



# United Nations Environment Programme

**Terminal Evaluation of UNEP Project CP/4020-06-06 (3985)  
Within the Context of the International Panel  
for Sustainable Resource Management-Initiative  
(Period 2006-2009)**

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## LIST OF ABBREVIATIONS AND ACRONYMS

BRIC:	Brazil, Russia, India and China
CB:	Capacity Building
COM:	European Commission
DTIE:	Division on Technologies, Industry and Economics
EC:	European Community
EGTT:	Expert Group on Technology Transfer
EIT:	Economies in Transition
EU:	European Union
G8:	The Group of Eight (industrialized countries)
GC:	Governing Council (of UNEP)
GEF:	Global Environment Facility
GRID:	Global Resource Information Database
IPBES:	Intergovernmental Platform on Biodiversity and Ecosystem Services
IGO:	Intergovernmental Organization
IPCC:	Intergovernmental Panel on Climate Change
IUCN:	International Union for the Conservation of Nature
JPOI:	Johannesburg Plan of Implementation
LF(A):	Logical Framework (Approach)
Logframe:	Logical Framework
M&E:	Monitoring and Evaluation
MDG:	Millennium Development Goals
NGO:	Non-Governmental Organization
OECD:	Organization for Economic Cooperation and Development
ROtI:	Review of Outcomes to Impacts
RP:	Resource Panel
SC:	Steering Committee
SCP:	Sustainable Consumption and Production
SMART:	Specific, Measurable, Achievable, Relevant, and Time-bound
ToR:	Terms of Reference
UN:	United Nations
UN-CSD:	United Nations – Commission on Sustainable Development
UNDP:	United Nations development Programme
UNEP:	United Nations Environment Programme
UNFCCC:	United Nations Framework Convention on Climate Change
WB:	World Bank
WBCSD:	World Business Council for Sustainable Development
WSSD:	World Summit on Sustainable Development

## EXECUTIVE SUMMARY

The International Panel for Sustainable Resource Management, is an overarching UNEP-initiative of which the Project CP/4020-06-06 (3985) is (financially) supported through the EC Grant Agreements. The purpose of the Panel was to provide independent scientific assessment on environmental impacts due to the use of natural resources over their full life cycle and scientific advice on the ways to reduce the impacts by sustainable innovations. The overall objective of the action was to “*foster sustainable resource management, leading to the overall decoupling of economic growth and environmental degradation*”.

According to the Terms of Reference, the evaluator was to use the ‘Review of Outcomes to Impacts (ROtI)’ method and develop an ‘impact pathway’ analysis to assess the outcomes, intermediate states and impacts the Project/Initiative is contributing to and to evaluate the Project/Initiative against its success in achieving these.

In fact, information to answer the key questions in the Terms of Reference needs to be found in the ‘means’ part of the Project results chain, which relates more closely to the components funded through the EC Grant Agreements, rather than in the ‘ends’ part (read: the ‘ROtI’ part), that relates more to what can be expected from UNEP(DTIE) when placing the Project/Initiative in the broader context of its Medium Term Strategies and related Programmes of Work.

Hence a distinction has been made throughout the evaluation between the ‘means’ and the ‘ends’ part of the Project’s result chain. However, it should be noted that these parts are linked and interdependent. Furthermore, it should be noted that the ROtI-methodology does not foresee a specific rating for the ‘means’ part. Therefore, it is up to the evaluator to take his responsibility to make it clear, when appropriate, if there is a different scoring between the components funded through the EC Grant Agreements and what could have been expected from UNEP(DTIE) when placing the Project/Initiative in the broader context.

This evaluation report is based on information derived from desk-review of the Project documents, interviews with key partners and a survey amongst members of the Resource Panel and the Steering Committee. The evaluation covers preparation (‘establishment of the Resource Panel’) and the implementation of the CP/4020-06-06 (3985) Project over the period 2006-2009. It has taken place while the Project is still ongoing (2010) and intends to continue for the next couple of years (2011-2013), if a (new) EC Grant Agreement is signed. In that sense this exercise can be regarded as a first (rather than as a terminal) evaluation. It has an advantage in that the lessons learned and the recommendations can be regarded as an input to the next period of implementation.

## RESULTS OF THE REVIEW

### **Summary of answers to the seven key questions:**

1. As an output of the preparatory phase (2006-2007) the Project succeeded in establishing a functioning Resource Panel, guided by the Steering Committee, under the coordination of the UNEP/DTIE Secretariat. Experts and partner countries have been involved, though some concerns have been expressed: see recommendation 1.
2. Overall it has been recognized that the Resource Panel did provide independent scientific assessments on ways to reduce environmental impacts due to the use of resources over their life cycle. The three assessments published to date are regarded as being accepted by and relevant to stakeholders (academics, policy makers, business and NGO’s).
3. The results, i.e. the scientific assessments, went through a peer review procedure and are recognized to be authoritative and scientifically sound. The value judgment that the results were

disseminated to a wide range of stakeholders might be premature. During this evaluation interviewees and respondents expressed their concern that a professional outreach strategy (including dissemination, communication, etc.) is lacking: see recommendation 2.

4. Interviewees and respondents acknowledged the policy relevance of the assessments. They indicated in their answers to the related questions that this is due to several positive factors as listed in Chapter III. Nevertheless, as indicated in Chapter III, in relation to ensure policy relevance of the assessments different concerns have been expressed.
5. Overall the Project was properly managed, although interviewees and respondents pointed to the current management structure to explain some slow-down in the dynamics of the Project. Furthermore, they pointed out that there has been some delay in reporting the results of different activities. However, according to interviewees and respondents the delay was perfectly understandable because of the complexity of the subject and the importance of delivering scientifically sound assessments.
6. A functioning unit within UNEP/DTIE served as the Secretariat to the Project, though some critical observations could be made. This Project could be seen as isolated within the UNEP(DTIE) structure and therefore it has difficulties in channelling its outputs into a process of policy-making. While the UNEP/DTIE Project Management refers to other projects, units, branches and divisions as means to channel the outputs of this project into processes of policy-making, these are in theory only and no specific mechanisms have been put in place to ensure that this happens.
7. The project was developed with its overall objectives as a “moving target”. This clearly shows that the theory of change was not carefully thought through and the causal linkages to the ultimate outcomes not clearly established. While the immediate objective to establish a functioning Panel was achieved, no causal linkages were established to the overall objective of to *“foster sustainable resource management, leading to the overall decoupling of economic growth and environmental degradation”*.

In summary, the following observations can be made:

- a well functioning Resource Panel has been established;
- the Resource Panel succeeded in providing independent scientific assessments and contributed to building the knowledge base;
- it has not yet developed sustainability benchmarks;
- it has not yet advised developing countries;
- it provided to a certain extent advice on environmental impacts of natural resource use.

Overall the Project CP/4020-06-06, related to the components funded by the EC Grant Agreements, was duly executed and implemented **satisfactorily**.

#### **Project Ratings:**

**A. Attainment of Project objectives and results:** the Project can be seen as a frontrunner for and a contribution to the UNEP Programmes of Work for 2006-2007, 2008-2009 and 2010-2011 though it remains to be seen how it can contribute to the MDG's. In terms of activities, the project deployed good value for money. The Project met its immediate objectives and outcomes by successfully establishing a functioning resource panel providing independent scientific advice and contributing to building the knowledge base. However it is not clear how/if the Project will make progress towards 'intermediate states' leading to the ultimate objective to *“Foster resource-efficient and environmentally sound economic development globally and stimulate sustainable innovation, leading to the de-coupling of economic growth and environmental degradation”*.

*Rating: ‘Moderately satisfactory’ (Effectiveness – ‘Moderately satisfactory’; Relevance – ‘Satisfactory’; Efficiency – ‘Satisfactory’).*

**B. Sustainability of Project outcomes:** it is moderately likely that the Project will have the probability of continued long-term Project-derived outcomes and impacts, provided, in the first place that an institutional framework and a solid link with environmental governance could firmly be formed. As the International Resource Panel initiative, including the Project, is hosted by UNEP itself, this could be addressed in the short-term. Whilst (re-)allocation of funds should be considered, financial requirements are considered minor assuming that business will continue as usual.

The Project attempted to seek a right balance in the composition of RP and SC. However, the involvement of stakeholders has not matured yet.

*Rating: 'Moderately likely' (Financial – 'Moderately likely' Socio-political – 'Moderately likely'; Institutional framework & governance - 'Moderately likely'; Environmental – 'not relevant'.*

**C. Catalytic Role and Replication:** the Project has a high potential to play an important role, but foundational and enabling activities have not been articulated (and incorporated) well enough. There are indications that the Project has contributed modestly to policy change, but it is unclear if it has succeeded in providing socio-economic/market based incentives to change stakeholder behavior.

*Rating: 'Moderately satisfactory'*

**D. Stakeholders participation and public awareness:** during Project preparation no formal mechanisms, beyond the Steering Committee, were set in place for the identification and engagement of stakeholders, although target audiences were identified in the Grant Agreements. Some efforts (e.g. outreach activities) have been made to raise public awareness. There is no clear vision on future stakeholder involvement; neither has an outreach strategy been developed.

*Rating: 'Moderately satisfactory'*

**E. Country ownership / driven-ness:** countries directly involved in the Panel through representation of their governments in the Steering Committee have shown (some) ownership. However, it is not clear if the same can be stated for governments not directly involved although it can be questioned if this is even rational to expect at this early stage of the Panel. While the ultimate goal of the Project is to promote the use of the Panel's findings in policy processes there is as yet no systematic and coherent mechanism to ensure this happens.

*Rating: 'Moderately satisfactory'*

**F. Achievement of outputs and activities:** The activities and the direct outputs have been achieved (with a slight delay). However, the more intangible defined outputs could not be monitored.

*Rating: 'Satisfactory.'*

**G. Preparation and readiness:** despite the weaknesses of the logical frameworks and the non-classical preparation of the Project, on the positive side, it can be observed that sound and credible outputs were delivered which, according to interviewees and respondents, have 'an acceptance by' and 'a relevance for' stakeholders including academics, policy makers, business and NGO's).

*Rating: 'Moderately satisfactory'.*

**H. Implementation approach and adaptive management:** the Secretariat at UNEP/DTIE, responsible for the management has duly executed the Project. However some turn-over in terms of staff might have affected implementation of the Project. Furthermore, the internal hierarchical system may have slowed down project implementation.

*Rating: 'Moderately satisfactory'*

**I. Monitoring & Evaluation:** The logical frameworks for the Project have changed from year to year with differing objectives and OVIs. Even though the M&E was based on an agreement between UNEP and the EC, more attention should have been paid to establishing a baseline and to the appropriateness and SMARTness of the OVIs. The monitoring and reporting on 'processes' and

'outputs' have been undertaken and the yearly narrative reporting to the EC seems to be adequate. The costs of monitoring were included under human resources budget and a separate budget was allocated for the terminal evaluation. Despite this, there is a big room for improvement in terms of 'monitoring and evaluation' of the Project, such as preparation and full implementation of a monitoring and evaluation plan. *Rating: 'Moderately satisfactory' (M&E Design – 'Moderately satisfactory'; M&E Plan implementation – 'Moderately satisfactory'; Budgeting & funding for M&E activities – 'Moderately satisfactory'.*

**J. Financial planning:** The evaluation has experienced difficulties in obtaining financial information. There is a lack of available records and some inconsistency in financial information throughout the documentation. Efficient financial control has been hindered particularly by the complexity of the internal UNEP system, which however is out of the reach of this Project. However, based on the evidence gathered, it seems that the financial planning and management by the project officer has attempted to be adequate.

*Rating: 'Moderately unsatisfactory'<sup>1</sup>*

**K. UNEP Supervision and backstopping<sup>2</sup>:** as highlighted under H., supervision and backstopping was part of the management structure, therefore, it is not relevant to rate this parameter.

*Rating: 'not relevant'.*

\* \* \* \* \*

In conclusion, in a business as usual scenario, the Project could be in a situation within a couple of years that 'sustainable use of natural resources' happened anyway ... or not, regardless the 'outstanding' (cf. the opinions expressed by interviewees and respondents) 'outputs' of the Resource Panel.

Therefore, based on the findings above, the International Resource Panel initiative (the Project CP/4020-06-06 (395) is given an overall rating of 'moderately satisfactory'.

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<sup>1</sup> *Evaluation office would rate this as 'Moderately satisfactory' since financial control was hindered particularly by the complexity of internal UNEP system and was thus, out of the control of the project.*

<sup>2</sup> *Evaluation Office perceives that UNEP Division of Technology, Industry and Economics (DTIE) successfully established and hosted the Panel Secretariat and was thus responsible of the Panel's day to day management. Although supervisory role might not have been relevant in terms of this Project, UNEP can be seen to have provided good backstopping. Rating: 'Satisfactory'.*



## SUMMARY OF LESSONS LEARNED

This was an innovative Project: it established an International Panel for Sustainable Resource Management that is focusing on 1) the production and dissemination of scientific assessments on ways to reduce the impacts of resources used over their life cycle and 2) a better understanding of methodologies on decoupling and sustainable resource management in a life cycle. It became clear from the interviews and the survey that no similar projects have been set-up and – most probably – no new comparable projects will emerge in the near future.

Therefore, the lessons learned in this evaluation have been mirrored to the recommendations formulated in the Evaluation report of UNEP/DTIE (Norgbey S. and Spilsbury M., 2009). The following similar observations could be made (Please see chapter IV for the full description of the lessons):

- a (internal) Project needs an effective and efficient monitoring and evaluation system;
- a qualitative and effective financial planning is needed;
- ‘translating the ‘outputs’ into ‘policy-making’ should be part of a Project;
- advisory service to countries is expected;
- a causal pathway analysis should be undertaken before the development of the Logical framework.

The results of these action could be applied when preparing the period 2011-2013 of this Project, if a (new) multi-year EC Grant Agreement is signed.

## SUMMARY OF RECOMMENDATIONS

The lessons learned formulated in the previous chapter have the potential for wider application and use, but as well for this Project as it is still ongoing and intends to continue at least for another three years (2011-2013) if a (new) multi-year EC Grant Agreement can be concluded. In that sense the lessons learned need to be considered as 4 important recommendations. In addition the following 4 particular recommendations can be made:

- 1) Assure a continued attention to and improvement of a geographical balanced composition of the Resource Panel and the Steering Committee to avoid the significant risk that this would affect the sustainability of the Project. Indeed, it is to be expected that the opposite (read: a geographical unbalanced composition) would influence in a negative way the ‘acceptance by’ and the ‘relevance for’ governments and their region.
- 2) Develop an outreach strategy (incl. communication, awareness raising, etc.) and foster capacity-building, in the 6 UN languages, using the ‘outputs’ of the Project. By doing so, the ‘behavioural or systemic effects, i.e. the ‘outcomes’, will be strengthened and make it possible to make progress towards ‘translating the scientific assessments into policy-making’ and ‘offering an advisory service to countries’, i.e. the ‘intermediate states’.
- 3) Expand a format for an increased stakeholder participation in a continued and systematic way. This will allow the Project to interact with other decision-makers than the representatives from governments and, by doing so, create ownership amongst the major groups.
- 4) Pay attention - within the broader context of the International Resource Panel initiative - to the catalytic role and – in particular – the replication of the outcomes of the Project through ‘horizontal and vertical’ as well as ‘internal and external’ ‘integration’ actions.
- 5) More attention should be paid to effective monitoring and supervision, Project documents should have costed M&E plans, and staff workplans and PAS assessments should include performance criteria for Project supervision

6) A Project database system should be developed that would provide a link to the associated financial, budget and expenditure information to avoid difficulties in accrued data on financial planning and control.

## I. INTRODUCTION AND BACKGROUND

### A. BRIEF OVERVIEW OF THE EVALUATED PROJECT

#### **Introduction**

In the past 60 years alone, the global economy has quintupled and simultaneously consumed more natural resources than in all previous human history. While much of this is attributed to twentieth century development in western economies, vulnerability of the global economy to this trend of increasing resource use is becoming more and more apparent. This has resulted, among others, in environmental degradation and pressure on the carrying capacity of the earth. More and more interconnected environmental and economic problems have become apparent as resources, products, wastes and environmental impacts move across borders in an increasingly globalised economy.

The twentieth century witnessed western economic development and resource consumption trends would shift to developing countries, where four billion people are currently not yet consuming enough resources to meet their basic needs. Such complex situation calls for reduction of overall resource requirements and environmental impacts to a level consistent with the natural capacity of ecosystems while, at the same time, increasing the economic welfare and well-being of society, a phenomenon called 'decoupling'<sup>3</sup>. As a result of globalization, products, resources and wastes are increasingly traded across borders throughout their life cycles. Therefore, it is difficult for a country to know the global impact of its resource use and whether decoupling is occurring at the national level.

UNEP, the EU, the G8 and OECD, among others, have different initiatives that are aimed at scaling up engagement of developing countries to address resource efficiency or resource productivity. Countries with developing economies such as India and China, NGOs, the private sector as well as academia are also building up an impressive body of knowledge through life cycle databases and material accounting. The different initiatives require coordination and joint effort. There is also need for independent scientific assessment on environmental impacts due to the use of resources over the life cycle, and scientific advice on ways to reduce the impacts.

#### **Background**

This Project is in response to the EC Communication of 21 December 2005 on the Thematic Strategy on the Sustainable Use of Natural Resources (COM (2005)670), in which the relevant section '5.4 *The global dimension – an International Panel on the sustainable use of natural resources*' state<sup>4</sup>:

"... To bring together and sustain this focus, this Communication suggests setting up an International Panel on the sustainable use of natural resources in cooperation with UNEP and possibly other international partners and initiatives, e.g. UNIDO and the International Energy Agency (IEA). It will

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<sup>3</sup> The term 'decoupling' refers to breaking the link between economic growth and environmental degradation

<sup>4</sup> Note that this text is not the terms of reference of the Resource Panel, but gives an idea of the EC's interests as further elaborated in the EC Grant Agreements: see below.

assess and provide information on the global aspects of resource use and environmental impacts. The panel will (...):

- *provide independent advice to the Commission on the environmental impacts of natural resources use in a global context, also taking into account economic and social impacts;*
- *contribute to building the knowledge base and monitoring progress;*
- *develop sustainability benchmarks for extracting, harvesting, transporting and storing materials and products coming from outside the EU, to include not only material quality standards but also production quality standards, taking account of social and environmental issues;*
- *advise developing countries on how to develop their capacity to assess the environmental impacts of their natural resource use and resource management policies (which could then be implemented as part of co-operation programmes with third countries);*
- *advise on the environmental impacts of the use of natural resources in the wider global context, for example as part of the UNEP-led initiatives on sustainable production and consumption."*

According to the Terms of Reference the Resource Panel is as well seen a response to the 22<sup>nd</sup> Session of the Governing Council of UNEP (February 2003) which recalled paragraph 14 of Johannesburg Plan of Implementation (JPOI) of the WSSD and is in conformity with the activities of UNEP since 1992 aimed at promoting cleaner production, pollution prevention and sustainable consumption. It further recognizes the results in the field of cleaner production, pollution prevention and eco-efficiency already achieved and documented during different fora, including UNEP Governing Council Meetings. The Project aims at helping UNEP to implement the decisions of its Governing Council/GMEF at its 25<sup>th</sup> session (UNEP/GC.25/17), including decisions to strengthen the scientific basis for policy making with involvement of key stakeholders, to strengthen capacity in scientific assessments and decision-making, and to encourage decision-makers to take scientific assessments into account.

Further, the Project expect to be in line with UNEP Division of Technology, Industry and Economics (DTIE) and the branch of Sustainable Consumption and Production (SCP) that is developing and promoting a ten-year framework of initiatives on the Marrakech Process. DTIE has the mission to encourage decision-makers in government, local authorities and industry to develop and adopt policies, strategies and practices that are cleaner and safer, and make different uses of natural resources, ensure environmentally sound management of chemicals, reduce pollution and risks for human and the environment, among others.

Establishing and hosting the Secretariat of the Resource Panel is therefore seen by UNEP/DTIE as a natural extension to current activities on a critical issue: the use of natural resources and its linkages with life cycle thinking and achievement of the goals of SCP patterns and the organization's overall activities on the linkages between environmental policies and eradicating poverty and achieving the Millennium Development Goals (among other Programmes through the Bali Plan of Action).

### **The CP/4020-06-06 (3985) Project (Period 2006-2009)**

The **overall objective** of CP/4020-06-06 (referred to as 'the Project') was "to foster [resource-efficient and environmentally sound economic development globally and stimulate innovation] [sustainable resource management] leading to the [overall] de-coupling of economic growth and environmental degradation".<sup>5</sup>

The **specific objective** was "[to provide independent scientific assessment on][to increase availability of independent authoritative scientific assessments of] environmental impacts due to the use of

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<sup>5</sup> For a detailed explanation about the brackets around the text, see *Chapter II – Project Logframes of the Project versus ROTI*.

[both renewable and non-renewable] resources over the full life cycle and scientific advice on ways to reduce the impacts [by sustainable innovation through the operationalization of the established International Panel for Sustainable Resource Management ('Resource Panel') ... and the production of Industrial Sector Studies]".<sup>6</sup>

The Project funding started and continued through a EC Grant Agreement, in line with the intention expressed in the EC Communication of 21 December 2005 on the Thematic Strategy on the Sustainable Use of Natural Resources (COM (2005)670): see below. The EC Grant accounted for approximately 3/5 of the total budget. Voluntary financial and in-kind contributions from governments, next to the in-kind input from UNEP completed the budget: see below.

According to the Terms of Reference "*this evaluation only covers the activities under the EC Grant Agreement funding*". Therefore the so-called 'Description of the Action' documents of the EC Grant Agreements, including the 'Logical Framework(s) for the Project' will be used. For each year/phase<sup>7</sup> an agreement have been signed between the European Commission and UNEP/DTIE. Table 1 reconstruct the consecutive years/phases. Although the year 2010 is obviously not part of this evaluation, a line with information is added to the table.

Phase	Overall objective
<b>Preparation</b>	
09/2006 – 12/2007	<i>"to prepare the establishment of the International Panel on the Sustainable Use of Natural Resources ..."</i>
<b>Implementation</b>	
1-12/2008	<i>"to foster resource-efficient and environmentally sound economic development globally and stimulate innovation leading to the de-coupling of economic growth and environmental degradation"</i>
1-12/2009	<i>"to foster sustainable resource management leading to the overall de-coupling of economic growth and environmental degradation"</i>
1-12/2010	<i>"to foster sustainable resource management leading to the overall de-coupling of economic growth and environmental degradation"</i>

Table 1 – The CP/4020-06-06 (3985) Project Phases and their 'Overall objectives'

It can be observed that there has been an evolution in the '**overall objective**' of the Project, though it seems that for the last two consecutive years (2009 and 2010) there is continuity in the formulation. Later in this evaluation, In Chapter II, the consequences of these differences will be highlighted.

The overall coordination (administrative and operational) of the Project is under UNEP's Division of Technology, Industry and Economics (DTIE) that hosts the Secretariat of the International Panel on the Sustainable Use of Natural Resources (referred to as 'Resource Panel'), established at the end of 2007. The Secretariat, among other duties, is inviting members of the global network of worldwide experts to join the Resource Panel, which is mandated with producing authoritative scientific assessments. The latter is done by Working Groups with members *inter alia* of the Resource Panel. Both the Secretariat and Working Groups are advised by a Steering Committee. The Resource Panel and Steering Committee intends to provide for a solid consultative and collaborative structure whereby partners are fairly represented in the overall decision-making and scientific assessment activities.

<sup>6</sup> Ibidem.

<sup>7</sup> The indication 'year/phase' is used because the first EC Grant Agreement covers 1 year and 4 months and can be seen as a separate phase of 'preparation'.

\* \* \* \* \*

It has been reported (see Annex I) that the Project comprises of the following activities implemented in step-wise basis over a more than three-year funding period:

**1. Results and activities during the period 1<sup>st</sup> Sept. 2006 to 31<sup>st</sup> December 2007**

- Carry out the scientific consultation process through desk research and organization of a scientific conference session to identify, among others, key areas of work, centers of excellence and potential candidates for the Resource Panel.
- Development of procedural issues and outreach strategy by preparing relevant administrative and procedural documents and by organizing a briefing and outreach session for interested partners and potential sponsors focusing on national governments and international organizations.
- Organize the First Meeting to the Inaugural Panel. Tasks of the Panel will provide independent scientific advice to the partners and contribute to strategies and approaches to reduce impacts of the use of natural resources from a life cycle perspective.
- Task dissemination – a number of documents for the Panel and potential partners and candidates will be produced. Under this Task an outline on dissemination strategy and procedures will be prepared and implemented.
- Task management and reporting – reporting and feedback from the COM (and if applicable to the Board) will be carried out through regular personal meetings and/or teleconferences.

**2. Results and Activities during the period 1<sup>st</sup> January 2008 – 31 December 2008**

- Completion of formation of Panel and Steering committee, finalization and implementation of Panel procedures.
- Development of industrial sector studies and set up of Strategic Innovative Groups.
- Consultation of the Industrial Sector studies by Panel and Steering Committee.
- Dissemination of Project activities and results through dissemination events, website and reports.
- Carrying out Project management and reporting to the EC.

**3. Activities during the period 1st January 2009 – 31 December 2009**

- A. Further operation and implementation of Resource Panel including the involvement of more experts and countries:
- Organize and support meetings of Resource Panel, Steering Committee and Working Groups.
  - Secure additional partners.
  - Develop and oversee Panel procedures.
  - Develop and oversee work plan.
- B. First scientific assessment carried out by working groups:
- Develop terms of reference.
  - Support WG leaders.
  - Publish studies.
- C. Information on the purpose and results of the Project disseminated to a wide range of stakeholders:
- Disseminate Project activities and results through events, the website and reports.
  - Hold a side event at the World Resources Forum in Davos, Switzerland.
- D. Project properly managed and results timely reported to EC:
- Carry out Project management activities and report to the EC.

During the implementation period covered by this evaluation (2006-2009), the Resource Panel has prepared (and published) three reports, which have gone through a peer review procedure:

- *“Towards sustainable production and use of resources: Assessing Biofuels”* (October, 2009)
- *“Assessing the Environmental Impacts of Production and Consumption: Priority Products and Materials”* (May, 2010)
- *“Assessing Global Metal Flows: Metal Stocks in Society and Recycling Rates”* (June, 2010)

Another assessment report on decoupling is under preparation and five reports on metals will follow. In addition, the Project has, without direct involvement of the Resource Panel itself, published the following Industrial Sector Studies under the heading of ‘Sustainable Innovation and Technology Transfer’:

- *“Recycling – From E-waste to resources”* (July 2009)
- *“Critical Metals for Future Sustainable Technologies and their Recycling Potential”* (July 2009)

Furthermore in 2008 reports were developed on ‘Study on impacts of mining in Africa’ and ‘Study on carbon footprinting’.

### **Current status of CP/4020-06-06 (3985)**

Although this exercise is called a Terminal Evaluation of the Project (2006-2009) by the UNEP Evaluation Office, it can be observed that the established Resource Panel is in full operation with, *inter alia*, financial support from the European Commission for 2010. The responsible staff members of the EC intend to introduce a prolongation of the EC Grant in the budget cycle discussions for the coming years. Within this context they regard this first evaluation as important. The Resource Panel, the Steering Committee and the UNEP/DTIE Secretariat do have the intention as well to continue their work the next couple of years.

## **B. OVERVIEW OF THE EVALUATION**

### **Objective of the Evaluation**

According to the Terms of Reference for this evaluation “The objective of this evaluation is to examine the contribution of the Resource Panel towards the achievement of Expected Accomplishments and the extent, and magnitude of any impacts to date. The evaluation will also determine the likelihood of future impacts; assess Project performance and the implementation of planned Project activities / outputs against actual results. This evaluation only covers the activities under the EC Grant Agreement funding.”

