoring System/Water (GEMS/Water). UCC-Water also participated in post-conflict environment assessment studies conducted by the UNEP Post-Conflict Assessment Unit.

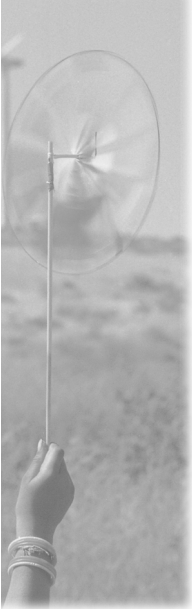
6. Cooperation and partnerships

35. The centre has maintained excellent relations with the founding institutions through the steering committee members. It is perceived more or less as an official part of UNEP and has facilitated cooperation and networking among UNEP water professionals. The centre has also represented UNEP at various meetings and participated in official UNEP delegations. The centre provided a link between various UNEP-supported centres and programmes including the International Environmental Technology Centre (IETC), GIWA and the Global Programme of Action. It also established several partnerships, such as with GIWA, Global Programme of Action, integrated coastal area and river basin management, GEMS/Water and international water resource management, through its programme and project-related activities.
36. The centre strengthened cooperation with other relevant organizations on water issues and provided substantive support through UNEP to: the World Water Council; the Global Water Partnership; the Millennium Taskforce on Water and Sanitation; and the United Nations Secretary-General's initiative on water and sanitation, energy, health, agriculture and biodiversity.
37. UCC-Water has so far been less effective in strengthening cooperation with Governments and development banks. Nevertheless the current cooperation with Governments in West Africa on international water resource management has been recognized as a step in the right direction.

7. Recommendations and lessons learned

38. The evaluation commended the founding partners for using the experience from UNEP Collaboration Centre on Energy and Environment at Riso in Denmark as a model for establishing the institutional arrangements in UCC-Water. However, the centre needs strengthening in terms of staff resources, for example, recruiting young professionals would also provide the resources to undertake information dissemination activities. The centre would also benefit from seconded staff from UNEP who could contribute UNEP experience and knowledge.
39. While the centre has had a significant impact on key water-related processes and performed well, the evaluation warns against over-stretching staff and recommends that activities could be better prioritized and focused to suit staffing levels.
40. UCC-Water needs to strengthen cooperation with other development institutions including development banks, regional institutions and Governments. The centre should focus on facilitating cooperation with key Governments in developing and implementing freshwater and coastal zone management initiatives.





III In-depth project evaluations

41. Relevance, effectiveness, impact and sustainability of UNEP projects were assessed through in-depth project evaluations. Sixteen in-depth project evaluations were conducted in 2003. Of these, 14 were projects funded by GEF with budgetary provision for in-depth evaluations. In general, the findings indicate that UNEP projects evaluated were relevant to the organization's mandate and the performance of the projects falls somewhere between *good* to *excellent*.

A. Achievement of objectives and attainment of outputs

42. The level of achievement of objectives is determined by comparing the extent and quality of actual objectives against planned objectives. Based on a combination of actual ratings of achievement of objectives and evaluators' comments, the overall rating for 14 terminal evaluations and two mid-term evaluations was *good*.
43. Attainment of outputs and activities are rated by measuring the extent to which outputs and activities planned in the project were completed and if these were useful, of good quality and produced in a timely manner. The 16 projects received an overall rating of *very good* for the attainment of outputs. This comprised two projects with ratings of *excellent*, seven projects with rating of *very good* and seven projects with ratings of *good*.
44. The following represents a summary of achievements and some of the common challenges faced by the projects.

1. Implementation of international conventions

45. Projects that contributed to implementation of international conventions mainly dealt with objectives for developing action plans, programmes of intervention, national communication reports to the United Nations Framework Convention on Climate Change and national biosafety frameworks.
46. Lack of government commitment was a common concern in the projects that contributed to implementation of international conventions. For example:
 - (a) The medium-sized project "Development and protection of coastal and marine environment in sub-Saharan Africa" (African process) project succeeded in achieving the endorsement of prioritized hot spot and sensitive areas and contributed significantly to the New Partnership for African Development (NEPAD) planning process. However, the need to anchor the implementation of project proposals in national policies remains.
 - (b) The mid-term evaluation on "Development of national biosafety frameworks" (Biosafety) project concluded that despite the project being considered successful at an intermediate stage, the overall achievement of the project's objective is cause for concern because many countries have not yet ratified the protocol in the absence of consensus at national level.



2. Sustainable management

47. The sustainable management projects covered promotion of effective establishment and management of a nature sanctuary, examination of tools and approaches to recognize, evaluate and mitigate invasive species, elimination and use of methyl bromide, establishing a global network of major coral reef actors, and improving capacity of national legislators to implement measures to achieve sustainable development.
48. Collaboration, partnership and networking were key factors in the achievement of the objectives in the sustainable management projects.
 - (a) Policy assistance, capacity-building and awareness raising provided by UNEP in the “Initiating early phase out of methyl bromide in countries with economies in transition through awareness raising, policy development and demonstration or training activities” (methyl bromide) project needs to be further strengthened by coordinating with a methyl bromide alternatives specialist to assist in the design of future demonstration type components. Involving implementing agencies such as the United Nations Development Programme (UNDP), the Food and Agriculture Organization of the United Nations (FAO) and the World Bank could assist in achieving this.
 - (b) The International Coral Reef Action Network (ICRAN) project demonstrated that while there are significant benefits to be reaped from partnerships such as ICRAN, partnerships are also costly in time and money, especially if basic institutional and financial arrangements are not clarified from the outset.

3. Environmental assessment and emergency response

49. The environmental assessment and emergency response projects dealt with providing analytical tools to identify causes of land degradation, strengthening capacity of partner institutions in managing environmental information for integrated state of the environment reporting and coordinating existing efforts to prevent fires.
50. The environmental assessment and emergency response projects were faced with problems in terms of data availability and quality. For example:
 - (a) The “Indicator model for the dryland ecosystem in Latin America” (Dryland ecosystem model) project successfully developed an analytical tool to identify the causes of land degradation to policy makers, non-governmental organizations and local stakeholders. Due to the non-availability of input data, however, all pilot sites were not able to apply the model;
 - (b) In the “Development of a collaborative institutional and data framework for integrated environmental assessment for reporting for West Africa” (Data framework) project, the objective of strengthening the capacity of partner institutions in managing environmental information for integrated state of the environment reporting was achieved but data quality was an issue. Data were out of date and collection methods were not always clear, creating problems for data harmonization;
 - (c) The “Emergency response to combat forest fires in Indonesia to prevent haze in South East Asia” (Haze) project, which was to coordinate all existing efforts, establish an early fires warning system and provide training and capacity-building, was delayed because the development of a geographic information system database for Sumatra, Kalimantan and Malaysia took more time than planned. The extra eight months was used to verify data formats and ensure data quality and compatibility.



B. Cost-effectiveness

51. Cost-effectiveness measures how efficiently and effectively the project uses its inputs, for example, financial and human resources, to produce its outputs, also considering the time required to do this. Cost-effectiveness was rated *very good* overall based on ratings of all 16 projects.
52. The evaluations brought out two areas that have especially contributed to the success in achieving cost-effectiveness: first, lean central management and administration structure, and second, effective use of local resources.

1. Lean management and administration structure

53. The global biosafety direct management costs amounted to only 2 per cent of the total budget. This was achieved by establishing a compact central team and making use of existing non-governmental organizations and their networks. A similar, equally successful, approach had been adopted in the “Involving national legislators in international environmental decision making through participation in the preparations for the World Summit on Sustainable Development proceedings and the second GEF assembly” (GLOBE) project which had a central management structure of only two people.
54. The use of electronic media in the GLOBE project enabled effective, yet low-cost communication and kept publishing costs down. The project in total sponsored 21 Southern legislators and assisted over 200 legislators with documentation, visas, travel and briefing materials for the World Summit on Sustainable Development.
55. The ICRAN project, on the other hand, was considered to have very high transaction costs in terms of administration and management mainly because of unclear governance structure and complex central financing procedures. It seems, however, that this did not have a negative impact on field site activities which were implemented in a cost-effective manner.

2. Use of local resources

56. The “Enabling activity for the preparation of initial national communication related to the United Nations Framework on Climate Change” project in the Comoros successfully used local consultants whereby the project both saved in consultancy fees of international experts and enabled most consultants to develop their skills in the area of climate change.
57. The “Enabling activity support to parties to the Convention on Biological Diversity for the preparation of national biodiversity strategies and action plans” in St. Lucia engaged national experts from the Government who took on responsibilities in the steering committee as part of their duties. The project thus saved costs of external experts while benefiting from the existing knowledge base.

C. Impact

58. Impact of the projects was established by examining how the project influenced policies, strategies and activities of cooperating agencies, Governments and partners. Impact on the environment was not discussed because the projects were evaluated either at mid-point or towards the end of completion, which meant the time span was too short to establish any

long-term impact on the environment. It should also be recognized that the following discussion focuses on main intended impacts while the projects could have generated many other and indirect impacts.

59. The overall impact rating of the 16 projects was *very good*. The evaluations found that the impact of these projects was mainly related to actions taken by Governments and national institutions.
60. Several projects made substantial impact on strategy and policy formulation processes through education and increased awareness of decision-makers. For example:
 - (a) In Poland the “Enabling activity support to the parties to the Convention on Biological Diversity for the preparation of national biodiversity strategies and action plans” project steering committee meetings resulted in better understanding by decision makers of the need to implement the overall system of biodiversity protection and management. As a result of this the most significant sections of the project were integrated and reflected in other sector policy documents;
 - (b) The two regional training workshops convened as part of the methyl bromide project improved participants’ awareness and capacity to understand methyl bromide issues and the available alternatives. This led to the compilation for the first time of exact figures on methyl bromide imports, uses and consumption to provide a basis for decision-making.
61. In other projects the impact on strategy and policy formulation took place through the strengthening and development of environmental conventions, protocols and agreements.
 - (a) The emergency response to the fires in Indonesia project provided a basis for the ASEAN Agreement on Transboundary Haze Pollution and significant support to, for example, the regional haze plan, and the immediate action plans;
 - (b) The information generated from the “Enabling activity for the preparation of initial national communication related to United Nations Framework Convention on Climate Change” project in Viet Nam has been used by national institutions. Key findings of the initial national communication were well incorporated into sector plans as a first step towards full incorporation into the national action plan for the implementation of the Framework Convention on Climate Change currently under preparation;
 - (c) The methyl bromide project in Hungary accelerated the development of rockwool as a major methyl bromide alternative and facilitated the expansion from 70 hectares to 700 hectares. The project also speeded up the legislative process in compliance with the Montreal Protocol and European Union requirements;
 - (d) The international conference held in August 2000, as part of the “Lop Nur nature sanctuary biodiversity conservation” project has strengthened international cooperation on wild camel conservation. The China Mongolia International Wild Camel Protection Conference Resolution was adopted, and a letter of intent on wild Bactrian camel protection exchanged between the State environmental protection administration of China and the Ministry of Nature and Environment of Mongolia.

D. Sustainability

62. Sustainability measures the extent to which the benefits of the project continue to exist after the project has come to an end. The overall rating of sustainability in the evaluations was *good* based on ratings given in the terminal evaluations of 14 projects.





63. The examples of successes and challenges faced by UNEP projects in this area are discussed under three main categories: enabling environment, institutional capacity and financial sustainability.

1. Enabling environment

64. Securing an enabling environment, especially for projects that deal with implementation of environmental agreements and conventions, is a major challenge. However, the evaluations identified a few good examples where this had been successfully achieved by engaging multiple players, including the Government:
- (a) The Lop Nur project increased understanding of the importance of protecting the wild camel among interest groups at international, national and local levels through a public awareness programme. This was possible through securing commitment and cooperation from the local government management centre, provincial environmental protection departments, the Chinese Environmental Association of Journalists and the Wild Camel Protection Foundation;
 - (b) The dryland ecosystem project is planning to secure an enabling environment through adoption of the MONITOR software by the policy and decision makers for their future decision making. The Centre for Agriculture and Environment (AGRIMED) is assisting the project in this task and has secured additional funds in order to refine the software and increase the ease of use by end-users.

2. Institutional capacity

65. A good example of a project becoming a part of an existing institution or activity and strengthening it is the “Development of best practices and dissemination of lessons learned dealing with global problems of alien species that threaten biological diversity” (alien species) project which was instrumental in promoting the work of the Global Invasive Species Programme (GISP). The GISP secretariat is now established in South Africa at the National Botanical Institute and provides an institutional foundation for a potentially significant global organization.

3. Financial sustainability

66. The projects evaluated had difficulty in achieving financial sustainability mainly due to lack of strategies to identify and secure suitable longer term funding structures and sources:
- (a) The African process project had not formulated and packaged the project proposals (output of the project) to suit the specific desires of the participating sub-Saharan African States and funding agencies in order to secure the funding of the activities;
 - (b) The methyl bromide project had to work hard to put the applied research results addressing methyl bromide alternatives on the agenda of the domestic research funding bodies in order to secure adequate local funding;
 - (c) In the Lop Nur project a need for quality funding proposals to the Chinese Government and donors was identified for the nature reserve to secure funding for its operations and research. Lop Nur has to compete with all the nature reserves for support, totalling an average of \$1 million to be shared between 30–40 nature reserves.



