United Nations Environment Programme

Terminal Evaluation of the UNEP Project on "Global Atmospheric Pollution Forum (GAP Forum)", 2007-2010

by

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Disclaimer and Report Information

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LIST OF ABBREVIATIONS AND ACRONYMS

ABC	Atmospheric Brown Cloud
ADB	Asian Development Bank
APINA	Air Pollution Information Network for Africa
ASEAN	Association of Southeast Asian Nations
BAQ	Better Air Quality
BSP	Bali Strategic Plan
CAI	Clean Air Initiative
CB	Capacity-Building
CSD	Commission on Sustainable Development
EANET	East Asia Acid Deposition Monitoring Network
EC	European Community
GAP Forum	Global Atmospheric Pollution Forum
GC	Governing Council (of UNEP)
GEF	Global Environment Facility
GEO	Global Environment Outlook
IANABIS	Inter-American Network for Atmospheric and Biospheric Studies
ICC	International Chamber of Commerce
IES	Institute of Environmental Studies, University of Zimbabwe
IGO	Intergovernmental Organization
INGO	International Non-governmental Organization
IPCC	Intergovernmental Panel on Climate Change
IUAPPA	International Union of Air Pollution Prevention and Environmental Protection Associations
LA	Latin-America
LF(A)	Logical Framework (Approach)
Logframe	Logical Framework
LRTAP	Long-range Transboundary Air Pollution
M&E	Monitoring & Evaluation
MC	Management Committee
MDG	Millennium Development Goals
MTS	Medium Term Strategy
NGO	Non-Governmental Organization
OECD	Organization for Economic Cooperation and Development
PCFV	Partnership for Clean Fuels and Vehicles
PoW	Programme of Work

RAPIDC	Regional Air Pollution in Developing Countries
ROA	Regional Office for Africa
ROLAC	Regional Office for Latin America and the Caribbean
ROtI	Review of Outcomes to Impacts
SACEP	South Asia Co-operative Environment Programme
SADC	Southern African Development Community
SC	Steering Committee
SEI	Stockholm Environment Institute
Sida	Swedish International Development Cooperation Agency
SLCF	Short-Lived Climate Forces
SMART	Specific, Measurable, Achievable, Relevant, and Time-bound
TE	Terminal Evaluation
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme
UNEP DELC	United Nations Environment Programme - Division of Environmental Law and Conventions
UNEP DRC	United Nations Environment Programme - Division of Regional Cooperation
UNEP EO	United Nations Environment Programme - Evaluation Office
UNEP RRC.AP	United Nations Environment Programme - Regional Resource Centre for Asia and the Pacific
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
UNFCCC	United Nations Framework Convention on Climate Change
UNZA	University of Zambia
US	United States
US EPA	United States Environmental Protection Agency
WB	World Bank
WBCSD	World Business Council on Sustainable Development
WHO	World Health Organization
WMO	World Meteorological Organization

Project Identification Table

Project number: CP/5022-07-01		IMIS number: 3630	
Focal Area(s): Environmental Governance			
UNEP Strategic Priority/Objective:	The overall objective of the project is to reduce the impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity through effective action at local, regional, hemispheric and global scales.		
Approval date:	UNEP 20 August 2007	**Planned duration:**	36 Months
Geographical scope	Global with focus on Africa, Asia and Latin America	**Implementation:**	Internal
Expected Commencement date:	August 2007	**Expected completion date:**	July 2010
Commencement date:	December 2006	**Completion date:**	December 2010
Expected UNEP Allocation:	US$ 132,000	**Expected Co-financing:**	US$ 1,739, 830
Actual UNEP Allocation:	US$ 281,148	**Actual Co-financing:**	US$ 2,062,772
Expected Total Cost:[1]	US$ 1,739,830	**Total Cost:**	US$ 2,062,772

EXECUTIVE SUMMARY

The Project CP/5022-07-01 is to be seen within the context of the overarching initiative the 'Global Atmospheric Pollution Forum' and is (financially) supported through a Sida Grant Agreement. The purpose of the Project was to strengthen inter-governmental networks at the regional scale, to harmonize technical systems, information and assessment processes within and between regions and capacity-building based on them and to promote consensus among stakeholders to underpin emergence of regional, hemispheric and global action. The overall objective of the Project was "to produce a step change in the capacity to reduce the impact of air pollution in developing countries through the enhancement of scientific, technical and political capacity and institutions at the regional and inter-regional level."