### **Key questions**

The Terms of Reference outlines that the evaluation should focus on the following key questions:

- To what extent did the Project succeed in establishing a functioning Resource Panel, including the involvement of experts and partner countries?
- Did the Resource Panel provide independent scientific assessments on ways to reduce environmental impacts due to the use of resources (renewable and non-renewable) over their life cycle?
- To what extent were the results of which were disseminated to a wide range of stakeholders authoritative and scientifically sound?

- Assess the extent to which the Project engaged different partners such as the Steering Committee, Resource Panel and Working Groups to ensure policy relevance of the assessments?
- Was the Project properly managed and were the results of different activities reported in a timely manner for increasing the global visibility and availability of sustainable resource management science?
- Was a functioning Secretariat established to management the Project?
- What were the results of the indicators assigned to the agreed outcomes/activities?

### **Scope of the Evaluation**

Given the fact that UNEP Evaluation Office advocates firmly, *inter alia* in the Terms of Reference, the application of the '**Review of Outcomes to Impacts (ROtI)**' method, the evaluator was to develop an 'impact pathway'- analysis to examine the Project's progress from outcomes, through intermediate states to impacts and evaluate the Project against its success in achieving, or the likelihood of achieving the impact (see methodology below).

Later in this evaluation it will be argued more in-depth that when seeking answers to the key questions above, most of the information needs to be found in the 'means' part of the Project results chain, which relates more closely to the components funded through the EC Grant Agreements, rather than in the 'ends' part (read: the 'ROtI' part), that relates more to what can be expected from UNEP(DTIE) when placing the Project in the context of UNEP's Medium Term Strategies and related Programmes of Work. Hence a distinction will be made throughout the evaluation between the 'means' and the 'ends' part of the Project's result chain. However, it should be noted that these parts are linked and interdependent. Furthermore, it should be noted that the ROtI-methodology does not foresee a specific rating for the 'means' part. Therefore, it is up to the evaluator to take his responsibility to make it clear – when appropriate - if there is a different scoring between the components funded through the EC Grant Agreements and what could have been expected from UNEP(DTIE) when placing the Project in the context of UNEP's Medium Term Strategies and related Programmes of Work.

In order to emphasise this even further in terms of the scope of this evaluation the following points should be noted:

- the 'Project CP/4020-06-06 (3985)' has been defined at/from its start by the EC Grant Agreements and guided by the EC and UNEP;
- the agreement on the ToR for the so-called International Partnership for Sustainable Resource Management' (May 2008) has been in terms of guidance a milestone for the Project;
- the formation of the management structure indicates a shared and collective responsibility among UNEP, the Steering Committee (of which the European Commission is a co-chair) and the Resource Panel.

Therefore, it can be stated that the International Resource Panel is an overarching initiative of which the Project CP/4020-06-06 (3985), (financially) supported through the EC Grant Agreements, is focussing (in the first place) on 1) the use of the inputs and 2) the operation of the activities in order to deliver outputs of high quality. This is in line with the objectives of the Resource Panel *sensu stricto* (*i.e.* 'the main substantive body of the partnership', cf. the ToR) which are 'to provide independent, coherent and authoritative scientific assessments of policy relevance on the sustainable use of natural resources and in particular their environmental impacts over the full life cycle' and 'to contribute to a better understanding of how to decouple economic growth from environmental degradation' (cf. ToR).

### **Methodology**

In line with the requirements of the Terms of Reference (see Appendix A), this evaluation has been conducted using a participatory mixed-methods approach including the following:

1. Kick-off meeting with the representative of the European Commission and with the UNEP/DTIE Secretariat of the Resource Panel in order to receive the relevant Project documents and contact details.
2. An initial telephone briefing with the UNEP Evaluation Office in order to discuss the objectives and the focus of this evaluation, and to finalize the evaluation methodology.
3. An initial desk review of relevant Project documents including the identification of gaps of information.
4. Face-to-face, telephone interviews or Skype interviews with the European Commission, UNEP/DTIE (including current and former staff members of the 'Resource Panel' Secretariat), OECD, stakeholders on the Steering Committee (WBCSD, IUCN). The face-to-face meetings have taken place in Brussels, Paris, Zurich, Gland and Genève: see Annex IIa en IIb.
5. Meeting with the UNEP/DTIE staff member in charge as Fund Manager Officer.
6. An e-mail questionnaire send to the members of the Resource Panel and the governments on the Steering Committee, requesting them to share their appreciation of the work of the 'Resource Panel': see Annex IIIa and IIIb.
7. Feedback and consultation between UNEP/EO, UNEP/DTIE and the evaluator on the draft report.

In terms of the evaluation process itself, the evaluator has closely followed the evaluation criteria, parameters and rating mechanisms proposed in the Terms of Reference (see Appendix A). This includes the use of the 'Review of Outcomes to Impacts' (ROtI) method (GEF Evaluation Office, 2009) for the effectiveness of the Project in achieving its objectives as well as the sustainability analysis. This method was particularly appropriate to map out a new not yet existing impact pathway using the subsequent Logical Frameworks (LFs) of the Project.

One of the main outputs of this evaluation is to focus on lessons learned and their application in the near future of the Project. It is stimulated in the Terms of Reference that there should be less emphasis in the provision of recommendations, unless they are highly specific, practical and actionable.

Finally, it is important that the findings of this report are credible, robust and evidence-based.

### **Limitations of the evaluation and comments on the ToR**

This evaluation has taken place in the July-August of 2010, i.e. a holiday season for some key representatives based in Europe (European Commission, UNEP/DTIE) and members of the Resource Panel and the Steering Committee. This has caused difficulties in respecting the logic order of the participatory mixed-methods approach as described above. With some exceptions all the intended interviews could take place, though the response to the survey was rather limited. As mentioned earlier the key questions outlined in the Terms of Reference are rather focusing on the 'means' than on the 'ends' of a Project result chain. There above the ROtI method has been designed for a typical GEF Project. This Project has a more complex structure with multi-level, -actor and sector involvement. In terms of 'monitoring and evaluation' this Project has been managed from 2006 till 2009 as a sum of three consecutive projects, each with a different logical framework, i.e. three in total. In that sense, there is neither 'one Project design of M&E' nor 'one application of the Project plan'. Detailed comments regarding the difficulties this approach brings with it are highlighted by the evaluator throughout this evaluation.



## II. PROJECT CONCEPT AND DESIGN

As indicated in Chapter I – Introduction and Background - this Project (CP/4020-06-06 (3985) uses a different approach (incl. terminology) than it might be expected according to the Terms of References. To facilitate the reading of the next chapters it can be helpful to describe briefly the following points:

- the essence of a logical framework;
- the Logic of the Project design;
- the ‘Review of Outcomes to Impacts’ methodology.

### A. THE ESSENCE OF A LOGICAL FRAMEWORK

Two years prior to the Project, the World Bank (2004) published a document *“to strengthen awareness and interest in M&E, and to clarify what it entails.”* About the ‘Logical Framework Approach’ (LFA), based on *‘The Logframe Handbook’* (2000), it was stated that *“It aids in the identification of the expected causal links ... in the following results chain: inputs, processes, outputs (including coverage or ‘reach’ across beneficiary groups), outcomes, and impact”*. The LFA has been translated in other design methodologies or processes.

Related indicators should be based on a logical framework of Project objectives with the aim to generate more thoughtful, logically constructed Project designs. They are meant to serve as benchmarks against which to measure Project progress toward development objectives, hence indicators are expected to result in more meaningful Project monitoring and evaluation.

In the case of the World Bank, the logical framework is organized to provide (performance) indicators of various types and what they are intended to measure:

- Results indicators - measure Project results relative to Project objectives; results are measured at the level determined by the Project’s objectives;
- Input Indicators - measure the quantity (and sometimes the quality) of resources provided for Project activities and depending on the Project;
- Output Indicator - measure the quantity (and sometimes the quality) of the goods or services created or provided through the use of inputs;
- Outcome and Impact Indicators - measure the quantity and quality of the results achieved through the provision of Project goods and services.

These outcomes and impacts have a direct link with the use of outputs. It is also interesting to note that World Bank does not separate outcomes and impacts. *Risk indicators* are also incorporated - as a measure of exogenous factors. These are identified through risk or sensitivity analysis. These are factors likely to have an effect on the outcome e.g. due to the fluctuation of economic prices.

It is recognized that the choice of indicators and means of data collection depend on data availability, time constraints and cost-benefit considerations as well as the relationship between the variables.

The World Bank reports that the challenge it often faces is that objectives to which indicators are intended to answer are often not well thought out or clearly articulated clouding the development of appropriate indicators and making M&E difficult. The other challenge is that often arrangements for data collection or M&E capacity do not match the development and use of the indicators. Furthermore, in the LFA used to derive indicators, sometimes these (performance) indicators do not follow the logic and there is tendency to proliferate indicators that may not eventually be measured. Sometimes the cause and effect aspect is lost.

## B. LOGIC OF THE PROJECT DESIGN

For each year, a Grant Agreement was signed between the European Commission and UNEP/DTIE and a logical frameworks were formulated as part of the 'Description of the Action' - documents (see Annex IV). There is not only one Logical Framework for the multi-year Project CP/4020-06-06 (3985) but development of subsequent Logical Frameworks (including indicators) has been closely related to these Grant Agreements. The Logical Frameworks have specified different 'overall objectives', 'specific objectives' and 'expected results'. Thus the objectives have evolved during the process making them more of "moving targets" than "set objectives".

\* \* \* \*

### **First Grant Agreement 2006-2007**

The first agreement, covering the period 2006-2007, can be seen as the 'preparation' phase of the Project (see Table 1). The UNEP/DTIE Project Management provided the evaluator with a so-called 'Logical Framework', titled 'Summary of the Project'. It lists more in detail the 'Actions' and the 'Deliverables' but fails to identify the indicators, means of verification and risks and assumptions. The 'overall objective' was stated as *"to prepare the establishment of the International Panel on the Sustainable Use of Natural Resources as referred to in the EC Communication of 21 December 2005 on the Thematic Strategy on the sustainable use of natural resources"*. The 'Specific Objectives' were defined as:

"To explore and identify substantive issues through a **scientific consultation process** followed by a **pre-panel and first Board meeting**";

"To prepare **procedural issues** for the functioning of the Panel as well as consult and inform potential partners and stakeholders followed by a second Board meeting";

"To organise an **Inaugural Panel Meeting** on 9-10 November 2007"; and

"To effectively **manage** and **disseminate** information and outcomes of the Panel and encourage follow-up activities".

However, one could question the appropriateness of the objectives, which could rather be considered as 'activities' and which would seem to lack the consideration of ways in which it could move beyond the specific objectives and results towards 'intermediate states' and further contribute to global environmental benefits.

The Final Report on this period summarizes, in a narrative way, the activities carried out. It states "The final output of the Project resulted in the first meeting and official launch of the 'International Panel of Sustainable Resource Management' in Budapest, Hungary, 8-9 November 2007." In fact, this output can be seen as one of the inputs for the next phase, the implementation of the Project.

### **Second Grant Agreement 2008**

The second agreement between UNEP/DTIE and the European Commission included a 'Logical Framework of the Project' with 'overall objective', 'specific objectives' and 'expected results', indicating for each part the 'intervention logic', the 'objectively verifiable indicators of achievement', 'sources and means of verification' and – if applicable – 'assumptions'. The 'expected results' are further detailed with a list of 'activities' highlighting the 'means'. The 'overall objective' was to *"Foster resource-efficient and environmentally sound economic development globally and stimulate sustainable innovation, leading to the de-coupling of economic growth and environmental degradation"*. The 'specific objective' was stated to: *"Provide independent scientific assessment on the environmental impacts due to the use of both renewable and non-renewable resources over the full life cycle, and scientific advise on ways to reduce the impacts by sustainable innovation through*

*the operationalization of the established International Panel for Sustainable Resource Management ('Resource Panel') as referred to in the EC Communication of 21 December 2005 on the Thematic Strategy on the sustainable Use of natural Resources (COM92005 670 final, launch will be in November 2007), and the production of Industrial Sector Studies"*

A few observations can be made regarding the second Grant Agreement. First, the LF does not identify the causal links in a Project results chain and it fails to make a (clear) difference between 'inputs', 'processes', 'outputs', 'outcomes', and 'impact'. Although the 'overall objective' and its related 'objectively verifiable indicators of achievement' ("*improved sustainability of global economic development measured by macro-level indicators on material flows and natural resource use in a life cycle perspective*"; and "*increased decoupling of resource use from GDP*") could be regarded as an expression of 'impact' (note: see below the observations related to the third agreement). It can also be noted that the 'specific objective' is more of an 'output' nature, whilst its related indicators do have differences in their character for some can be regarded as 'outputs' and others rather as 'outcomes'. In addition, one of the 'expected results' is rather an 'input' (cf. 'Operational Resource Panel'), though the related indicators ("*Increased knowledge on material and resources flows and related impacts worldwide*"; "*Scientific studies produced and disseminated on ways to reduce the impacts of resources uses over their life-cycle through innovation*"; "*Material produced by the Project used by decision makers*"; "*Better understanding of methodologies on decoupling and sustainable resource management in a life cycle perspective*") do have more a 'process' nature, one as an 'output' and the other 'expected results' can be regarded as well as 'processes';

- some of the same 'sources and means of verification' are listed at different levels ('overall objective', 'specific objectives' and 'expected results') without rationale for it;
- in a LF 'indicators' are labeled '(key) performance indicators', while in the Project (and by UNEP: see Programme of Work 2010-2011) it is all about 'objectively verifiable indicators of achievement'.

In the Final Report the activities carried out in 2008 are described in a narrative way and the results of the monitoring through the use of the 'objectively verifiable indicators' related to the 'expected results' are provided; no estimate was given for the indicators related to 'overall objective' and 'specific objectives'. In short, the intervention logic in the design of the project is flawed. The overall objective was set at such a high level that there is no reasonable expectation of it being achieved through this project.

### **Third Grant Agreement 2009**

The EC Grant Agreement for 2009 contains as well a 'Logical Framework of the Project' with a similar structure as for the previous year. The 'overall objective' was "*to foster sustainable resource management, leading to the overall decoupling of economic growth and environmental degradation*". The 'specific objective' was stated as "*Increased availability of independent authoritative scientific assessments of the environmental impacts due to the use of resources over the full life cycle and scientific advice on ways to reduce the impacts*". Due to the similarity, the same observations can be made in addition with the following remarks:

- the 'overall objective' and the 'specific objectives' differ (slightly?) from 2008 (note: the LF for 2010 does have the same formulation with in addition one 'specific objective' about "*Improved capacity for sustainable resource management at the regional level, with a focus on the needs of developing countries*");
- the indicators related to the 'overall objective' ("*Number of mentions of the Resource Panel in National, Regional, Global, Sectoral policy dialogue*" and "*Government response to the Resource Panel*") and to the 'specific objectives' ("*Number of*

*publications distributed”; “Number of topics covered”; “Number of assessments per topic”; “Response from stakeholders” and “Coverage of topic in global fora/media”* are substantially different from the previous year. One could say that there has been a downgrading, in the sense that these indicators can not at all be seen as relevant for ‘impact’ and hardly for ‘outcomes’ since the focus is more on proxies for ‘outputs’.

A similar observation for the Final Report of the activities carried out in 2009 can be made as for the previous year.

#### Fourth Grant Agreement 2010

The EC Grant Agreement for 2010 is similar to the one for 2009 and contains a ‘Logical Framework of the Project’. The overall objective has been reformulated slightly, standing now as *“to foster sustainable resource management at the global level, leading to the overall decoupling of economic growth and environmental degradation”*. One more ‘specific objective’ has been added, them being now 1) *“Increased availability of independent, authoritative scientific assessments of the environmental impacts due to the use of resources over the full life cycle and scientific advice on ways to reduce the impacts”* and 2) *“Improved capacity for sustainable resource management at the regional level, with a focus on the needs of developing economies”*.

The indicators related to the ‘overall objective’ and the first ‘specific objective’ have remained the same. The indicators related to the second ‘specific objective’ (*“number of countries where capacity building work has been implemented”; “number of people attending regional consultations and capacity building activities”* and *“response from stakeholders”*) could again be regarded more as indicators for outputs rather than for objectives.

\* \* \* \* \*

The interviewees from the UNEP/DTIE Project Management and the EC Unit, responsible for the EC Grant Agreement, explained that the subsequent logical frameworks are drafted in relation to the respective EC Grant Agreements and did not take into account a mid- to long-term perspective. Due to the complexity and sensitivity involved in creating an international assessment panel, it was explained that a deliberate choice was made to move forward through a ‘learning by doing’ - process. This should clarify the evolution in the LFs. From the EC side there is an expectation that the next EC Grant Agreement would cover a three year period and, therefore, should allow UNEP/DTIE Project Management to come up with a better articulated project which identifies ‘the expected causal links in the Project results chain’.

This interpretation from the side of the European Commission can be related to the opinion expressed by different interviewees that unlike the (foreseen) establishment of IPCC and IPBES, the Resource Panel did not go through a long intergovernmental process before coming into operation. The development of procedures, logical frameworks etc. is therefore an evolving learning process.

### C. REVIEW OF ‘OUTCOMES TO IMPACTS’ - METHODOLOGY

The terminology used in the Project Grant Agreements differs from the one specified in ‘Review of Outcomes to Impacts’ (ROtI) methodology. Therefore a ‘Glossary of Terms’ of the ROtI-methodology is listed in Table 2 below. The result of applying the ROtI-methodology, i.e. the construction of an impact pathway, is reflected in Figure 1 and will be discussed in Chapter (III and) IV.

<b>Activity</b>	The practical, timebound actions that the Project carries out to deliver the desired Project outputs.
<b>Assumption</b>	The significant factors that, if present, are expected to contribute to the ultimate realization of Project impacts, but that are largely beyond the power of the Project to influence or address.
<b>Global Environmental Benefit</b>	Lasting improvements in the status of an aspect of the global environment that safeguards environmental functioning and integrity as well as benefiting human society.
<b>Impact</b>	A fundamental and durable change in the condition of people and their environment brought about by the Project.
<b>Impact driver</b>	The significant factors that, if present, are expected to contribute to the ultimate realization of Project impacts and that are within the ability of the Project to influence.
<b>Intermediate state</b>	The transitional conditions between the Project's outcomes and impacts that must be achieved in order to deliver the intended impacts.
<b>Logical framework</b>	The basic planning and management framework for the Project, which sets out information about the key components of the Project – the activities, outputs, and outcomes - in a clear, concise and systematic way, thereby describing the logic by which the Project will deliver its objectives.
<b>Outcome-impacts pathways</b>	The means-ends relationships between Project outcomes and the intended impacts that describe the specific conditions or factors that are required in order to achieve impacts. Developing a clear understanding the outcomes-impacts pathways is at the core of the ROTI methodology.
<b>Output</b>	The goods and services that the Project must deliver in order to achieve the Project outcomes. Outputs are within the direct control of the Project to deliver.
<b>Outcome</b>	The short to medium term behavioral or systemic effects that the Project makes a contribution towards, and that are designed to help achieve the Project's impacts.
<b>Strategy</b>	The major types of intervention employed by a Project in order to deliver the intended impacts.
<b>Theory of Change</b>	A theory-based evaluation tool that maps out the logical sequence of means-ends linkages underlying a Project and thereby makes explicit both the expected results of the Project and the actions or strategies that will lead to the achievement of results.

Table 2 – Glossary of Terms for the ROTI-methodology

### III. FOCUS ON THE KEY QUESTIONS OF THE EVALUATION

As indicated before the Terms of Reference describe to focus on 7 key questions, mainly related to the 'means', whilst the advocated application of the ROTI methodology deals with the 'ends' of a Project results chain. Therefore, in this Chapter an answer will be sought on these key questions. The information comes from the desk-research of the Project documents, interviews with key partners and a survey amongst members of the Resource Panel and the Steering Committee.

#### **To what extent did the Project succeed in establishing a functioning Resource Panel, including the involvement of experts and partner countries?**

As an output of the preparatory phase (2006-2007) the Project succeeded in establishing a functioning Resource Panel, guided by the Steering Committee, under the coordination of the UNEP/DTIE Secretariat. Experts and partner countries have been involved, though concerns have been expressed regarding a more balanced representation in the Resource Panel and in the Steering Committee to create ownership, not only in the respective countries, but as well in the respective regions; the under-representation of developing countries is an important point of attention: see recommendation 1.

#### **Did the Resource Panel provide independent scientific assessments on ways to reduce environmental impacts due to the use of resources (renewable and non-renewable) over their life cycle?**

Overall it has been recognized that the Resource Panel did provide independent scientific assessments on ways to reduce environmental impacts due to the use of resources over their life cycle. The three assessments published up to now are regarded as having 'an acceptance by' and relevance for' stakeholders (academics, policy makers, business and NGO's).

#### **To what extent were the results of which were disseminated to a wide range of stakeholders authoritative and scientifically sound?**

The results, i.e. the scientific assessments, went through a peer review procedure and are recognized to be authoritative and scientifically sound. The value judgment that the results were disseminated to a wide range of stakeholders might be premature. During this evaluation interviewees and respondents expressed their concern that a professional outreach strategy (including dissemination, communication etc.) is lacking: see recommendation 2.

#### **Assess the extent to which the Project engaged different partners such as the Steering Committee, Resource Panel and Working Groups to ensure policy relevance of the assessments?**

Interviewees and respondents acknowledged the policy relevance of the assessments. They indicated in their answers to the related questions that this is related to the following set-up:

- the co-chairs and some members of the Resource Panel and its Working Groups do have a long experience in interacting with policy-makers;
- the joined meeting between the Resource Panel and the Steering Committee are regarded as very useful;
- the Secretariat at UNEP/DTIE has as well a longstanding experience in working with policy-makers.

Nevertheless, in relation to ensure policy relevance of the assessments the following concerns have been expressed:

- the future interaction between experts (Resource Panel) and governments (Steering Committee) and stakeholders should be well prepared at an early stage of the work around new topics;

- the involvement of stakeholders should be improved in an appropriate format;
- the dissemination of policy relevant scientific assessments should not be an 'end' point; there is a need to translate the 'outputs' into 'outcomes', 'intermediate states' and make progress towards 'impacts'.

**Was the Project properly managed and were the results of different activities reported in a timely manner for increasing the global visibility and availability of sustainable resource management science?**

Overall the Project was properly managed, although interviewees and respondents pointed to the current management structure to explain some slow-down in the dynamics of the Project: see in Chapter IV, B. Sustainability of the Project outcomes – Institutional framework and governance and H. Implementation Approach and Adaptive Management. Furthermore some delay has been noted when reporting the results of different activities. However, according to interviewees and respondents the delay was perfectly understandable because of the complexity of the subject and the importance of delivering scientifically sound assessments.

**Was a functioning Secretariat established to management the Project?**

A functioning unit within UNEP/DTIE served as the Secretariat to the Project, though some critical observations could be made: see Chapter IV, H. Implementation Approach and Adaptive Management. This Project could be seen as isolated within the UNEP(DTIE) structure and therefore it has difficulties in channelling its outputs into a process of policy-making. While the UNEP/DTIE Project Management refers to other projects, units, branches and divisions as means to channel the outputs of this project into processes of policy-making, these are in theory only and no specific mechanisms have been put in place to ensure that this happens.

**What were the results of the indicators assigned to the agreed outcomes/activities?**

The project was developed with its overall objectives as a "moving target". The indicators agreed in the subsequently yearly logical frameworks were focusing on 'inputs', 'activities' and 'outputs', i.e. the 'means' of the Project result chain. Despite the fact that the design of the logical framework (including the objectively verifiable indicators) did not follow the common practice in international organizations (note: it was a learning by doing process), the results of the indicators can be rated as positive.

However this clearly shows that the theory of change was not carefully thought through and the causal linkages to the ultimate outcomes not clearly established. While the immediate objective to establish a functioning Panel was achieved, no causal linkages were established to the overall objective of to "*foster sustainable resource management, leading to the overall decoupling of economic growth and environmental degradation*".

\* \* \* \* \*

The Terms of Reference are explicitly stating that "*this evaluation only covers the activities under the EC Grant Agreement funding*". Therefore, this evaluation investigates the extent to which the Project has been successful in responding to the EC Communication of 21 December 2005 on the Thematic Strategy on the Sustainable Use of Natural Resources (COM (2005)670), in which the relevant section '*5.4 The global dimension – an International Panel on the sustainable use of natural resources*' (see Chapter I).

The following observations, resulting from the evaluation exercise in the previous chapter, can be made:

- a well functioning Resource Panel was established;
- the Resource Panel succeeded in providing independent scientific assessments and contributed to building the knowledge base;
- it has not yet developed sustainability benchmarks;
- it has not yet advised developing countries;<sup>8</sup>
- it gave to a certain extent advice on environmental impacts of natural resource use.

Overall the Project CP/4020-06-06, related to the components funded by the EC Grant Agreements, was duly executed and implemented **satisfactorily**.

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<sup>8</sup> Note that this activity is part of the Resource Panel's Work Programme 2010.



## IV. EVALUATION OF THE PERFORMANCE AND IMPACT

This section provides the main evaluation of the Project based on the assessment of the eleven evaluation parameters as defined in the ToR (see Annex I). This provides a flow of inter-linked evaluation parameters with accompanying success and likelihood ratings. As discussed in the methodology, much of the analysis of the Project activities has been conducted through a review of the Project progress reports, the answers provided by the interviewees and the results of the survey.

### A. ATTAINMENT OF OBJECTIVES AND PLANNED RESULTS

This part of the evaluation examines the extent to which the Project's major relevant objectives were effectively and efficiently achieved and their relevance.

#### **Effectiveness**

Effectiveness evaluates the overall likelihood of impact achievement, taking into account the achievement indicators, achievement of outcomes and the progress made towards impacts. To support the assessment of effectiveness of the Project in the overall context, the ROTI method was used to evaluate the Project's outcomes, intermediate states and intended impacts. This includes two main results, (i) an impact pathway analysis and (ii) a quantitative rating of the achievement towards the outcomes and progress towards 'intermediate states'.

An 'impact pathway analysis is provided in Figure 1. As the name suggests, this attempts to link the established Project outputs (synthesized from the Project sub-documents) with the likely outcomes, intermediate states and finally its overall impact, the so-called 'ends' part of a Project results chain. In addition, this analysis examines the different assumptions, impact drivers and risks that go to influence the way in which Project outcomes might – or might not – move towards having an impact. These are usually external to the Project and its influence, although should have been anticipated in the Project design.

However the Project logical frameworks are focusing on 'processes' (read: 'activities') and to a certain extend 'outputs'. Therefore, in this particular evaluation, the 'means' part of the Project results chain, i.e. 'inputs' and 'activities' linked to 'outputs' have been added. It should allow the reader to have a better understanding of the Project, within the context of the International Resource Panel-initiative. Moreover, as indicated before, a full answer to the key questions could only be formulated (see Chapter III) when the evaluator can draw information from this part of the Project results chain.

In order to make it even clearer, two shadowed areas have been added to Figure 1: the grey zone, overarching the Resource Panel initiative, and within it the yellow zone, highlighting the Project CP/4020-06-06 (3985).

\* \* \* \*

The Project met its immediate objectives by successfully establishing a functioning resource panel providing independent scientific advice and contributing to building the knowledge base. However, as described in previous chapter, the Project's Logical Frameworks have not been clear and consistent which has caused challenges when evaluating the Project's effectiveness. Due to the weaknesses in project planning and target formulation, the Project itself cannot be rated against the parameter of effectiveness as such. The overall objective has been set to a level where it is impossible to track down the process from outcomes to impact, The International Resource Panel

initiative, in terms of its ability to achieve its outcomes and progress towards ‘intermediate states’ as formulated in the various Logframes (see Table 4), has been given a Roti ranking of CC ‘**moderately unlikely**’ to achieve impact, but as explained below, effectiveness is given an overall rating of ‘moderately satisfactory’. Before entering the examination of it (see below), it is recommended to read the considerations made in Box 1.