E. Stakeholder involvement

67. Stakeholders are the individuals, groups, institutions or other bodies that have an interest in the results of a project. The level of stakeholder involvement is determined by the presence of three related and often overlapping processes: participation, consultation and information dissemination.
68. Stakeholder involvement was rated in six evaluation reports with ratings varying between *good* and *very good*. Based on the specific ratings and evaluators' comments, overall evidence of satisfactory stakeholder involvement was found in most of the 16 evaluations carried out in 2003 but six evaluations commented on the weak involvement of the private sector.

1. Participation

69. In the methyl bromide project, the national ozone units were instrumental in establishing a network of mentors on policy matters. The awareness-raising programme brought the message of methyl bromide phase-out to the attention of a wide array of protagonists who in turn played a policy mentor role within the national systems. Policy makers, especially in the environmental protection area, and technical personnel in the crop protection area were invited to regional workshops held as part of the project. They acted formally as executives of units and as members of technical and policy committees, and informally in personal interaction with stakeholders.
70. A major accomplishment of ICRAN is that the project has created, for the first time, a truly global network of key organizations working to save coral reefs, including major non-governmental organizations, international research institutions, UNEP and the Global Coral Reef Monitoring Network (GCRMN). Stakeholder participation was assessed as very good at the local level. The same cannot be said, however, for the participation of site managers and their stakeholders in the overall structure and function of ICRAN internationally. Site managers and stakeholders had no direct representation or voice in the ICRAN board of directors or steering committee and their concerns over issues such as long delays in the release of finances and complex financial reporting procedures, had not led to improvements or changes in the institution management of network finances.

2. Consultation

71. Consultations with the oil and gas sector in the "Addressing transboundary environmental issues in the Caspian environment programme" is a good example of the active involvement of the private sector in the design, implementation and management of the programme. British Petroleum (BP) played an important role in the consultation process for the development of guidelines on environmental impact assessment in a transboundary context in the Caspian Sea region. A representative of British Petroleum participated in one of the two consultative workshops and provided input to the guidelines drafted by the Regional Office for Europe in collaboration with the European Bank for Reconstruction and Development (EBRD) and the United Nations Economic Commission for Europe (ECE). Without this very active involvement of the private sector, no sustainable development and environmental protection of the region could be achieved. In the climate change enabling activity project in Viet Nam, however, Electricity of Viet Nam, one of the biggest stakeholders in climate change issues and the sole electricity supplier in the country did not participate in and were not aware of the climate change project.



72. Early participation of stakeholders in the biodiversity projects were instrumental in ensuring success. For example, cooperation with a great number of scientists and representatives of non-governmental organizations facilitated successful implementation of the biodiversity project in Poland although the non-governmental organizations involved had a tendency to deal with only particular problems of biological diversity and treat their own interests as strategic priorities.

3. Information dissemination

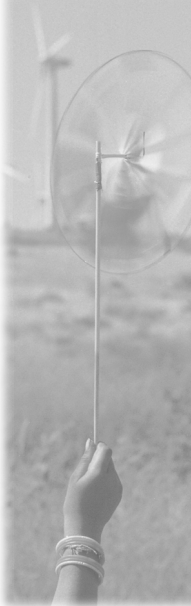
73. The alien species project has successfully encouraged stakeholder participation through the GISP website, an outcome of the project which has become the primary search and reference website on alien invasive species. Through well-attended forums, vigorous promotion, publicity and distribution of the toolkit and the key strategy documents, invasive alien species issues have become well known, with agencies asking for more material. This includes conservation agencies in Governments, local non-governmental organizations and research institutions.
74. In the GLOBE project, electronic delivery of briefing material to senior legislators was highly efficient. A dedicated GLOBE website was built for the world summit. While the use of the site peaked during the summit it steadily increased again in the months following the summit.

F. Country ownership

75. Country ownership measures how well the project becomes part of national development programmes and environmental agendas and how committed the country is in sustaining the project results.
76. Six projects were rated with an average rating of *good* but also the ten projects that were not rated in this aspect contained activities to establish country ownership. The evaluations demonstrated that establishing a mechanism for country participation, careful timing and providing solid scientific evidence can play a key role in achieving country ownership:
- (a) The African process project developed a specific feedback mechanism to ensure the involvement of the countries throughout the project. This included: first, convening joint meetings among national teams; second, holding national workshops with participation of government officials and other partners; and third, linking proposed projects to government programmes and priorities and existing donor-supported projects;
 - (b) In the West Africa environmental data framework project the timeframe was not suitable for the partner institutions of the countries. The evaluation concluded that ownership would have already been achieved had the activities not been so rushed;
 - (c) In Poland the results of the demonstration project to find alternatives for methyl bromide assisted in leveraging national funding for the Polish Research Institute for Vegetable Crops.

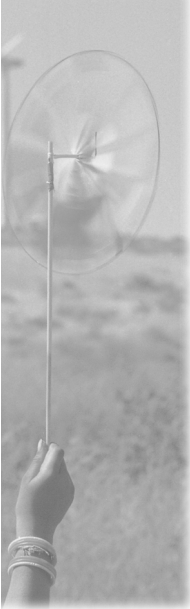
G. Implementation approach

77. Implementation approach is a generic analysis of how well the project management is able to adjust the plans to changing conditions, use lessons learned, as well as manage and maintain partnerships in support of project implementation. The overall rating for implementation approach was *good* based on ratings of six evaluations.

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78. The Caspian environment programme and haze projects provide good examples of where project management was able to adjust the original plans according to changing conditions:
- (a) The Caspian environment project demonstrated that changeable conditions related to the political environment and communications with major stakeholders, and lack of country ownership will not hamper the achievement of project objectives and outputs if reacted to in a timely manner;
 - (b) In the haze project the management established that the achievement of technical quality standards in Sumatra, Kalimantan and Malaysia had to be achieved despite a delay in project completion and ensured that the required technical reviews took place.
79. A good example of using past experiences to the benefit and success of a new project is the methyl bromide project. UNEP Division of Technology, Industry and Economics used its past experiences in ozone depleting substance phase-out projects across 140 countries and its multilateral fund supported publications on the project design, especially to emphasize the need for awareness-raising efforts relating to policy, regulations and training.
80. With regard to management of partnerships, the climate change project in Kenya was commended for effectively bringing together various experts to compile data collected to produce the final document thus solving a coordination problem that had caused delay in project implementation.

H. Financial planning

81. Financial planning assesses the extent to which the projects succeeded in securing funding for their activities and how well they managed the funds received. Financial planning received an overall rating of *good* based on six projects. Several projects such as climate change enabling activities and biosafety projects were complimented for good financial management and adherence to UNEP requirements. However, the evaluations brought out the following areas that require strengthening:
- (a) One of the main challenges for projects was to plan for co-financing in support of core funding. For example, in the case of ICRAN the project did not have a clear plan of how to comply with the United Nations Foundation condition of matching their funding of \$5 million with the equivalent amount of money. Instead, the project budgeted and started executing activities for the whole \$10 million and is now in difficulty in the absence of funding;
 - (b) The African process project, on the other hand, generated co-financing beyond expectations by attracting and engaging countries that had donors interested in supporting them which also agreed to support their involvement in the project. This made it possible to increase the number of participating countries from seven to eleven;
 - (c) The evaluations pointed out that the timing of release of funding could have severe negative impacts on project execution:
 - (i) The initial transfer of funds to GLOBE was not made until late March 2002 owing to the late release of the funds by UNEP Nairobi. This delay left only five months to implement planned activities before the world summit and forced the adoption of a compressed schedule to try to engage legislators, especially Southern legislators new to the process. This compression also contributed to the relatively few pre-summit briefing materials produced and was a factor in the inability to obtain translations in time;



(ii) Late receipt of funds allocated by UNEP was cited by the national partner institutions as the most significant constraint for project execution in the data framework project in West Africa;

(d) Projects implemented through external partners and which have multiple donors need to clarify and agree on a mechanism that ensures overall control over the financing of a project and how the financial information is to be shared with the stakeholders. In the alien species project, while excellent and detailed records were maintained of funds handled by SCOPE, the project was unable to keep track of co-financing because all funds were channelled through the SCOPE system. This points to a need to adhere strictly to a financial tracking system where all partners notify a central unit of funds received and expended within the project.

I. Replicability

82. Replicability is defined as lessons and experiences derived from projects that could be duplicated or scaled up in the design and implementation of other projects. Six projects were rated for replicability with an overall rating of *very good*.

(a) The biosafety project developed tools that countries with limited biosafety experience could easily use to get started. These comprised: a template project document, work plan and budget, and a mechanism for involving different stakeholders. In addition to the current 120 countries involved, more countries could therefore be incorporated provided that more staff and financial resources are made available to manage the additional workload;

(b) The approach used in the dryland ecosystem indicator model project could be adopted and replicated in different countries and regions without significant problems. Four steps ensured proper adaptation of the project and could be replicated:

(i) Establishing consensus for the environmental, social and economic variables of the MONITOR software model through a number of meetings;

(ii) Preparing a manual containing indicator variables and guidelines;

(iii) Organization of workshops to inform and enhance local participation in the process;

(iv) Organization of workshops to familiarize and train project associates and Government officials;

(c) In the Lop Nur nature sanctuary project the awareness activities were found to have good replication value. The project was, through the involvement of many different parties, such as local government, the management centre, provincial environmental government authorities, Chinese Environmental Journalists' Association and the Wild Camel Protection Foundation, able to successfully increase understanding of interest groups at international, national and local levels, and promote wild camel conservation. The awareness raising programme would be a good model for other biodiversity conservation management projects.

J. Monitoring

83. Monitoring is a continuing process of comparing the actual status of project activities against the work plan and budget of the project.

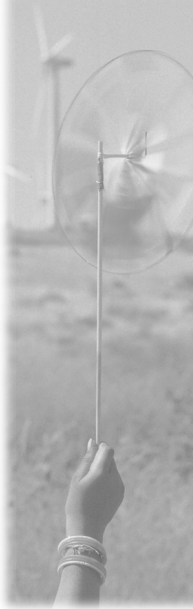
84. The evaluations of six projects rated monitoring as *good*. This rating is based on an assessment of compliance with the UNEP monitoring system and the quality of the content submitted. Findings of all the 16 evaluations show that the main reasons for non-compliance with reporting requirements are: first, lack of monitoring and evaluation capacity at national level by the executing partner; and second, lack of value given to monitoring and evaluation as a management tool.

1. Compliance

85. The evaluations showed that the value of monitoring at both executing agency and the corresponding supervising task manager levels was not fully understood resulting in negligence with regard to reporting requirements and proper supervision. This was particularly the case in projects where responsibilities were unclear or where individuals were managing projects in addition to their normal duties:
- (a) The project management through the ASEAN processes was weak in terms of monitoring timelines and timely delivery of outputs. The evaluation concluded that this was due to the non-existence of a project unit;
 - (b) Due to the scarcity of climate change experts in the Comoros, the national consultants were, for the most part, high-ranking government employees in full-time employment who had to continue with their normal duties. As a result, the study teams rarely managed to meet their deadlines and, as there was no project management team to supervise the timetable and make sure it was strictly enforced, the monitoring process was not as effective as had been expected;
 - (c) The extensive reporting envisaged by the project document for the enabling activity climate change project in Viet Nam did not materialize. Progress reports constituted the only reporting maintained throughout the project period. Even these became less substantial and more irregular as the project progressed. The evaluation concluded that this problem was related to lack of adequate supervision.

2. Quality assurance

86. Some of the evaluations pointed out that although there was compliance with the monitoring requirements, the monitoring did not pick up problems properly or result in corrective action regarding current and future programme or project activities.
- (a) Quarterly reporting by the project manager was at times sketchy and unclear on the details of activities in the GLOBE project. There was little documentation regarding the programme, the participants and their reaction to events, such as legislators' forums, that would have proved useful in improving the effectiveness of future events. The steering committee, however, did not object to this lack of detail.
 - (b) Monitoring was not always a priority to many people involved with GISP in the alien species project and it appears that some sectors of the project did not have milestones sensitive enough to pick up problems and trends at an early stage.