This evaluation report is based on information derived from desk-review of the Project documents and interviews with key partners, all members of the Management Committee. The evaluation covers the CP/5022-07-01 Project over the period 2007-2010. It has taken place one year after the Project was concluded. In that sense this exercise can be regarded as the first as well as terminal evaluation.

RESULTS OF THE REVIEW

- the project did strengthen inter-governmental networks and regional initiatives at the (sub-regional) scale but in terms of implementation additional efforts are needed to make possible development of more effective cooperative programmes;

- partly thanks to the input of existing information, the Project did harmonize and improve methodology on technical systems, information and assessment processes on crops, corrosion, health …; the Project was not able to realize within its timeframe a process within and between all regions to facilitate more effective capacity building;

- to a certain extent, within its timeframe the project did promote consensus among policy, scientific and NGO communities to garner regional hemispheric and global action.

Project Ratings:

A. **Attainment of objectives and planned results:** the Project can be seen as a more complex structure with multi-level, actor and sector involvement. In terms of activities and outputs, the Project deployed good value for money. The Project met its immediate objectives by producing (draft) agreements endorsed by the relevant regional government forums, publishing a number of common methodologies available for monitoring and impact assessment, attracting the active participation of countries in each region, contributing to an increased media coverage on air pollution issues and increasing the number of joint projects focused on mitigation of air pollution. 'Outcomes' were delivered somehow in a cost-efficient manner and were designed to feed into a continuing process. The Project 'outcomes' were consistent with objectives of the UNEP programmes and initiatives and are thus seen as relevant for the time being. It is not clear how/if the results of the Project will make progress towards 'intermediate states' leading to the ultimate objective "Reduced impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity."

   Rating: 'Satisfactory' (Attainment of outputs and activities – 'Satisfactory'; Effectiveness – 'Satisfactory'; Relevance – 'Satisfactory'; Efficiency – 'Satisfactory').

B. Sustainability and catalytic role

B.1. Sustainability: there have been considerable efforts from the side of the UNEP (and SEI) to involve all governments and their experts from different developing countries. The Project was closed without achieving fully its objectives in terms of continued financial support. Furthermore the GAP Forum has not become formally under the ambit of UNEP or an existing or new international treaty organization (as expected in the Project Document) to support the sustainability of the Project outcomes. It can be observed as well that there is a lack of systematic and coherent approach with reciprocal references between the UNEP Programmes of Work and the Project documents. Inter alia, these reasons might jeopardize sustenance of Project outcomes and onward progress towards impact. However because remediating is partly in the hands of UNEP, it is moderately likely the Project can guarantee the intended project outcomes as defined in the Project Document LFA.

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

B.2. Catalytic Role and Replication:

The catalytic role can be identified in terms of use and application by the relevant stakeholders – to a certain extent - of: i) technologies and approaches show-cased by the demonstration projects (e.g. the use of the impact assessment manuals); ii) strategic programmes and plans developed (e.g. contents of action plans in the form of agreements, work plans, etc.); and iii) assessment, monitoring and management systems established at a national and sub-regional level (e.g. through the use of the emission inventory manual). If the Project would continue with the same (or increased) support, the Project has a high potential to play an important role in reducing air pollution. It is unclear if it has succeeded e.g. in providing socio-economic/market based incentives to change stakeholder behavior and/or catalytic financing at a sufficient level.

Rating: 'Satisfactory'

C. Processes affecting attainment of project results

C.1. Preparation and Readiness: it can be questioned if the formulation in the Project Document was practical and feasible within its timeframe and counterpart resources (funding, staff, and facilities). The formulation of the objectives in the Agreement is closer to what was realistic and therefore corresponding with the provided counterpart funding. Lessons have been incorporated (implicitly) from other relevant (in terms of content) or similar (in terms of scale) projects such as RAPIDC and ABC. A Management Committee with all major partners (UNEP, SEI, IUPAA, UNECE, CAI-Asia, APINA and IANABIS) in the Project has been responsible for taking strategic decisions and for directing the Project within the context of the GAP Forum. However it seems that the Management Committee always had limited time to deal with all relevant agenda items.