### **Box 1 – Translating ‘scientific assessments’ into ‘policy-making**

At present the Resource Panel *sensu stricto* is composed of experts from the scientific world, some of them with sensitivity for policy relevance, so the interlocutors indicated. It is expected the RP produces *in an independent way* ‘scientific assessments’ ‘on ways to reduce the impacts of resources used over their life-cycle through innovation’ to be disseminated. During the process the RP creates a ‘better understanding of methodologies on decoupling and sustainable resource management in the life cycle’.

The Steering Committee interacts with the Resource Panel during joined meetings and advises on the annual work programme and budget. The UNEP/DTIE Secretariat coordinates the activities.

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Although the Resource Panel has been instructed not to enter the policy domain, all interviewees and respondents agree that the outputs should be policy relevant so that the findings can be turned into policy for the benefit of ‘governments’. One of the interviewees expressed it as follows: “*The important is the outputs of the Resource Panel do have ‘an acceptance by’ and relevance for stakeholders (academics, policy makers, business and NGO’s).*” However there is clearly a difference in view if and how the RP should go beyond this line. In other words the answer to the question ‘*How far can the RP go in the direction of policy ... ?*’ is not univocal.

The outputs (read: the three scientific assessments) of the Panel are regarded to be ‘*outstanding*’, to be produced ‘*in an independent way*’ and to meet the criterion of ‘*policy relevant*’, but interviewees and respondents are asking themselves ‘*What is next?*’ One of the interviewees is illustrating it by saying “*Nowadays glossy brochures tends to be the end of the process.*”

Knowing that ‘*discussing the link with policy is sensitive*’ and ‘*the line between research and policy-making is blurry*’, interviewees and respondents have been trying to answer this question. Two different opinions have been formulated: ‘*Regarding the translation into policy-making, it is dangerous to task the scientists with it.*’ versus ‘*The Resource Panel should go for a translation towards policy recommendations (without being prescribing, some are saying)*’.

The first opinion is illustrated by referring to the IPCC that ‘*is giving too much policy advice*’, therefore the Resource Panel should ‘*try to avoid the same pitfalls*’; one respondent added to it “*The Resource Panel should primarily give a scientific background for governments’ policy making and be the base for global resource governance.*”, whilst another added to it that a future threat could be “*too strong policy implications of the outcomes of the Panel*”.

The second opinion was underlined by a reference to a statement once made in the discussions: “*If you are going to a doctor, he is making an analysis and then ... what are you saying? Now, doctor, just give me the results of the blood analysis, but don’t say what I should do to improve my condition ...*”.

It is clear that the discussion aims “*To connect the Panel better into other international environmental policy processes.*” Some of the interviewees and the respondents are of the opinion that the Steering Committee and UNEP need to reflect on how to move forward into policy/action/implementation. Different options have been formulated:

- the Steering Committee playing a bigger role;

- tasking a Working Group of the Resource Panel/Steering Committee to translate the findings into policy;
- UNEP (and EC) designing a process to translate the Panel's findings into policy-making.

Even if this exercise (read: translation into policy-making) should be outside the Resource Panel *sensu stricto*, all related answers are however pleading for an interaction, not in sequence, with the Panel. One of the respondents pleaded to “*Set up procedures to ask for views of policy-makers in research topics selection and outcomes of the Panel.*”

Within this context, note that the UNEP/DTIE interviewees indicated the following: “*Formally the reports are channeled to the ‘Marrakech process’ and to the ‘Green economy Advisory Group’ so that it is relevant for the national level. Setting up training, creating understanding, etc. is the ultimate goal.*” And in addition “*The Panel is seen as the scientific based knowledge for SCP, because the Marrakech Process is a policy process.*” It has been highlighted as well that in the UNEP revised Medium-term Strategy 2012-2013, Subprogramme ‘Resource Efficiency’ there will be a clear difference between the frame dealing with ‘assessment’ and the one with ‘policy’.

Related to these remarks, it is important to take note of the following remarks of interviewees and respondents:

- “*governments are interested in a tailored report*” and this can be done “*through an advisory service*”
- “*There has to be enhancement of interaction to compile and facilitate the needs of countries/government and find ways to address them. This will impact the policy making of the governments, so that they will be science-based.*”

\* \* \* \* \*

Therefore, taking fully into account the ROTI-methodology, it seems to the evaluator, if the decision-makers responsible for the Project do want the Resource Panel to produce *in an independent way* ‘policy relevant’ ‘scientific assessments’ without entering the policy domain, in order to achieve its outcomes and progress towards ‘impacts’, the scope of the Project/Initiative should be broader than managing the International Panel for Sustainable Resource Management *sensu stricto*. Figure 1 (and the related paragraphs) has highlighted the relevant ‘impact drivers’ and ‘intermediate states’.

## Outcomes

Based on the LF's (see Annex IV), two ‘outcomes’, i.e. behavioral or systemic effects, are anticipated from this Project. Although interviewees and respondents repeatedly stated that it is far too early to evaluate the ‘outcomes’, given that the first assessment report was launched three months before the end of the period under evaluation<sup>9</sup>, the following can be observed:

- **Increased knowledge on material and resources flows and related impacts:**
  - as indicated in Chapter II, the formulated ‘objectively verifiable indicators of achievement’ at the level of ‘overall objectives’ and ‘specific objectives’ have not been monitored;
  - therefore it is not possible to come forward with clear evidence for this ‘outcome’, being one of the ‘Specific objectives’;

<sup>9</sup> Since the end of 2009, the Resource Panel has launched two further assessment reports: see Chapter I

- if abstraction is made of the ‘artifact’ that the same ‘sources and means of verification’ are intended to be used at different levels of monitoring<sup>10</sup>, with all caution, one could take some of the indicators for ‘activities’ as a proxy to this ‘outcome’: see Annex IV and V;
- from this, one could assume that the ‘activities’ by their nature, reported objectively and verifiable in the yearly Final Reports to the European Commission, increased the knowledge on material and resource flows and related impacts, at least amongst the members of the Resource Panel and the Steering Committee;
- **Materials, produced by the Project, used by decision-makers:**
  - the same observation as for the previous ‘outcome’ can be made, but the question if the ‘outputs’ have been used by decision-makers can be answered by using the responses from the interviewees and the respondents;
  - it has been indicated that the report on biofuels (2009), published during the period under evaluation (2006-2009), is used – inter alia - by UNEP, EU, Norway, Finland, The Netherlands, South-Africa, Botswana, Kenya and IUCN.
  - in addition some interlocutors have made references to the work of the Resource Panel in documents of UN-CSD, OECD and G8.

Some of the interviewees asked themselves how far the activities of the Resource Panel resulted in ‘behavioral or systematic effects’ (read: ‘outcomes’) beyond the members of the Steering Committee and – if positive – beyond the public authority in charge of ‘environment’.

Note that the question can be raised ‘Who are the decision-makers targeted by the Project?’ This is very much related to the primary ‘users’ of the ‘outputs’ a majority of interviewees and respondents point at ‘governments’.<sup>11</sup>

The evaluator could not specify whether the Project is likely to have any lasting differential impacts in relation to gender

\* \* \* \*

Collectively the ability to achieve these outcomes is ranked at ‘C’, i.e. the Project’s outcomes were delivered, but were not designed to feed into a continuing process after Project funding (see Table 3).

### **Intermediate states**

Two ‘intermediate states’, i.e. transitional conditions, are regarded as crucial for this Project, the rationale for it being described in Box 1:

- **Translating ‘scientific assessments into policy-making’**
  - some of the interviewees and respondents have acknowledged the efforts to produce, inter alia, the brochures for policy-makers, including

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<sup>10</sup> According to the LFA methodology (EC, 2004), “indicators should be independent of each other, each one relating to only one objective in the intervention logic, i.e. to either the overall objective, the Project purpose or to one result.” The approach taken in this Project does not (fully) respect this guideline..

<sup>11</sup> Note that the EC Grant Agreements are describing ‘target groups’ as ‘Governments, International organizations, Industry associations, Research and Scientific associations’, but that at other places in these EC documents and in documents of the IRP-initiative different stakeholders are listed.

- the chapter on '*Science-based policies – Strategies and measures*' etc. (in the case of 'biofuels' through the services of GRID-Arendal);
  - however in terms of process additional efforts are needed to outreach to the decision-makers and to close the gap with 'environmental governance';
  - different 'impact drivers' (and 'assumptions') are related to this 'intermediate state';
- **Advisory service to countries**
    - some of the interviewees and respondents, in particular persons working in or with developing countries, highlighted the importance of addressing the needs of countries and their governments;
    - learning from other initiatives (inside and outside UNEP), it seems that an advisory service to countries on 'sustainable resource management' could help to reach the 'overall objective' (i.e. the 'impact') the Project is aiming at;
    - different 'impact drivers' (and 'assumptions') are related to this 'intermediate state'.

Note that the formulated 'intermediate states' are part of the objectives formulated in the EC Communication of 21 December 2005 on the Thematic Strategy on the Sustainable Use of Natural Resources (COM (2005)670) (see Chapter I).

The ability to achieve these 'intermediate states' is ranked at 'C', i.e. some measures have in theory, or recently in practice, been designed to move towards intermediate states, but have not produced results yet (see Table 3).

In summary, the planned Project's outputs were delivered, but were not sufficiently designed to feed into a continuing process after Project funding. The Project has taken some measures to move towards intermediate states, but no results are yet visible. Thus the effectiveness of the Project has been given a ROTI-rating of CC (moderately unlikely to achieve impact): see Table 4. However, keeping these findings in mind and considering the fact that the project is a long process and reaching the possible impacts will take years, the project effectiveness is given a 'Moderately satisfactory' rating.

Figure 1 – Schematic of the ‘Impact Pathway’ of the International Resource Panel-initiative, incl. the Project CP/4020-06-06 (3985)

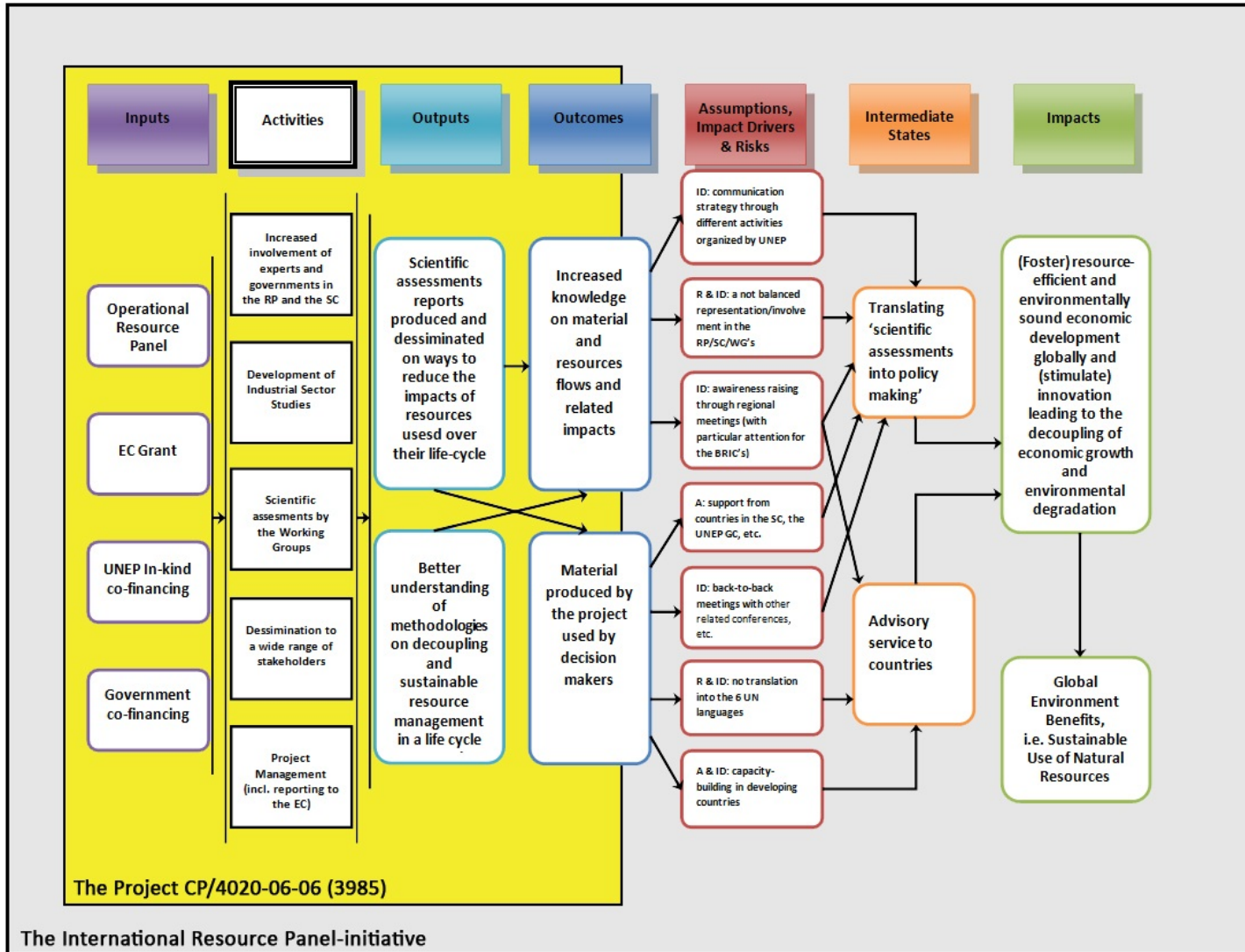


Table 3 – Rating scale for outcomes and progress towards ‘intermediate states’

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

Table 4 - Results rating the 'International Panel for Sustainable Resource Management'-initiative, incl. the Project (CP/4020-06-06 (3985))

Outputs	Outcomes	Rating (D – A) <sup>12</sup>	Intermediary states	Rating (D – A) <sup>5</sup>	Impacts (incl. GEB)	Rating (+)	Overall
Scientific assessments produced and disseminated on ways to reduce the impacts of resources uses over their life-cycle through innovation	Increased knowledge on material and resources flows and related impacts	C	Translating 'scientific assessments into policy-making'	C	(Foster) resource-efficient and environmentally sound economic development globally and (stimulate) innovation leading to the decoupling of economic growth and environmental degradation		CC <sup>13</sup>
Better understanding of methodologies on decoupling and sustainable resource management in a life cycle	Material produced by the Project used by decision makers		Advisory service to countries		Global Environment Benefits, i.e. Sustainable Use of Natural Resources		
<b>Rating justifications:</b>	It is at an early stage of the Project to evaluate the final outcomes. For one intended 'outcome' ('increased knowledge') it can be assumed that it was delivered, for the other one there is evidence that the material produced is used to some extent. However they are not designed to feed into a continuing process after Project funding.		Some measures have in theory (cf. link with the Marrakech Process or the Green Economy Initiative) or – recently – in practice (cf. the LF 2010) be designed to move towards intermediate states, but have not produced results yet.		There is no evidence of impacts accruing within the life time of this Project.		

<sup>12</sup> See Table 3 for rating scale.

<sup>13</sup> The rating for effectiveness is MS



## Relevance

This part of the evaluation examines whether the Project's outcomes were consistent with the wider UNEP program objectives. These are listed below, with a brief evaluation commentary. The period under evaluation (2006-2009) should be the basis to look at the **UNEP Programme of Work 2006-2007** (cf. UNEP/GC.23/8) and 2008-2009 (cf. UNEP/GC/24/9).

The first relevant UNEP Programme of Work (2006-2007) refers in general terms to 'efficient use of natural resources' making UNEP Division of Technology, Industry and Economics responsible *"To raise the awareness and strengthen the capacity of decision makers to develop and implement policies, strategies and practices that ... make efficient use of natural resources ..."*. There is no reference to the Resource Panel.<sup>14</sup> In the subsequent UNEP Programme of Work (2008-2009) there is a more elaborated Subprogramme 3 on 'Policy implementation' with an overall objective *"To enhance, at all levels, the implementation of environmental policies and management practices for the sustainable management of natural resources and for the mitigation of environmental degradation, particularly at the national level"*, tasking the UNEP Division of Environmental Policy Implementation responsible for the implementation with the responsibility of implementation. In addition, reaching the overall objective of Subprogramme 4 on 'Technologies, Industry and Economics (without specific focus on 'natural resources') should be based on a strategy with a focus, inter alia, *"To advance informed decision-making and leadership that promote sustainable and integrated management of natural resources, materials and chemicals and contribute to making economic, trade and environmental policies mutually supportive"*. In both subprogrammes there are, among others, references to the Resource Panel as being instrumental to reach the respective objectives.

Note that the UNEP Programme of Work 2010-2011 (cf. UNEP/GC.25/12) contains a 'Subprogramme 6 - Resource efficiency and sustainable consumption and production' with the overall objective *"To ensure natural resources are produced, processed and consumed in a more environmentally sustainable way"*. UNEP/DTIE has the responsibility for the implementation of the subprogramme and *"given the interdisciplinary nature of the subprogramme, the Division will play a coordinating role, ensuring that the work programme is executed in close collaboration with other UNEP divisions."* Furthermore, it is stressed *"Scientific institutions such as ... will provide scientific expertise to the identification of key resource efficiency challenges and appropriate interventions in specific sectors. Further partnerships will be developed with the scientific community through the International Panel on Sustainable Resource Management, to guide analysis and decision-making on resource efficiency."*

The Project 'outcomes' can contribute mainly towards the Goal 7 (Environmental Sustainability) of the **Millennium Development Goals**. If the Project would be designed in order to achieve its 'outcomes' and progress towards 'impacts', it would contribute in the first place to 'Target 1 - Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources'. Depending on the focus of the future outputs (e.g. the intended report on 'water') the Project can contribute to the other targets of MDG 7 as well.

In summary, CP/4020-06-06 (3985) outcomes (has the intention to) remain consistent with objectives of the UNEP and UN programmes and initiatives. As such, it has been rated as '**satisfactory**' in terms of its continuing relevance.

## Efficiency

The efficiency of the Project was hard to evaluate, in the first place because no detailed information has been provided to the evaluator. The preparatory ('the establishment of the Resource Panel') and

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<sup>14</sup> Note that the 2006-2007 Programme of Work was determined in 2005, before the Resource Panel Project commenced.

the implementation ('the activities of the Resource Panel') phases have been characterized as 'slow' and 'a bit delayed' by interviewees and respondents. The first phase because a careful approach was needed in seeking a balanced composition of the Panel and the second phase mainly because setting-up and applying a peer review process takes time, so has been explained by different interlocutors. However, the interviewees of the European Commission (and others) did indicate that this has not been a major problem in terms of cost-effectiveness. Though the transparency in budgeting financial and in-kind contributions could have been better.

The EC has contributed for 3/5 and the ten participating governments 2/5 of the financial resources during the period under consideration,. In addition, one of the governments and another government contributed in-kind financing. It can be observed that the pledge of the voluntary contributions of governments remain approximately constant during the implementation phase (2008 and 2009). UNEP has further supported the Project from the start with an in-kind contribution.

Because of its nature, the Resource Panel makes effective use of available scientific and/or technical information. When it comes to setting-up procedures etc., the UNEP/DTIE Secretariat and the Steering Committee are drawing from similar 'projects' (e.g. IPCC), which often have multiples of the project's budget.<sup>15</sup> Note that interviewees and respondents do see an added value in a more developed exchange with similar projects/initiatives. Different suggestions have been made, one being the organization of the RP and SC meetings back-to-back with other conferences or meetings (see as well under B. Sustainability – Financial resources for another argument in favor of this point).

Therefore this Project has been rated as '**satisfactory**' in terms of its overall efficiency.

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In summary, the 'immediate objectives' and 'outcomes' were delivered in a cost-efficient manner, but were not sufficiently designed to feed into a continuing process. The Project outcomes remain consistent with objectives of the UNEP programmes and initiatives and are thus seen as relevant. Based on the findings of the evaluation the Project is given an overall rating of '**moderately satisfactory**' for attainment of outcomes and objectives (Effectiveness - moderately satisfactory; Relevance – satisfactory; Efficiency - satisfactory)

## B. SUSTAINABILITY OF PROJECT OUTCOMES

Sustainability is understood as the probability of continued long-term Project-derived outcomes and impacts (see Table 4 and Figure 1) in the broader sense of the International Resource Panel-initiative after the Project funding ends/would end. As already indicated, in reality this is not only a terminal evaluation of the EC supported Project, but also a first evaluation of the initiative. Therefore, it is recommended, when reading the evaluation of the different sustainability dimensions to keep in mind mid-term versus long-term sustainability. In the ROTI methodology all the risk dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability cannot be higher than the rating of the dimension with the lowest ratings. Because there are moderate risks that affect the overall sustainability (financial resources, socio-political considerations, institutional framework and governance), this Project is rated as '**moderately likely**' when it comes to the probability of continued long-term outcomes and impacts.

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<sup>15</sup> One of the members of the Resource Panel drafted recently (2010) a paper on 'Resource Panel and main environmental assessments'. The UNEP/DTIE Secretariat prepared a note on 'Ensuring the Resource Panel's credibility – Lessons from IPCC'.

### **Financial resources**

Financial risks that may jeopardize sustenance of Project outcomes and onward progress towards impact can be identified at two levels.

**At the level of the 'means' (input-activities-outputs)**, which relate more to the EC Grant Agreements, it became clear during this evaluation that the Resource Panel is still operational in 2010. Besides it is the intention of UNEP/DTIE to continue the Project at least the next couple of years. All interviewees and respondents are supportive to this idea. The responsible staff members from UNEP/DTIE stated explicitly that if the EC would cut down its financial support (cf. the EC Grant Agreement), the Project would be difficult to continue, because at this stage it would be impossible to cover the expenditure. The EC interviewees indicated that it is the intention to introduce a prolonged financial support for the next couple of years in their upcoming budget cycle discussion. However, interviewees from EC and UNEP/DTIE indicated that the Project should not only rely on EC funding but it would be important to receive financial support from other sources, in particular from governments. (Note: there are 10 governments pledging their support and there seems to be an ongoing discussion in the Secretariat and the Steering Committee if private sector funding can be accepted). The main argument to receive financial support from other sources (i.e. governments), as expressed by the interviewees and the respondents from the Steering Committee, is related to the fact that it gives a strong signal of support and of credibility.

In terms of financial resources, different additional points have been raised by the interlocutors:

- the remuneration of the members of the Resource Panel, in particular the Working Group leaders and its contributing members, is not transparent. In principle the members of the Resource Panel are contributing for free, but in some cases the preparation of the assessment reports is financially supported to assist in editing, travel and drafting costs.
- the meetings of the Resource Panel and – more important in terms of financial resources – the Steering Committee could be organized back-to-back with other related international conferences as to be more cost-effective when it comes to travel and DSA expenditures (see as well under A. Attainment of Project objectives and results – Efficiency for another argument in favor of this point).
- the stakeholders representatives (WBCSD, IUCN) need to pay the expenses (including the time-investment) related to their representation and the feed-back to their members themselves. Any financial support could facilitate their involvement.

A majority is pleading for an increase in budget because '*some additional resources could be assigned to outreach strategy and communication*', which is related to the next level.

**At the level of the outcomes-intermediate states-impacts** there seems to be already now – before the Project might come to an end - a problem of coherent and continued support to sustain Project outcomes and onward progress towards impact. For the period 2006-2009 the first steps have been taken to disseminate the outputs of the Project, but there is no developed strategy to guarantee the Project's outcomes. (Note: it has been communicated by the Project Manager that this has not been a priority compared to guaranteeing an operational Resource Panel *sensu stricto*, but that this point would be scheduled at the next meeting). Interviewees of UNEP/DTIE indicated that this is related to limited resources. For the time being, the financial support from EC and other sources, particularly governments is more or less balanced. Thus, for the implementation phase (2008 and 2009) financial sustainability is rated as 'satisfactory'. At the level of the 'ends' the Project can be rated in terms of its ability to achieve overall financial sustainability as 'unsatisfactory'. Overall, because a

rationalization might be an option when it comes to the organization of meetings and as a carry-over of financial means could be realized from the period under evaluation (2006-2009) to this year, the Project is rated '**moderately likely**'<sup>16</sup> in terms of financial sustainability.

### **Socio-political**

The potential for Project outcomes to progress to intermediate states and further to long-term impact can be influenced by internal and external factors, including social and political risks. A majority of interviewees and respondents are indicating that governments are the most important stakeholders, followed by IGO's, private sector, academia and NGO's. One person also mentioned 'consumer organizations'. Therefore there is a need to consider whether the level of stakeholder ownership is sufficient to allow for Project outcomes to be sustained. A difference needs to be made between the direct involvement in the Resource Panel and its Steering Committee and the 'catalytic role and replication' (see under C.).

**Governments:** a balanced representation in the Steering Committee has been mentioned in the interviews and in the answers to the survey as of utmost importance to create ownership, not only in the respective countries, but as well in their region. The under-representation of developing countries is an important point of attention. In addition, some interviewees considered it crucial to have the BRIC countries on board and others noted the absence of some major exporters of 'natural resources' (e.g. Australia). On the other hand, some respondents expressed the opinion that the Steering Committee should be limited to 8 to 10 members, representing the different regions. In addition, the language barrier has been flagged as an obstacle.

**IGO's:** except for the OECD, there are no other IGO's on the Steering Committee, though from the start this is considered as being important. It would offer the possibility of more intensive exchange and provide value to the work of the 'Resource Panel'. It could also stimulate the integration of 'sustainable resource management' into the policy-making of these bodies.

**Private sector:** the private sector is represented through the representation of the WBCSD in the Steering Committee and of sector federations (c.q. business) in the Working Groups. The interaction at the level of the working groups overall is evaluated as acceptable though a more systematic involvement of the private sector might be envisaged. The interaction with (the members of) the WBCSD suffered from a change in the representation on the Steering Committee as well as from the fact that the 'Resource Panel' is today considered as 'a good initiative, but it is not a priority' (sic).

**Academia:** the first role of academia is the participation in the Resource Panel and its working groups. Different challenges have been mentioned by the interviewees and the respondents. It was pointed out that, as for the government representation in the Steering Committee, a more balanced involvement of experts from developing countries is important. In addition, it was mentioned that there is a need to bring more diverse expertise into the Resource Panel, such as economist, geologist, social scientists etc.

**NGO's:** for the moment only IUCN is represented in the Steering Committee (and some of the experts on the Resource Panel have an IUCN relationship). Although there is an openness to interact with the NGO-community, some interviewees ask themselves which NGO is representative for the world's community and what they could bring to the table. It was noted that the IUCN considers itself only as a representative of the NGO's dealing with the 'green agenda'; they state that there is no representation of NGO's working on the 'brown agenda' (such as 'climate change').

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<sup>16</sup> It may be noted that in 2010, financial support to the Resource Panel has grown in both the number of countries contributing and the volume of funding received. Therefore there are signs that – if allocated as well to sustain Project outcomes and onward progress towards impact - UNEP is in a position to improve on this criteria.

In terms of **gender**, it can be observed that almost 1/3 of the members of the Resource Panel are women. Because it is governments who recommend their representatives sitting in the Steering Committee, gender balance cannot be sought in there. With regard to the RP, one interviewee observed *“The gender representation is not 50/50, but vis-à-vis the scientific world it is in proportion.”*

There have been attempts from the side of the UNEP/DTIE Secretariat to involve more governments and experts from developing countries, but additional efforts are needed. Through the development of a strategy, more clarity could be brought to the process of the involvement of stakeholders in the future. Therefore, the social and political risks that may jeopardize sustenance of Project outcomes and onward progress towards impacts are rated as **‘moderately likely’**.