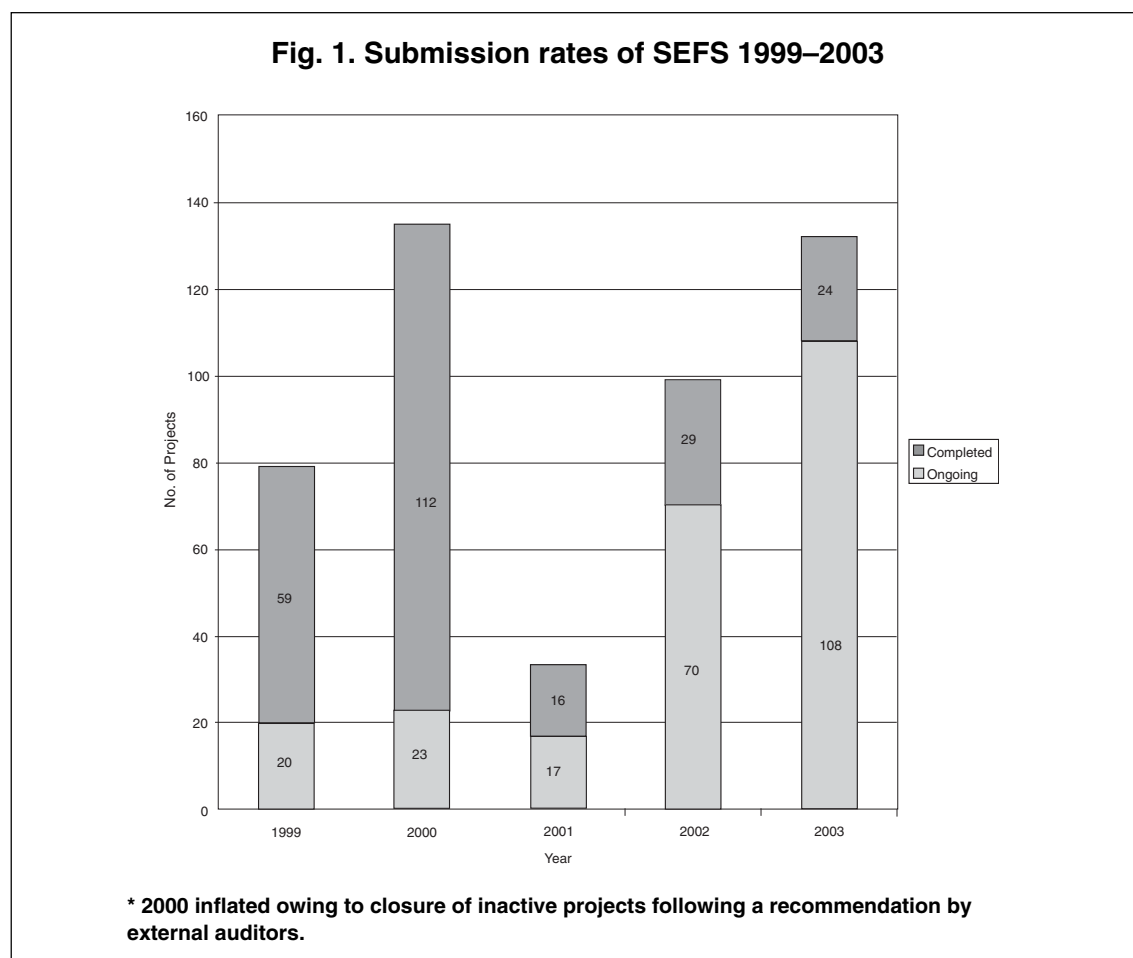




IV. Self-evaluation of UNEP projects

A. Background

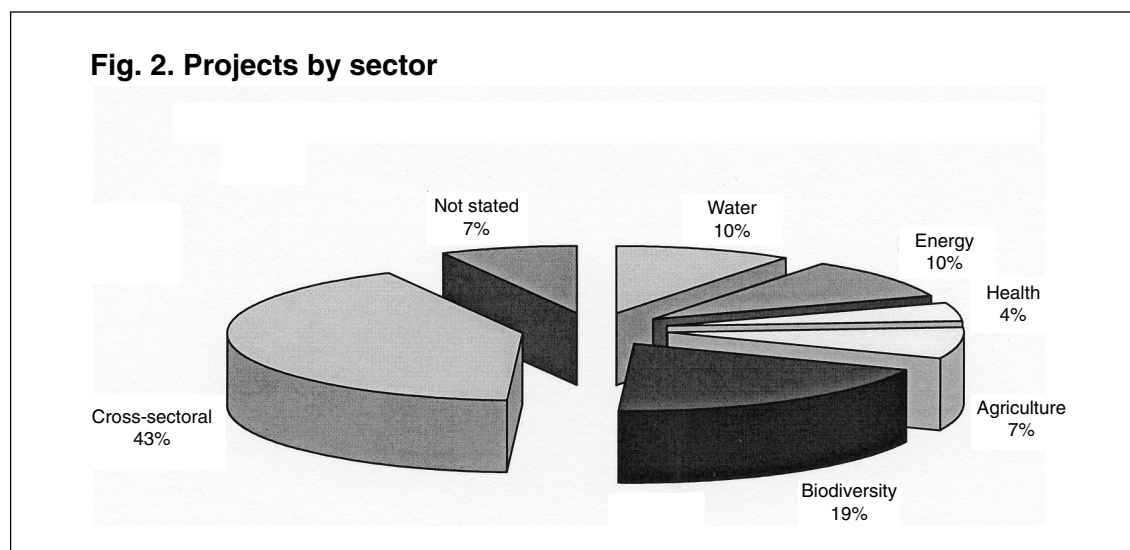
87. Self-evaluation of projects has been undertaken annually since 1989. Its main purpose is to provide information to project managers on the progress of project implementation and the challenges and achievements of the projects. Self-evaluation reporting also provides input data for the preparation of the annual evaluation report.
88. Self-evaluations are conducted by all active UNEP projects, except for activities included in the costed work plans, project development grants (UNEP/GEF PDF A and B) and projects implemented by conventions and executed by UNEP that have their own reporting mechanisms and are not part of the UNEP programme of work.
89. An electronic self-evaluation system was implemented for the first time for reporting in 2003. In 2003, 134 self-evaluation reports were completed representing 85 per cent of the total number of projects subject to reporting. This represents a 12 per cent increase over submissions in 2002 (*see figure 1*).



B. Findings from analysis of 2003 self-evaluation reports

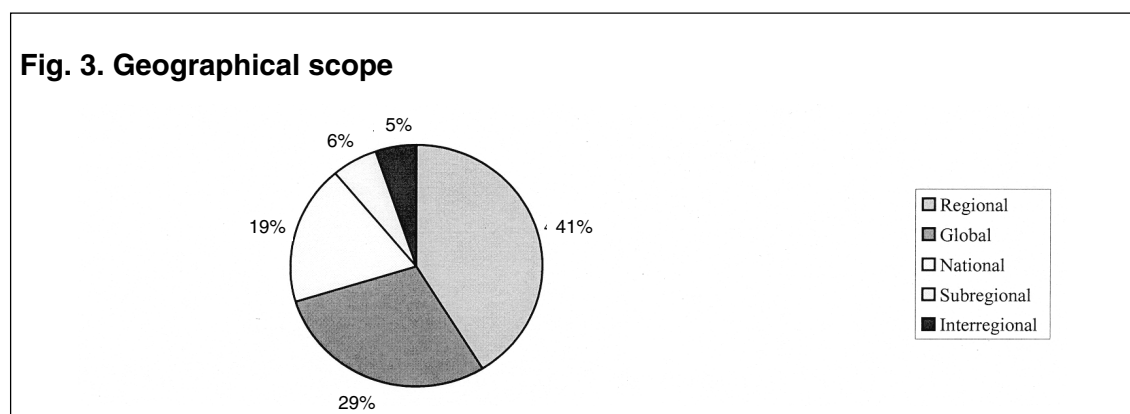
1. Thematic focus

90. In general, UNEP projects promoted both the UNEP programme of work 2004–2005 (UNEP/GC.22.6) and the United Nations environmental priorities adopted at the World Summit on Sustainable Development in the areas of water, energy, health, agriculture and biodiversity. Around 50 per cent of the projects focused on water and sanitation, energy, health, agriculture and biodiversity issues (biodiversity 19 per cent; water 10 per cent; energy 10 per cent; agriculture 7 per cent; and health, including chemicals, 4 per cent). Out of the projects, 43 per cent addressed cross-cutting issues such as assessment, environmental governance, regional cooperation, trade and environment, civil society and consumption, and 7 per cent did not indicate their thematic focus.



2. Geographic scope

91. Out of the projects 29 per cent were global in scope, 52 per cent were regional, sub-regional or inter-regional and 19 per cent were implemented at the national level. There seems to be a shift from global and regional focus towards more national implementation which increased from 8 per cent in 2002 to 19 per cent in 2003. It should be noted, however, that some global and regional projects have a strong national approach, in other words, while they are designed as regional or global projects the activities are executed at the national level in different countries.





3. Mode of implementation

92. The projects implemented externally (by other agencies) comprised 56 per cent while 37 per cent were implemented internally by UNEP and 7 per cent did not state any specific mode of implementation.
93. Government ministries and institutions were the implementing partners in over 50 per cent of the externally implemented projects followed by other United Nations agencies, universities and research institutions. Around 20 per cent of the projects had multilateral and inter-governmental organizations as one of their partners while only 5 per cent had engaged a non-governmental organization as a partner.

4. Project duration

94. Most UNEP projects are implemented over 1–4 years while short-term projects, ranging from 1–12 months, represent about 10 per cent of the projects and projects lasting over five years constitute around 11 per cent.
95. Of the 24 completed projects that reported, 15 projects were completed according to schedule, seven projects were completed behind schedule and two were implemented ahead of schedule. Two projects did not state whether they were completed or continuing. With regard to current projects, almost half were behind schedule which indicated that many projects would have to revise their original schedule during implementation.
96. Projects which were behind schedule identified the following reasons for the delay:
 - (a) Late start of project;
 - (b) Inadequate timeframe for planned activities;
 - (c) Project completion still underway;
 - (d) Late transfer of funds;
 - (e) Additional project elements and activities;
 - (f) Poor communication among cooperating agencies and with support partners;
 - (g) Unexpected circumstances (for example, political unrest, Middle-East crisis);
 - (h) Staff related issues: staff shortages compounded by high staff turnover, lack of staff capacity and slow recruitment processes.

5. Sources of funding

97. Bilateral donors and GEF were the biggest individual sources of funding for projects, constituting about 25 per cent each. Approximately 30 per cent of funding came from other sources, including private foundations, private sector and industry, the European Commission, universities and non-governmental organizations. The low percentage of funding (15 per cent) from the UNEP environment fund may be explained by increased and more successful resource mobilization activities and by the fact that internal activities are not reported through the self evaluation mechanism because they are included in the costed work plans. Other United Nations programmes or agencies provided funding or co-funding for approximately 4 per cent of the projects. It should be noted that most projects have more than one source of funding.



6. UNEP substantive input into projects

98. In line with the UNEP mandate, the UNEP substantive support to projects focused on quality assurance, technical assistance and provision of expertise, methodologies and approaches. All three approaches were used in over half of the projects. Less priority was given to areas such as development of projects, logistical support and backstopping in general.

7. Challenges in project implementation

99. The challenges in project implementation were identified at four levels: first, the financial level; second, the programme or policy level; third, the project level; and fourth, the institutional or management level, which are described in table 1. Based on the data collected the biggest challenges for the projects are institutional support and adequate and timely funding.

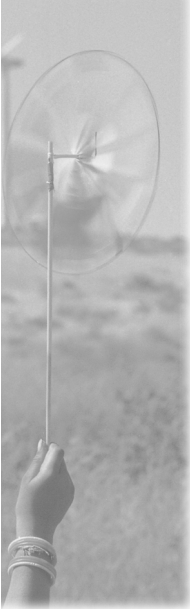
Challenge	Cause of challenge	per cent
Financial level	Insufficient or lack of funding	44
	Late transfer of funds	
	Late receipt of allotments	
	Incomplete or lack of funding strategy or plan	
	Other	
Programme or policy level	Change of subprogramme objectives and priorities	11
	Other	
Project level	Inappropriate project design	34
	Poor project coordination	
	Ineffective logistical arrangements	
	Unrealistic work plan	
	Insufficient monitoring and evaluation	
	Other	
Institutional or management framework	Inadequate involvement of stakeholders	49
	Lack of country ownership	
	Late processing of memorandums of understanding and related agreements	
	Slow project and funding approval process	
	Weak or slow coordination mechanism by partners	
	Other	

8. Sustainability arrangements

100. Sustainability arrangements seek to assure continuity of project activities or use of project outputs beyond the life of the project itself. Nearly all projects reported that they have already made arrangements or are in the process of making arrangements for sustainability. The analysis below should be reviewed in light of the fact that 108 out of 134 projects in the self-evaluation report survey still had activities under implementation.

(a) *Enabling environment*

101. In order to create an enabling environment, projects mainly focused on creating public awareness and facilitating policy dialogue and formulation, for example to develop strategies and national



action plans with the involvement of relevant stakeholders including non-governmental organizations, community leaders, private sector and interest groups. Almost all projects (96 per cent) provided for arrangements that would create an enabling environment.

(b) Institutional capacity

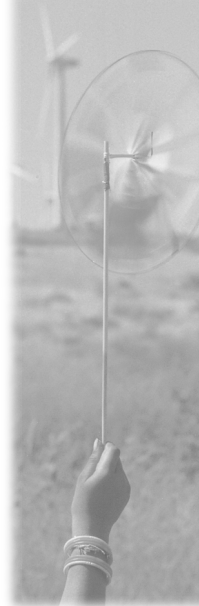
102. Projects that made provision for building institutional capacity constituted 86 per cent and the main area was support to planning, especially assisting institutions to formulate strategic plans to enable them to make provision for continuing activities in the longer term. Many projects also focused on planning and developing human resources to help institutions continue activities after the end of the project. However, only 43 per cent of the projects used developing and establishing a monitoring and evaluation system as a tool for building institutional capacity. Data was not available to confirm whether the low figure was due to already existing mechanisms. Nevertheless, the low priority given to monitoring and evaluation is reason for some concern considering that an effective monitoring and evaluation mechanism is a basic requirement for good project management.

(c) Financial sustainability

103. Provision was made for achieving financial sustainability in 63 per cent of the projects which is relatively low considering that few activities can continue without direct financial support. In the cases where financial sustainability was planned for, it was mostly done through public budgetary allocations or through government resource mobilization. Few projects sought funding through non-governmental organizations and the private sector.