Rating: 'Moderately satisfactory'.

C.2. Implementation Approach and Adaptive Management: the changes in the project implementation mechanisms (no separate advisory board, changes in the name given to and in the composition of the management committee, etc.) have not influenced the effective delivering of project outputs and – to a certain extent - outcomes. The Management Committee, meeting twice a year, did not have a formal structure, however the good relationship between UNEP's Project Management, SEI and Sida contributed to the progress made during this Project.

There is one important change during the life of the project which required adaptive management: the possibility of focusing on air pollution and climate change co-benefits, based on the short-lived climate forcers as a potentially important component in international environment policy. It can for sure be regarded as an opportunity, but it has been as well a

threat for the implementation of the planned activities, because it was stated by interviewees that this is as well an explanation for the delay in (partially) delivering.

Rating: 'Moderately satisfactory'

C.3. Stakeholder participation (and public awareness): during Project preparation no formal mechanisms were set in place for the identification and engagement of stakeholders, although target audiences (policy, scientific and non-government organizations) were identified in the Sida Grant Agreement based on the experience with RAPIDC and by using the stakeholders networks of existing sub-regional forums. At the end of the project it was acknowledged by the Management Committee "More thought also needed to be given to how to engage wider stakeholder groups." The awareness has been raised by the publication of the deliverables and the participation in different conferences, fora, etc. Some efforts have been made to raise public awareness, though it was not one of the planned activities. Rating: 'Moderately satisfactory'

C.4. Country ownership / driven-ness: except for (sub-)regions with a longer tradition (cf. Malé Declaration for South Asia), it is not certain that there is country ownership and driven-ness to really implement the provisions of the agreements because evidence is lacking. Furthermore it is unclear to what extent the departments, besides the one participating in the preparation of the agreements, are involved.

Rating: 'Moderately satisfactory'

C.5. Financial Planning and management: despite the difference between the figures in the yearly reports and the UNEP-IMIS-reporting, reviewing the information provided for this evaluation, the efforts of the Project Management can be appreciated in terms of financial planning and management.

Furthermore, the Project succeeded in attracting an extra grant in 2009 from Sida of 320,140 US$, bringing the total on 2,041,970 US$. The in-kind contribution of UNEP transcends the planned input, i.e. 281,148 US$ instead of 132,000 US$.

Rating: 'Satisfactory'

C.6. UNEP Supervision and Backstopping: the direct project management at UNEP and SEI has been led by the same people during the period under evaluation (2007-2010). Despite the hierarchical line chang of UNEP's supervision and backstopping over the years, the personal engagement of UNEP's Project Manager has been crucial.

The Agreement (and not the Project Document) has been used as a basis for the outcome monitoring. It can be acknowledged that this has been done by the Project Management in systematic and coherent way over the years in a realistic and forthright manner. No other documentation of project supervision activities has been brought to the attention of the evaluator.

Rating: 'Moderately satisfactory'

C.7. Monitoring and Evaluation

The two logical frameworks for the Project have differing objectives. There is only the Project Document's LFA with OVIs. Even though the M&E was based on an agreement between Sida and UNEP, more attention should have been paid to establishing a baseline and to the appropriateness and SMARTness of the OVIs. The monitoring and reporting on 'activities and outputs' have been undertaken via a matrix, and the yearly and the final narrative reporting 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'.

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In conclusion, two parts can be distinguished in a Project results chain: the 'means' ('inputs' and 'activities' resulting in 'outputs') and the 'ends' ('outputs' as 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 Sida Agreement, are rated 'satisfactory'. But these parameters evaluating the 'outcomes' (and 'impacts') have a rating 'moderately satisfactory'. Although most of the established sub-regional networks will continue, there are risks that the Project will not have continued long-term Project-derived (outcomes and) impacts.

Therefore, based on the findings above, the UNEP GAP Forum project is given an overall rating of '**moderately satisfactory**'.