### **Institutional framework and governance**

A favorable institutional framework and governance climate is particularly important to the sustainability of the Project outcomes. The following considerations have been brought forward by interviewees and respondents:

- compared to other Panels (IPCC, IPBES ...) one can observe that the Resource Panel has no multilateral environmental agreement behind it;
- although UNEP is regarded by most of the interviewees and respondents as the best place to host the Secretariat, some have been questioning if the internal institutional location (UNEP/DTIE – SCP Branch) is the most appropriate place; different options have been suggested:
  - under the Resource Efficiency coordinator benefitting from his horizontal mandate;
  - under the UNEP/DTIE director, co-chair of the Steering Committee, with the advantage of a direct hierarchal relation;
  - under the (Deputy) Executive Director, testifying the importance of the priority area the Resource Panel is dealing with;
- the representative of the WBCSD questioned the status of the ‘outputs’ (read: the scientific assessments): ‘UNEP releases the report, but the question is who stands behind the report?’ This comment could be related to other comments, formulated by different interviewees and respondents, indicating that there is no automatic information flow between the Resource Panel and the UNEP Governing Council. In Figure 1 this is flagged as part of an intermediate state, a transitional condition between the Project’s outcomes and impacts that must be achieved in order to deliver the intended impacts.

In addition, it could be observed that this Project is a frontrunner when reading the UNEP Programmes of Work (2006-2007, 2008-2009, and 2010-2011) (see under ‘Relevance’). In other words it seems that the activities of the Resource Panel *sensu stricto* are incorporated in the Programmes of Work time after time two years later. Even though references have been made to its work, one cannot say that the International Resource Panel-initiative (or the Project?) is acknowledged by UNEP as the reference for sustainable resource management. On the other hand, the UNEP Programme of Work 2010-2011, Subprogramme 6 - Resource efficiency and sustainable consumption and production’, has clearly defined ‘outcome’ indicators (incl. baseline and targets). When reading the underlying texts one could get the impression that there is a disconnect with the Project and – for example - its logframes.

There is a lack of systematic and coherent approach with reciprocal references between the work programmes of the Resource Panel and the UNEP Programmes of Work. It has been underlined by the Project Management that the 2010-2011 Programme of Work shows the role of the Resource

Panel within the subprogramme on RE/SCP and therefore would strengthen its institutional framework within UNEP. During the 2006-2009 period, the framework was looser, but appropriate to the early stage of the panel, so it has been explained. On the other hand, the Resource Panel is increasingly becoming a reference in institutions outside UNEP. The Co-Chairs and Lead Authors are frequently engaged in advisory work in other areas (on SCP to UNDESA for CSD18; on Green Economy to the GMEF; on panels at the GEF Assembly in Uruguay; ...).

In general, because remediating is in the hands of UNEP (incl. DTIE), CP/4020-06-06 (3985) has been rated as '**moderately likely**' for this dimension of sustainability.

### **Environmental**

It is obvious that this Project intends to contribute directly to the 'Global Environment Benefits'. Therefore it is not relevant to rate activities in the Project area as environmental risks. Note that as for any Project within the UN system, CP/4020-06-06 (3985) should be targeted by the Sustainable UN policy.

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In summary, the Project under evaluation is given an overall rating of '**moderately likely**' for sustainability (Financial sustainability – moderately likely; Socio-political sustainability –moderately likely; Sustainability of Institutional frameworks and governance –moderately likely).

## **C. CATALYTIC ROLE AND REPLICATION**

Although the Terms of Reference (see Annex I) describe which content should be highlighted under 'catalytic role' and 'replication', there are two reasons why in this evaluation a different/partial approach is needed: 1) the methodology is targeting 'typical' GEF projects and 2) this is a first evaluation of the Project.

### **Catalytic role**

The main element to evaluate the catalytic role of the Project relates to 'foundational and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity'. Questions to be considered are related to 'incentives', 'institutional change', 'policy change', 'catalytic financing' and 'Project champions'.

Because the Project is only now (2010) at cruising speed, it is too early to evaluate all of these points, but based on the answers of interviewees and respondents the following points can be made:

- **Incentives:** if the governments are disregarded here (but see under 'policy change'), it is hard to demonstrate that the Project activities provided incentives (socio-economic/market based) to contribute to catalyzing changes in stakeholder behavior. This can be argued as follows:
  - business: the 'Resource Panel' is not a priority for WBCSD and the feedback to their members is limited. There is a participation of sector federations in the Working Groups, although many feedbacks from their members have been received after three assessment reports were published. However, it remains unclear in how far this engagement catalyzes changes in business behavior note that WBCSD (e.g. Vision 2050) and sector federations (e.g. the Aluminium sector) themselves are working and publishing on similar items.
  - NGO's: IUCN is very supportive of the Resource Panel and its establishment and operation. Its president is serving as co-chair and former chief scientist as a member of the Panel. IUCN takes into account the relevant pieces of work of the

Resource Panel in their activities, but has stated that they are focusing on the 'green agenda' and not on the 'brown agenda';

- Institutional change: no institutional changes have yet been noted, but one observation can be made. The Project started in 2006 without internal UNEP framework. Today, the 2010-2013 Medium Term Strategy defines 'Resource Efficiency' as one of the six priority areas focusing on the environmental challenges of the 21st century. The Resource Panel is mentioned explicitly in the Programme of Work for 2010-2011 "to guide analysis and decision-making on resource efficiency".
  - Policy change: the question to what extent the Project activities have contributed to policy changes (and implementation of policy) can be illustrated by the answers given by the interviewees and respondents (see under A. Attainment of Project objectives and results – Effectiveness - Outcomes). Therefore it can be concluded that policy has been influenced modestly, in particular in the countries participating in the Steering Committee.
  - Catalytic financing: interviewees and respondents argued that catalytic financing from governments (and other donors) will follow if (credibility) today different members of the Steering Committee are considering a financial support.
  - Project champions: interviewees and respondents indicated in their overall appreciation that the changes listed above have been catalyzed by the following individuals or institutions:
    - the chairmanship of the Resource Panel, in particular co-chair Prof. Ernst von Weizsaecker who has been in charge since the start, and the leaders of the Working Groups;
    - the excellent experts involved in the Resource Panel and the Working Groups;
    - the engagement of the UNEP/DTIE staff members of the Secretariat;
    - the high-level representatives of governments in the Steering Committee like Tanzania.

### **Replication**

According to the Terms of Reference (see Annex I) 'replication' can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Within the context of this evaluation it needs to be stressed once again that the Project is not a typical GEF-Project and that it covers 'the planet' as geographic area. Within this context the 'replication proper' is related to question whether the 'outcomes' of the Project (see Figure 1) are taken up in the different regions of the world. It is clear that the countries represented in the Steering Committee can play a catalytic role ... or not. The following 'impact drivers' are of particular importance<sup>17</sup>:

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<sup>17</sup> It can be noted that at the end of the period under evaluation (2006-2009) work relevant for these parameters has been planned for to be implemented in 2010.

- a balanced representation/involvement in the Resource Panel (incl. its Working Groups) and the Steering Committee;
- a translation of 'outputs' into the 6 UN languages;
- awareness raising through regional meetings.

These significant factors are of course expected as well to contribute to the scaling up. Capacity-building efforts can be taken up by UNEP ('impact driver'), but as well by other implementing agencies or bilateral donors ('assumptions'). Both aspects have much to do with 'country ownership'.

Based on the evidence presented, the Project (CP/4020-06-06 (3985)) has been rated as '**moderately satisfactory**' in terms of its catalytic role and replication.

## D. STAKEHOLDER PARTICIPATION / PUBLIC AWARENESS

Apart from the Steering Committee, there are no formal mechanisms put in place by the Project for identification and engagement of stakeholders<sup>18</sup> but the EC Grant Agreements have identified the Target Audiences.<sup>19</sup> However, interviewees and respondents communicated that 'more needs to be done' in terms of stakeholder engagement, but from the different answers (see as well the socio-political sustainability under B.) it is unclear how the format should look like. The Project (2006-2009) has been going through a learning curve with a growing degree and an increased effectiveness of collaboration between the members of the Resource Panel, representing an institution. Additionally, the interactions between the Resource Panel and the Steering Committee, materialized through joint meetings, have been evaluated as extremely useful even though the preparation of these meetings could be improved and the duration of each meeting might be extended. During the period under evaluation (2006-2009), different public awareness activities were undertaken. The results were monitored using the indicators from the logical frameworks (see Annex IV) and described in a narrative way in the Final Reports.

In general, therefore, CP/4020-06-06 (3985) has been rated as '**moderately satisfactory**' in terms of stakeholder participation and public awareness.

## E. COUNTRY OWNERSHIP / DRIVEN-NESS

Due to the global nature of the Project, country ownership is not applicable as such, but can be assessed to some extent by the level of interest and willingness in different countries to adopt the Panel's findings. The country ownership/driven-ness has been explicitly asked for during the interviews and in the survey. Within the context of this evaluation it turns out that this category of the evaluation is very much related to 'policy change' (see under C. Catalytic Role and Replication). However some additional considerations can be formulated:

- it was observed by interviewees and respondents that there is much more country ownership and driven-ness if a country is actively represented on the Steering Committee and if, relatively spoken, it contributes financially more. Different mechanisms have been explained by members of the Steering Committee.
- it is unclear to what extent the departments besides the one hosting the representative are involved.
- except for the ad-hoc references (see under A. Attainment of Project objectives and results – Effectiveness – Outcomes) of countries that are not represented, there is no indication that e.g. the other countries on the UNEP Governing Council are taking ownership.

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<sup>18</sup> Note that 'stakeholder analysis' is an explicit part of constructing a logical framework (EC, 2004).

<sup>19</sup> See footnote 9.



Furthermore, it can be observed from the answers of the interlocutors that the representatives in the Steering Committee, having other responsibilities at the international level on behalf of their country, are carrying the Project forward to the international level (e.g. at UN-CSD, OECD, G8 ...). As mentioned earlier, this parameter is clearly related to 'Replication approach' (see under C.) and to the question on how the country-ownership and – commitment can be scaled up. Different 'impact drivers' (and 'assumptions') are linked to it, see Figure 1.

In general, based on the findings above, the Project has been rated as '**moderately satisfactory**' in terms of country ownership / driven-ness.

## F. ACHIEVEMENT OF OUTPUTS AND ACTIVITIES

The results and activities of the Project as defined in the EC Grant Agreements are listed in Chapter I. These 'headings' are detailed in the respective logical frameworks (see Annex IV) and the yearly Final Report (see Annex V). These subsequent reports highlight the achievements in a narrative way, pointing at the difficulties encountered and the measures taken to overcome problems. The results for the 'objectively verifiable indicators of achievements' (note: at the level of 'activities') are listed, with the exception of some indicators, mainly monitoring 'input' and 'processes'. When constructing the 'impact pathway' (see Figure 1), used in this evaluation, the following two outputs have been defined on the basis of the 'specific objectives' of the Project:

- 'Scientific assessments (incl. industrial sector studies) produced and disseminated on ways to reduce the impacts of resources used over their life-cycle through innovation';
- 'Better understanding of methodologies on decoupling and sustainable resource managements in a life cycle'.

The 'scientific assessments (including industrial sector studies) are listed as well in Chapter I. The following evaluation can be made:

- the scientific assessments are regarded as useful but were produced with a slight delay (see below). The finalization of the 'industrial sector studies' have been delayed due to the need for an extra interaction between UNEP and EC and the authors regarding the comments provided;
- the scientific assessments (biofuels, metals and impacts) have been going through a sound and effective, but sometimes slow, peer review process as described in the Panel's guidelines. Therefore the reports are regarded as coming from a scientific authority with a high credibility, as stated in unison by the interviewees and respondents.

As described, inter alia, in Box 1, the scientific assessments (read: one of the 'outputs') do have the characteristic to influence policy and decision-makers, particularly at the national level, if the scope of the Project is enlarged in order to guarantee the progress towards 'intermediate states' and from there to 'impacts'. Regarding the 'better understanding of methodologies', as indicated in Chapter II, the formulated 'objectively verifiable indicators of achievement' at the level of 'overall objectives' and 'specific objectives' have not been monitored. Therefore it is not possible to come forward with clear evidence for this 'output', being one of the 'specific objectives'. If abstraction is made of the 'artifact' that the same 'sources and means of verification' are intended to be used at different levels of monitoring (see above) – with all caution - one could take some of the indicators for 'activities' as a proxy to this 'output': see Annex IV.<sup>20</sup> From this, one could assume that the 'activities' by their nature (development of 'scientific assessments'), reported objectively and verifiable in the yearly Final Reports to the European Commission, increased the better understanding of methodologies, at least amongst the members of the Resource Panel.

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<sup>20</sup> See footnote 8.

In general, the intended outputs and activities were achieved so the Project has been rated as **'satisfactory'**.

## G. PREPARATION AND READINESS

As highlighted in Chapter I and II, the Project's objectives fluctuated in the course of the Project: see Annex IV. The preparatory phase (2006-2007) had an overall objective of *'establishment of the Resource Panel'*. The overall objective of 2008 (the first year of the implementation phase) was more ambitious than the one of 2009 (and 2010). The specific objectives followed a similar pattern. In that sense it is difficult to say that the objectives and its components were/are clear and practicable. The *'expected results'* and related *'activities'*, i.e. *'inputs'* and *'processes'*, on the contrary were clear, practical and feasible within its timeframe. It can be said that the capacities of UNEP/DTIE as the executing institution were properly considered when the Project was designed.

As there are no other relevant (in terms of content) or similar (in terms of scale) projects it could not have been expected to incorporate any lessons into the Project design. Though it can be observed that during the Project implementation, as was mentioned earlier, procedures and processes have been inspired by other initiatives (e.g. IPCC).

Next to the application of the UNEP/DTIE procedures, specific partnership arrangements for the Resource Panel (peer review guidelines, publishing procedures, terms of reference, etc.) were developed step-by-step during the period under evaluation. It has been a *'learning by doing'* process which is still ongoing. Therefore it cannot be stated that the specific arrangements were properly identified or that the roles and responsibilities were negotiated prior to Project implementation. However interviewees and respondents often referred to the process of establishing IPCC or IPBES which has/is taken several years before delivering. It has deliberately been a choice of the EC and UNEP/DTIE to go for a prompt start and follow a learning curve, with the understanding that no outputs would be delivered which were/are not scientific sound and therefore credible. As can be expected of an EC Grant Agreement, one can observe that the counterpart resources (funding, staff, and facilities), enabling legislation, and adequate Project management arrangements were in place.

Despite the weaknesses in the logical frameworks, this Project has been ranked as **'moderately satisfactory'** in terms of preparedness and readiness. Even – deliberately - without a *'classic'* preparation of the Project, sound and credible outputs have been delivered.

## H. IMPLEMENTATION APPROACH AND ADAPTIVE MANAGEMENT

Three different levels of the implementation approach and the adaptive management need to be considered:

- the chairmanship of the Resource Panel;
- the chairmanship of the Steering Committee;
- and the UNEP/DTIE Project Management serving as a Secretariat to the Project.

The chairmanship of the Resource Panel is assured by two co-chairs. Co-chair Ernst von Weizsaecker has been one of the two founding co-chairs and is still taking responsibility. In 2009, the other founding Co-Chair Ismail Serageldin resigned due to competing priorities in his workload. His departure and the time-lag before appointing a new co-chair have been seen as a handicap. In order to maintain the high level, and to respect the balance of developed and developing country representation between the Co-Chairs the Steering Committee recommended Ashok Khosla to be selected. The Steering Committee is co-chaired by Timo Makela (EC) and Sylvie Lemmet (UNEP/DTIE).

Actually Sylvie Lemmet, director of UNEP/DTIE has two responsibilities: co-chair of the SC and – indirectly (see below) - hierarchical superior of the UNEP/DTIE Project Management. No problems have been signaled in terms of this co-chairmanship.

The day-to-day Project management is the responsibility of the Secretariat hosted at the UNEP/DTIE – SCP Branch. In theory it is formed by a Head of Unit, two Project Implementation Officers and supported by a Project Assistance. A couple of observations can be made on the basis of the information provided in written (see Annex VI) and through the interviews and the survey:

- there has been quite some turn-over at the level of Project Implementation Officer; the Head of Unit left UNEP in October 2009;
- interviewees and respondents have the impression that the Secretariat is constantly understaffed, partially because the staff members of the Secretariat are tasked with other duties;<sup>21</sup>
- within the same context, it has been mentioned that the lack of a budget assistant and a communication officer burdens a smooth operation of the Project;
- the overall management goes through the UNEP/DTIE hierarchy, which means (at least) three levels of decision-making; no delegation is given to the Head of Unit to work directly with/under the chairmanship of the Resource Panel, c.q. Steering Committee;
- interviewees and respondents have the impression that this particular Project's management framework often slows down the decision-making;
- however, it is recognized that the engagement of the Secretariat has been adaptive to above described changing conditions<sup>22</sup>.

Note that these observations are linked with the location of the Project in UNEP/DTIE (see under B. Sustainability – Institutional framework and governance) and with the deliberately chosen 'learning by doing process' (see Chapter II – The Project logical frameworks). In addition the hierarchical system of UNEP/DTIE served as well as supervision and backstopping (see remark under K. UNEP Supervision and backstopping).

In general, the implementation approach and the adaptive management of the Project are ranked as '**moderately satisfactory**'

## I. MONITORING AND EVALUATION

The Terms of Reference of this evaluation request to assess whether the Project met the minimum requirements for 'Project design of M&E' and 'the application of the Project M&E plan'. Furthermore it is expected that the Project should "*budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan.*" M&E has been explicitly discussed with the UNEP/DTIE Project Management team. The evaluation is based on the documents and the information provided for by the Secretariat and the specific questions formulated for the interviews and the survey. In terms of 'monitoring and evaluation', it should be repeated that the Project focused in the first place on the 'means' part of the Project results chain, which relates more closely to the components funded through the EC Grant Agreements, rather than on the 'ends' part (read: the 'ROtI' part), that relates more to what can be expected from UNEP(DTIE) when placing the

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<sup>21</sup> Note that there is an ongoing discussion within UNEP/DTIE, the Resource Panel and the Steering Committee whether part of the staff members of the Secretariat should be able to give scientific support to the Working Groups.

<sup>22</sup> E.g. when the Head of Unit left UNEP/DTIE the Chief of Branch 1) devoted more of his own time to the Project Management and 2) appointed temporarily a Programme Officer for the daily management of the Project.

Project in the context of its Medium Term Strategies and related Programmes of Work. It was only the first part which could be documented to some extent by the Project Management.

### **The Project Design of M&E**

As indicated earlier in this evaluation, with regard to the EC Grant Agreements the Project is using subsequently yearly logical frameworks (incl. Objectively Verifiable Indicators of achievement, the so-called OVI's) to monitor results and track progress towards achieving Project expected results of activities. The design of these logframes is not following a particular manual, but is based on a frame provided for by the European Commission. The subsequent logframes (see Annex IV) are the result of a consultation to reach an agreement with the EC Focal Point. It can be observed that the logical frameworks (incl. the OVI's) are fluctuating from year to year, because the Project in the period under evaluation (2006-2009) "*used a learning by doing approach*". A baseline as such has not been developed, but the Project Management explained that the OVI's of the previous years – where applicable – act as a baseline.

Furthermore, it is common practice to use methodological sheets when developing a set of (key) indicators (read: within this context OVI's) in a SMART way. The Project Management stated that "*where possible, the OVI's have been developed reflecting 'SMARTness', but this is not a methodological requirement for the EC Grant Agreements.*" As no methodological sheets were developed, reflecting the SMART'ness, it has not been possible to evaluate these characteristics of the OVI's. In addition, according to the LFA methodology (EC, 2004), "indicators should be independent of each other, each one relating to only one objective in the intervention logic, i.e. to either the overall objective, the Project purpose or to one result." The approach taken here is contradictory to this guideline because for different OVI's the same 'Sources and means of verification' are intended to be used at different levels of monitoring. In conclusion, although it could have been expected that UNEP/DTIE internally paid more attention to the systematic and coherent development of the logical framework(s) following an appropriate manual because "*it provides a core set of tools with which to undertake assessments of Project quality.*" (EC, 2004), the Project design of M&E followed the agreement between the Contracting Authority ('European Commission') and the Organization ('UNEP')

Within this context, it has been underlined before that there is no M&E Design (including indicators) for the 'ends' part targeting the outcomes and the progress towards impacts. In addition, no one of the members of neither the Resource Panel nor the Steering Committee, when asked for in the survey, was aware of an M&E system used for in the Project.

### **The application of the M&E plan**

The comments made in the previous section are relevant here as well. As explained before, the focus lays on the application of the M&E plan for the 'means' part of the Project result chain. Through the use of yearly adapted logical frameworks an M&E system was in place and facilitated the tracking of results and progress of activities after one year. This was reported to the EC through Annual Final Reports (for 2006-2007, not dated, 6 pp.; for 2008, in May 2009, 13 pp.; for 2009, in June 2010, 10 pp.). These reports are rather brief, reflecting accurately the results of the monitoring of the OVI's in the logframes. A chapter on difficulties encountered and measures taken to overcome the problems has been added in the two last reports (2008 and 2009). As these reports were produced rather late in the year, formally the findings could not influence the next EC Grant Agreement. The Project Management explained that this was part of the interactive drafting of the agreements, in which 'lessons learned' were considered which look at how the Project should improve. Recommendations from the RP and the SC are taken into account.

Progress Implementation Review (PIR) reports are not available. It was stated by the Project Management that these reports are a standard reporting format for GEF funded work and therefore

not applicable to this Project. From the EC side it has been explained that in the Final Report for the activities of 2009, for the first time, an effort has been made to deal in an appropriate way with the 'objectively verifiable indicators of achievements'.

### **Project Budgeting and Funding for M&E Activities**

It has been communicated that there is no specific budget allocated for M&E activities, because in the period under evaluation it was part of the work of the Project Implementation team and therefore, costs are covered under human resources. The EC Grant Agreement 2010 included a budget for (this) evaluation.

Based on these findings, the budgeting and funding for M&E has been rated as 'moderately satisfactory'.

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In summary, the M&E plan (read: logical frameworks) was not developed in a systematic and coherent way, lacking key elements for the development of SMART-indicators and risk assessment, but forced into the context of the EC Grant Agreements. Although this was said to be a conscious decision following the 'learning by doing-approach' it can be questioned whether this approach was sufficient and practical. Following the design, it can be stated that the Project M&E was satisfactory at the 'means' part of the Project result chain, whilst there was a lack of M&E design (and subsequently implementation) at the 'ends' part. However, the Project followed the M&E plan as agreed and applied adaptive management to incorporate lessons learned into the project design throughout the implementation period. Based on these findings, the M&E system for this project is rated as 'moderately satisfactory'.

## **J. FINANCIAL PLANNING AND CONTROL**

This evaluation has not been able to make a detailed assessment of the quality and effectiveness of financial planning and control over the Project's lifetime. This is due to the lack of available records: the (yearly) final reports to the European Commission, as requested in the EC Grant Agreements do not contain financial information (except for the total Project eligible cost and the EC financial contribution) and the financial reports are incomplete. At UNEP/DTIE the person in charge as Fund Manager Officer (FMO) today has taken up his responsibilities in the beginning of this year. His predecessor stayed only for a half a year, after the initial FMO left her post. There was no budgetary assistant in support of the Secretariat.

The meeting with the current FMO revealed that there are huge difficulties in accessing the central system, hosted by UNEP in Nairobi, to do a follow-up with a timely financial control. Due to these physical limitations it is not possible to draw information from the 'crystal reports'. Despite these obstacles which are out of the Project's control, the efforts of the Secretariat are appreciated by the FMO in keeping track of the co-financing and leveraged resources and the actual Project expenditure by means of MS Office. Thus, it has not been easy to reconstruct Annex VI as requested by the Terms of Reference due to a different interpretation/accuracy of figures in different documents. Nevertheless it seems the Project could close the period under evaluation with a benefit of more than 1 million US\$

In general, therefore, CP/4020-06-06 (3985) has been rated as 'moderately unsatisfactory'<sup>23</sup> in terms of its financial planning.

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<sup>23</sup> Evaluation office would rate this as 'Moderately satisfactory' since financial control was hindered particularly by the complexity of internal UNEP system and was thus, out of the control of the project.

## K. UNEP SUPERVISION AND BACKSTOPPING<sup>24</sup>

UNEP/DTIE host the Secretariat of the Project with its hierarchal superiors and staff members serving to the Project (see H. Implementation Approach and Adaptive Management). In this regard it is difficult to “*assess the effectiveness of supervision and administrative and financial support by UNEP/DTIE*” as described in the Terms of Reference for this evaluation.

Consequently the UNEP Supervision and Backstopping must be situated at the level of the (Deputy) Executive Director, which is not in the scope of this evaluation.

## L. COMPLEMENTARITY WITH UNEP MEDIUM TERM STRATEGY AND PROGRAMME OF WORK

Preliminary it should be stressed that the period under evaluation covers 2006-2009. The South-South cooperation and the Bali Strategic Plan date from before, UNEP’s Expected Accomplishments related to ‘resources’ have been formulated for the first time in UNEP Medium Term Strategy 2010-2013 and subsequently detailed in the Programme of Work 2010-2011, i.e. post-factum.

### **Linkage to UNEP’s Expected Accomplishments**

One of the six cross-cutting thematic priorities of UNEP Medium Term Strategy 2010-2013 is ‘Resource efficiency – sustainable consumption and production’. *“The objective is that natural resources are produced, processed and consumed in a more environmentally sustainable way. UNEP intends to promote the decoupling of growth in production and consumption of goods and services from resource depletion and environmental degradation, and will strengthen the scientific base for doing so. The application of environmentally sound technologies and integrated waste management will lead to the more efficient use of resources. Reforms in government policies, changes in private sector management practices and decisions, and increased consumer awareness are needed to achieve this decoupling. A mix of these approaches will be integrated to address inefficient and polluting production and consumption patterns, including through the 10-year framework of programmes on sustainable consumption and production under the Marrakech process. Public-private partnerships that promote more sustainable product life-cycles and supply chains will be a major focus of the work of UNEP.”*

The overall suggested ‘impact’ indicator reads as follows “number of Governments introducing policy reforms; number of private sector initiatives leading to more efficient and less polluting use of natural resources”.

The Programme of Work 2010-2011 (UNEP Governing Council Decision 25/13) detailed further the Expected Accomplishments, including the formulation of indicators, related to this thematic priority:

- Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains

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<sup>24</sup>Evaluation Office perceives that UNEP Division of Technology, Industry and Economics (DTIE) successfully established and hosted the Panel Secretariat and was thus responsible of the Panel’s day to day management. Although supervisory role might not have been relevant in terms of this Project, UNEP can be seen to have provided good backstopping. *Rating: ‘Satisfactory’.*

- Investment in efficient, clean and safe industrial production methods is increased through public policies and private sector action
- Consumer choice favors more resource-efficient and environmentally friendly products

Furthermore it sets (intermediary) targets up to 2013. The baseline is based on data available in 2009.

It can be observed that the first Expected Accomplishment can be linked directly to the Project. The indicator of 'achievement' is formulated in the document as follows: *"The number of Governments and businesses adopting policies, economic instruments and actions for resource-efficient and sustainable products is increased."* Note that 1) there is a shift in terminology and 2) potentially a difference in methodological approach. The term 'impact' (in relation to indicators) is not used anymore in the Programme of Work 2010-2011 and a new term is introduced 'indicator of achievement'. In relation to the methodological approach it is not clear if there is a difference with the ROtI methodology. The indicator of achievement is formulated as a 'behavioral change', which is an 'outcome' indicator. The question arises if this is intentionally done so. Furthermore, in the Programme of Work 2010-2011 'outputs' such as 'scientific assessments on resource use over product life cycles' (with the explicit addition 'three assessments'). Although there is a slight difference in the formulation one could expect that the Resource Panel is responsible for these deliverables. However from the document it remains unclear, the more because there are references to other institutions in the text and the table with 'outputs' refers to topics (e.g. 'fishery resources') which are not in the scope of the activities of the Resource Panel.<sup>25</sup> Another observation to make, the Project does not relate its 'logical framework' (of 2009 and of 2010) to the UNEP Programme of Work 2010-2011 (when it comes to 'Objectively verifiable indicators of achievements'). This does not come as a surprise if one reads Chapter II.