9. Risk identification

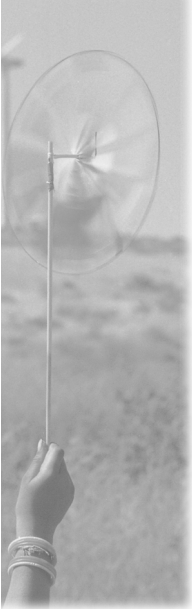
104. Risk identification was introduced as part of self-evaluation reporting to help project managers identify and understand risks and determine what action could be taken to minimize them. The projects were requested to identify risks in eight areas (described in table 2 below) and rate their importance on a scale of low, medium, substantial and high risk. While risks such as social and political environments are often beyond the control of projects, several significant risk areas were identified in the administration and management of projects which could be reduced by the project management or UNEP. For example, financial management and disbursement delays were of concern to projects mostly in terms of adherence to good financial management practices and financial control and reporting. Procurement was also considered a big risk area because of slow, costly and insufficient procurement procedures. It also seems that monitoring and evaluation need more attention and analysis to assess what could be done to reduce the risks and assist the executing agencies. This supports the earlier finding that not enough effort is put into ensuring sustainability of the projects in terms of monitoring and evaluation mechanisms.



Area of concern	Description of risk
Financial management	Adherence to good financial management practice; submission of financial reports and cost control
Disbursement delays	Delay of disbursements according to detailed work plan that impedes implementation of activities
Procurement	Project materials such as computers, telephone lines, means of transport, are not acquired according to project work plan; slow, insufficient or costly procurement procedures
Project management	Inadequate or no support in overseeing resources from executing agency hinders project implementation; little or no communication between task manager, national coordinator and implementing agency
Project monitoring and evaluation	Lack of submitted quarterly progress reports, financial reports and self-evaluation reports; lack of data to measure performance indicators during implementation
Organizational support	Institutional factors: strategy, policy or programmes influencing project implementation (UNEP)
Financial support	Lack of financial strategy, inadequate resource mobilization from national stakeholders and donors
Social and political environment	Social, economic and political factors at national, regional and global levels influencing implementation of project

10. Gender

105. More than 90 per cent of the projects reported the involvement of women in project activities. This figure, however, does not distinguish projects which were planned with gender as a guiding principle. Participation of women was reported in the planning, development, implementation, and management of projects, capacity-building activities, awareness-raising activities and in decision making.



V. Capacity-building

106. UNEP capacity-building and development activities derive from its mandate “to provide leadership and encourage partnership in caring for the environment by inspiring, informing and enabling people to improve their quality of life...” Capacity-building within this context means building abilities, relationships and values that will enable nations, organizations, groups and individuals to improve performance and achieve their development objectives.
107. Almost all of the projects evaluated in 2003 fall within this broad framework definition of capacity-building and development (later referred to as just capacity-building). This section discusses capacity-building activities identified in these projects and the challenges they faced.
108. Capacity-building activities in UNEP fall within three broad categories, namely:
 - (a) Support for institution building by Governments at the regional, sub-regional and national level;
 - (b) Developing and testing environmental management instruments in collaboration with governmental and non-governmental partners; and
 - (c) Promoting public participation in environmental management and facilitating access to environmental information.

A. Support for institution building

109. The formulation of policy, institutional strengthening, development of environmental laws and the implementation of multilateral environmental agreements are ways in which UNEP assists in developing institutional capacity. Support for institutional capacity development in the projects evaluated in 2003 was of three main types: creation of expert networks, implementation of multilateral environmental agreements and support for policy formulation.

1. Expert networks

110. Expert networks are established as a means to share and disseminate information and to build knowledge on specific issues. Expert networks often last beyond the effective lifespan of projects and provide the foundation for institution building. Some examples of successful creation of expert networks through projects are the following:
 - (a) The African process project was an innovative initiative by sub-Saharan coastal states on the sustainable development and conservation of coastal and marine resources in the region. The project involved bringing together over 87 experts from eleven participating sub-Saharan coastal states. The project succeeded in producing 11 reports containing comprehensive assessments of sites of regional and national significance (hot spots and sensitive areas) and a regionally consolidated report which presented common transboundary issues and priorities for intervention to reverse the negative impacts. The experts further developed 19 project proposals, including 140 subprojects, for funding and a programme of interventions and awareness among stakeholders. The technical

experts, along with members of the steering committee of the projects, are now conversant in and supportive of the African process. The use of African experts has enhanced capacity and ownership of coastal, marine environment and resource issues in sub-Saharan Africa;

- (b) The ICRAN project, a collaborative effort aimed at halting the degradation of coral reefs worldwide, was a major contribution to the implementation of the Framework for Action of the International Coral Reefs Initiative, the internationally-agreed blueprint for conserving coral reefs. By bringing together 18 institutions, ICRAN has created, for the first time, a truly global network of the key organizations (including major non-governmental organizations, international research institutions, UNEP and Global Coral Reef Monitoring Network) which have been working to save coral reefs.



2. Implementation of multilateral environmental agreements

- 111. Several projects, including the biosafety project, enabling activity projects and the Caspian Sea projects, were designed to implement multilateral environmental agreements while the Lop Nur project in China produced its own bilateral agreement. The fundamental objective of the biosafety frameworks project was to develop the capacity within countries to prepare national biosafety frameworks in order to comply with the Cartagena Protocol on Biosafety. Activities of the project, among other things, include the promotion of regional and subregional collaboration and exchange of experiences through training workshops, preparation of baseline surveys, stakeholder consultations, preparation of toolkits and the harmonization of legal and regulatory instruments. The biosafety project is an example of a project that covers all elements of capacity-building in the organization.
- 112. The United Nations Framework Convention on Climate Change enabling activity projects were designed to fulfil the obligations of countries under the convention, especially in the preparation and reporting of their national communications. Like these projects, the biodiversity enabling activity projects were designed to prepare national biodiversity strategies and action plans in fulfilment of the requirements of the Convention on Biological Diversity. Besides the preparation of the national communications and action plans one of the main results of the enabling activities projects is the enhancement of scientific and technical capacity in the participating countries to deal with climate change and biodiversity issues.
- 113. The Caspian Sea project which represents cooperation among five Caspian and littoral states – Azerbaijan, Islamic Republic of Iran, Kazakhstan, Russian Federation and Turkmenistan – was developed as a comprehensive response to environmental problems in the Caspian region. To strengthen institutional, legal and regulatory frameworks for implementation of a strategic action plan, the project sought to create a legislative umbrella through the enhancement of national, legal and institutional capacities by developing the Caspian Framework Convention. The Lop Nur project was successful in establishing a wild camel reserve and provided the necessary legal framework for the preservation of wild camels, including the signing of an agreement between China and Mongolia on the preservation of the wild Bactrian camel.

3. Support for policy formulation

- 114. While UNEP projects evaluated in 2003 developed the necessary legal and regulatory capacity to implement environmental activities, support for policy formulation was limited. Work in this area was evident in the methyl bromide project in countries with economies in transition through policy development, awareness raising and demonstration activities. Through a regional policy development workshop, representatives of national ozone units and agricultural ministries



identified preferred policy measures and developed scenarios for the formulation of national action plans for methyl bromide phase-out. No formal strategic plans were developed.

B. Development and testing of environmental management instruments

115. UNEP provides technical assistance to member states upon request in the development and testing of guidelines, manuals, demonstrations, data frameworks and methods for data collection. Several projects, including the indicator model project, the methyl bromide project and the West African data framework project, were involved in the development and testing of environmental instruments.
116. The indicator model was designed to develop and test a decision support tool capable of identifying vulnerable dryland ecosystems and communities, better land use practices and adaptively monitoring changes brought about by the implementation of management plans. The ultimate goal was to promote sustainable use of biological diversity in dryland regions of Latin America. The resultant proprietary MONITOR software was tested and is being adopted in Brazil, Chile and Mexico.
117. The data framework project in West Africa was aimed at establishing a data-driven network infrastructure to support environmental assessment reporting, to strengthen institutional capacities and to facilitate greater harmonization of environmental data for state-of-environment reporting in the subregion. Bringing together stakeholders in workshops produced a collaborative network of 14 focal points and two regional institutions, a quantitative information base to support environmental analysis and modelling and the creation of an expert working group to validate meta-databases and data tools.
118. The demonstrations in the methyl bromide project were appropriately directed at the development of practical, viable non-chemical alternatives which included the use of rockwool (developed in Hungary), *Trichoderma viride* (developed in Poland), and solarization (developed in Bulgaria). These crop-dependent alternatives were tested successfully on indoor vegetables.

C. Promoting stakeholder involvement and access to information

119. A major area of UNEP capacity-building activities is the provision of information, including identifying and disseminating best practices and success stories as lessons and for replication. The most effective way of promoting public involvement and sharing information was through conferences, training programmes, workshops, awareness raising events and dissemination of information. The following section describes examples of UNEP activities which were evaluated in 2003 in this area.

1. Training of trainers

120. Training of trainers was one of the most effective methods of developing national level capacity. Related to this, training through knowledge sharing between countries has proven to be very beneficial:
 - (a) In the data framework project, training also expanded into sharing information between countries. For example, experts from Cote d'Ivoire travelled to Niger and experts from the Gambia travelled to Nigeria to share their knowledge;
 - (b) At the regional level, more than 33 experts worked together in the development of

framework proposals. The capacity is available and could be used to develop future proposals for other sub-Saharan coastal states which have not participated in the first round of the African process project. Interaction between these regional experts and national teams could further enhance capacity-building in sub-Saharan Africa.

2. Information sharing through workshops and consultations

121. A different aspect of training activities was the facilitation of information sharing between different stakeholders, countries, regions, and so on.
 - (a) By far, activities in the St. Lucia project which have had the greatest impact include the consultation and workshops towards the preparation of the national biodiversity strategies and action plans. The forums allowed for increased awareness among key actors and stakeholders through the sharing of ideas and successes on biodiversity management, conservation and use;
 - (b) Within the framework of strengthening legal and technical capacities of the Caspian States in the Caspian environment programme a regional legal workshop was held. The overall objective of the workshop was to facilitate the implementation of multilateral environmental agreements in the Caspian region through discussion and review of the legal process of their implementation at the national level. The workshops also contributed to strengthening cooperation and understanding between participants from different countries of the region as well as among the secretariats of the conventions which will help avoid unnecessary duplication of effort. The workshop assisted in guiding participants through the process of preparing national legislation and regulations to adequately transpose the obligations of multilateral environmental agreements into national legislation.

D. Awareness raising

1. Public awareness

122. Public awareness activities played a major role in capacity-building. Many evaluations, however, showed that public awareness was often not prioritized at the same level as other project activities and is often not sufficiently budgeted for:
 - (a) A survey conducted as part of the evaluation of the national biodiversity strategies and action plans project in St Lucia revealed that the project was able to assist in raising awareness of biodiversity conservation and related issues at all levels (institutional to individual) through the following: first, island-wide, cross-sectoral popularization of the national biodiversity strategies and action plans; second, use of a consultative process involving key actors to secure direct involvement; third, public outreach; fourth, making the country study report available, especially to students and researchers; fifth, provision of printed material to organizations such as management authorities. Of the sample interviewed 70 per cent of respondents were fairly aware of biodiversity issues and have made changes in their policies, programmes and activities at both institutional and individual levels. There is, however, concern over the ability of the project to sustain high levels of awareness, due to funding constraints:
 - (b) The national biodiversity strategies and action plans project in Poland contributed to raising general awareness of biological diversity conservation through the involvement of a wide range of experts and consultants in the process of elaborating the national biodiversity strategies and action plans. Steering committee meetings facilitated better





understanding on the part of decision makers of the need to implement an overall system of biological diversity protection and management. Thematic seminars contributed to enhancing understanding of thematic issues and of the need to create an effective action plan. The involvement of non-governmental organizations in the process of consultations also resulted in improved dissemination of the ideas and the outcomes of the project to a wider group of interested people and to the general public. The wide consultations had great promotional and educational value;

- (c) The Lop Nur project was successful in raising public awareness on conservation of wild camels through the involvement of different media and government offices that had both the means and the capacity for wide distribution of information.

2. Dissemination of information

123. Several evaluations emphasized the importance of disseminating key outputs and lessons in a targeted manner to increase awareness among key players and the public in general:

- (a) The Poland national biodiversity strategies and action plans were advertised and disseminated within the scientific community in Poland at a special meeting of the Scientific Committee on Man and Environment of the Polish Academy of Sciences held in November 1998;
- (b) The GLOBE project was successful in promoting the considerable engagement and participation of legislators from developing countries in the World Summit on Sustainable Development through the wide circulation of pre-summit briefing documents and a world summit briefing book for legislators. The project also organized legislators' forums and global meetings, and prepared a dedicated legislators website during the summit;
- (c) While the alien species project produced excellent written material it was not always geared towards the right audience, for example, the data for economists were not useful to scientists. An additional challenge was that the website was not user-friendly and easy to explore;
- (d) While the ICRAN project raised the profile of coral reef issues at the international level through an extensive and coordinated campaign of awareness and information it has not sufficiently synthesized and disseminated experiences from its field sites.

E. Challenges and lessons for implementing capacity-building activities

1. Partner selection

124. Selection of partners for capacity-building activities was a challenge for most projects and is likely to continue to be one. While this annual report recommends that guidelines should be reviewed and developed to select partners for projects in general, it is also recognized that the factors affecting selection are varied and depend on the nature of the project, geographical location, political situation, and so on. The following paragraphs examine the challenges and experiences that could provide guidance for future capacity-building activities.