SUMMARY OF LESSONS LEARNED

This was a Project building on expertise of and experience with similar projects, initiated earlier. It produced 'a step change in the capacity to reduce the impact of air pollution in developing countries through the enhancement of scientific, technical and political capacity and institutions', mainly at the (sub-)regional scale. It became clear from the evaluation and the interviews that it was a complex project with a need for multi-level (from global to national level; governments, scientific and NGO communities; transport, industry, households sectors) actor involvement.

Therefore, the lessons learned in this evaluation can be formulated as follows (Please see chapter V for the full description of the lessons):

- a (internal) project needs an effective and efficient monitoring and evaluation system;
- a causal pathway analysis should be undertaken before the development of the Logical framework;
- a participative process should be set up during the process design to formulate a common Logical Framework
- better defining and planning linkages within UNEP and with other IGO's can be beneficial for a (complex) project like this one;
- the Executive Office should anticipate well in advance (i.e. > 5 years) when planning a change in priorities, i.e. decreased attention in the PoW's and MTS for air pollution;
- future projects and/or a continuation of a (similar) project should take into account the complexity of certain projects.

The results of these actions could be applied when preparing for a possible continuation of this Project as intended in the Project Document.

SUMMARY OF RECOMMENDATIONS

The lessons learned formulated in the previous chapter have the potential for wider application and use, but also if it is considered that the project would continue in some form or another. In that sense the lessons learned need to be considered as 4 important recommendations. In addition, the following 5 particular recommendations can be made:

1) Assure a continuation of the Project's outputs/outcomes by establishing a global secretariat under the ambit of UNEP, in close collaboration with partners such as SEI, IUAPPA and others (because such a collaboration has proven its strength due to the particularities of each organization/institution.) Be reminded that the three current result areas, taking into account a multi-level, -actor and –sector approach while respecting the differences between (sub-)regions, are of equal importance. Focus from the UNEP side should be on the global and (sub-)regional level. A Scientific Advisory Board with a balanced representation might be of support to Result Area 2.

2) Develop an outreach strategy (including communication, awareness raising, etc.) and foster capacity-building and training, in the 6 UN languages, using the 'outputs' of the project;-agreements and manuals/guidelines. By doing so, the 'behavioral or systemic effects, i.e. the 'outcomes', will be strengthened and they would enable a progress towards 'effective use', i.e. the 'intermediate states'.

3) Based on an in-depth stakeholder analysis, set-up 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 governmental institutions 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).

4) Within the broader context of UNEP's strategy, 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'.

5) In this Project no appropriate M&E system encompassing the requirements in the Sida Grant Agreement has been designed or implemented. More attention should be paid to effective monitoring and supervision and Project documents should have budgeted M&E plans. Within the context of this project this would allow the design and implementation of an appropriate M&E system.

I. Evaluation background

A. Context

In 1997 UNEP's first Global Environment Outlook (GEO) stated: "Air pollution problems are multifaceted and pervasive. All major cities in the world suffer urban air quality problems …" The problem of air pollution was contextualized referring to the growth in the use of fossil fuel and to the adverse impacts. It was clear to the authors at the time that "The long-range transportation and transboundary effects of such atmospheric processes are increasingly of global concern."

A couple of years later (2000) GEO-2 could report: "Strenuous efforts have begun to abate atmospheric pollution in many industrialized countries but urban air pollution problems are reaching crisis dimensions in most cities of the developing world. …" "The Convention on Long Range Transboundary Air Pollution has resulted in significant reductions in emissions of acidifying gases in Europe and North America …. However, emissions in other regions, especially in parts of Asia, are a major and growing problem. …" Looking forward to policy making, GEO-2 explained: "There is growing understanding of the links between atmospheric problems such as local air pollution, acid rain, global climate change and stratospheric ozone depletion. Isolated responses to one environmental problem may in fact worsen another." In addition the driving forces for this environmental problem were identified as follows: "In all regions, future levels of atmospheric pollution will be governed largely by the use of energy from fossil fuels."