In conclusion for this issue, it can be stated that there is lack of systematic and coherent reciprocal references.

### **Project contributions and coherence to the Bali Strategic Plan**

Not all objectives of the Bali Strategic Plan are of equally importance to the Resource Panel because of its nature as an independent scientific panel. The most relevant objective is the first one *"To strengthen the capacity of Governments of developing countries as well as of countries with economies in transition, at all levels..."*, which can be read in conjunction with one of the thematic areas the BSP that should address *"Transboundary conservation and sustainable management of natural resources when agreed by the countries concerned"*. *"Freshwater resources"* are explicitly mentioned as well. Note that this objective – in a different phrasing - is mentioned as well in the EC Communication of 21 December 2005 on the Thematic Strategy on the Sustainable Use of Natural Resources (COM(2005) 670): *"advise developing countries on how to develop their capacity to assess the environmental impacts of their natural resource use and resource management policies (which could then be implemented as part of co-operation programmes with third countries"*.

Although the Project did not realize a direct contribution to the BSP during the period (2006-2009) under evaluation, it can be observed that some dissemination activities have been undertaken and that 'capacity-building' is part of the activities for 2010.

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<sup>25</sup> Note that there is an ongoing discussion amongst the members of the Resource Panel and the Steering Committee which 'topics' should be selected. Some are pleading not to deal with thematic issues other international organizations are taking up, others are arguing that the Resource Panel is looking at trade-offs within a 'life-cycle' perspective and has an integrated focus.

### **South-South Cooperation**

There is no evidence that the Project did contribute to South-South cooperation “through the exchange of expertise, experiences, information and documentation between the institutions of the South in order to develop human resources and strengthen the institutions of the South, and places emphasis on the important role for economic and social development played by scientific knowledge and technology, which have a major influence on the way in which the earth’s resources are used and shared among its inhabitants.” (cf. Bali Strategic Plan). The question arises if this is an objective of the Resource Panel *sensu stricto* because of its nature. This issue is rather subject to the realization of the ‘impact drivers’ and ‘intermediate states’ (see Figure 1) within the broader context of the Project.

## **V. CONCLUSIONS AND RATINGS**

This evaluation covers preparation (‘establishment of the Resource Panel’) and the implementation of the CP/4020-06-06 (3985) Project in the period 2006-2009 within the broader context of the International Resource Panel initiative. It takes place while the Project is still ongoing (2010) and intends to continue the next couple of years. In that sense this exercise can be regarded as a first (rather than as a terminal) evaluation. It has an advantage in that it can be regarded as an input to the next period of implementation.

Conclusions for the eleven main evaluation categories are provided in table 5 below:

As described earlier two parts can be distinguished in a Project results chain: the ‘means’ (‘inputs’ and ‘activities’ resulting in ‘outputs’) and the ‘ends’ (‘outputs’ at the basis of ‘outcomes’ and progress towards ‘intermediate states’ and –ultimately – ‘impacts’). The parameters linked to the ‘means’ part, more closely related to the components funded through the EC Grant Agreements, are rated ‘(moderately) satisfactory’: A. Attainment of Project objectives and results and F. Achievement of outputs and activities. The parameters evaluating the ‘outcomes’ (and ‘impacts’) have a rating ‘moderately satisfactory’. There are moderate risks that the Project will not have continued long-term Project-derived outcomes and impacts. In other words, when turning to the ‘Key Evaluation principles’ highlighted in the Terms of Reference (see Annex I), in a business as usual scenario, the Project could be in a situation within a couple of years, that ‘sustainable use of natural resources’ happened anyway ... or not, regardless the ‘highly valuable’ (cf. the opinions expressed by interviewees and respondents) ‘outputs’ of the Resource Panel.

Based on the findings presented, the Project CP/4020-06-06 (395) is awarded an overall rating of ‘moderately satisfactory’.



Table 5 – Overall Evaluator Ratings Table

Criterion	Sub-criteria	Evaluator's Summary Comments	Rating	
<b>A. Attainment of project objectives and results (via ROTI)</b>	A.1. Effectiveness - overall likelihood of impact achievement	Because the 'outcomes' and 'intermediate states' have not been articulated (nor incorporated) it is moderately unlikely the Project will achieve impact.	MS	<b>MS</b>
	A.2. Relevance	The Project can be seen as a frontrunner for the UNEP Programmes of Work, though it remains to see how it can contribute to the MDG's.	S	
	A.3. Efficiency	There is good value for money in terms of activities.	S	
<b>B. Sustainability of project outcomes</b>	B.1. Financial	Whilst (re-)allocation of funds should be considered, with a business-as-usual scenario in the mid-term financial requirements are considered minor.	ML	<b>ML</b>
	B.2. Socio-political	The Project could not yet find a right balance in the composition of RP and S. The involvement of stakeholders has not matured yet.	ML	
	B.3. Institutional framework & governance	The Project lacks a full backing of an institutional framework and governance, not at least because of its place within UNEP.	ML	
	B.4. Environmental	By its nature, the Project intends to contribute directly to the GEBs.	N/A	
<b>C. Catalytic Role</b>	C.1. Catalytic Role	The Project has a high potential to play, but foundational and enabling activities have not been articulated (and incorporated) well enough.	MS	<b>MS</b>
	C.2. Replication	There is a lack of mechanisms to replicate (read: in different regions and with a view of multiplication) the outcomes.	MS	
<b>D. Stakeholders involvement</b>		Although there are no mechanisms in place for the identification and engagement of stakeholders, some efforts (e.g. outreach activities) have been made.		<b>MS</b>
<b>E. Country ownership / driven-ness</b>		Countries directly involved are showing (some) ownership, but what about all countries represented in UNEP GC?		<b>MS</b>
<b>F. Achievement of outputs and activities</b>		The activities and the direct outputs have been achieved, but the more intangible defined outputs could not be monitored.		<b>S</b>
<b>G. Preparation and readiness</b>		Despite the weaknesses of the logical frameworks and the non-classical preparation of the Project, sound and credible outputs could be delivered.		<b>MS</b>
<b>H. Implementation approach</b>		The Secretariat at UNEP/DTIE, responsible for the management, cannot be labeled as stable throughout the period under evaluation (2006-2009). Furthermore, the internal hierarchical system slows down the dynamics of the Project, though it served as supervision and backstopping (see under K.).		<b>MS</b>

Criterion	Sub-criteria	Evaluator's Summary Comments	Rating	
<b>I. Monitoring &amp; Evaluation</b>	E.1. M&E Design	When planning the Project a kind of partial logical framework has been developed. The main objective was the establishment of the Resource Panel unfortunately without highlighting the next possible steps.	MS	<b>MS</b>
	E.2. M&E Plan implementation (use for adaptive management)	During the implementation of the Project consecutive LF's have been prepared with fluctuating objectives. The monitoring and reporting on 'processes' and some 'outputs' has been appropriate to a certain extent.	MS	
	E.3. Budgeting & funding for M&E activities	Neither budget nor funding needed to be identified. It seems to be a limited task of the Project Implementation Officer.	MS	
<b>J. Financial planning</b>		One cannot speak at all of a planning and control for using the available financial resources, partially due to the internal system to UNEP/DTIE.	<b>MU<sup>26</sup></b>	
<b>K. UNEP Supervision and backstopping<sup>27</sup></b>		Because the responsibilities for management of the Project were/are laying with UNEP/DTIE, the next level to evaluate this parameter would be the (Deputy) Executive Director ...	<b>'not relevant'</b>	

Rating Keys:

Rating	Project objectives and results (A)	Project M&E (J)
<b>Highly Satisfactory (HS)</b>	<i>No shortcomings</i> in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.	No shortcomings in the Project M&E system.
<b>Satisfactory (S)</b>	<i>Minor shortcomings</i> in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.	Minor shortcomings in the Project M&E system.
<b>Moderately Satisfactory (MS)</b>	<i>Moderate shortcomings</i> in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.	Moderate shortcomings in the Project M&E system.
<b>Moderately Unsatisfactory (MU)</b>	<i>Significant shortcomings</i> in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.	Significant shortcomings in the Project M&E system.
<b>Unsatisfactory (U)</b>	<i>Major shortcomings</i> in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.	Major shortcomings in the Project M&E system.
<b>Highly Unsatisfactory (HU)</b>	<i>Severe shortcomings</i> in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.	The Project had no M&E system.

Rating	Sustainability (B)
<b>Likely (L)</b>	No risks affecting this dimension of sustainability.
<b>Moderately Likely (ML)</b>	Moderate risks that affect this dimension of sustainability.
<b>Moderately Unlikely (MU)</b>	Significant risks that affect this dimension of sustainability
<b>Unlikely (U)</b>	Severe risks that affect this dimension of sustainability.

<sup>26</sup> Evaluation office would rate this as 'Moderately satisfactory' since financial control was affected particularly by the complexity of internal UNEP system and was thus, out of the control of the project.

<sup>27</sup> Please see Evaluation Office comments under chapter IV

## VI. LESSONS (TO BE) LEARNED

This was an innovative Project: it established an International Panel for Sustainable Resource Management that is focusing on 1) the production and dissemination of scientific assessments on ways to reduce the impacts of resources used over their life cycle and 2) a better understanding of methodologies on decoupling and sustainable resource management in a life cycle. It became clear from the interviews and the survey that no similar projects have been set-up and, most probably, no new comparable projects will emerge in the near future. Therefore, it might be useful for this evaluation to mirror the lessons learned to the recommendations formulated in the Evaluation report of UNEP/DTIE (Norgbey S. and Spilsbury M., 2009) to find out if similar observations were made.

**LESSON 1.** In this Project no appropriate M&E system encompassing the requirements in the EC Grant Agreements has been designed or implemented. Finding 10 of the above mentioned UNEP/DTIE Evaluation report describes precisely the overall context applicable to this Project. *“To increase the attention paid to effective monitoring and supervision, the Division Director should ensure that; Project documents have costed M&E plans, and staff workplans and PAS assessments include performance criteria for Project supervision.”* was stated by Recommendation 10 in the above mentioned UNEP/DTIE Evaluation report.

Within the context of this Project it would/will allow the design and implementation of an appropriate M&E system. Within this context there are two points of attention: 1) applying more systematically and coherent the LFA guidelines and 2) framing the Project in the broader context of the International Resource Panel-initiative.

**LESSON 2:** The UNEP/DTIE Project Management and Financial Management had clearly difficulties in providing accurate data used for financial planning and control. E.g. six different versions of the co-financing and expenditure sheet have been send to the evaluator (see Annex VI). Finding 22 of the UNEP/DTIE Evaluation report mentioned above describes precisely the overall context applicable to this Project as well. There is an *“urgent need for a Project database system that provides a link to the associated financial, budget and expenditure information not just in DTIE but for UNEP as a whole”*. *Indeed such a system would seem to be a pre-requisite for effective results-based management and should be developed by QAS and CSS as a matter of high priority.”* was highlighted by Recommendation 10 in the above mentioned UNEP/DTIE Evaluation report.

**LESSON 3:** This Project could be seen as isolated within the UNEP(DTIE) structure. It has difficulties in channelling its outputs into a process of policy-making. The UNEP/DTIE Project Management is referring to other projects, units, branches and division that could help ... in theory. The UNEP/DTIE Evaluation report is referring to a similar evaluation of 2000 in which it was stated: *“The linkages [with]in DTIE [and at the inter-division level] can benefit from being better defined and operated. It is therefore recommended that DTIE formalize a process of joint planning which should go beyond just a mere exchange of planning notes, the method currently used by one unit to inform the others about its plans. The joint planning exercise should ideally take the form of a two or three-day planning workshop, in which [agreement is sought] on priorities and, most important, who should do what.*

**LESSON 4:** As highlighted in this evaluation interviewees and respondents acknowledge the outstanding outputs of this Project, but are asking themselves ‘What is the next step?’. Translation into policy-making, at a generic level, is a suggested ‘intermediate state’ (see previous lesson

learned), though a contextualized advice to countries requesting for it could be another next step. For this to occur, a consistent strategy is needed “... *that is impact-focused, delivers and values excellence and takes due account of the specific situation of host countries.*” is stated in the above mentioned UNEP/DTIE Evaluation report. The should be undertaken prior to the preparation of a new multi-year EC Grant Agreement.

**LESSON 5:** The project was developed with its overall objectives as a “moving target”. This clearly shows that the theory of change was not carefully thought through and the causal linkages to the ultimate outcomes not clearly established. Future projects and/or future revisions to the project should ensure that the overall objectives are not set to an overly high level where the causal linkages to the activities and results cannot be established. A causal pathway analysis should be undertaken before the development of the Logical framework

## VI. RECOMMENDATIONS

The lessons learned formulated in the previous chapter have the potential for wider application and use, but as well for this Project as it is still ongoing and intends to continue at least for another three years (2011-2013) if a (new) multi-year EC Grant Agreement can be concluded. **In that sense the lessons learned need to be considered as 5 important recommendations.** In addition, the following 4 particular recommendations can be made:

**RECOMMENDATION 1:** Assure a continued attention to and improvement of a geographically balanced composition of the Resource Panel and the Steering Committee to avoid the significant risk that this would affect the sustainability of the Project. Indeed, it is to be expected that the opposite (read: a geographical *un*balanced composition) would influence in a negative way the ‘acceptance by’ and the ‘relevance for’ governments and their region.

The UNEP/DTIE Secretariat and the Steering Committee should monitor the progress made. This can be done on the basis of requirements used in other UN-related expert groups (e.g. the UNFCCC EGTT). However it is expected by interviewees and respondents that outstanding expertise to become a member of the Resource Panel and commitment to serve on the Steering Committee should prevail above quantity.

**RECOMMENDATION 2:** Develop an outreach strategy (including communication, awareness raising, etc.) and foster capacity-building, in the 6 UN languages, using the ‘outputs’ of the Project. By doing so, the ‘behavioural or systemic effects, i.e. the ‘outcomes’, will be strengthened and they would enable a progress towards ‘translating the scientific assessments into policy-making’ and ‘offering an advisory service to countries’, i.e. the ‘intermediate states’.

Based on the positive perception (expressed by interviewees) about collaboration with UNEP GRID-Arendal in the case of the report on ‘biofuels’, it might be recommended to commence a more systematic and continued partnership. In the preparation of this partnership, it can be discussed with UNEP GRID-Arendal, if the related indicators developed for the logical framework, are useful to track progress in the future.

**RECOMMENDATION 3:** Based on an in-depth stakeholder analysis, expand a format for an increased stakeholder participation in a continued and systematic way. This will allow the Project to interact

with other decision-makers than the representatives from governments and, by doing so, create ownership amongst the major groups. This set-up can have different forms, but is mainly about creating an interface between the Project and the society, represented by its major groups. A proactive attitude from the Project could be expected (note: there is a relation with the development of an outreach strategy). It is clear, from the answers of interviewees and respondents, that the current involvement of the private sector experts in the Working Groups should be maintained and maybe enhanced.

**RECOMMENDATION 4:** Within the broader context of the International Resource Panel initiative, pay attention to the catalytic role and, in particular, to the replication of the outcomes of the Project. The implementation of the other recommendations will be supportive to it, but after all it is about 'horizontal and vertical' as well as 'internal and external' 'integration' for example through:

**4. a)** integration within the UN-system ('internal'):

'vertical': make sure there are direct and continued information flows between the Project within UNEP/DTIE and UNEP GC; as the International Resource Panel initiative is part of the Resource Efficiency Subprogramme it can be assumed that other relevant divisions, branches and units are systematically and actively involved;

'horizontal': at the start of the Project the importance of involving other UN-bodies (e.g. UNIDO) has been stressed; after identification of the relevant UN-organizations, agencies, etc., it is strongly advised to set up a pro-active interaction at the highest possible level (note: there are contacts at the level of the Working Groups);

**4. b)** integration outside the UN-system ('external'): this is about governments and major groups, in all regions of the world, showing behavioral and systemic changes in terms of 'sustainable resource management', inter alia based on the results of the Project; the 'internal' integration, mentioned before, will for sure contribute to it because these stakeholders could potentially be confronted with the same communication; in addition, the Project could benefit from strengthening the outreach through the regional UN-commissions, involving governments, and/or relevant sector federations and other stakeholders.

By articulating and incorporating these (examples of) foundational and enabling activities based on a well thought through strategy, this Project has a high potential to play an important role.

**RECOMMENDATION 5:** In this Project no appropriate M&E system encompassing the requirements in the EC Grant Agreements has been designed or implemented. More attention should be paid to effective monitoring and supervision, Project documents should have costed M&E plans, and staff workplans and PAS assessments should include performance criteria for Project supervision." Within the context of this Project this would allow the design and implementation of an appropriate M&E system. Within this context there are two points of attention: 1) applying more systematically and coherently the LFA guidelines and 2) framing the Project in the broader context of the International Resource Panel-initiative.

**RECOMMENDATION 6:** The UNEP/DTIE Project Management and Financial Management had difficulties in providing accurate data used for financial planning and control. E.g. six different versions of the co-financing and expenditure sheet have been sent to the evaluator (see Annex VI). A Project database system should be developed that would provide a link to the associated financial, budget and expenditure information.



## ANNEX I - THE EVALUATION TERMS OF REFERENCE

*Please note that the annexes to the terms of References, including instructions (format, checklists ...) to guide the evaluation, are not attached here. These annexes can be asked for at UNEP Evaluation Office.*

### 1. PROJECT BACKGROUND AND OVERVIEW

#### **Project rationale**

In the past 60 years alone, the global economy has quintupled and simultaneously consumed more natural resources than in all previous human history. While much of this is attributed to twentieth century development in western economies, vulnerability of the global economy to this trend of increasing resource use is becoming more and more apparent. This has resulted, among others, in environmental degradation and pressure on the carrying capacity of the earth. More and more interconnected environmental and economic problems have become apparent as resources, products, wastes and environmental impacts move across borders in an increasingly globalised economy.

The twentieth century western economic development and resource consumption trends would shift to developing countries, where four billion people are currently not yet consuming enough resources to meet their basic needs. Such complex situation calls for reduction of overall resource requirements and environmental impacts to a level consistent with the natural capacity of ecosystems while, at the same time, increasing the economic welfare and well-being of society, a phenomenon called ‘decoupling’<sup>28</sup>. As a result of globalization, products, resources and wastes are increasingly traded across borders throughout their life cycles. Therefore, it is difficult for a country to know the global impact of its resource use and whether decoupling is occurring at the national level.

UNEP, the EU, the G8 and OECD, among others, have different initiatives that are aimed at scaling up engagement of developing countries to address resource efficiency or resource productivity. Countries with developing economies such as India and China, NGOs, the private sector as well as academia are also building up an impressive body of knowledge through life cycle databases and material accounting. The different initiatives require coordination and joint effort. There is also need for independent scientific assessment on environmental impacts due to the use of resources over the life cycle, and scientific advice on ways to reduce the impacts.

Using support approved under the EC Communication of 21 December 2005 on the Thematic Strategy on the Sustainable Use of Natural Resources (COM (2005)670), UNEP initiated a process towards decoupling of economic growth and environmental degradation for purposes of achieving lasting success in tackling resource, material and product efficiency in a life cycle perspective. This was to be achieved through a step-wise approach that would see the establishment of an International Panel for Sustainable Resource Management that would foster resource-efficient and environmentally sound economic development globally and stimulate sustainable innovations and give clear guidance at the highest level on what would be done to move towards integrated sustainable resource management solutions.

The objective of the Project was *to provide independent scientific assessment on environmental impacts due to the use of natural resources over the life cycle and scientific advice on the ways to reduce the impacts by sustainable innovations.*

#### **Relevance to UNEP Programmes**

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<sup>28</sup> The term ‘decoupling’ refers to breaking the link between economic growth and environmental degradation

This Project is in response to Priority 4 of the ECs Thematic Strategy for Environment and Sustainable Management of Natural Resources, including Energy ENRTP) Thematic Strategy 2007-2013. It also responds to the global dimension of UNEP by ensuring that priorities of developing countries, which carry significant environmental burdens from global trade flows, are accounted for and hence brought to the attention of decision makers. This is fostered by the fact that UNEP is the implementing agency of the Project.

The Resource Panel Project is a response to the 22<sup>nd</sup> Session of the Governing Council of UNEP (Feb. 2003) which recalled paragraph 14 of Johannesburg Plan of Implementation (JPOI) of the WSSD and is in conformity with the activities of UNEP since 1992 aimed at promoting cleaner production, pollution prevention and sustainable consumption. It further recognizes the results in the field of cleaner production, pollution prevention and eco-efficiency already achieved and documented during different fora, including UNEP Governing Council Meetings. The Project will also help UNEP to implement the decisions of its Governing Council/GMEF at its 25<sup>th</sup> session (UNEP/GC.25/17), including decisions to strengthen the scientific basis for policy making with involvement of key stakeholders, to strengthen capacity in scientific assessments and decision-making, and to encourage decision-makers to take scientific assessments into account.

Further, the Project is in line with UNEP Division of Technology, Industry and Economics (DTIE) and the branch of Sustainable Consumption and Production (SCP) that is developing and promoting a ten-year framework of initiatives on the Marrakech Process. DTIE has the mission to encourage decision-makers in government, local authorities and industry to develop and adopt policies, strategies and practices that are cleaner and safer, and make different uses of natural resources, ensure environmentally sound management of chemicals, reduce pollution and risks for human and the environment, among others.

Establishing and hosting the Secretariat of the Resource Panel can therefore be seen as a natural extension of UNEP/DTIE's current activities on a critical issue: the use of natural resources and its linkages with life cycle thinking and achievement of the goals of SCP patterns and the organization's overall activities on the linkages between environmental policies and eradicating poverty and, alleviating the Millennium Development Goals (among other Programmes through the Bali Plan of Action).

### **Executing Arrangements**

Overall coordination (administrative and operational) is under UNEP's Division of Technology, Industry and Economics (DTIE) that hosts the Secretariat of the International Resource Panel. The Secretariat, among other duties, will invite members of the global network of worldwide experts to join the Resource Panel, which is mandated with producing authoritative scientific assessments. The latter is done by Working Groups who are members of the Resource Panel. Both the Secretariat and Working Groups are advised by a Steering Committee.

The Resource Panel and Steering Committee provides for a solid consultative and collaborative structure whereby partners are fairly represented in the overall decision-making and scientific assessment activities.

### **Project Outcomes and Activities**

The Project comprises of the following activities implemented in step-wise basis over a three-year funding periods:

#### **1. Results and activities during the period 1<sup>st</sup> Sept. 2006 to 31<sup>st</sup> December 2007**

- Carry out the scientific consultation process through desk research and organisation of a scientific conference session to identify, among others, key areas of work, centres of excellence and potential candidates for the Resource Panel



- Development of procedural issues and outreach strategy by preparing relevant administrative and procedural documents and by organising a briefing and outreach session for interested partners and potential sponsors focusing on national governments and international organizations.
- Organize the First Meeting to the Inaugural Panel. Tasks of the Panel will provide independent scientific advice to the partners and contribute to strategies and approaches to reduce impacts of the use of natural resources from a life cycle perspective.
- Task dissemination – a number of documents for the Panel and potential partners and candidates will be produced. Under this Task an outline on dissemination strategy and procedures will be prepared and implemented.
- Task management and reporting – reporting and feedback from the COM (and if applicable to the Board) will be carried out through regular personal meetings and/or teleconferences.

## **2. Results and Activities during the period 1<sup>st</sup> January 2008 – 31 December 2008**

- Completion of formation of Panel and Steering committee, finalization and implementation of Panel procedures
- Development of industrial sector studies and set up of Strategic Innovative Groups
- Consultation of the Industrial Sector studies by Panel and Steering Committee
- Dissemination of Project activities and results through dissemination events, website and reports
- Carrying out Project management and reporting to the EC

## **3. Activities during the period 1<sup>st</sup> January 2009 – 31 December 2009**

A. Further operation and implementation of Resource Panel including the involvement of more experts and countries

- Organize and support meetings of Resource Panel, Steering Committee and Working Groups
- Secure additional partners
- Develop and oversee Panel procedures
- Develop and oversee work plan

B. First scientific assessment carried out by working groups

- Develop terms of reference
- Support WG leaders
- Publish studies

C. Information on the purpose and results of the Project disseminated to a wide range of stakeholders

- Disseminate Project activities and results through events, the website and reports
- Hold a side event at the World Resources Forum in Davos, Switzerland

D. Project properly managed and results timely reported to EC

- Carry out Project management activities and report to the EC

### **Budget**

The Project budget, on a yearly basis, is as summarized below

1<sup>st</sup> September – 31<sup>st</sup> December 2007 EUR 410,000

1<sup>st</sup> January 2008 – 31<sup>st</sup> December 2008 EUR 550,000

1<sup>st</sup> January 2009 -31<sup>st</sup> December 2009 EUR 730,000

## **2. TERMS OF REFERENCE FOR THE EVALUATION**

### **1. Objective and Scope of the Evaluation**

The objective of this evaluation is to examine the contribution of the Resource Panel towards the achievement of Expected Accomplishments and the extent, and magnitude of any impacts to date. The evaluation will also determine the likelihood of future impacts; assess Project performance and the implementation of planned Project activities / outputs against actual results. This evaluation only covers the activities under the EC Grant Agreement funding.

The evaluation will focus on the following main questions:

- To what extent did the Project succeed in establishing a functioning Resource Panel, including the involvement of experts and partner countries?
- Did the Resource Panel provide independent scientific assessments on ways to reduce environmental impacts due to the use of resources (renewable and non-renewable) over their life cycle?
- To what extent were the results of which were disseminated to a wide range of stakeholders authoritative and scientifically sound?
- Assess the extent to which the Project engaged different partners such as the Steering Committee, Resource Panel and Working Groups to ensure policy relevance of the assessments?
- Was the Project properly managed and were the results of different activities reported in a timely manner for increasing the global visibility and availability of sustainable resource management science?
- Was a functioning Secretariat established to management the Project?
- What were the results of the indicators assigned to the agreed outcomes/activities?

### **2. Methods**

This evaluation will be conducted as an in-depth evaluation using a participatory mixed-methods approach, during which the UNEP Programme/Project Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP Evaluation Office and the Project Secretariat on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be delivered to the Evaluation Office. The Chief of Evaluation will circulate the report to UNEP Programme/Project Manager, Project Secretariat and leaders of the Working Groups. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on multiple approaches:

8. A desk review of Project documents including, but not limited to:
  - (a) The Project documents, outputs, monitoring reports (such as progress and financial reports to EC) and relevant correspondence.
  - (b) Notes from the Project Steering Committee Meetings.
  - (c) Other Project-related material produced by the Project staff or partners.
  - (d) Relevant material published on the Project web-site.
9. Interviews with the Secretariat, Steering Committee and Workgroup Members.
10. Face-to-face and telephone interviews with intended users for the Project outputs and other stakeholders involved with this Project, including the participating countries and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organizations. As appropriate, these interviews could be combined with an e-mail questionnaire, online survey, or other electronic communication.
11. Interviews with the UNEP/DTIE Project / Programme Manager and Fund Management Officer, and other relevant staff in UNEP dealing with SCP, energy and

industry-related activities as necessary. The Consultant shall also gain broader perspectives from discussions with other relevant UNEP staff.