2. Identification of scope of partners

125. Many projects had difficulty in identifying and engaging all the relevant players in project activities. For example:

- (a) While the alien species project in itself was successful, the identification of regional players



- was problematic. Also, there was a need to broaden participation of other relevant partners;
- (b) In the case of United Nations Framework Convention on Climate Change project in Comoros, the evaluation found inadequate effort to build institutional capacity and recommended that UNEP encourage the Government of the Comoros to ensure sustainability and involve institutions that are more relevant to its aims. For a start, various units could be grouped under the General Directorate for the Environment, the National Agricultural, Fisheries and Environmental Institute and the National Scientific Research Centre, instead of relying solely on consultants;
 - (c) In the United Nations Framework Convention on Climate Change project in Kenya, more could have been done to prepare the groundwork for future projects, for example, by involving representatives of community-based organizations in workshops and recommending follow-up activities for grassroots organizations. There is also a need to introduce curriculums in schools, colleges and technical training institutes and involve journalists, the private sector and civil society.

3. Timing of selection of partners

126. The GLOBE project was slow in selecting participants by countries, thus drastically reducing the time left to implement actual activities leading to the world summit. The data framework project also saw delays in the implementation of activities because negotiations on identifying and nominating national institutions were slow. The reasons for the delays in both projects suggest that selection of partners is critical and should be done prior to commencement of actual activities to enable timely implementation of activities.

4. Benefits of selecting partners within existing resources

127. Using local resources instead of recruiting external experts was considered a sound and recommendable approach to capacity-building. For example:
- (a) In the African process project, the use of African experts enhanced capacity and ownership of project activities. The same was found and was recommended in the enabling activity project in Kenya where the evaluation commented that the involvement of consultants from the Government increased the likelihood that recommendations put forward in the national communication will be considered by policy makers;
 - (b) In the United Nations Framework Convention on Climate Change project in Viet Nam a clear choice was made to use local resources and build on existing capacity although it was recognized that international experts could have completed the work more effectively and expeditiously;
 - (c) The GLOBE project benefited from identifying a partner that already had a strong network for executing the project. Unfortunately, the opportunity to benefit from this network and build a longer-term network following the world summit was lost.
128. An important initiative being undertaken in UNEP through the GEF programme which involves the definition of clear guidelines and criteria for selection of partners in implementing project activities should help enormously in streamlining the partner selection process and strengthening capacity development activities in the organization.

5. Building multidisciplinary teams

129. Several evaluations recognized that selecting partners from different disciplines often worked to the benefit of the projects and also strengthened the institutions involved. For example:



- (a) In the African process project the engagement of multidisciplinary teams of social and natural scientists working together at the national level ensured identification of hot spots, sensitive areas and root causes and has taken into consideration both natural and social dimensions. National experts are now conversant with the process and will be able to use their skills in the analysis of marine and coastal issues and in the formulation of projects in the future. The process also, through the engagement of working group teams, coordinators, working group meetings and government endorsement processes, provided a conducive environment for wider understanding and adoption of an integrated approach in the conservation of coastal and marine resources in sub-Saharan Africa. These mechanisms enhanced coordination between scientists, stakeholders and decision makers.
- (b) The involvement of individuals from different government ministries, academic institutions and research institutes in the United Nations Framework Convention on Climate Change project in Kenya promoted the sharing of information and greater coordination of climate change issues.
- (c) In the United Nations Framework Convention on Climate Change project in Comoros, institutional strengthening was achieved through the establishment of a multidisciplinary and multisectoral country team. Emphasis was placed on the need to draw from the available expertise in the country's public sector.

6. Identification of needs

130. The cornerstone for the successful implementation of capacity-building activities, especially in training, is careful identification of approaches and needs. In general, the evaluations have shown that training activities were appropriately tailored to the objectives of the projects, however several examples of inadequate and inappropriate activities which resulted from inadequate needs identification were noted:
 - (a) While workshops were considered useful in the ICRAN project, they were unnecessarily complex for local level implementation. This perhaps resulted from inadequate identification of needs at the local level;
 - (b) In the Caspian environment project, workshops were organized on international environmental conventions including CITES, Aarhus and Espoo conventions. The evaluation considered the choice of two of the conventions as inappropriate workshop material. Also, the exclusion of the Convention on Wetlands of International Importance (Ramsar Convention) was a result of lack of careful identification of needs during planning stages of the workshop;
 - (c) The data framework evaluation concluded that more emphasis should have been put on training on methodology and reporting of scientific data to enable the countries to interpret and use scientific data more effectively;
 - (d) Training by the Government of China in the Lop Nur project failed to take into account the size of the nature reserve and the need for survival skills to enable sanctuary staff to assess the situation in the wilderness.

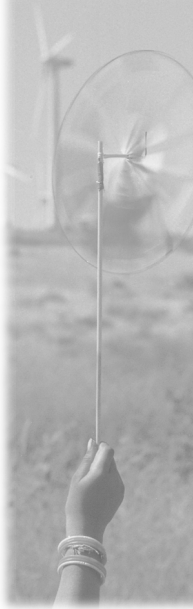
7. Appropriate timing and resources for activities

131. Several evaluations pointed out that often the training or workshops budgeted for were not sufficient to achieve their goals (in other words the length and costs were underestimated).
132. The Comoros project recommended slightly longer and more focused training courses especially for new participants.

133. In the biosafety project it was found that cost and time constraints limit the potential capacity-building impact of project workshops, despite their value in addressing issues of fundamental importance to the protocol. Although future subregional workshops are planned on the legal and administrative aspects of national biosafety frameworks, such events are, once again, very expensive and likely to be brief. It is doubtful that the current budget will suffice to meet the training and capacity-building needs of most countries.

F. Conclusions

134. All the evaluations conducted in 2003 (including self-evaluations) confirm that, consistent with the UNEP mandate, most, if not all, programme activities have strong capacity-building components in the areas of institution building, development and testing of environmental management instruments, promoting public and stakeholder involvement, and sharing information. The projects cited in this section are for illustration only and represent only a small proportion of the different types of capacity-building and information dissemination activities undertaken in the organization. Capacity-building activities at the national level continue to expand.
135. The evaluations indicate that while capacity-building activities are relatively easy to build into project or programme activities, they require careful assessment and planning. The experiences and challenges discussed in this section should educate the design and implementation of future capacity-building activities and perhaps in a limited way provide input into the organization's effort to define a strategic plan for the implementation of capacity-building activities.

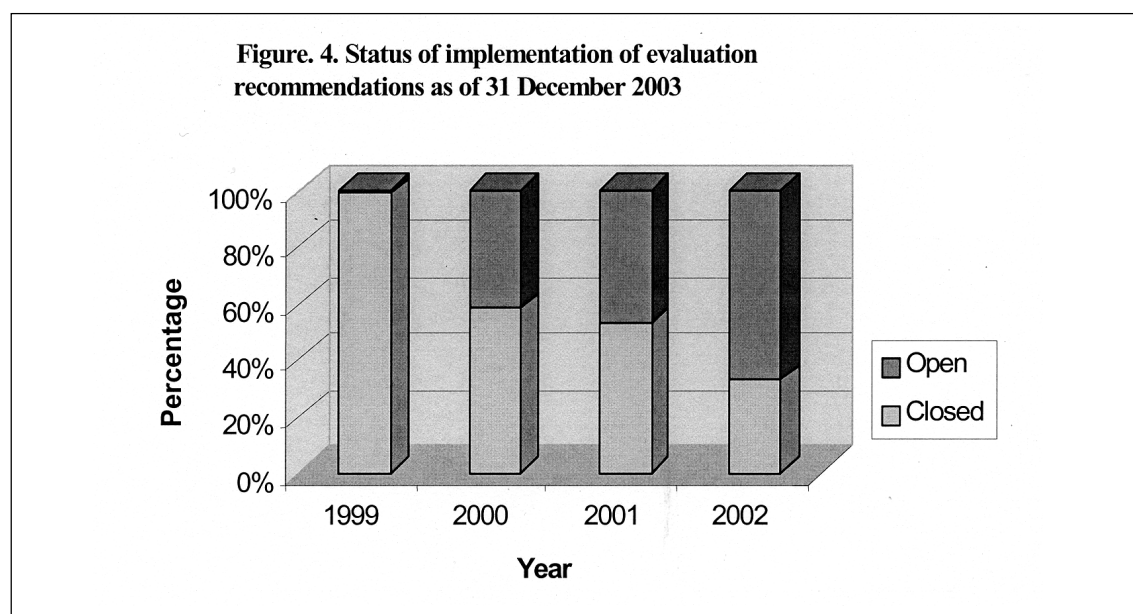




VI. Implementation of evaluation recommendations

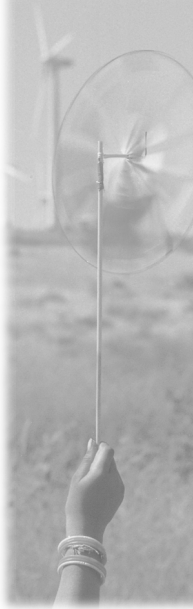
A. Subprogramme and project evaluations

136. Every programme and project evaluation is followed by an implementation plan for the recommendations. These plans, prepared by the relevant programme or project manager, contain details on whether the evaluation recommendations are accepted, what action will be taken, when and by whom. Evaluation and Oversight Unit reviews these plans in order to ensure that the responses address the requirements of the recommendations and follows up on the status of implementation on a half yearly basis.
137. The overall status of Evaluation and Oversight Unit evaluation recommendations as of 31 December 2003 for 1999–2002 is shown in figure 4 below. Considering the often complex nature of the recommendations, the unit is satisfied that recommendations do not generally remain open for more than four years and that implementation is in progress for over 60 per cent of the open recommendations. Nevertheless, Evaluation and Oversight Unit is concerned that up to 40 per cent of the outstanding recommendations, especially from 2000 and 2001, still do not have clear implementation plans due to lack of responses from project and programme managers. This may lead to recommendations becoming obsolete before they are ever addressed. The unit aims to strengthen the enforcement of timely responses for implementation plans and will seek support from senior management in this effort.
138. In 2003 Evaluation and Oversight Unit closed 148 recommendations. The evaluations conducted in 2003 resulted in 122 recommendations for which the development of implementation plans and implementation are currently under way. The unit will increase its efforts to critically review proposed recommendations in order to reduce their number and ensure that they focus on key issues that will improve project or programme performance.



B. Annual evaluation reports

139. As in the case of subprogramme and project evaluations, implementation plans are also prepared for the recommendations contained in the Evaluation and Oversight Unit annual evaluation reports. These plans are addressed to the senior management of UNEP. The content and follow-up mechanism is the same as that described for the subprogramme and project evaluations.
140. The implementation rate for the recommendations issued in the annual evaluation reports from 1999 to 2001 was around 43 per cent as of the end of 2003, with only one recommendation outstanding from 1999. This is satisfactory progress considering that the recommendations often address demanding policy and institutional issues. It should also be noted that progress is currently being made on most of the outstanding recommendations.
141. The complete implementation plan and current status of implementation for recommendations contained in the 2002 annual evaluation report is contained in Annex 4. The main issues of importance and concern to senior management are related to: first, improving interdivisional cooperation; second, improving resource mobilization activities at the project level within the framework of overall UNEP resource mobilization activities; three, tightening project management, especially improved qualitative monitoring; and four, improving consideration of gender aspects in the work of UNEP.
142. Other findings and recommendations are related to streamlining publication activities, the need to revise the UNEP project manual, strengthening capacity-building at national and institutional level, developing a strategy and framework for knowledge management throughout UNEP, strengthening its programmatic and administrative support to multilateral environmental agreements and improving identification of partners.



Annex I Terms of reference for the 2003 annual evaluation report

Purpose

The purpose of the UNEP 2003 annual evaluation report is to provide Governments and UNEP senior management as well as UNEP partners with an assessment of UNEP programme performance in 2003 and information on whether it contributes to the mandate and mission of UNEP in an effective manner. While the report is an intersessional Governing Council document and a mandatory requirement as such, it is intended to be used as a management tool both by the secretariat and the Governments in determining the future of the UNEP programme.

Scope and objective

The 2003 annual evaluation report comprises data provided in one in-depth subprogramme evaluation, 17 in-depth project evaluation reports and over 120 self-evaluation reports on projects which had activities during 2003. The report will also contain a review on the status of implementation of the recommendations contained in the 1999–2002 annual evaluation reports.

The main objective of the report is to provide recommendations and identify lessons learned to help UNEP improve its programme performance through assessment of achievements, problems, challenges and successes encountered during implementation of programmes and projects in 2003. This is facilitated by review of the following:

1. Relevance and appropriateness

To determine the relevance and appropriateness of evaluated activities with regard to the mandate of UNEP (for example, General Assembly decision XVIII, Nairobi Declaration and Malmö Declaration) by:

- (a) Assessing the relevance of activities to the pertinent parts of programme of work 2002–2003;
- (b) Determining the relevance and contributions of activities towards integrating environmental considerations in the mainstream decision making;
- (c) Assessing the success of UNEP in improving communication between the scientific community, decision makers and other stakeholders; and
- (d) Determining the relevance and contributions of activities towards building capacity at national level.