GEO 3 (2002) did focus more on climate change (and ozone depletion), whilst the 4th Global Environment Outlook published in 2007 emphasized again the implications for human well-being: "More than 2 million people are estimated to die prematurely each year due to indoor and outdoor air pollution. … Although air quality has improved dramatically in some cities, many areas still suffer from excessive air pollution, resulting in severe health impacts. Long-range transport of a variety of air pollutants also remains an issue of concern for human and ecosystem health."

These kind of assessments of the atmospheric state of the environment at global, regional, national or local level all over the world had grown out by the beginning of the nineties to a number of projects in developing countries. Soon it was however felt that the problem of air pollution will not be tackled on a serious scale unless it becomes systemically embedded in the policy-making process of the countries involved. Within the context of this report it is important to point at the Programme on Regional Air Pollution in Developing Countries, RAPIDC, which was initiated in 1996.

The overall objective of RAPIDC was to contribute to solving air pollution problems in the key regions of interest (South Asia and the SADC region). RAPIDC aims to achieve this overall objective through its Programme Purpose which is 'to facilitate the development of agreements and/or protocols to implement measures which prevent and control air pollution through promoting international cooperation and developing scientific information for the policy process'. The programme funded by the Department of Infrastructure and Economic Cooperation (INEC) of Sida, the Swedish International Development Cooperation Agency. It was steered by a Management Committee comprising SEI, UNEP RRC.AP, SACEP, IES and UNZA while running from May 2005 till December 2008.

It is against this background and with a clear link to what has preceded (RAPIDC) that the project under evaluation can be regarded in what follows.

B. The Project

The Global Atmospheric Pollution Forum was jointly established in 2004 as an initiative of the International Union of Air Pollution Prevention and Environmental Protection Associations (IUAPPA) and the Stockholm Environment Institute (SEI). The aims were expressed as follows:

- provide a framework for dialogue and co-operation among regional air pollution organizations;
- encourage harmonization of systems and approaches to facilitate cooperation at inter-continental, hemispheric and global scales;

- provide a forum for debate on issues such as the interaction of climate change and pollution, and in particular the policies and institutions needed to tackle pollution at the hemispheric and global scales;

- encourage the establishment of new regional networks in areas where they do not currently exist, and encourage capacity-building in those regions constrained by a lack of resources.

In the Terms of Reference (ToR) as described in Annex I, it is mentioned that the project (as described below) was to be implemented as part of the Global Atmospheric Pollution Forum.

The GAP Forum Project (Period 2007-2010)

The UNEP GAP Forum project was established as an initiative between the United Nations Environment Programme (UNEP) and the Swedish International Development Cooperation Agency (Sida) in collaboration with partner institutions and governments for a period of three years, initially from August 2007 to July 2010, and later extended to December 2010.

As described in the ToR "the initiative was a response to the impacts of air pollution on human health and well-being of poor people in developing countries. The contributions of air pollution to global and regional issues such as climate change and acid deposition were taken into consideration. It focused on Africa, Asia and Latin America, following requests from governments from these regions that UNEP assist in capacity building at the national level, harmonization and knowledge sharing at the regional and global level. It was expected to build on existing networks in Africa, Asia and Latin America and sought to facilitate the emergence of an effective global alliance on atmospheric pollution through strengthening and coordinating regional networks, capacity building and harmonization of scientific and policy assessment and information generation processes.

UNEP in collaboration with the partner institutions and governments were expected to play a key role in facilitating the formation of inter-governmental initiatives on air pollution issues. For example, facilitate the formation of regional air pollution related intergovernmental cooperation such as the Malé Declaration for South Asia. UNEP was expected to host the leading global initiative on air pollution emission reduction such as the Partnership for Clean Fuels and Vehicles (PCFV).

The inspiration for the Sida funded programme was a widening recognition that increased co-operation at regional scale could contribute substantially to the reduction of air pollution and its health and environmental impacts, and that such reductions were urgently needed in many parts of the developing world. In the UNECE Region (Europe, North America, the Russian Federation and Central Asian Republics) a regional agreement, the LRTAP Convention, had promoted substantial progress in the reduction of air pollution and its health effects through development of optimised strategies for key pollutants. Elsewhere in the world – where regional co-operation was at a more initial stage and scientific and technical capacity far more limited – air pollution was exacting a very heavy (and in some cases increasing) toll in health and environmental damage and reduced economic activity and aggravated poverty. At the same time there was increasing evidence that the hemispheric and global scales would become increasingly relevant for the abatement of air pollution, and that was needed to be found to enhance co-operation at these scales, and that regional air pollution networks could potentially play an important role in this."