12. Field visits to meet target groups and final beneficiaries such as members of the Panel/Working Group, government Ministries, international organisation (OECD, IUCN) and UN agencies, Research and Scientific organizations (e.g. ISIE), and Industry associations (e.g. International Aluminium Institute). The evaluator will also visit the Project Secretariat in Paris.

### **Key Evaluation principles**

In attempting to evaluate any outcomes and impacts that the Project may have achieved, evaluators should remember that the Project's performance should be assessed by considering the difference between the answers to two simple questions "*what happened?*" and "*what would have happened anyway?*". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended Project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the Project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about Project performance.

### **3. Project Evaluation Parameters and Ratings**

The success of Project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the Project with respect to the **eleven categories (A-K)**<sup>29</sup> defined below.

It should be noted that many of the evaluation parameters are interrelated. For example, the 'achievement of objectives and planned results' is closely linked to the issue of 'sustainability'. Sustainability is understood as the probability of continued long-term Project-derived outcomes and impacts and is, in turn, linked to the issues of 'catalytic effects/ replication' and, often, 'country ownership' and 'stakeholder participation'.

The **ratings for the parameters A-K will be presented in the form of a table (see Annex 1)**. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the Project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

#### **A. Attainment of objectives and planned results**

The evaluation should assess the extent to which the Project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance. Any Project contributions to the achievement of UNEP Expected Accomplishments<sup>30</sup> should be clearly highlighted.

- **Effectiveness:** Evaluate the **overall likelihood of impact achievement**, taking into account the "achievement indicators", the achievement of outcomes and the progress made towards impacts. UNEP's Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROI)** method (described in Annex 6) to establish this rating. The analysis should specify whether the Project has plausible causal pathways that link Project activities to the

<sup>29</sup> However, the views and comments expressed by the evaluator need not be restricted to these items.

<sup>30</sup> UNEP Expected accomplishments are specified in the 2010- 2011 Programme of Work and the 2010-2013 Medium Term Strategy. <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

achievement of Expected Accomplishments. It should also specify whether the intervention is likely to have any lasting differential impacts in relation to gender.

- *Relevance*: In retrospect, were the Project's outcomes consistent with those of the programme frameworks and thematic sub-programmes? Ascertain the nature and significance of the contribution of the Project outcomes to the relevant UNEP conventions and UNEP thematic sub-programmes. To what extent does the Project intervention link to the achievement of the MDGs (in particular Goal 7)?
- *Efficiency*: Was the Project cost effective? Was the Project the least cost option? Was the Project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing, and any additional resources leveraged by the Project, to the Project's achievements. Did the Project build on earlier initiatives; did it make effective use of available scientific and / or technical information? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the Project with that of other similar projects.

## **B. Sustainability**

Sustainability is understood as the probability of continued long-term Project-derived outcomes and impacts after the Project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the Project ends. Some of these factors might be outcomes of the Project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the Project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how Project outcomes will be sustained and enhanced over time. Application of the ROTl method described in Annex 6 will also assist in the evaluation of sustainability.

Four aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that may jeopardize sustenance of Project outcomes and onward progress towards impact? What is the likelihood that financial and economic resources will not be available once the Project funding ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining Project's outcomes)? To what extent are the outcomes and eventual impact of the Project dependent on continued financial support?
- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of Project outcomes and onward progress towards impacts? What is the risk that the level of stakeholder ownership will be insufficient to allow for the Project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the Project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the Project?
- *Institutional framework and governance*. To what extent is the sustenance of the outcomes and onward progress towards impacts dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the Project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental*. Are there any environmental risks that can undermine the future flow of Project environmental benefits? The TE should assess whether certain activities in the Project area will pose a threat to the sustainability of the Project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the Project; or, a newly established pulp mill might

jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the Project may be replicated?

### C. Catalytic Role and Replication

The catalytic role of UNEP is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and show how new approaches and market changes can work, and supporting activities that can help upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of activities: (1) “**foundational**” and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities (rarely if ever undertaken exclusively by UNEP) with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up through investment or scaling up of financial means.

In this context the evaluation should assess the catalytic role played by this Project by consideration of the following questions:

- INCENTIVES: To what extent have the Project activities provided incentives (socio-economic / market based) to contribute to catalyzing changes in stakeholder behaviours?
  - INSTITUTIONAL CHANGE: To what extent have the Project activities contributed to changing institutional behaviors?
  - POLICY CHANGE: To what extent have Project activities contributed to policy changes (and implementation of policy)?
  - CATALYTIC FINANCING: To what extent did the Project contribute to sustained follow-on financing from Government and / or other donors? (this is different from co-financing)
  - PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the Project would not have achieved results)?
- (Note: the ROTI analysis should contribute useful information to address these questions)

Replication approach, in the context of UNEP projects, is defined as lessons and experiences coming out of the Project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the Project suitable for replication? If so, has the Project approach been replicated? If no effects are identified, the evaluation will describe the strategy/approach adopted by the Project to promote replication effects.

### D. Stakeholder participation / public awareness

This consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the UNEP Project. The term also applies to those potentially adversely affected by a Project. The evaluation will specifically:

- Assess the mechanisms put in place by the Project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interProjects between the various Project partners and institutions during the course of implementation of the Project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the Project.

#### **E. Country ownership / driven-ness**

This is the relevance of the Project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the Project was effective in providing and communicating information on sustainable use of resources that catalyzed Project in the participating country to improve decisions relating to resource efficiency.
- Assess the level of country commitment to the generation and use of research related to resource efficiency and sustainable use of natural resources during and after the Project, including in regional and international fora.

#### **F. Achievement of outputs and activities**

- Delivered outputs: Assessment of the Project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used
- Assess to what extent the Project outputs produced have the weight of scientific authority/credibility, necessary to influence policy and decision-makers, particularly at the national level.

#### **G. Preparation and Readiness**

Were the Project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the Project was designed? Were lessons from other relevant projects properly incorporated in the Project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to Project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate Project management arrangements in place?

#### **H. Implementation Approach and Adaptive Management**

This includes an analysis of the Project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in Project design, and overall Project management. The evaluation will:

- Ascertain to what extent the Project implementation mechanisms outlined in the Project document have been closely followed and whether the Project document was clear and realistic to enable effective and efficient implementation.
- Assess the role of the various committees established and the Project execution arrangements at all levels policy decisions: (1) Steering Group; (2) day to day Project management in each of the country Executing Agencies.
- Assess the extent to which the Project responded to the mid-term review/ evaluation (if any).
- Evaluate the effectiveness, efficiency and adaptability of Project management and how well the management was able to adapt to changes during the life of the Project.
- Identify administrative, operational and/ or technical problems and constraints that influenced the effective implementation of the Project.

#### **I. Monitoring and Evaluation**

The evaluation shall include an assessment of the quality, application and effectiveness of Project monitoring and evaluation plans and tools, including an assessment of risk management based

on the assumptions and risks identified in the Project document. The Terminal Evaluation will assess whether the Project met the minimum requirements for 'Project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in Annex 4). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during Project implementation to adapt and improve the Project.

#### **M&E during Project implementation**

**(1) M&E Design.** Projects should have sound M&E plans to monitor results and track progress towards achieving Project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

The evaluator should use the following questions to help assess the M&E design aspects:

##### SMART-ness of Indicators

- Are there specific indicators in the logical framework for each of the Project objectives and outcomes?
- Are the indicators relevant to the objectives and outcomes?
- Are the indicators for the objectives and outcomes sufficient?
- Are the indicators quantifiable?

##### Adequacy of Baseline Information

- Is there baseline information?
- Has the methodology for the baseline data collection been explained?
- Is desired level of achievement for indicators based on a reasoned estimate of baseline?

##### Arrangements for Monitoring of Implementation

- Has a budget been allocated for M&E activities?
- Have the responsibility centers for M&E activities been clearly defined?
- Has the time frame for M&E activities been specified?

##### Arrangements for Evaluation

- Have specific targets been specified for Project outputs?
- Has the desired level of achievement been specified for all Indicators of Objectives and Outcomes?

**(2) M&E Plan Implementation.** A Terminal Evaluation should verify that:

- An M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the Project implementation period (perhaps through use of a logical framework or similar);
- Annual Project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
- That the information provided by the M&E system was used during the Project to improve Project performance and to adapt to changing needs;
- And that Project had an M&E system in place with proper training for parties responsible for M&E activities.

**(3) Budgeting and Funding for M&E Activities.** The Terminal Evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

#### **J. Financial Planning and Control**

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the Project's lifetime. Evaluation includes actual Project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the Project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory Project deliverables.

- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co-financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the Project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the Project prepared in consultation with the relevant UNEP Fund Management Officer of the Project (table attached in Annex 2 “Co-financing and leveraged resources”).

#### **K. UNEP Supervision and Backstopping**

The purpose of supervision is to work with the executing agency in identifying and dealing with problems which arise during implementation of the Project itself. Such problems may be related to Project management but may also involve technical/substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP/DTIE including:

- (i) the adequacy of Project supervision plans, inputs and processes;
- (ii) the emphasis given to outcome monitoring (results-based Project management);
- (iii) the realism / candor of Project reporting and rating;
- (iv) the quality of documentation of Project supervision activities; and
- (v) financial, administrative and other fiduciary aspects of Project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of Project supervision (Annex 5).

#### **L. Complementarity with UNEP Medium Term Strategy and Programme of Work**

UNEP aims to undertake joint projects that are aligned with its strategy. Whilst it is recognised that UNEP projects designed prior to the production of the UNEP Medium Term Strategy (MTS)<sup>31</sup> / Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarity may exist nevertheless. For this reason, the complementarity of joint projects with UNEP’s MTS / POW will not be formally rated; however, the evaluation should present a brief narrative to cover the following issues:

Linkage to UNEP’s Expected Accomplishments: The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROTI analysis, the evaluation should comment on whether the Project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent any contributions and the causal linkages should be fully described.

Project contributions that are in-line with the Bali Strategic Plan (BSP)<sup>32</sup>: The outcomes and achievements of the Project should be briefly discussed in relation to the objectives of the UNEP BSP.

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

#### **4. Evaluation Report Format and Review Procedures**

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

<sup>31</sup> <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

<sup>32</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>



The evaluation will rate the overall implementation success of the Project and provide individual ratings of the eleven implementation aspects as described in Section 3 of this TOR. ***The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.***

***The ratings for the parameters A - K will be presented in the form of a table (Annex 1) with brief justifications*** based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) A **Project Identification Table**: Identify: (1) Project ID, (2) Title, (3) Location, (4) Start and End Date, (5) Mid-Term Evaluation (if applicable), (6) Executing and Implementing Agencies, Partners, (7) and Budget.
- ii) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- iii) **Introduction and background giving a brief overview** of the evaluated Project, for example, the objective and status of activities; UNEP Evaluation Office requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- iv) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- v) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above) and include a section on the relevance of the Project to, and contribution towards, the delivery of the Bali Strategic Plan (BSP)<sup>33</sup> where the outcomes and achievements of the Project should be briefly discussed in relation to the objectives of the UNEP BSP..
- vi) **Conclusions and rating** of Project implementation success giving the evaluator's concluding assessments and ratings of the Project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the Project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);
- vii) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the Project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
  - Briefly describe the context from which they are derived
  - State or imply some prescriptive Project;
  - Specify the contexts in which they may be applied (if possible, who when and where)
- viii) **Recommendations** suggesting *Projectable* proposals for improvement of the current Project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) Projectable recommendations.

*Prior to each recommendation*, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

**A high quality recommendation** is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
  2. Commensurate with the available capacities of Project team and partners
  3. Specific in terms of who would do what and when
-

4. Contains results-based language (i.e. a measurable performance target)
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other Project purposes.

ix) **Annexes** may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference (**ToR**),
2. A **list of interviewees**, and evaluation timeline,
3. A **list of documents** reviewed/consulted,
4. Summary **co-finance information** and a **statement of Project expenditure by activity**,
5. Details of the Project's 'impact pathways' and the '**ROtI**' analysis
6. The expertise of the evaluation team (**brief CV**).

TE reports will also include any formal response/comments from the Project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.

Examples of UNEP Terminal Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou)

### **Review of the Draft Evaluation Report**

Draft reports submitted to UNEP Evaluation Office are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. Programme Managers and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Where possible, a consultation is held between the evaluator, Evaluation Office Staff, the Project Manager and key members of the Project execution team. The consultation seeks feedback on the proposed recommendations and lessons. UNEP Evaluation Office collates all review comments and provides them to the evaluator(s) for their consideration in preparing the final version of the report.

### **5. Submission of Final Terminal Evaluation Reports.**

The final report shall be submitted in electronic form in MS Word format and should be sent to the following persons:

Segbedzi Norgbey, Chief,  
UNEP Evaluation Office  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel.: (254-20) 7623387  
Fax: (254-20) 7623158  
Email: [segbedzi.norgbey@unep.org](mailto:segbedzi.norgbey@unep.org)

The Chief of Evaluation will share the report with the following individuals:

Arab Hoballah, Chief  
Sustainable Consumption and Production Branch  
Division of Technology, Industry and Economics  
United Nations Environment Programme  
Tel. +33 1 44 371439  
E.mail. [Arab.Hoballah@unep.org](mailto:Arab.Hoballah@unep.org)

Guido Sonnerman, Programme Officer  
Sustainable Consumption and Production Branch  
Division of Technology, Industry and Economics  
United Nations Environment Programme  
Tel: +33 1 44 377622  
E.mail. [Guido.Sonnemann@unep.org](mailto:Guido.Sonnemann@unep.org)

Janet Salem, Associate Programme Officer  
Sustainable Consumption and Production Branch  
Division of Technology, Industry and Economics  
United Nations Environment Programme  
Ph. +33 1 44 377637  
E-mail. [Janet.Salem@unep.org](mailto:Janet.Salem@unep.org)

The final evaluation report will be published on the Evaluation Office's web-site [www.unep.org/eou](http://www.unep.org/eou) and may be printed in hard copy.

## **6. Resources and Schedule of the Evaluation**

This evaluation will be undertaken by an international evaluator contracted by the Evaluation Office, UNEP. The contract for the evaluator will begin on **5<sup>th</sup> July 2010** and end on **31<sup>st</sup> August 2010** (1 month and 3 weeks spread over 8 weeks; involving desk study, field visits and report writing). The evaluator will submit a draft report **2<sup>nd</sup> August 2010** to UNEP/Evaluation Office, the UNEP Programme/Project Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP/Evaluation Office for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant on **16<sup>th</sup> August 2010** after which, the consultant will submit the final report no later than **31<sup>st</sup> August 2010**.

The evaluator will after an initial telephone briefing with the Evaluation Office and the UNEP Programme/Project Manager, conduct initial desk review work at the beginning of the evaluation and later travel to Paris to meet staff at the Resource Panel Secretariat at UNEP/DTIE, and Project partners at OECD, ICSU and relevant Government Officials. The evaluator will also travel to Brussels to meet with the Project partners in EC, and to Geneva and Gland to visit Project partners in WBCSD and IUCN. If possible within the schedule of the evaluation, the evaluator may also visit other intended users of Project's outputs.

In accordance with UNEP Evaluation Policy, all UNEP projects are evaluated by independent evaluators contracted as consultants by the Evaluation Office. The evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the Project in a paid capacity. The evaluator will work under the overall supervision of the Chief, Evaluation Office, UNEP. The evaluator should be an international expert in sustainable use of natural resources, with knowledge of institutional management and capacity in synthesizing and collating different experiences for choosing best practices. In addition, the consultant should have the following minimum qualifications: (i) Advanced degree in environmental science and technology, economics or related (ii) skills for management and implementation of research projects and in particular with research targeted at policy-influence and decision-making; (iii) proven knowledge and expertise in life cycle approaches and decoupling iv) experience with Project evaluation. Knowledge of UNEP programmes is desirable. Fluency in oral and written English is a must. Knowledge of other UN languages is an advantage.

## **7. Schedule Of Payment**

### **Lump-Sum Option**

The evaluator will receive an initial payment covering the travel costs upon signature of the contract. A further 40% will be paid upon acceptance of the draft report. A final payment of 60% will be made upon satisfactory completion of work. The fee is payable under the individual Special Service Agreement (SSA) of the evaluator and **is inclusive** of all expenses such as travel, accommodation and incidental expenses.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP, the product prepared by the evaluator may not constitute the evaluation report.

## ANNEX II.A. – STRUCTURE OF THE INTERVIEWS

The following list with topics have been used as a guidance during the interviews:

- Overall appreciation (outcomes/impacts)
- Sustainability with and without funding
- Similarities with other projects
- Country ownership
- Stakeholder involvement
- Management
- Financial planning
- Internal Monitoring and Evaluation
- Any other business

## ANNEX II.B. – LIST OF INTERVIEWEES

Organisation	Name	Title	Email	Interview format and duration	Date (and location)
UNEP-DTIE	Sylvie Lemmet	Director	<a href="mailto:Sylvie.Lemmet@unep.org">Sylvie.Lemmet@unep.org</a>	Meeting, 30 minutes	22 July 2010, Paris
UNEP-DTIE, SCP Branch	Arab Hoballah	Chief of Branch	<a href="mailto:Arab.Hoballah@unep.org">Arab.Hoballah@unep.org</a>	Phone call, 40 minutes	9 July 2010
UNEP-DTIE, SCP Branch, Resource Panel Secretariat	Guido Sonnemann	Programme Officer	<a href="mailto:Guido.Sonnemann@unep.org">Guido.Sonnemann@unep.org</a>	Meeting, 75 minutes	23 July 2010, Paris
UNEP-DTIE, SCP Branch, Resource Panel Secretariat	Janet Salem	Associate Programme Officer	<a href="mailto:Janet.Salem@unep.org">Janet.Salem@unep.org</a>	Meeting, 90 minutes	23 July 2010, Paris
UNEP-DTIE, SCP Branch	Adriana Zaccarias	Programme Officer	<a href="mailto:Adriana.Zaccarias@unep.org">Adriana.Zaccarias@unep.org</a>	Meeting, 30 minutes	22 July 2010, Paris
UNEP-DTIE, Energy Branch	Martina Otto	Head Policy Unit, Coordinator Bioenergy	<a href="mailto:Martina.Otto@unep.org">Martina.Otto@unep.org</a>	Meeting, 45 Minutes	23 July 2010, Paris
UNEP-DTIE, Economics and Trade Branch	Steven Stone	Head of Unit	<a href="mailto:Steven.Stone@unep.org">Steven.Stone@unep.org</a>	Meeting, 30 minutes	27 July 2010, Geneva
UNEP-DTIE	Cornis Van Der Lugt	Resource Efficiency Coordinator	<a href="mailto:cornis.lugt@unep.org">cornis.lugt@unep.org</a>	Meeting, 45 minutes	22 July 2010, Paris
European Commission, DG Environment, Sustainable Development and Integration	Timo Makela	Director	<a href="mailto:timo.makela@ec.europa.eu">timo.makela@ec.europa.eu</a>	Phone Call, 30 minutes	16 July 2010
European Commission, DG Environment, Industry	Klaus Koegler	Head of Unit	<a href="mailto:Klaus.koegler@ec.europa.eu">Klaus.koegler@ec.europa.eu</a>	Meeting, 30 minutes	12 July 2010, Brussels
European Commission, DG Environment, Industry	Werner Bosmans	Policy Officer	<a href="mailto:Werner.Bosmans@ec.europa.eu">Werner.Bosmans@ec.europa.eu</a>	Meeting, 90 minutes	26 August 2010, Brussels
OECD, Environment Directorate	Myriam Linster	Principal Administrator	<a href="mailto:Myriam.LINSTER@oecd.org">Myriam.LINSTER@oecd.org</a>	Meeting, 45 minutes	22 July 2010, Paris
WBCSD-representative at the Steering Committee	Per Sandberg	Managing Director	<a href="mailto:Sandberg@wbcsd.org">Sandberg@wbcsd.org</a>	Phone Call, 45 minutes	15 July 2010
former WBCSD-representative at the Steering	Jürg Gerber		<a href="mailto:Juerg.gerber@gmx.net">Juerg.gerber@gmx.net</a>	Meeting, 75 minutes	26 July 2010, Zurich

Committee					
IUCN	William J. Jackson	Deputy Director General	<a href="mailto:william.jackson@iucn.org">william.jackson@iucn.org</a>	Meeting, 45 minutes	26 July 2010, Gland
former consultant at UNEP-DTIE, SCP Branch, Resource Panel Secretariat	Frans Vollenbroek		<a href="mailto:frans.vollenbroek@minvrom.nl">frans.vollenbroek@minvrom.nl</a>	Phone Call, 35 minutes	20 July 2010
former Head of Unit at UNEP-DTIE, SCP Branch, Resource Panel Secretariat	Bas de Leeuw			Skype Call, 60 minutes	29 July 2010

## ANNEX III.A. – SURVEY QUESTIONS

### Questions to the members of the Resource Panel

#### Identification of the member

<b>Name</b>	
<b>Affiliation</b>	
<b>Field of expertise</b>	
<b>Member of a Working Group</b>	

#### Overall appreciation

1. What is your perception of the progress made by the Resource Panel? How well has it performed to date?
2. How valuable has it been to you personally, and to your institution or organization, to participate on the Resource Panel?
3. Overall, in your opinion, what aspects of the Resource Panel have worked particularly well? Please explain.
4. Overall, in your opinion, what aspects of the Resource Panel have not worked particularly well? Please explain.
5. Do you have any suggestions for how the Resource Panel could be improved, procedurally, over the next three years?
6. Do you have any suggestions for how the Resource Panel could be improved, intellectually, over the next three years?
7. If you are or have been a member of a Working Group, are you satisfied with the progress to date of the area dealt with in the Working Group ?
8. Do you have any concerns about the field of your expertise reflected in the work of the Resource Panel?
9. What do you see as the most important lessons learned from the published reports to date that could be applied to other assessments in the future?
10. Are there specific things the Resource Panel could do to improve the outcomes and ultimately the impacts of its work?

#### Sustainability in time

11. If you would need to make a SWOT in terms of ‘sustainability’ (read: ‘permanence’) of the ‘Resource Panel’, indicate ...
  - a. one strength: ...
  - b. one weakness: ...
  - c. one opportunity: ...
  - d. one threat: ...
12. At this point, recognizing that its work might not yet be finalised, do you believe that the ‘Resource Panel’ is doing sufficiently valuable work to justify its continuation? Why or why not?
13. If you do believe the ‘Resource Panel’ should continue, is there a need to change the form?

#### Similarities with other projects



14. Do you recognise similar projects in your field of expertise? In general?
15. If positive, what could the ‘Resource Panel’ learn from these other projects?
16. Do you believe exchanges with other similar projects would provide value to the work of the ‘Resource Panel’? If yes, how?

### **Users perspective**

17. Who are the primary users of the ‘Resource Panel’ assessments?
18. Do you believe that the Resource Panel has adequately taken user perspectives into account in structuring its intellectual work?
19. Are there any points in the process where you believe consultation with user groups would have served significantly to enhance the assessments?

### **Monitoring and evaluation**

20. Is the ‘Resource Panel’ using any internal ‘monitoring and evaluation’ system?
21. What are the most important indicators to track progress? In terms of output, outcome and/or impact ?

### **AOB**

22. Do you have any other thoughts you would like to share about the Resource Panel?

### **Questions to the members of the Steering Committee**

#### **Identification of the member**

Name	
Affiliation	

#### **Overall appreciation**

1. What is your perception of the progress made by the Resource Panel? How well has it performed to date?
2. How valuable has it been to you personally, and to your institution or organization, to participate on the Steering Committee of the Resource Panel?
3. Overall, in your opinion, what aspects of the Resource Panel have worked particularly well? Please explain.
4. Overall, in your opinion, what aspects of the Resource Panel have not worked particularly well? Please explain.
5. Do you have any suggestions for how the Resource Panel could be improved, procedurally, over the next three years?
6. Do you have any suggestions for how the Resource Panel could be improved, intellectually, over the next three years?
7. What do you see as the most important lessons learned from the published reports to date that could be applied to other assessments in the future?
8. Are there specific things the Resource Panel could do to improve the outcomes and ultimately the impacts of its work?

#### **Sustainability in time**

9. If you would need to make a SWOT in terms of 'sustainability' (read: 'permanence') of the 'Resource Panel', indicate ...
  - a. one strength: ...
  - b. one weakness: ...
  - c. one opportunity: ...
  - d. one threat: ...
10. At this point, recognizing that its work might not yet be finalised, do you believe that the 'Resource Panel' is doing sufficiently valuable work to justify its continuation? Why or why not?
11. If you do believe the 'Resource Panel' should continue, is there a need to change the form?
12. Is there a need to change the composition of the 'Resource Panel' and/or the 'Steering Committee'?
13. How do you evaluate the financial support for the 'Resource Panel'?
14. Do your organization or your country consider the possibility to start, to continue or to increase its financial support for the 'Resource Panel'? Under which conditions ?

### **Similarities with other projects**

15. Do you recognise similar projects in the field of 'Natural Resources'? In general?
16. If positive, what could the 'Resource Panel' learn from these other projects?
17. Do you believe exchanges with other similar projects would provide value to the work of the 'Resource Panel'? If yes, how?

### **Users perspective**

18. Who are the primary users of the 'Resource Panel' assessments?
19. Do you believe that the Resource Panel has adequately taken user perspectives into account in structuring its intellectual work?
20. Are there any points in the process where you believe consultation with user groups would have served significantly to enhance the assessments?

### **Country ownership**

21. How confident are you that the specific needs of the country or organization you represent on the Steering Committee will be addressed by the 'Resource Panel' as it is currently developing?
22. What are you personally doing to strengthen the visibility of the Resource Panel within the country or organization you represent? How might this be improved in the future?
23. What would be the most valuable things the 'Resource Panel' could do to reach and influence the country or organization you represent with its conclusions as they develop over the next three years?

### **Monitoring and evaluation**

24. Is the 'Resource Panel' using any internal 'monitoring and evaluation' system?
25. What are the most important indicators to track progress? In terms of output, outcome and/or impact ?

### **AOB**

26. Do you have any other thoughts you would like to share about the Resource Panel?

## ANNEX III.B. – RETURNED QUESTIONNAIRES

Survey questions were emailed to the members of the Resource Panel and the country members of the Steering Committee on July 21<sup>st</sup>, 2010, with a request to fill in the questionnaires and send them back by July 31<sup>st</sup>, 2010. A message from UNEP Evaluation Office was attached to this email.

Because of the holiday season for some members, it has been difficult to mobilize them to receive the answers in time. No follow-up message could be sent out because of the tide schedule which was set out.

We received responses from 6 members of the Resource Panel and from 7 members of Steering Committee. Responses to these surveys were combined with data from our interviews to inform our conclusions. We made no effort to analyze the results quantitatively from such a small sample with rather open questions.

## ANNEX IV – THE PROJECT LOGICAL FRAMEWORKS

### EC GRANT AGREEMENT 2006-2007 (070201/2006/443578/SUB/G4)

#### SUMMARY OF THE PROJECT

##### Objectives

The **overall objective** of the Project is to prepare the establishment of the International Panel on the Sustainable Use of Natural Resources as referred to in the EC Communication of 21 December 2005 on the Thematic Strategy on the sustainable use of natural resources (COM(2005) 670 final)<sup>34</sup>.

**Specific objectives** of the Project are:

1. To explore and identify substantive issues through a **scientific consultation process** followed by a **pre-panel and first Board meeting**;
2. To prepare **procedural issues** for the functioning of the Panel as well as consult and inform potential partners and stakeholders followed by a second Board meeting;
3. To organise an **Inaugural Panel Meeting** on 9-10 November 2007; and
4. To effectively **manage and disseminate** information and outcomes of the Panel and encourage follow-up activities.

##### Actions and means involved

The activities are divided into 4 tasks.