2. Effectiveness and efficiency

To review the performance of evaluated project activities (in-depth evaluations only) by:

- (a) Evaluating the ratings given of the following implementation aspects:
 - Achievement of objectives and planned results
 - Attainment of outputs and activities

- Cost-effectiveness
 - Stakeholder participation
 - Country ownership
 - Implementation approach
 - Financial planning
 - Replicability
 - Monitoring and evaluation;
- (b) Identifying recommendations and lessons learned based on the in-depth project evaluation reports.

3. Impact and sustainability

To determine the sustainability and impact of the evaluated activities with emphasis on capacity-building, using the following elements:

- (a) *Enabling environment*: whether there are political and regulatory frameworks in place which support the continuation/ replication of activities and whether social sustainability, for example by mainstreaming project activities, has been achieved;
- (b) *Financial sustainability*: effectiveness of financial planning and resource mobilization activities to enable continuation of activities and objectives;
- (c) *Institutional capacity*: whether there are adequate systems, structures, staff, expertise, and so on, in place to continue the activities.

Methodology

The analysis and conclusions contained in the report will be based on the following:

1. Review of in-depth evaluation reports;
2. Review of self-evaluation reports;
3. Review of desk evaluation reports;
4. Review of implementation plans and management response to the recommendations of the annual evaluation reports from 1999 to 2002;
5. Review of relevant UNEP publications and other documents;
6. Interviews with UNEP staff.

In accordance with the participatory approach Evaluation and Oversight Unit has adopted for conducting its evaluation work, any issues and questions will be raised with the relevant divisions and offices and the draft annual report is circulated to divisions for their views and comments.

Structure of the report

The report comprises the following sections:

1. Introductory sections: foreword by the Executive Director, introduction by the Chief EOU, executive summary and introduction itself
2. In-depth project evaluations
3. Self-evaluation of UNEP projects
4. Subprogramme evaluation
5. Capacity-building at the national level as a cross-cutting theme study

6. Status of implementation of recommendations
7. Lessons learned and key recommendations

Timeframe

The draft report is scheduled to be ready for the review of UNEP divisions and other offices by 14 June 2004. The results of the consultations with UNEP offices should be reflected in the final draft report to be ready by 28 June 2004. The English version of the report is planned to be available by end of August as well as the translated copies of French and Spanish.

Resources

The 2003 annual evaluation report will be produced within the internal resources of Evaluation and Oversight Unit, mainly drawing on a team of two professionals and one administrative assistant under the overall guidance of the Chief of Evaluation and Oversight Unit. The editing, translation and production will be done by United Nations office in Nairobi Division of Conference Services.

Annex II List of evaluations for 2003

Subprogramme evaluations

1. Evaluation of the Division of Policy Development and Law

Project evaluations

2. GF/FP/5023-00-07 – Addressing transboundary environmental issues in the Caspian environment programme– Strengthened institutional, legal, regulatory and economic frameworks for strategies and action plan implementation
3. GF/2717-02-04 – Involving national legislators in international environmental decision making through participation in the preparations for the World Summit on Sustainable Development proceedings and the Second GEF Assembly – GLOBE
4. GF/2200-97-54 – Enabling activities for the preparation of initial national communication related to United Nations Framework Convention on Climate Change (UNFCCC) – Viet Nam
5. GF/6010-01-01 – Development of national biosafety frameworks – mid-term evaluation of a global initiative
6. GF/1200-96-64 – UNEP-implemented GEF biodiversity enabling activity support to parties to the Convention on Biological Diversity for the preparation of national biodiversity strategies and action plans (NBSAPs) – phase 1, Saint Lucia
7. DA/9999-01-02 and sub-project DA/9999-01-71 – Development of a collaborative institutional and data framework for integrated environmental assessment and reporting for West Africa
8. GF/1040-00-10 – An indicator model for the dryland ecosystems in Latin America
9. GF/2200-97-55 – Enabling activities for the preparation of initial national communication related to United Nations Framework Convention on Climate Change (UNFCCC) – Kenya
10. Mid-term evaluation for the project MT/1010-01-03 – International coral reef action network – action phase June 2001–May 2005
11. GF/2200-97-56 – Enabling activities for the preparation of initial national communication related to United Nations Framework Convention on Climate Change (UNFCCC) – Comoros
12. GF/4040-00-10 – Initiating early phase-out of methyl bromide in countries with economies in transition (CEITs) through awareness-raising, policy development and demonstration or training activities

13. GF/1200-96-44 – UNEP-implemented GEF biodiversity enabling activity support to parties to the Convention on Biological Diversity for the preparation of national biodiversity strategies and action plans (NBSAPs) – phase I, Poland
14. 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
15. GF/6010-00-16 – Development and protection of the coastal and marine environment in sub-Saharan Africa
16. GF/3300-98-01 – Emergency response to combat forest fires in Indonesia to prevent haze in South East Asia
17. GF/1200-99-01 – Lop Nur nature sanctuary biodiversity conservation
18. Evaluation of the UNEP Collaborating Centre on Water and Environment (UCC-Water)

Annex III List of self-evaluation fact sheets and terminal reports for 2003

FP/100/0201/2204	FAO-UNEP Global Land Cover Network (GLCN) programme
AE/3010-03-11	Desk study on the environment in the occupied Palestinian territories
AE/3010-03-35	Afghanistan post-conflict environmental assessment
BT/6020-01-05	Eurobats Secretariat in Collaboration with CMS Secretariat
CP/0905-95-05	Development of industry sector-specific books and video on cleaner production
CP/1000-02-03	Assessment of pollution status and vulnerability of water supply aquifers of African cities
CP/2010-01	Support to civil society at the global level to participate in the Rio 10 (World Summit on Sustainable Development, Johannesburg, 2002); Preparatory process in Africa, Asia and Pacific
CP/2200-98-03	Joint implementation of climate change projects; Relevance and applicability in Africa – phase I
CP/2200-98-05	Implementation of renewable energy technologies (RETS) project – opportunities and barriers
CP/2200-99-04	Sustainable development and climate change finance: A pilot programme on awareness, training and capacity building – phase I
CP/3000-02-01	Training of African journalists on environmental reporting
CP/3000-03-01	Implementation of guidelines on national enforcement and cooperation in combating violations of laws and enhancing compliance with multilateral environmental agreements (MEAs)
CP/3010-00-34	Eco-school programme for environmental action learning in sub-Saharan countries
CP/3010-01-02	Pilot project on empowering women in rainwater harvesting in Kenya
CP/3010-01-03	Pilot project on empowering women in rainwater harvesting in the Pacific Atoll Islands
CP/3010-01-05	Mega Chad
CP/3010-01-17	Dams development (follow-up to the World Commission on Dams project)

CP/3010-02-01	Roles of women in water and energy management in rural areas in South Asia – capacity building in rural areas of the Himalayas
CP/4040-00-13	Sustainable energy advisory facility – pilot phase
CP/4040-00-14	Capacity building on technological and economic integration of wind energy and other relevant renewable energy technologies into the electricity systems of Pacific island countries
CP/4040-02-10	UNEP Collaborating Centre on Energy and Environment – phase VI
CP/4050-03-01	Capacity building for integrated economic, environmental and social assessment and planning to formulate and implement sustainable development policies contributing to poverty eradication and sustainable trade
CP/5021-01-01	Nairobi river basin project – phase II
CP/5021-01-02	Support to the African Ministerial Conference on Environment (AMCEN) – participation of African countries to environment forums
CP/5023-01-01	Supporting the implementation of the pan-European biological and landscape diversity strategy, including the organization of the Budapest “Biodiversity in Europe” conference
CP/5024-01-03	State of the natural protected areas of Latin America and the Caribbean
CP/5026-00-01	Integrated natural resource management – Implementation of start-up activities that will be conducted in the four sites in Lebanon and Yemen for the mountainous areas and Syria and Jordan for rangeland rehabilitation
CP/5026-00-89	Inventory study and regional database on sustainable water resources and vegetation cover management in West Asia
CP/5510-99-04	Central coordination of the Global Coral Reef Monitoring Network (GCRMN)
CP/6000-00-01-2233	Global Coral Reef Monitoring Network (GCRMN)
CRL-2324-2024-2661	Specially protected areas and wildlife (SPAW)
CT/6010-00-25	Provision of trade monitoring services and technical support to CITES
EB/5023-00-05	Service for implementing national biodiversity strategies and action plans
EL/3010-01-18	Partnership for Development of Environmental Law and Institutions in Africa (PADELIA)

ES/1100-96-12	Support for the operation of the Regional Coordination Unit for the East Asian Seas Action Plan (RCU/EAS)
ES/6030-00-06	Establishment of an effective coral reef monitoring network in the East Asian Seas region
ET/5240-96-02	Environmental training network for Latin America and the Caribbean (ETN)
FP/1000-02-0102201	Zimbabwean soil and terrain database on the impact of desertification on food security (ZIMQUA)
FP/1300-96-75-22	Impact of desertification on food security in Southern Africa: a case study for Zimbabwe
MT/1010-01-03	International Coral Reef Action Network (ICRAN) – action phase
FP/4040-00-01	UNEP Collaborating Centre on Energy and Environment – phase V
FP/4050-00-01	Action programme on economics and trade
FP/5026-00-01	Updating the study on the state of desertification in the Arab region
FP/CP/5023-02-03	Sustainable consumption opportunities in Europe
FP/JC/CP/CP/4010-00-01	International environmental technology, industry and economics
FP/RA/CP/1020-01-02	Asia and the Pacific: Networks for data-information generation, analysis observation and assessment
FR/3100-97-02	International chemicals management in countries of the Commonwealth of Independent States (CIS)
FR/4200-99-01	Elaboration of proposals for improvement of EIA process in environmentally sound decision making for the CIS countries
FR/5023-02-02	Support to environmental information activities for decision making and raising public awareness
FR/5023-97-08	Integrated environmental management in the Volga Caspian region
GF/1010-00-14	Catalyzing conservation action in Latin America: Identifying priority sites and best management alternatives in five globally significant eco-regions
GF/1010-01-01	Formulation of strategic action programme for the integrated management of water resources and the sustainable development of the San Juan river basin and its coastal zone
GF/1010-01-04	Millennium ecosystem assessment
GF/1010-01-05	Implementation of the strategic action programme for the Bermejo river Binational basin
GF/1020-02-01	Biodiversity indicators for national use

GF/1030-01-01	Land use change analysis as an approach for investigating biodiversity loss and land degradation
GF/1030-01-04	Management of indigenous vegetation for the rehabilitation of degraded rangelands in the arid zone of Africa
GF/1030-02-01	Assessment of soil organic carbon stocks and change at national scale
GF/1030-02-05	Conservation of gramineae and associated arthropods for sustainable agricultural development in Africa
GF/1100-99-01	Global international waters assessment (GIWA)
GF/1100-99-14	Integrated management of land-based activities in the Sao Francisco basin
GF/1100-99-16	Implementation of integrated watershed management practices for the Pantanal and Upper Paraguay River Basin
GF/1200-96-03	Assessment of capacity building needs for biodiversity, participation in CHM and preparation of a second national report to the Convention of Biological Diversity – phase II
GF/1300-98-01	People, land management and environmental change (PLEC)
GF/1300-99-03	Promoting best practices for conservation and sustainable use of biodiversity of global significance in arid and semi-arid zones
GF/2010-01-07	Assessment of impacts of and adaptation to climate change in multiple regions and sectors (AIACC)
GF/2010-01-14	Community-based management of on-farm plant genetic resources in arid and semi-arid areas of sub-Saharan Africa
GF/2110-98-05	Promoting compliance with the trade and licensing provisions of the Montreal Protocol in countries with economies in transition
GF/2200-97-16	Assistance to selected non-annex 1 parties for the reparation of initial national communications
GF/2713-03-4698	Sustainable conservation of globally important Caribbean bird habitats
GF/2730-02-4340	Reversing environmental degradation trends in the South China Sea and Gulf of Thailand
GF/2732-02-4442	Demonstrations of innovative approaches to the rehabilitation of heavily contaminated bays in the wider Caribbean region
	GF/3010-00-03 Lake Baringo community-based land and water management
GF/3010-02-05	Implementation of the National Biosafety Framework of Poland
GF/3010-02-09	Implementation of the National Biosafety Framework of Bulgaria

GF/3010-02-10	Implementation of the National Biosafety Framework of Cuba
GF/3010-02-10	Implementation of the National Biosafety Framework of Namibia
GF/3010-02-11	Implementation of the National Biosafety Framework of Uganda
GF/3010-02-11	Implementation of the National Biosafety Framework of Cameroon
GF/3010-02-12	Implementation of the National Biosafety Framework of China
GF/4020-01-04	Promoting industrial energy efficiency through a cleaner production and or environmental management system framework
GF/4030-00-20	Regionally-based assessment of persistent toxic substances
GF/4030-02-03	Pilot project: Development of national implementation plans for the management of persistent organic pollutants
GF/4030-02-04	Reduction of environmental impact from tropical shrimp trawling, through the introduction of by-catch reduction technologies and change of management
GF/4040-00-12	Fuel cell bus market prospects and intervention strategy options
GF/4040-01-10	Solar and wind energy resource assessment
GF/4040-01-4343	Technology transfer networks – phase I: prototype set-up & testing and phase II: prototype verification & expansion (SANET)
GF/4040-01-82	Solar and wind energy resources assessment – Ghana
GF/4040-02-22	Joint geophysical imaging for geothermal reservoir assessment
GF/5021-01-03	Development and integration of the environmental component in the “Partnership for Africa Renewal” programme
GF/5022-01-01	Arun Valley sustainable resources use and management pilot demonstration project
GF/5023-00-07	Addressing transboundary environmental issues in the Caspian environment programme– Strengthening institutional, legal, regulatory and economic frameworks for scientific advisory panel implementation
GF/5024-02-01	Global environmental citizenship
GF/6010-01-01	Development of national biosafety frameworks
GF/XG/2740-01	GEF medium-sized project: Support for the implementation of the Stockholm Convention on Persistent Organic Pollutants
GP/3010-01-19	Development of pilot national programme of action (NPA) for the protection of the marine environment from land-based activities in Sri Lanka