- Task A.** Carry out a **scientific consultation process** through desk research and organisation of a scientific conference session in Bruges, Belgium (December 2006) with short-listed scientists and researchers invited based on preliminary screening. This session will help identify key areas of work, centres of excellence and potential candidates for the Panel. The Bruges conference will be followed by a *pre-panel meeting* (tentatively in Brussels) where a small number of selected potential Panel members will suggest priorities, issues, and recommendations of other experts to the Board. The *first Board meeting* between UNEP and COM and, if appropriate, some invited participants (to be agreed upon between UNEP and COM), will immediately follow, where issues pertaining to Panel chair, members (for the Inaugural Panel meeting) and key work areas will be discussed.
- Task B.** Develop **procedural issues and outreach strategy** through preparing relevant administrative and procedural documents and by organising a briefing and outreach session for interested partners and potential sponsors (primarily focusing on national governments and international organizations), to be held in Nairobi, Kenya, back to back with UNEP's Governing Council (February 2007). This task will be reviewed and completed by organising a *second Board meeting* between UNEP and COM and, if appropriate, some invited participants (to be agreed upon by UNEP and COM), in Brussels, Belgium, March 2007. This meeting will review progress made and activities needed for the organisation of the first meeting of the Inaugural Panel, to be held in November 2007 and result in review and approval of the provisional documents, to be reviewed and discussed by the Panel during its inaugural meeting.
- Task C.** Organize the **First Meeting of the Inaugural Panel** on 9-10 November 2007 during the World Science Forum in Budapest, Hungary.. Tasks of the Panel will be to provide independent scientific advice to the EC, national governments and relevant international organizations on the key sustainability impacts of the use of natural resources from a life cycle perspective. The Panel will also contribute to strategies and approaches to reduce these impacts, in particular through changing unsustainable patterns of consumption and production, and to build capacity in emerging economies or developing countries. This first meeting will primarily consist of introducing and scoping discussions, guiding the Secretariat, kick-starting the first year of activities and identifying priorities and needs for subsequent years. **Background study/studies.** UNEP will commission one or more background study/studies that can be used for the Inaugural Panel meeting as well as for further work of the Panel.

<sup>34</sup> Please note that the name of the Resources Panel and/or its working title can be modified in agreement between UNEP and EC. In this document we will refer to as "the Panel".

*Task D.* **Task dissemination.** A number of documents for the Panel and potential partners and candidates will be produced (see respective detailed description). Under this task an outline on dissemination strategy and procedures will be prepared and implemented. The content of these documents will be prepared by UNEP staff with some subcontracts for the finalisation of materials.

*Task E.* **Task management and reporting.** Reporting and feedback from the COM (and if applicable to the Board) will be carried out through regular personal meetings and/or teleconferences.

## Expected results

### **Task A - Scientific Consultation Process**

#### *Scientific conference session:*

- Preliminary list of Panel members identified
- Conference session organised and conducted (including selection and invitation of participants and speakers, keynote speech, meeting facilitation, and press release of the event)
- Key issues for work of the Panel identified
- Scientific contributions and proceedings collected

#### *Pre-panel meeting followed by first Board meeting:*

- Preliminary and informal short-list of candidates/chair discussed and agreed
- Identified issues for Panel's work discussed and agreed
- Progress on administrative and procedural matters reviewed (including Trust Fund, Panel Board etc)

### **Task B - Procedural Issues and Outreach**

#### *Outreach session:*

- Session at UNEP Governing Council in Nairobi organised (with documentation prepared, flyers, invitations, facilitation of the meeting, organisation of bilateral talks between UNEP, EC and interested partners)
- Report of the meeting prepared

#### *Second Board meeting:*

- Database uploaded with around 100 of the world's top scientists, experts, institutions, countries or other stakeholders on the topic
- List of candidates to the panel drafted and discussed
- Provisional Terms of reference, operating procedures and preliminary work plan adopted
- Outlines for the "criteria for handling Trust Funds" drafted and discussed.
- Document on actions to be taken for the Inaugural Panel meeting (in November 2007) prepared and discussed

### **Task C - First Meeting of the Inaugural Panel**

- Expert workshop organised in cooperation with the OECD and Ministry of Environment, Government of Japan (leading up to the inaugural meeting)
- Meeting organised and press release info prepared
- 3 year work programme drafted and all documents prepared so far (see Task B) discussed
- Follow-up activities discussed (probably through informal Board meeting, to be decided)
- Press release of the event
- Background study/studies (terms of reference to be developed in agreement with the COM) detailing elements suggested and discussed during the pre-panel meeting in Dec 2006 and briefing session at the UNEP Governing Council in Feb 2007. These topics could be, but not limited to, the following: issues of immediate policy relevance such as bio-based products (in particular biofuels) and global metals recycling and other topics as considered relevant.

### **Task D - Panel work dissemination**

- Outline of a dissemination strategy elaborated and implemented.
- Panel website uploaded, linked to relevant websites including UNEP and EC.
- Public materials disseminated (e.g. leaflet).

- Working materials prepared (e.g. Terms of reference, operating procedures, preliminary work plan, outlines for the “criteria for handling Trust Funds” and a plan of UNEP activities) and distributed to the corresponding target group for feedback.

**Task E - Management and reporting.**

- Good working relationship with core team (UNEP and COM) achieved.
- Effective communication and reporting carried out.

EC GRANT AGREEMENT 2008 (2007/484418/G4)

LOGICAL FRAMEWORK				
	Intervention	Objectively verifiable	Sources and means of	Assumptions
	logic	indicators of achievement	verification	
<b>Overall objective</b>	<ul style="list-style-type: none"> <li>Foster resource-efficient and environmentally sound economic development globally and stimulate sustainable innovation, leading to the de-coupling of economic growth and environmental degradation</li> </ul>	<ul style="list-style-type: none"> <li>Improved sustainability of global economic development measured by macro-level indicators on material flows and natural resource use in a life cycle perspective</li> <li>Increased decoupling of resource use from GDP</li> </ul>	<ul style="list-style-type: none"> <li>Official national and international economics and environmental statistics</li> <li>Information gathered and deliverables produced by the Project</li> <li>Project reports</li> </ul>	
<b>Specific objective</b>	<ul style="list-style-type: none"> <li>Provide independent scientific assessment on the environmental impacts due to the use of both renewable and non-renewable resources over the full life cycle, and scientific advise on ways to reduce the impacts by sustainable innovation through the operationalization of the established International Panel for Sustainable Resource Management ('Resource Panel') as referred to in the EC Communication of 21 December 2005 on the Thematic Strategy on the sustainable Use of natural Resources (COM92005 670 final, launch will be in November 2007), and the production of Industrial Sector Studies</li> </ul>	<ul style="list-style-type: none"> <li>Increased knowledge on material and resources flows and related impacts worldwide</li> <li>Scientific studies produced and disseminated on ways to reduce the impacts of resources uses over their life-cycle through innovation</li> <li>Material produced by the Project used by decision makers</li> <li>Better understanding of methodologies on decoupling and sustainable resource management in a life cycle perspective</li> </ul>	<ul style="list-style-type: none"> <li>Information gathered and deliverables produced by the Project</li> <li>Project reports</li> <li>Project website</li> </ul>	<ul style="list-style-type: none"> <li>Willingness of stakeholders to contribute to the activities of the Resource Panel</li> <li>Interest of key governments in supporting the Panel's activities</li> <li>Availability of suitable experts to carry out Industrial Sector Studies</li> </ul>

<b>Expected results</b>	A) Operational Resource Panel	<ul style="list-style-type: none"> <li>• N of Steering Committee meetings organised</li> <li>• N of Panel meetings organised</li> <li>• N of government, private sector and major group representatives actively taking part in the Steering Committee</li> <li>• N of the Panel members providing valuable contributions</li> <li>• N of Working Groups established</li> <li>• N of external experts collaborating with the Resource Panel</li> <li>• N of government/institutions providing additional funding</li> </ul>	<ul style="list-style-type: none"> <li>• Project reports</li> <li>• Drafts of sectoral Studies</li> <li>• Communications between UNEP and the EC</li> <li>• Project website</li> </ul>	<ul style="list-style-type: none"> <li>• Willingness and interest of different stakeholders in participating in Project activities</li> <li>• Availability of suitable experts for the selected topics</li> <li>• Timely delivery of outputs by experts involved</li> </ul>
	B) Industrial Sector Studies carried out on the sustainable use of natural resources in a life cycle perspective and opportunities for sustainable innovation in specific clusters and topics in areas proposed by the EC	<ul style="list-style-type: none"> <li>• N of Industrial Sector Studies delivered</li> </ul>		
	C) The Panel and the Steering Committee consulted with the Secretariat the Industrial Sector Studies carried out	<ul style="list-style-type: none"> <li>• Comments to the Sector Studies provided by the Panel and the Steering Committee</li> </ul>		
	D) Information on the purpose and results of the action disseminated to a wide range of stakeholders	<ul style="list-style-type: none"> <li>• N of participants to dissemination events</li> <li>• N of visitors of the Project website</li> </ul>		
	E) Action properly managed and results timely reported to the EC	<ul style="list-style-type: none"> <li>• EC feedback on action mid-term and final report delivered</li> </ul>		



<b>Activities</b>	<b>A) Initiation, coordination and monitoring of the Resource Panel first Work Plan</b> A1. Design of the of the Panel's multi-year Work Plan, identification of the Working groups and production of the first drafts of reports (depending on November 2007 discussions); A2. Completion of the Panel and the Steering Committee set-up and securing of financial support A3. Finalization and implementation of the Panel procedures	<b>Means:</b> A) Human resources, travel and subsistence, meeting facilities	<b>Sources of information about action progress:</b> Project deliverables, Project website and Project reports	<b>Pre-conditions:</b> • Sufficient interest and participation of governments, experts and other stakeholders • Availability of adequate funding
	<b>B) Development of Industrial Sector Studies</b> B1. Development of Industrial Sector Studies on cluster areas B2. Set up of a Strategic Innovation Group (SIG) B3. Review of Industrial Sector Studies on cluster areas	B) Human resources	<b>Costs</b>	€
	<b>C) Consultation on Industrial Sector Studies</b> C1. Consultation of the industrial Sector studies by the Panel and the Steering Committee	C) Human resources	Human Resources	387.900
	<b>D) Dissemination</b> D1. Disseminate Project activities and results through dissemination events, Project website and reports	D) Human resources, travel and subsistence, meeting facilities, Project website	Travel and subsistence	93.536
	<b>E) Project management and reporting to the EC</b> E1. Carry out Project management and reporting to the EC	E) Human resources, travel and subsistence	Other costs, services	149.499
			Sub-total direct eligible costs	<b>630.935</b>
Administrative costs/indirect			44.165	
<b>TOTAL ELIGIBLE COSTS</b>			<b>675.100</b>	

EC GRANT AGREEMENT 2009 (21.0401/2008/513855/SUB/G4)

LOGICAL FRAMEWORK				
	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
<b>Overall objectives</b>	<i>What are the overall broader objectives to which the action will contribute?</i>	<i>What are the key indicators related to the overall objectives?</i>	<i>What are the sources of information for these indicators?</i>	
I.	To foster sustainable resource management, leading to the overall decoupling of economic growth and environmental degradation.	<ul style="list-style-type: none"> <li># Mentions of the Resource Panel in National, Regional, Global, Sectoral policy dialogue</li> <li>• Government response to the Resource Panel</li> </ul>	<ul style="list-style-type: none"> <li>• Media search engines</li> <li>• Steering Committee feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Decision makers make use of assessments</li> </ul>
<b>Specific objective</b>	<i>What specific objective is the action intended to achieve to contribute to the overall objectives?</i>	<i>Which indicators clearly show that the objective of the action has been achieved?</i>	<i>What are the sources of information that exist or can be collected? What are the methods required to get this information?</i>	<i>Which factors and conditions outside the Beneficiary's responsibility are necessary to achieve that objective? (external conditions) Which risks should be taken into consideration?</i>
1.	Increased availability of independent authoritative scientific assessments of the environmental impacts due to the use of resources over the full life cycle and scientific advice on ways to reduce the impacts.	<ul style="list-style-type: none"> <li># Publications distributed (incl. on-line)</li> <li># Topics covered</li> <li># Assessments per topic</li> <li>• Response from stakeholders (qualitative indicator)</li> <li>• Coverage of topic in global fora/media (qualitative indicator)</li> </ul>	<ul style="list-style-type: none"> <li>• Published reports</li> <li>• Project website</li> <li>• Resource Panel members</li> <li>• Media search engines</li> </ul>	<ul style="list-style-type: none"> <li>• Agreement on reports to be published</li> <li>• Media interest in resources</li> <li>• Response from stakeholders</li> </ul>
<b>Expected results</b>	<i>The results are the outputs envisaged to achieve the specific objective. What are the expected results? (enumerate them)</i>	<i>What are the indicators to measure whether and to what extent the action achieves the expected results?</i>	<i>What are the sources of information for these indicators?</i>	<i>What external conditions must be met to obtain the expected results on schedule?</i>
A.	Further operation and implementation of the established Resource Panel including the involvement of more experts and countries	<ul style="list-style-type: none"> <li># Resource Panel meetings held</li> <li># Steering Committee meetings held</li> <li># Working Groups active</li> <li># Panel members actively involved</li> <li>• Resource Panel work plan approved.</li> <li>• Procedural documents agreed on.</li> <li># Govts or institutions actively involved in the Steering Committee</li> <li># Govts providing political or financial support.</li> </ul>	<ul style="list-style-type: none"> <li>• Meeting reports</li> <li>• Completed reports</li> <li>• Project website</li> <li>• RP members</li> <li>• Project documentation</li> <li>• Administrative and financial documents (including letters pledging support)</li> </ul>	<ul style="list-style-type: none"> <li>• Participants available to attend meetings</li> <li>• Interest of partners in active involvement</li> <li>• Agreement on procedural aspects</li> <li>• Agreement on workplan</li> </ul>
B.	First scientific assessments carried out by Working Groups	<ul style="list-style-type: none"> <li># Terms of reference developed</li> <li># Working Group Meetings held</li> <li># Reports or other documents produced</li> <li># Authors involved and their geographic distribution</li> </ul>	<ul style="list-style-type: none"> <li>• ToRs for studies</li> <li>• Meeting documentation</li> <li>• Studies/reports</li> </ul>	<ul style="list-style-type: none"> <li>• Agreement on terms of reference reached.</li> <li>• Panel members remain able and motivated to contribute to scientific assessments</li> </ul>
C.	Information on the purpose and results of the action disseminated to a wide range of stakeholders	<ul style="list-style-type: none"> <li># Events where RP/Secretariat disseminate RP results/info</li> <li># Reports made public</li> <li># Hits on website</li> </ul>	<ul style="list-style-type: none"> <li>• External event websites</li> <li>• Briefing notes</li> <li>• Website</li> <li>• Website statistics</li> </ul>	<ul style="list-style-type: none"> <li>• World Resource Forum takes place and agreement to hold side event reached.</li> </ul>
D.	Action properly managed and results timely reported to the EC	<ul style="list-style-type: none"> <li>• Financial and progress reports delivered on time and approved</li> </ul>	<ul style="list-style-type: none"> <li>• Communications between EC and UNEP</li> </ul>	<ul style="list-style-type: none"> <li>• Continued availability of human resources.</li> </ul>
<b>Activities</b>	<i>What are the key activities to be carried out and in what sequence in order to produce the expected results? (group the activities by result)</i>	<i>Means: What are the means required to implement these activities, e. g. personnel, equipment, training, studies, supplies, operational facilities, etc.</i>	<i>What are the sources of information about action progress? Costs. What are the action costs? How are they classified? (breakdown in the Budget for the Action)</i>	<i>What pre-conditions are required before the action starts? What conditions outside the Beneficiary's direct control have to be met for the implementation of the planned activities?</i>
A1.	Organise meetings of Resource Panel	Human resources, travel and subsistence, meeting facilities and hospitality, printing contacts	<b>Sources of Information</b>	<b>Pre-conditions</b>
A2.	Secure partnerships and establish further contacts			
A3.	Panel procedural aspects			
A4.	Develop work plan			
B1.	Develop terms of reference for studies	Human resources, printing, travel and subsistence	<ul style="list-style-type: none"> <li>• Meeting documents</li> <li>• Project deliverables (eg. Studies)</li> </ul>	<ul style="list-style-type: none"> <li>• External experts are located and willing to contribute to the scientific assessments</li> </ul>
B2.	Support leaders of thematic working groups			
B3.	Publish studies			
C1.	Disseminate project activities and results through events, the website and reports.	Human resources, travel and subsistence, meeting facilities, project website, printing	<b>Costs:</b>	<ul style="list-style-type: none"> <li>317,451 + 143,955 (cofinancing)</li> </ul>
C2.	Hold a side event at the World Resource Forum in Davos, Switzerland			
D1.	Administration activities and report to EC.	Human resources	<b>TOTAL</b>	693,955

EC GRANT AGREEMENT 2010 (21.0401/2009/538402/SUB/G4)

LOGICAL FRAMEWORK					
	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions	
<b>Overall objectives</b>	<i>What are the overall broader objectives to which the action will contribute?</i>	<i>What are the key indicators related to the overall objectives?</i>	<i>What are the sources of information for these indicators?</i>		
1.	To foster sustainable resource management at the global level, leading to the overall decoupling of economic growth and environmental degradation.	# Mentions of the Resource Panel or its activities in National, Regional, Global or Sectoral policy dialogues. • Government response to the Resource Panel (qualitative indicator)	• Media search engines • Steering Committee feedback	• Decision makers make use of assessments	
<b>Specific objective</b>	<i>What specific objective is the action intended to achieve to contribute to the overall objectives?</i>	<i>Which indicators clearly show that the objective of the action has been achieved?</i>	<i>What are the sources of information that exist or can be collected? What are the methods required to get this information?</i>	<i>Which factors and conditions outside the Beneficiary's responsibility are necessary to achieve that objective? (external conditions) Which risks should be taken into consideration?</i>	
1.	Increased availability of independent, authoritative scientific assessments of the environmental impacts due to the use of resources over the full life cycle and scientific advice on ways to reduce the impacts.	# Publications distributed (incl. on-line) # Topics covered # Assessments per topic • Response from stakeholders (qualitative indicator) • Coverage of topic in global fora/media (qualitative indicator)	• Published reports • Project website • Resource Panel members • Media search engines	• Agreement on reports to be published • Media interest in resources • Response from stakeholders	
2.	Improved capacity for sustainable resource management at the regional level, with a focus on the needs of developing economies.	# Countries where capacity building work has been implemented # People attending regional consultations and capacity building activities • Response from stakeholders (qualitative indicator)	• Project documents • Meeting reports	• Identification and cooperation of local partners • Availability of local experts for participation	
<b>Expected results</b>	<i>The results are the outputs envisaged to achieve the specific objective. What are the expected results? (enumerate them)</i>	<i>What are the indicators to measure whether and to what extent the action achieves the expected results?</i>	<i>What are the sources of information for these indicators?</i>	<i>What external conditions must be met to obtain the expected results on schedule?</i>	
A.	Operational management of the Resource Panel.	# Resource Panel meetings held # Steering Committee meetings held # Working Groups active # Panel members actively involved • Resource Panel work plan approved. • Procedural aspects agreed on and implemented. # Govts or institutions actively involved in the Steering Committee # Govts providing political or financial support. • Financial and progress reports delivered on time and approved	• Meeting reports • Completed reports • Project website • RP members • Project documentation • Administrative and financial documents (including letters pledging support)	• Participants available to attend meetings • Interest of partners in active involvement • Agreement on procedural aspects • Agreement on workplan	
B.	Assessment Reports on key aspects of Sustainable Resource Management produced.	# Terms of reference developed # Working Group Meetings held # Reports or other documents produced # Authors involved and their geographic distribution	• ToRs for studies • Meeting documentation • Studies/reports	• Agreement on terms of reference reached. • Panel members remain able and motivated to contribute to scientific assessments	
C.	Visibility and linkages with other initiatives fostered.	# Events where RP/Secretariat disseminate RP results/info # Reports made public # Hits on website	• External event websites • Briefing notes • Website • Website statistics	• Cooperation and partnerships are developed and accepted by organisers of events. • Resource Panel topics are relevant to final programmes of events.	
D.	Awareness raised and stakeholders consulted at regional level. Key identified barriers to sustainable development are addressed through regional capacity building projects	# Regional consultations # and type of capacity building activities # Countries represented Feedback from participants in capacity building activities	• Meeting reports • Project documentation	• Cooperation of local partners identified	
E.	Efficiency and effectiveness of Resource Panel evaluated through external evaluation.	Evaluation conducted according to Terms of Reference	• Final evaluation report • Terms of reference	• Agreement reached on ToRs	
<b>Activities</b>	<i>What are the key activities to be carried out and in what sequence in order to produce the expected results? (group the activities by result)</i>	<i>Means: What are the means required to implement these activities, e.g. personnel, equipment, training, studies, supplies, operational facilities, etc.</i>	<i>What are the sources of information about action progress? Costs. What are the action costs? How are they classified? (breakdown in the Budget for the Action)</i>	<i>What pre-conditions are required before the action starts? What conditions outside the Beneficiary's direct control have to be met for the implementation of the planned activities?</i>	
A1.	Securing additional partnerships	Human resources, travel and subsistence, meeting facilities and hospitality, printing	<b>Sources of Information</b> • Correspondence between Secretariat, RP and SC • Project website • Meeting documents	<b>Pre-conditions</b> • Timely availability of funding • Panel members committed and motivated to contribute	
A2.	Organising meetings of the Resource Panel				
A3.	Implement procedural aspects including the development of the work plan				
A4.	Administrative activities, including reporting as per Contribution Agreement				
B1.	Propose and initiate thematic focus areas	Human resources, printing, travel and subsistence	• Project deliverables (eg. Studies)	• External experts are located and willing to contribute to the scientific assessments	
B2.	Support Working groups				
B3.	material				
C1.	Provide inputs to major international policy initiatives	Human resources, travel and subsistence, meeting facilities, project website, printing	<b>Costs:</b>		
C2.	Provide inputs to global forum events			Human resources	754.786
C3.	Communicate information on project activities and results			Travel and subsistence	303.850
D1.	Regional briefings and consultation	Human resources, travel and subsistence, meeting facilities and hospitality, printing		Other direct costs	99.850
D2.	Development of regional capacity building projects			PSC (at 7%)	81.094
E1.	Develop ToRs and Identify External Evaluator			TOTAL	1.239.579
E2.	External Evaluation				

## ANNEX V – ACHIEVEMENTS/RESULTS REPORTED TO THE EC BY UNEP/DTIE PROJECT MANAGEMENT

### through its Final Reports (Implementation Phase 2008 & 2009) Reporting period: 1 January 2008 – 31 December 2008

#### Achievements/results by using the indicators included in this agreement

##### Result A) Operational Resource Panel

- **2 Steering Committee meetings organized.** The second Steering Committee meeting was held in Rome, Italy on May 20, 2008. The third Steering Committee meeting was held in Santa Barbara, USA, on November 20-21, 2008.
- **2 Resource Panel meetings organized.** The second Resource Panel meeting was held in Rome, Italy on May 19-20, 2008. The third Resource Panel meeting was held in Santa Barbara, USA, on November 19-21, 2008.
- **22 government, private sector and major group representatives actively taking part in the Steering Committee.** Fourteen (14) national governments are full members of the Steering Committee: Canada, China, Egypt, Finland, Germany, Hungary, Italy, Japan, Mexico, Netherlands, Norway, South Africa, the Russian Federation, and Tanzania. The European Commission is the one (1) Intergovernmental Organisation actively participating as Co-Chair. Three (3) Civil Society Organisations are participating: International Council for Science (ICSU), The World Conservation Union (IUCN), and World Business Council for Sustainable Development (WBCSD). Furthermore, the OECD (1) and three (3) national Governments and currently hold observer status: The UK, USA and Switzerland.
- **18 Panel members providing valuable contributions.** Eighteen (18) Panel members have attended at least one Resource Panel meeting and contributed to discussions. This includes seventeen (17) original members<sup>35</sup> and one (1) of the two new members<sup>36</sup>. In addition, most members are actively contributing to scientific assessments within at least one Working Group.
- **4 Working Groups established.** As agreed at the second meeting in Rome, the four working groups are: Decoupling, Prioritisation, Biofuels and Metals. Establishment of an additional Working Group on Water is under consideration. Each WG has produced a first draft assessment report.
- **Working Group reports.** Study on global flow of metals ‘An example of material recycling’ prepared as an input to the Metals Report, Decoupling report draft prepared.
- **External experts collaborating with the Resource Panel.** External experts have been collaborating with all Working Groups (Biofuels, Prioritisation, Decoupling and Metals); this will be reported in the final assessment reports themselves where experts that have provided significant input will be acknowledged.
- **8 government/institutions providing additional funding.** We have received additional funds from eight (8) countries: Hungary, the Netherlands, Finland, Canada, Germany, Japan, Italy and

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<sup>35</sup> Ernst von Weizsäcker, Ismail Serageldin, Stefan Brinzeu, Edgar Hertwich, Tom Graedel, Marina Fischer-Kowalski, Mark Swilling, Anna Bella Siriban-Manalang, Ren Yong, Jacqueline Aloisi de Larderel, Jacqueline McGlade (represented by David Stanners and Pawel Kazmierczyk), Yvan Hardy, Lea Kauppi, Sanit Aksornkoae, Yuichi Moriguchi, Jeff McNeely, Ashok Khosla (alternating with representative George Varughese).

<sup>36</sup> The two new members appointed are Sangwon Suh and Patricia Romero Lankao. Sangwon Suh is already actively participating in WG meetings.

Norway. The budget presented in Santa Barbara (SC-0811-C04 (BUDGET)) provides an overview of financial support committed by Steering Committee members (USD 760,000 collectively from the above mentioned countries.)

**Result B) Industrial Sector Studies carried out on the sustainable use of natural resources in a life cycle perspective and opportunities for sustainable innovation in specific clusters and topics in areas proposed by the EC**

- **2 sustainable innovation expert meetings organized and Strategic Innovation Group established.** The first expert meeting on Sustainable Innovation was held in Paris, France, 22 April 2008. The second expert meeting on Sustainable Innovation for 2008 was held on 30 September on Sustainable Innovation & Technology Transfer and on 1 October 2008 on Sustainable Innovation & Business Models also in Paris, France. The SIG Group was well established as a network of world-wide leading innovation experts through these two meetings. The experts from developed and developing countries bring expertise in the fields of innovation for SCP, technology transfer and the implementation of policy instruments to UNEP.
- **3 Industrial Sector Studies finalised after review.** In total 3 Studies have been prepared, with involvement from the EC, on the following topics: (1) Recycling – from E-Waste to Resources, (2) Critical metals for future sustainable technologies and their recycling potential, (3) Technology Transfer for reducing the carbon footprint – the example of cleaner technologies for food processing.

**Result C) The Panel and the Steering Committee consulted with the Secretariat the Industrial Sector Studies carried out**

- **Meeting Reports of the Resource Panel and the Steering Committee** in Santa Barbara provide references to topics brought to their attention through the industrial sector studies. In addition, chairs of work group are inspired by these studies in defining upcoming work.
- **Rationale document and multi-year Work Programme** “Introducing the Resource Panel” was prepared taking into account the discussions of the Resource Panel and the Steering Committee on topics addressed in the innovation studies into account.
- **Summary of comments received in 2009 from Resource Panel working group leaders** on revised final drafts of the industry sector studies, which were sent to the relevant Resource Panel working group leaders. A draft summary of the formal feedback received was submitted on 31 March 2009. Later on, presentations on the “Recycling – from E-Waste to Resources” and “Critical metals for future sustainable technologies and their recycling potential” studies were made at the workshop of the Global Metals Flows Group on 23 April 2009. A revised draft summary will be resubmitted by email after the 4th Resource Panel meeting in Paris and before the end of June 2009.