GP/3010-01-20	Development of pilot national programme of action (NPA) for the protection of the marine environment from land-based activities in Tanzania
GP/3010-01-21	Development of pilot national programme of action (NPA) for the protection of the marine environment from land-based activities in Egypt
GP/3010-01-22	Development of pilot national programme of action (NPA) for the protection of the marine environment from land-based activities in Yemen
GP/3010-02-02	Development of pilot national programme of action (NPA) for the protection of the marine environment from land-based activities in Nigeria
IM/4040-02-01	Compliance assistance project CAP (ozone)
KT/2110-99-09	Technical cooperation trust fund for the promotion of cleaner production investments in developing countries – Government of Norway
MC/4030-01-02	Global assessment of mercury and its compounds
ME/6030-00-05	Technical support for the implementation of the health-related aspects of the Mediterranean action plan in the framework of the MED POL programme for pollution prevention and control
ME/6030-00-07	ERS/RAC Assistance to Mediterranean countries for widening the knowledge and understanding of Mediterranean environment state and changes, through the use of remote sensing
ME/6030-00-08	Determination of priority actions for the further elaboration and implementation of scientific advisory panel for the Mediterranean Sea (MEDU/GEF)
ME/6030-00-10	Priority actions programme
ME/6030-00-11	Mediterranean action plan: Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea
ME/6030-00-13	Technical support to the implementation of MEDPOL – phase III programme
ME/6030-00-18	Support to the Blue Plan Regional Activity Centre
MT/4040-01-08	Brazil rural energy enterprise development (Breed) initiative
PN/1100-97-09	Support for development of effective measures for regional cooperation in marine pollution preparedness and response in the Northwest Pacific
PN/1100-97-12	Support for implementation of the Northwest Pacific action plan (NOWPAP)

PN/6030-02-05	Support for the development of marine environmental emergency preparedness and response in the NOWPAP region under the framework of the Northwest Pacific action plan
PN/6030-02-07	Support to pollution monitoring in the NOWPAP region under the framework of the Northwest Pacific action plan
PN/6030-02-08	Support to special monitoring and coastal environmental assessment in the NOWPAP region under the framework of the Northwest Pacific action plan
PN/6030-02-09	Support to data and information networks in the NOWPAP region under the framework of the Northwest Pacific action plan
PN/6030-02-10	The Regional Coordinating Unit for the NOWPAP
PO/3100-97-03	International action on persistent organic pollutants
PO/4030-02-17	Preparation of national inventories of polychlorinated biphenyls (PCBs) and PCB containing equipment in Central America and Panama
PO/4030-03-07	Preparation of national inventories of PCBs and PCB containing equipment in the SADC sub-region
PP/3100-99-03	Interim Secretariat for the Rotterdam Convention – FAO
PP/3100-99-04	Interim Secretariat for the Rotterdam Convention – UNEP
QCL-2324 2420-2661 (XC-6030-02-04)	Planning for the rehabilitation, environmental management and coastal management in Nicaragua, Honduras and Guatemala in the wake of hurricane Mitch
SP/4040-00-05	Clearinghouse for technology and know-how transfer – Public-private partnership
UC/3010-03-35	Databank to assist United Nations Compensation Commission on Environmental Claims
UT/4050-01-01	First round of capacity-building task force on trade, environment and development activities: UNEP-LED projects
XG/2010-01-11	Biological diversity conservation through participatory rehabilitation of the degraded lands of the arid and semi-arid transboundary areas of the Mauritania and Senegal
XT/6020-01-07	Long-term system for monitoring illegal killing of elephants (MIKE) programme in Africa
XT/6020-02-06	Long-term system for monitoring illegal killing of elephants (MIKE) programme in Africa and Asia
CP/1200-97-15	Traffic and wildlife trade monitoring in the United Republic of Tanzania
GF/3010-00-03	Lake Baringo community-based land and water management

Annex IV

Implementation plan for the recommendations of the 2002 annual evaluation report

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
A. Programme management						
<p><i>Interdivisional cooperation</i></p> <p>UNEP was fundamentally restructured in 1999. The restructuring represented a major shift from a sectoral approach to a functional approach in the structure of the organization and its programmes. Although aimed at meeting the need for an integrated and coherent policy response to existing and emerging environmental challenges, some components of the new structure do not function logically and are less than optimally effective in the divisions in which they have been placed.</p> <p>Implementation of programme components is widely dispersed among different divisions along functional lines, with no institutionalized system of communication and coordination. Where task forces exist to formalize communication and collaboration between divisions, programme delivery is effective.</p>	<p>Recommendation 1</p> <p>(a) Based on the lessons so far learned under the functional approach and structure, UNEP should review the appropriateness and effectiveness of the organizational setup and location of programme components to ensure that they reflect the desired functional logic and coherence based on their missions and specific mandates.</p> <p>(b) It is further recommended that UNEP strengthens communication, sharing of information and coordination within and between divisions through the use of task forces and regular meetings.</p>	<p>(a) OIOS recommended and UNEP agreed to implement the following by end of 2004: <i>In order to ensure complete coverage of the UNEP mandate and to identify areas where synergies exist among divisions, the UNEP Executive Director should establish a mechanism to facilitate the development, authorization and review of mandates and mission statements linked to the cycle of its Governing Council meetings (AA2002/05/01/001).</i></p> <p>(b) Inter-divisional task forces have been established in thematic areas.</p> <p>Project Approval Group (PAG) has been revitalized at the level of division directors and technical working groups underneath PAG revitalized.</p> <p>Ad-hoc interdivisional working groups are established as and when required.</p>	<p>(a) The OIOS recommendation should be implemented by end 2004 which will provide the basis for further work, where necessary, on realigning the divisions to better support the functional structure and approach. The issues should be discussed in Senior Management Group (SMG).</p> <p>(b) The functioning of the established and revitalized working groups and meetings will be assessed end 2004 or early 2005.</p>	<p>(a) Improved functional structure</p> <p>(b) Improved cooperation between divisions at all levels.</p>		<p>Executive Director (ED)</p> <p>Senior Management Group (SMG)</p> <p>Programme Coordination and Management Unit (PCMU)</p> <p>SMG</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
<p><i>Resource mobilization</i></p> <p>Inadequate financial resources were a major constraint in all UNEP programmes and project delivery. Implementation of a significant part of subprogramme activities, even in priority areas, was dependent on funds raised in addition to environment fund allocations. Funding from counterpart contributions seems to have been selective, resulting in some activities being well-funded while some activities in priority areas were underfunded.</p> <p>Constraints in raising additional funds have been partially attributed to problems in implementing the resource mobilization strategy at the subprogramme level. It was noted that fundraising is a time consuming activity which the limited number of professional staff could not effectively undertake in addition to their work programme.</p>	<p>Recommendation 2</p> <p>UNEP needs to review its resource mobilization strategy and its implementation to determine whether action is required to increase its extra-budgetary resources. The organization should ensure that extra-budgetary contributions support priority areas in the work programme.</p> <p>Based on the lessons learned from successful project and subprogramme level resource mobilization experiences, UNEP should explore new and innovative ways of attracting and mobilizing funding for its core activities in priority areas.</p> <p>(a) Adapt the PADELIA partnership and funding approach in other areas of technical assistance;</p> <p>(b) Preparation and marketing of UNEP-led project proposals in different priority areas for interested countries to adapt and include in their national development plans for submission to donor agencies;</p>	<p>UNEP has introduced a system of strategic fundraising in support of priority programme areas through networks of partnership agreements. These include long-term partnerships with Norway, Belgium, Ireland and the Netherlands.</p> <p>A pipeline of priority project proposals in need of additional funding has been created and used for negotiating additional earmarked contributions from donor countries.</p> <p>N/A</p> <p>N/A</p>	<p>The network of partnership agreements to be further developed to generate stable and predictable funding of the priority programme areas, which have not been covered by the current partnerships.</p> <p>Improve the management of financial resources and efficiently redirect the unspent resources towards support of the most urgent and important programme activities which have not received adequate funding.</p> <p>(a) Experience and lessons learned from the PADELIA partnership and other UNEP projects with innovative funding approaches to be shared with other technical assistant projects and capacity-building activities, through the EOU web page on lessons learned and through UNEP Best Practices and Success Stories Global Network (BSGN)</p> <p>(b) RMU to assist UNEP programme divisions to develop close collaboration with relevant national government authorities from early stages of project development in order to ensure incorporation of UNEP lead project activities in the national development plans and PRSPs for further submission to potential donor countries and agencies.</p>	<p>Improved funding of UNEP priority programme areas; Better management of the financial resources and effective redistribution of the financial resources in-house; Closer collaboration with major donor countries and broader donor base.</p> <p>(a) Improved use of lessons learned and best practices in support of resource mobilisation.</p> <p>(b) Improved funding of UNEP led activities at national level through Governments.</p>	<p>End 2005</p> <p>End 2004</p> <p>ongoing</p>	<p>Resource Mobilization Unit (RMU)</p> <p>Division of Environmental Policy Implementation (DEPI)</p> <p>PCMU</p> <p>Office of the Executive Director (OED)</p> <p>OEDD</p> <p>BFMS</p> <p>Evaluation and Oversight Unit (EOU)</p> <p>RMU</p> <p>Divisions</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
	(c) Inclusion of resource mobilization activities in project design to support follow-up activities to help sustain in-country follow-up activities beyond the funded life of projects.	N/A	(c) RMU to revise the project manual to propose ways and means to ensure capacity-building in resource mobilization for sustainable follow-up activities after UNEP pulls out from implementation of projects. This may include training of project personnel in fundraising, as well as development of sustainable partnerships with major donors, or making a project activity self-sustainable. RMU to participate in the project review and approval process.	(c) Improved resource mobilization activity at project level.	Mid-2005	RMU PCMU
<i>Monitoring and evaluation</i> The costed work programme forms the core of UNEP activities. The six-monthly and annual monitoring reports prepared by the	The new integrated monitoring and documentation information system (IMDIS), which contains a section on subprogramme evaluations, provides an opportunity to undertake a more comprehensive assessment of the effectiveness, efficiency and accomplishment of the UNEP work programme on an annual basis. For that reason, it is	N/A N/A	(a) EOU in consultation with PCMU and UNEP divisions to determine how to best implement IMDIS facility in support of self-evaluation of subprogrammes. As part of implementation training, including outposted offices, will be planned. (b) EOU will conduct an	(a) A more comprehensive evaluation coverage of UNEP programme activities in support of the management decision making within UNEP and for reporting to governing council (b) Strengthened	Review ready by end of 2004 for the basis of decision. Introduction and training completed by end 2005 End 2005 End 2005	EOU PCMU EOU PCMU

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
<p>subprogrammes provide an effective implementation tracking system and an overview of what has been accomplished, but not in qualitative terms. A limited number of subprogramme evaluations are conducted annually. Ideally, subprogramme evaluations should be conducted concurrently so that the status of implementation of programmes and assessment of performance of the organization as a whole can be meaningfully reported in the annual evaluation report.</p>	<p>recommended that the self-evaluation mechanism in IMDIS be implemented as a way of assessing the performance and overall impact of UNEP activities in a given year.</p> <p>At the project level, this should be accompanied with follow-up review of project impact on policy-making, capacity-building and public awareness at least two years following project completion.</p> <p>UNEP should also identify and build on the lessons learned from project monitoring to strengthen its project monitoring systems and knowledge sharing within the organization. This will require a strong local project coordination secretariat for liaison with UNEP project managers.</p>	<p>A system for improved quality control of donor projects has been established.</p>	<p>impact evaluation in 2005 based on which evaluation will be made whether and how to conduct these type of impact evaluations in future.</p> <p>(c) PCMU in consultation with UNON, EOU and UNEP divisions to review the existing project monitoring system in light of experience of the donor funded projects with the aim of developing a simple and more effective system of monitoring UNEP projects.</p>	<p>approach to impact evaluation activity (c) Strengthened project monitoring and reporting system.</p>		