**Result D) Information on the purpose and results of the action disseminated to a wide range of stakeholders**

- **200 - 500 participants to dissemination events.** Over 200 participants attended the OECD-UNEP Conference on Resource Efficiency. A website was created for the conference including downloadable presentation files, although this was hosted by the OECD, so we do not have statistics on hits/downloads. UNEP Staff chaired two sessions dedicated to the Resource Panel at Green Week, attended by numerous participants.
- **25,088 visitors of the Project website.** The Resource Panel website contains five pages, collectively receiving 25,088 hits between 1 January and 31 December, 2008.
- Apart from this, **dissemination has been carried out at various global forums** events, such as the COPENMIND conference in Denmark (1 – 3 September). The Industrial Sector Study on E-

waste Recycling was presented at the E-waste Forum for the Arab region in Cairo (9-10 February 2009). The study on Critical Metals was shared with German Federal Ministry of Environment and the also with the OECD upon request as input for the Sustainable Material Management Initiative. The study on Carbon Footprint in Food Technologies and Carbon footprint was presented to the UNEP's Rural Energy Enterprise Development (REED) initiative to explore in which way the technology transfer proposed can be carried out through this initiative. The Rationale document and multi-year Work Programme "Introducing the Resource Panel" is distributed at UNEP's Governing Council in Nairobi (16-20 February 2009).

- It is intended to **publish the industrial sector studies** on the web of UNEP's SCP Branch once all comments from UNEP and the EC are considered satisfactorily and an adequate layout has been added.

#### **Result E) Action properly managed and results timely reported to the EC**

Indicators: EC feedback on action mid-term and final report delivered. (Not yet known.)

- **A mid term narrative report** was sent the EC on the 15<sup>th</sup> of September. Positive feedback was provided verbally with regard to the part related to the activities of the Resource Panel. **The final report** will be submitted in May 2009.

## Reporting period: 1 January 2009 – 31 December 2009

### Achievements/results by using the indicators included in this agreement

#### Result A: Further operation and implementation of the established Resource Panel including the involvement of more experts and countries

- **# Resource Panel meetings held.** Two Resource Panel meetings were held. The fourth Resource Panel meeting was held in Paris, France on June 2 - 4, 2009. The fifth Resource Panel meeting was held in Beijing, China, on November 8-11, 2009.
- **# Steering Committee meetings held.** Two Steering Committee meetings held. The fourth Steering Committee meeting was held in Paris, France on June 4 – 5, 2009. The fifth Steering Committee meeting was held in Beijing, China, on November 10-11, 2009.
- **# Working Groups active.** 5 Working Groups active. As agreed in Santa Barbara (2008) and Paris (2009), the four working groups are: Decoupling, Environmental Impacts (formerly named 'Prioritisation'), Biofuels, Metals and Water Efficiency. Establishment of an additional Working Group on Land and Soil was under consideration as a result of discussions at the Beijing Meeting (2009).
- **# Panel members actively involved.** 27 Panel members providing valuable contributions. Twenty three (23) Panel members attended at least one Resource Panel meeting and contributed to the scientific assessments in 2009. This includes eighteen<sup>37</sup> (18) members continuing from 2008 and five<sup>38</sup> (5) of the new members. Three<sup>39</sup> (3) further new members were appointed, but were not able to attend a meeting or contribute actively to the assessments in 2009. One (1) Panel member resigned (Ismail Serageldin). External experts have been collaborating with all Working Groups (Biofuels, Impacts, Decoupling, Metals, Water); this will be reported in the final assessment reports themselves where experts that have provided significant input will be acknowledged.
- **Resource Panel work plan approved.** The work plan was approved twice through the biannual meetings and where it was felt that waiting for the biannual meeting would take too long, approvals were made by electronic approval through e-mail.
- **Procedural documents agreed on.** Three procedural documents were agreed on during the 4<sup>th</sup> Resource Panel and Steering Committee meetings in Paris (2-5 June, 2009): (1) the Terms of Reference of the Resource Panel, (2) Publishing procedures, and (3) Peer review guidelines.
- **# Governments or institutions actively involved in the Steering Committee. 26 government, private sector and major group representatives actively taking part in the Steering Committee.**
  - Nineteen (19) national governments are full members of the Steering Committee: Canada, Chile, China, Egypt, Finland, France, Germany, Hungary, Indonesia, Italy, Japan, Kazakhstan, Mexico, Netherlands, Norway, South Africa, the Russian Federation, Tanzania, and USA.
  - Two (2) Intergovernmental Organizations are in the Steering Committee, the European Commission (as Co-Chair) and the OECD.

<sup>37</sup> Ernst von Weizsäcker, Stefan Brinzeu, Edgar Hertwich, Tom Graedel, Marina Fischer-Kowalski, Mark Swilling, Anna Bella Siriban-Manalang, Ren Yong, Jacqueline Aloisi de Lardere, Jacqueline McGlade, Yvan Hardy, Lea Kauppi, Sanit Aksornkoae, Yuichi Moriguchi, Jeff McNeely, Ashok Khosla, Sangwon Suh, Paty Romero-Lankao

<sup>38</sup> Eric Eboh, Maria Rodrigues, Richard Norgaard, Kevin Urama, Walter Pengue

<sup>39</sup> Mohan Munasinghe, Partha Dasgupta, Kanchan Chopra.

- Three (3) Civil Society Organizations are participating: International Council for Science (ICSU), The World Conservation Union (IUCN), and World Business Council for Sustainable Development (WBCSD).
- Two (2) national Governments and currently hold observer status: The UK and Switzerland.
- **# Governments providing political or financial support.**
  - Financial or in-kind support was received from nine (9) countries: Canada, Germany, Finland, France, the Netherlands, Norway, Japan, and the USA. China provided in-kind support by hosting the 5<sup>th</sup> Resource Panel meeting in Beijing. The total amount of co-financing was USD 685,000 from the above mentioned countries
  - Political support was provided by nineteen (19) countries: the latter countries, as well as Chile, Egypt, Hungary, Indonesia, Italy, Kazakhstan, Mexico, South Africa, the Russian Federation and Tanzania.

### **Result B. First scientific assessments carried out by Working Groups**

- **# Terms of reference developed.** Two (2) new ToRs were developed for the The WG on Environmental Impacts (Final version accepted March 2009), and the WG on Water Efficiency (Draft presented in November 2009). For the other WGs the 2008 ToRs were implemented.
- **# Working Group Meetings held.** The Decoupling Working Group held three meetings (Vienna, Paris, and Beijing) in addition to teleconferences and e-mail exchanges. The Metals Working Group held one (1) Workshop (Brussels) for the preparation of the Recycling report. The Impacts Working Group held two meetings (Lisbon, Paris) back-to-back with the Panel meetings and the ISIE conference and otherwise showed preference for teleconferences and e-mail exchanges. The Biofuels Working Group held WG meetings back-to-back with the SCOPE meetings which several WG members were attending. The newly formed Water Efficiency Working Group held teleconference for the preparation of the ToRs presented in Beijing and met during the Beijing meeting in November to discuss the feedback received and next steps.
- **# Reports or other documents produced.**
  - One (1) Biofuels. The first Resource Panel Assessment Report, *Towards sustainable production and use of resources: Assessing Biofuels*, was launched on October 16, by UNEP Executive Director, Achim Steiner.
  - Two (2) Metals. Two Metals reports were prepared in 2009. The first one on Anthropogenic Metals Stocks was accepted at the first draft, and proceeded to peer review in September-October 2009. The second draft was accepted for publication at the 5<sup>th</sup> meeting (November, Beijing). The first draft of second report on Recycling Rates was recommended to proceed to peer review at the 5<sup>th</sup> meeting (November, Beijing).
  - One (1) Impacts. A zero draft was presented at the 4<sup>th</sup> meeting (June, Paris), where participants felt the message was difficult to communicate. A new version was presented at the 5<sup>th</sup> meeting (November, Beijing), which was accepted, pending a strengthening of the politically relevant messages.
  - One (1) Decoupling report. The decoupling report zero draft was presented at the 4<sup>th</sup> meeting (June, Paris), where it was decided to split the report into two, due to its



heavy content. A new zero draft was presented and well received at the 5<sup>th</sup> meeting (November, Beijing).

- # **Authors involved and their geographic distribution.**
  - **Biofuels.** Six (6) authors were involved in the *Assessing Biofuels* publication, from Germany (2), USA (3), Finland (1) and Switzerland (1).
  - **Metals.** Nine (9) authors were involved in the *Metal Stocks in Society – Scientific Synthesis* publication from USA (3), Canada (1), Japan (2), Chile (1), Zambia (1), France (1). Metals. Nine (9) authors were involved in *The Recycling of Metals: A Status Report* publication from USA (3), UK (1), Germany (2), Belgium (1), France (2).
  - **Impacts.** Nine (9) authors were involved in the *Assessing the Environmental Impacts of Consumption and Production: Priority Products and Materials* publication, from Norway (1), the Netherlands (3), USA (1), Switzerland (1), Japan (1), Poland (1), and Australia (1).
  - **Decoupling.** Eleven (11) authors were involved in the *Decoupling and Sustainable Resource Management: Scoping the challenges* publication, from South Africa (2), Austria (4), Germany (1), Philippines (1), Mexico (1), Japan (1), China (1).

### **Result C. Information on the purpose and results of the action disseminated to a wide range of stakeholders**

- # **Events where RP/Secretariat disseminate RP results/info.** The Resource Panel and Secretariat disseminated the results and activities of the Resource Panel in various global fora.
  - **World Resource Forum.** The Resource Panel Secretariat organised a side event at the inaugural World Resource Forum (15 September, Davos).
  - **Asia Regional Seminar.** Together with the Japanese Ministry for Environment, UNEP organised an open seminar titled ‘Resource Management and 3R: Towards Sustainable Asia’ (11 March 2009, Tokyo).
  - **UNEP Governing Council.** Side Event on the Resource Panel and the Marrakech Process at the 25th Session of the UNEP Governing Council 18 February, 2009, Nairobi.
  - **International Society for Industrial Ecology Conference.** A special session was held to introduce the activities and role of the resource Panel to members of the Industrial Ecology community (24 June, Lisbon).
  - **Open Session: Scarcity of Resources, Decoupling and Green Economy - Opportunities for Decision Makers’**, back-to-back with fourth meeting (4 June, Paris).
  - **Biofuels.** For the dissemination of the Biofuels report results, UNEP implemented a targeted dissemination campaign at relevant events/meetings, including: the launch press conference at UNEP headquarters (16 October, 2009, Nairobi); Stakeholder Forum (October, Oslo); Daimler Sustainability Dialogue (October, Stuttgart); GTZ and InWent meeting with international experts (November, Bonn); Oekoinsitute-UBA meeting (November, Berlin); Roundtable on Sustainable Biofuels Board meeting (November, Lausanne); RSB/PIECA/UNEP meeting (November,

Lausanne); Global Bioenergy Partnership- Technical Expert and Steering Board meeting (November, Jakarta).

- **# Reports made public.** One (1) report, Assessing Biofuels, was launched through a press conference on October 16.
- **# Hits on website.**
  - **284,351 visitors of the Project website.** The Resource Panel website contained six pages, collectively receiving 284,351 hits between 1 January and 31 December, 2009.

#### **Result D. Action properly managed and results timely reported to the EC**

- Financial and progress reports delivered on time and approved. The 2008 final reports were submitted timely and approved by June 2009. **The final report for 2009** will be submitted in June 2010.

## ANNEX VI – LIST OF DOCUMENTS REVIEWED AND CONSULTED

The following documents have been provided to the evaluator: the EC Grant Agreements (incl. the respective logical frameworks); the Financial Reports; the agenda's, the preparatory documents and the meeting reports of the Resource Panel and the Steering Committee; the published reports (incl. the respective brochures and flyers) of the Resource Panel; the procedures; the co-financing documents. Furthermore have the following documents been consulted:

**EC – European Commission (2004).** Supporting effective implementation of EC External Assistance - Aid Delivery Methods. Volume 1 – Project Cycle Management Guidelines. March 2004, 158 pp.

**GEF Evaluation Office (2009).** Review of Outcomes to Impacts - Practitioner's Handbook. GEF Evaluation Office with Conservation Development Centre. Draft, June 2009. 33 pages.

**Norgbey S. and Spilsbury M. (2009).** UNEP Division of Technology, Industry and Economics – Evaluation report. UNEP Evaluation and Oversight Unit. 96 pages.

**Mose R. and Sontheimer L.E., (1996).** Performance Monitoring Indicators Handbook. World Bank Technical Paper nr. 334, The World Bank, Washington.

**UNEP (2004).** Bali Strategic Plan for Technology Support and Capacity-building. Twenty-third session of the Governing Council, Global Ministerial Environment Forum. Nairobi, 21-25 February 2005. UNEP/GC.23/6/Add.1. 9 pages.

**UNEP (2004).** Environment Fund budgets: proposed biennial programme and support budget for 2008–2009. Report of the Executive Director. Twenty-third session of the Governing Council, Global Ministerial Environment Forum. Nairobi, 21-25 February 2005. UNEP/GC.23/8. 115 pages.

**UNEP (2006).** Environment Fund budgets: proposed biennial programme and support budget for 2008–2009. Report of the Executive Director. Twenty-fourth session of the Governing Council, Global Ministerial Environment Forum. Nairobi, 5-9 February 2007. UNEP/GC.24/9. 107 pages.

**UNEP (2008).** United Nations Environment Programme: Medium-term Strategy 2010–2013. Environment for Development. UNEP/GCSS.X/8. 30 pages

**UNEP (2008).** Proposed biennial programme and support budgets for 2010 2011. Report by the Executive Director. Twenty-fifth session of the Governing Council, Global Ministerial Environment Forum. Nairobi, 16-20 February 2008. UNEP/GC.25/12. 103 pages.

**UNEP (X).** FINAL REPORT. Project 'International Panel on the Sustainable Use of Natural Resources (Resources Panel)' (Reference: 070201/2006/443578/SUB/G4). Start date/ End date: 1 September 2006 / 31 December 2007. 5 pages.

**UNEP (2009).** FINAL REPORT. Project 'International Panel on the Sustainable Use of Natural Resources (Resources Panel)' (Reference: 2007/484418/G4). Reporting period: 1 January 2008 – 31 December 2008. 13 pages.

**UNEP (2010).** Project 'International Panel on the Sustainable Use of Natural Resources (Resources Panel)' (Reference: 21.0401/2008/513855/SUB/G4). Reporting period: 1 January 2009 – 31 December 2009. 10 pages.

**World Bank (2004).** Operations Evaluation Department-Evaluation Capacity Development: Monitoring and Evaluation- Some Tools, Methods and Approaches. The International Bank for Reconstruction and Development / The World Bank, Washington.

ANNEX VII – SUMMARY OF CO-FINANCE INFORMATION AND A STATEMENT OF PROJECT EXPENDITURE BY ACTIVITY

Co financing (Type/Source)	UNEP own financing (in US\$)	Government (in US\$)	Other* (in US\$)	Total (in US\$)	Total Disbursement (in US\$)
	Actual	Actual	Actual	Actual	Actual
Grants	/	<u>European Community with a total of 2,359,259</u> for 2006-2007: 628,542 for 2008: 797,180 for 2009: 933,537 (of which ~154,062 is pending <u>Other Governments with a total of 1,453,588</u> for 2006-2007: / for 2008: Hungary (29,155), The Netherlands (145,773), Finland (77,761), Canada (100,000), Norway (47,905), Germany (79,843), Italy (92,600), Japan (194,729) for 2009: The Netherlands (144,300), Finland (68,027), Canada (93,179), Norway (22,624), Germany (57,720), USA (50,000), Japan (192,418), France (57,554)	/	3,812,847	2,524,327
Loans/Concessional	/	/	/	/	/
Credits	/	/	/	/	/
Equity investments	/	/	/	/	/
In-kind support	<b>Salaries:</b> Guido Sonnemann, Susan Kikwe <b>Operational costs:</b> Guido Sonnemann, Susan Kikwe, Bas de Leeuw, Inhee Chung, Romain Perez, Janet Salem <b>Travel:</b> No travel was provided in-kind	<b>China</b> co-hosted the 5th Resource Panel meeting. <b>The Netherlands</b> provided the services of Frans Vollenbroek for 2 days per week for 6 months.	/	/	/
Other (*)	/	/	/	/	/
<b>Totals</b>		<b>3,812,847</b>	/	<b>3,812,847</b>	<b>2,524,327</b>

\* Other is referred to contributions mobilized for the Project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

**Final actual Project expenditure by activity supplied by the UNEP Fund management Officer**

	2006	2007	2008	2009	Total
<b>Personnel + Staff travel</b>	<b>78,125</b>	<b>423,887</b>	<b>511,435</b>	<b>447,309</b>	<b>1,460,756</b>
UNEP Staff*	47,580	348,091	363,247	392,052	
Consultants**	5,000	46,666	66,000	10,074	
Internships				775	
Staff Travel	25,545	29,120	82,188	44,408	
<b>Subcontracts</b>	<b>0</b>	<b>19,714</b>	<b>256,866</b>	<b>122,000</b>	<b>398,580</b>
Recycling wastes to resources - UNU			50,000		
Metals recycling – NIMS Japan		2,522	1,866	20,000	
Biofuels study – Oeko			40,000		
Decoupling report – Aachen Foundation – Weizsacker			30,000		
Critical metals – Oeko			30,000		
Procedural documents - FiveWinds		17,000			
Metals Report – Yale - Graedel				90,000	
Biofuels – Wuppertal - Bringezu			105,000		
Decoupling – Sustainability Institute – Swilling				12,000	
<b>Meetings</b>	<b>10,139</b>	<b>64,737</b>	<b>179,530</b>	<b>183,406</b>	<b>437,812</b>
<b>Miscellaneous (Reporting and sundry)</b>	<b>0</b>	<b>0</b>	<b>31</b>	<b>40,532</b>	<b>40,563</b>
<b>Project Support Costs</b>	<b>6,178</b>	<b>35,583</b>	<b>81,929</b>	<b>62,934</b>	<b>186,624</b>
<b>Total</b>	<b>94,442</b>	<b>543,911</b>	<b>1,029,791</b>	<b>856,183</b>	<b>2,524,327</b>

<p>*Staff in 2006-2007:</p> <ul style="list-style-type: none"> <li>• Bas de Leeuw (P5, 9 months, Project Management)</li> <li>• Inhee Chung (P3, 16 months, Project Implementation)</li> </ul>	<p>Staff in 2009:</p> <ul style="list-style-type: none"> <li>• Bas de Leeuw (P5, 10 months, Project Management)</li> <li>• Janet Salem (P1-2, 12 months, Project Implementation)</li> <li>• Romain Perez (P3, 12 months, Project Implementation)</li> </ul>
<p>*Staff in 2008:</p> <ul style="list-style-type: none"> <li>• Bas de Leeuw (P5, 12 months, Project Management)</li> <li>• Inhee Chung (P3, 3 months, Project Implementation)</li> <li>• Janet Salem (P1, 10 months, Project Implementation)</li> <li>• Romain Perez (P3, 4 months, Project Implementation)</li> </ul>	<p>**Consultants</p> <ul style="list-style-type: none"> <li>• 2006-07: Maria Yetano Roche (Junior Project assistant), Lesly Blinker (Junior Project Assistance), Andreas Ciroth (Technical support)</li> <li>• 2008: Thomas Sinkala (study on impacts of mining in Africa), Cassia Ugaya (Study on carbon footprinting), Sina Ribak (support for Project implementation)</li> <li>• 2009: Peter Rickwood (communications), Thad Mermer (Design/layout)</li> </ul>

## ANNEX VIII – EXPERTISE OF THE EVALUATOR

<b>1. Name:</b>	<b>Bernard MAZIJN</b>		
<b>2. Date of birth:</b>	17 February 1962		
<b>3. Nationality:</b>	Belgian		
<b>4. Contact details</b>	Tel. +32 479 799 645; Fax +32 50 35 03 27; Email <a href="mailto:bernard.mazijn@skynet.be">bernard.mazijn@skynet.be</a>		
<b>5. Education:</b>	1. Agriculture Engineer (specialisation: Hydrobiology) – Ghent University, 1980-1986 2. Engineer in Environmental Sanitation – Ghent University, 1986-1988 3. Advanced University Degree in Development Cooperation (specialisation: Economy) – Ghent University, 1992-1994		
<b>6. Present position:</b>	Consultant ‘Sustainable Development’ Visiting Professor at Ghent University		
<b>7. Key qualifications</b>	‘Sustainable development’ is the field of work, ‘environment’ (including climate change) is the specialisation. Consequently with links to the Global South. The following support can be given: <ul style="list-style-type: none"> <li>• Policy preparation</li> <li>• Counselling of participating processes</li> <li>• Monitoring and Evaluation</li> <li>• Peer review</li> <li>• Environmentals and social analysis and evaluation of life cycle of products</li> <li>• Strategic advice</li> </ul>		
<b>8. Other skills:</b>	Computer literate – Word, Excel, Access, Project, Powerpoint		
<b>9. Language skills</b>	<b>5 highest to 1 lowest</b>		
<b>Language</b>	<b>Reading</b>	<b>Speaking</b>	<b>Writing</b>
Dutch (native)	5	5	5
English	4	4	4
French	4	4	4
Spanish	2-3	2	2
German	2-3	0	0

## ANNEX IX: ADDITIONAL COMMENTS FROM UNEP/DTIE PROJECT MANAGEMENT WITH EO / EVALUATOR'S RESPONSES

### 1. The methodology

DTIE: The GEF ROTI methodology is still used to design a series of benchmarks (the impact pathway) to measure the performance of the International Resource Panel initiative (IRP) that is only partially supported by the EC Project. Although the evaluator acknowledges that the EC Project is more concerned about the “means” while the long term goal of IRP was about “end”, this evaluation of the EC Project still judges and ranks the achievement of IRP’s goal, i.e. policy impact. This leads to a confusion and misunderstanding in particular with regard to “the effectiveness” of the Project.

The GEF ROTI method may be more suitable to a terminal evaluation of project where its final result has become clear. It is not a right lens to look at neither the EC Project that is part of large initiative nor IRP that is still evolving.

EO: The Roti-method represents the Theory of Change of the project funded by the EU grant and relevant to our professed intent to pursue Results Based Management in UNEP. It is designed to determine the extent to which the anticipated cause and effect chains in the intervention occurred and which stakeholders contributed in what ways. It tries to gain a better understanding of the contribution of different activities and inputs. Where ever objectives are set for a project and outcomes and output as well as activities have been defined, a theory of the change anticipated by the project can be constructed and therefore the use of Roti as a method is a legitimate way of determining whether the outputs produced are likely to produce the results stated and whether there are impact drivers in place to point us in the direction of possible impacts. Causal-chain analysis can be used in these types of interventions. While the Roti was developed in the GEF, UNEP has used the approach in many of its evaluations.

### 2. The focus of the Evaluation

DTIE: According to the requirements of the donor agency, the Terms of Reference explicitly state that “The evaluation will focus on ... main questions” posed by the EC. Yet only 3 out of 53 pages in the evaluation report cover these seven main questions.

EO: The evaluation is a UNEP evaluation and thus follows UNEP evaluation guidelines where main focus is on the 11 evaluation parameters. Findings providing answers to the main questions are all incorporated into these parameters and pages 18-20 of the report are only meant to provide a summary.

### 3. Attainment of objectives and results

DTIE: During 2009, we met our target of launching the first scientific assessment report, on biofuels. Within the same year, we have evidence that the results of the report were used by the norwegian government to shape its taxation on biofuels. This type of policy is what the Resource Panel aims to support by providing the scientific basis. Therefore we argue

that even in the limited time after the report launch in 2009, we still managed to support sustainable resource management decisions. Therefore this section may wish to reflect this.

Evaluator: The question to what extent the Project activities have contributed to policy changes (and implementation of policy) can be illustrated by the answers given by the interviewees and respondents (see under A. Attainment of Project objectives and results – Effectiveness - Outcomes). Therefore it can be concluded that policy has been influenced modestly, in particular in the countries participating in the Steering Committee.

#### 4. Sustainability

DTIE: In fact, one full year after the evaluation period has finished has now past. The Resource Panel has grown in size, scope and impacts (with the last report downloaded over 500,000 times and influencing EC environmental priority setting). Therefore the evaluator can go beyond probability based on the past year. We suggest that the outcomes can be considered ‘very likely’ sustainable in the mid term.

EO: The evaluation extends through 2006-2009 and covers the time only up to the Evaluator’s interviews and field fact finding mission. Progress of the new funding period will be discussed in the next evaluation.

#### 5. Socio-political sustainability

DTIE: The evaluation refers to ‘under-representation’ of developing countries. DTIE suggests that the full list of Steering Committee members is shown. The project has official support from India, China and Russia. Brazil has been a member in the past. All countries are represented in the Resource Panel. Suggest to include the current list of countries to allow the reader to decide whether they are “underrepresentation”.

Evaluator: The under-representation of developing countries is an important point of attention. In addition, some interviewees considered it crucial to have the BRIC countries on board and others noted the absence of some major exporters of ‘natural resources’ (e.g. Australia).

#### 6. Stakeholders participation and public awareness

DTIE: The report says that “*during Project preparation no formal mechanisms were set in place for the identification and engagement of stakeholders.*” This is factually incorrect. A special feature of the Resource Panel is that we have set up a formal Steering Committee that formally engages stakeholders, particularly government and CSOs representing NGOs, Industry and academia. The Steering Committee is nothing but a strong mechanism to allow countries to steer (or drive) the work to ensure policy relevance. At the start the Steering Committee consisted of 13 countries and 3 CSOs. During the 2006-2009 period, this grew to 18 with the addition of Chile, France, Kazakhstan, Mexico and the USA. Since then, in 2010, we have even engaged 3 new members (Indonesia, India and Switzerland). Still we are working hard to engage further countries, eg, Brazil will now attend the next meeting. So the evaluation of these two criteria seems to underrate the value of our formal stakeholder engagement and country ownership mechanism.



In the same section, it is written that “except for the OECD, there are no other IGO’s on the Steering Committee” and “for the moment only IUCN is represented in the Steering Committee”. EU represented by the EC’s DG Environment should be included in IGOs and ICSU under NGO.

Evaluator: i. the question ‘who are the stakeholders?’ has not been addressed; the evaluator could observe that different EC documents at different places and different documents of the IRP-initiative are listing different stakeholders; normally, when following the LFA a stakeholder analysis is part of the design process; this could not be documented, e.g. ‘who of the major groups of Agenda 21 are stakeholders in the Project/Initiative?’ or ‘are the farmers (organizations), one of the major groups in Agenda 21, a stakeholder when it comes to the topic of biofuels?’ etc.

ii. The stakeholders involved (WBCSD and IUCN) themselves have responded during the interviews that efforts have been done, but that a lot more needs to be done: see the comments incorporated in the evaluation;

iii. The outreach-activities have been acknowledged, that is also the reason why a new Annex V has been inserted to showcase the efforts;

## 7. Links to UNEP/DTIE structure

DTIE: In two places, the draft report claims that “this project could be seen as isolated within the UNEP/DTIE structure and therefore it has difficulties in channeling its outputs into a process of policy-making”. This statement cannot be substantiated and is wrong. The IRP work is an integral part of UNEP PoW Resource Efficiency Subprogramme. On a daily basis, the IRP team works with colleagues responsible for SCP, Green Economy and sustainable energy.

Evaluator: This Project could be seen as isolated within the UNEP(DTIE) structure and therefore it has difficulties in channelling its outputs into a process of policy-making. While the UNEP/DTIE Project Management refers to other projects, units, branches and divisions as means to channel the outputs of this project into processes of policy-making, these are in theory only and no specific mechanisms have been put in place to ensure that this happens.