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
<p><i>Knowledge management and communication</i></p> <p>Findings from UNEP sub-programmes, projects, and self evaluations show that provision of expertise, guidance, advisory services, coordination, collaboration, tools, guidelines and methodologies constitute the most significant UNEP inputs into programme and project implementation. However, several annual evaluations have noted that, despite the wealth of knowledge UNEP has and continues to generate, there exist gaps and challenges in the management of this information both for internal use as well as for building the capacity of other stakeholders.</p>	<p>Recommendation 4</p>	<p>(a) UNEP has an on-line bookshop which serves as the portal to UNEP publications. There is also a page on publications on the UNEP home site. Additionally, the UNEP 2004 catalogue (both in hard and soft copy) will be ready by second quarter of 2004 containing publications since 2000 and serve as a tool to promote their sales. DCPI distributes the sales figures to divisions every month for information.</p> <p>UNEP divisions already produce several publications that are made available on the internet, PDF or text files only.</p>	<p>(a) DCPI should review the current arrangements to determine the most productive and efficient way of organizing UNEP publications through the internet.</p> <p>DCPI has now the mandate to lead the process of providing a single strategy for the development, management and maintenance of UNEP.org and the network of websites away from HQ. It will be done in liaison with information focal points in divisions or units to ensure that their requirements and needs for dissemination of information on the internet are properly supported by DCPI.</p>	<p>(a) Increased sales and distribution of UNEP publications and other knowledge products through the internet</p> <p>All UNEP divisions and offices have internet focal points to ensure that the data on the web is most current</p>	<p>End 2004</p>	<p>Division of Communications and Public Information (DCPI)</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
<p>(b) Over the years, the UNEP library has served as an important channel for public access to information about UNEP and its work. The library attracts a large number of visitors each year. However, despite the high turnover rate of visitors and activities, the library's future is threatened by lack of adequate resources.</p> <p>(c) Information networks feature prominently in most UNEP project implementations. These networks are established as means for information sharing and dissemination as well as building the knowledge base on pertinent issues. One of the gaps in knowledge management is that UNEP has not assessed the effectiveness of these knowledge information networks in project delivery.</p>	<p>(b) The UNEP library should consider taking on the role of electronic information referral centre if funding is not restored and appropriate technology made available to continue its current services.</p> <p>(c) An effective knowledge management strategy can facilitate more efficient and effective programme delivery. It is recommended that UNEP develop a comprehensive and more coordinated and coherent system-wide knowledge management framework that will build on UNEP experiences. It is recommended that a study of the knowledge management practices, in particular of the information networks, be undertaken as a basis for developing a coherent knowledge management strategy.</p>	<p>(b) A consultant from UNHQ was hired in September 2003 to work on the modernization of the UNEP library and to make recommendations on how to set up the common library in Gigiri. The intention to create the common library in Gigiri is to ensure that financial resources are deployed in an efficient and effective manner. It is hoped that increase in the library budget in the next biennium will enable the library to achieve its objectives.</p> <p>N/A</p>	<p>(b) The implementation of this recommendation will be considered together with recommendations contained in the consultancy report of September 2003 on wider assessment of the future of the UNEP library.</p> <p>(c) EOU will conduct a study of environmental information networks in 2005 which will form the basis for the development of a knowledge management framework. The study will be conducted in close cooperation with the divisions.</p>	<p>(b) Improved accessibility and availability of UNEP publications through the library in Gigiri.</p> <p>(c) Development of relevant inputs into the preparation of an effective knowledge management framework for UNEP.</p>	<p>2005 (due to lack of funding in 2004)</p> <p>End 2005</p>	<p>DCPI</p> <p>United Nations-HQ</p> <p>EOU</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
B. Policy Coordination and implementation						
<p><i>Policy coordination</i></p> <p>UNEP has facilitated communication among convention secretariats and provided clarification on many international environmental governance issues such as clustering and harmonization of reporting as an ongoing process. This has ensured a level of coordination among conventions unlikely to be achieved through any other mechanisms and has significantly enhanced convention implementation.</p> <p>UNEP support for the implementation of environmental conventions entails interfacing with autonomous convention secretariats. UNEP and the secretariats have different perceptions and expectations regarding the nature and quality of the support that UNEP can and should offer without jeopardizing their relationship and threatening the secretariats' independence.</p>	<p>Recommendation 5</p> <p>(a) To strengthen its programmatic support to conventions, it is recommended that UNEP set up a clearinghouse mechanism within DEC to provide an effective collaborative function among the divisions for supporting convention secretariats.</p> <p>(b) UNEP should strengthen its facilitative role in supporting the international environmental governance process by identifying linkages, gaps, overlaps and opportunities with the aim of encouraging synergistic cooperation among conventions.</p> <p>(c) It is also recommended that UNEP facilitate dialogue between convention secretariats and the United Nations Office at Nairobi (UNON) to resolve existing misunderstandings regarding administrative services provided to the conventions.</p>	<p>N/A</p> <p>N/A</p> <p>N/A</p>	<p>(a), (b) and (c). All these aspects were discussed with the multilateral environmental agreement (MEA) secretariat at the tenth meeting of the MEA secretariats on 8 and 9 March 2004 in Nairobi and 13 and 14 May 2004 in Geneva. These recommendations will be implemented as part of a streamlined process of consultations with the MEA Secretariat. Both administrative and programmatic roles of UNEP will be covered. As part of the formulation of UNEP Programme of Work 2006-2007, all divisions have been requested to liaise with DEC to ensure that the activities related to conventions are included.</p>	<p>An improved and coordinated mechanism for providing effective administrative and programmatic support to UNEP administered conventions.</p>	<p>ongoing</p>	<p>OED/ODED in liaison with DEC and UNON</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
<p><i>Policy implementation</i></p> <p>UNEP environmental policy implementation support and capacity-building at the national level are weak. In order to achieve an integrated and coherent policy response to environmental challenges, support at the national level is critical. Evaluation findings indicate that while both institutional and technical capacities are necessary and complement each other in project implementation, the institutional component needs to be strengthened in UNEP projects.</p> <p><i>A key weakness in the UNEP environmental policy implementation programme is the lack of activities in national environmental management plans as an integral part of environmental policy implementation.</i></p>	<p>Recommendation 6</p> <p>(a) It is recommended that the ongoing UNEP capacity-building strategy development process take account of the need to develop environmental planning guidelines and provide information, advice and assistance to national and local authorities on environmental management plans and on integrating environmental concerns into national economic and other sectoral development plans.</p> <p>(b) UNEP should build in-country capacity to identify mitigation, vulnerability and adaptation measures and response strategies for key sectors and enhance the capacity of development planners and decision makers to integrate environmental concerns into national planning and development activities.</p> <p>(c) The institutional component in UNEP activities should receive more attention and be pursued through regional and national workshops, training courses, expert meetings and publications as building blocks in strengthening institutional capacity. Regional networks should be used as vehicles for training, environmental monitoring and assessment and information sharing on environmental management.</p>	<p>N/A</p> <p>(b) Following measures have been taken in LDCs and SIDS (see Annex 1)</p> <p>N/A</p>	<p>(a) Inter-governmental strategy for capacity-building and technology process currently led by DPDL, supported by DEPI, is expected to be completed by December 2004. The recommendation will be considered as part of this process and also in light of experiences of national level capacity-building through other divisions, particularly DTIE.</p> <p>(b) This recommendation was country specific and measures had already been taken at the time of preparing the implementation plan. No further action required.</p> <p>(c) EOU will conduct a study on environmental information networks as a basis for developing a framework for knowledge management in UNEP</p>	<p>(a) An improved UNEP capacity-building strategy</p> <p>N/A</p> <p>(c) A more coherent knowledge management within UNEP</p>	<p>N/A</p> <p>Study to be completed by end 2005</p>	<p>DPDL/ DEPI</p> <p>N/A</p> <p>EOU</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
C. Project design, management and stakeholder participation						
<p><i>Project design</i></p> <p>Project evaluations have identified a wide range of project design and implementation strategies and lessons that have facilitated implementation of UNEP projects. Some UNEP pilot projects are innovative in design, implementation strategies and overall impact. The successful implementation and management of these projects and the impact realized provide a knowledge base and approach that UNEP should use in the design and implementation of similar initiatives.</p>	<p>Recommendation 7</p> <p>(a) UNEP should distill and consolidate information on lessons learned and best practices from project design, implementation and sustainability for incorporation into the UNEP project manual. This will contribute to more effective knowledge management and replication of best practices. It is recommended that the role of monitoring and evaluation in identifying risk to projects during implementation be strengthened.</p> <p>(b) UNEP should adopt approaches used in pilot projects such as PADELIA and the urban pollution of surficial and groundwater aquifers project as a model in the design and implementation of similar initiatives.</p>	<p>(a) EOU has redesigned the SEFs into an automated self-evaluation report (SER). A risk identification component has been included as an evaluation parameter.</p> <p>N/A</p>	<p>(a) PCMU will update the UNEP Project Manual late 2004 or early 2005 in consultation with EOU, UNEP divisions and UNON. Lessons from project design will be included. Training on the content and use of the revised manual will be arranged, including outposted offices.</p> <p>(b) UNEP will share experiences and lessons learned with other technical assistance projects and capacity-building activities, through the EOU web page on lessons learned and through UNEP best practices and success stories global network (BSGN)</p>	<p>(a) Best practices are replicated and risk identification improved through implementation of revised UNEP project manual.</p> <p>(b) Improved implementation and management of UNEP projects</p>	<p>Mid-2005 to complete revision of manual. Training to be arranged as soon as possible after that. End 2004</p>	<p>PCMU</p> <p>EOU/DEPI</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
	<p>(b) Task managers are encouraged to establish information-sharing forums as well as national and subregional communication mechanisms with focal points close to project delivery to ensure effective project management and monitoring.</p> <p>(c) Good management practices should be encouraged during implementation by linking funds disbursement to pre-agreed project implementation arrangements, reporting requirements and project output delivery to help improve UNEP capacity to enforce project timelines and quality of outcomes.</p>	<p>(b) DRC is in the process of finding a suitable qualified UNV or intern to assist with the technical aspects of the websites. Continuous consultation has been done with DCPI.</p> <p>N/A</p>	<p>(b) Create project websites for information sharing at global and regional levels under the overall coordination of DRC in consultation with DCPI</p> <p>(c) No funds should be disbursed unless the responsible project manager confirms that activities and outputs are in line with the agreed schedule.</p>	<p>(b) More effective system of information sharing at national and regional level of project management</p> <p>N/A</p>	<p>N/A</p> <p>End 2004</p>	<p>DRC</p> <p>SMG to decide and BFMS execute together with divisions</p>

Findings	Recommendations	Measures taken	Action still required	Expected Results	Date of completion	Responsible Unit
<p><i>Stakeholder participation</i></p> <p>(a) While the evaluations undertaken in 2002 indicate that the project design and implementation process was characterized by multi-stakeholder participation, in a number of projects a clear lack of effective participation by key stakeholders, including women, was identified.</p> <p>Involvement of local institutions and experts in the design and implementation of national and regional projects enhances UNEP effectiveness and efficiency in project and programme delivery. It also contributes to capacity-building of local institutions, develops expertise in environmental management and promotes long-term sustainability of project activities.</p> <p>(b) <i>Although some projects recognize the special role women play in environmental management and the ways in which they are impacted differently, gender consideration is currently not a major factor in UNEP project design and implementation.</i></p>	<p>Recommendation 9</p> <p>(a) It is recommended that UNEP strengthen its approach in the use of local expertise and institutions in project management and ensure that at the project design level, strong multi-stakeholder involvement be evident before projects are approved for implementation. Project review should pay special attention to the use of local expertise and institutions in project implementation.</p> <p>(b) UNEP needs to strengthen gender integration in its programme and project design and implementation and should make it a critical consideration in project approval and evaluation processes. When appropriate, gender should be a subject of special attention in problem analysis at the project design stage.</p>	<p>N/A</p> <p>N/A</p>	<p>As part of the project approval process, PAG will pay particular attention to ensure that the implementing partners are either identified in the project proposal or there is a clear description how the identification is going to be conducted.</p> <p>(b) SMG to discuss how to strengthen gender mainstreaming functions in project design and implementation.</p>	<p>(a) improved partnership selection and management</p> <p>(b) More effective gender mainstreaming in the organization's project</p>	<p>ongoing</p> <p>SMG discussion to take place by end 2004</p>	<p>PAG</p> <p>SMG</p>

Annex V

UNEP assistance to developing countries relating to climate change

National adaptation programmes of action

UNEP is assisting developing countries prepare their national adaptation programmes of action under the United Nations Framework Convention on Climate Change. This process is intended to provide a simple and direct channel to communicate their urgent and immediate adaptation needs. The national adaptation programme of action process will also contribute to raising awareness, know-how, and technical and analytical expertise in order to prepare options to reduce their vulnerability to climate change. Countries involved include Afghanistan, Central African Republic, Comoros, Djibouti, Gambia, Haiti, Lesotho, Liberia, Mauritania, Myanmar, Nepal, Rwanda, Senegal, Solomon Islands, United Republic of Tanzania and Uganda.

National communications for the United Nations Framework Convention on Climate Change

UNEP is assisting developing countries prepare their second national communication for the United Nations Framework Convention on Climate Change. In addition to contributing to their capacity to meet their obligations under the convention, this process also engages a wide range of stakeholders, increasing awareness about climate change; enhances technical and scientific capacity for greenhouse gas inventorying as well as vulnerability and adaptation assessment; integration of climate change issues into national development processes and systems, and increased capacity to participate in the negotiations of the convention. Countries include Afghanistan, Central African Republic, Comoros, Djibouti, Gambia, Haiti, Lesotho, Liberia, Madagascar, Mauritania, Myanmar, Nepal, Rwanda, Senegal, Solomon Islands, United Republic of Tanzania and Uganda.

Assessment of impacts and adaptation to climate change

The project involves 46 countries, including several least developed countries. The objective of the project is to: first, build capacity in developing countries for research in support of climate change adaptation; second, advance scientific understanding of climate change impacts, adaptations and vulnerabilities; third, link the research community with the policy community to support national communications and adaptation planning. Involvement was global.

Integrating adaptation to climate change into national sustainable development planning (planning phase only)

This workshop and pilot project will assist countries in southern and eastern Africa build the capacity and understanding of decision makers to integrate climate change into national sustainable development planning.