* * * * *

The **overall objective** of the project, reflected in the Logical Framework Matrix of the Project Document, was "to reduce the impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity through effective action at local, regional, hemispheric and global scale." It was added that this requires collaborative action across a variety of fields, including scientific assessment, capacity building and political process.

The specific objectives were:

1. Strengthened inter-governmental networks and regional initiatives at the regional and global scale to make possible development of more effective cooperative programmes

2. Harmonized and improved methodology on technical systems and information and assessment process~~es~~ within and between regions to facilitate more effective capacity building

3. Public awareness and consensus among policy, scientific and NGO communities to underpin emergence of regional, hemispheric and global action

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The project started in 2007 through a Sida funded programme, initiated jointly by IUAPPA, SEI, and UNEP. Key partners were APINA, CAI, IANABIS, IUAPPA, SEI, UNECE LRTAP Convention. UNEP and the Forum's founders, IUAPPA and SEI, supported a management committee for the programme. Other regional air pollution bodies and a range of inter-governmental and non-governmental organizations were included as well on an ad-hoc basis.

The management committee was responsible for taking strategic decisions and to direct the Project. The Secretariat, undertaking the day-to-day coordination and management of activities, was expected to be serviced by UNEP (Objective 1) and SEI (Objective 2 and 3), in collaboration with IUAPPA.

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It has been reported (see Annex IV for a detailed overview of all results and activities) that the project comprises of the following deliverables over a more than three-year funding period:

1. Results and activities during the period 1st December 2006 to 31st December 2007

- Discussion Paper entitled 'Atmospheric Pollution: Developing a Global Approach #1'
- Document entitled 'Tackling Regional, Hemispheric and Global Air Pollution: The Potential Role of the UNECE Convention on Long-Range Transboundary Air Pollution'
- Annual reporting to Sida

2. Results and Activities during the period 1st January 2008 – 31 December 2008

- Lusaka Agreement (2008) – SADC Regional Policy Framework on Air Pollution
- Nairobi Agreement (2008) - Eastern Africa Regional Framework Agreement on Air Pollution
- Background document and draft joint plan to promote closer cooperation among the regional air pollution networks in Asia
- Draft Training manual titled 'Multilateral Cooperation on Air Pollution: Science, Policy and Negotiations for Agreements/Instruments'
- Second Governmental Meeting on Urban Air Quality in Asia
- Proposal to establish an Inter-Governmental Network on air pollution in Latin America and the Caribbean
- Letter exchange between Malé Declaration and LRTAP Secretariats
- Development of background papers for the Stockholm Co-benefits Conference
- Annual reporting to Sida
- The website (www.gapforum.org) hosted by Secretariat and updated regularly
- 2 expanded Newsletters issued (Issue 5, May 2008; Issue 6, November 2008)
- Mailing lists developed and expanded (Secretariat)
- Development of the CitiesACT portal (www.citiesact.org)

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

- Abidjan Agreement (2009) - Regional Framework Agreement on air pollution for the Western and Central Africa Sub-region
- Draft Regional Framework Agreement on air pollution for North African countries
- First joined meeting of regional air pollution networks in Asia-Pacific
- Training manual: "Multilateral Cooperation on Air Pollution: Science, Policy and Negotiations for Agreements/Instruments
- First Network meetings in Latin-America (March 2009)

- Second Network meeting in Latin-America (December 2009)
- Draft Regional Framework Agreement on air pollution of Latin America and the Caribbean
- Guidelines for conducting crop and corrosion impact studies
- Annual Reporting to Sida

4. Activities during the period 1st January 2010 – 31 December 2010

- Joint forum on atmospheric environmental issues in Asia-Pacific.
- Discussion Paper entitled 'Atmospheric Pollution: Developing a Global Approach #2'
- The GAP Forum 'Air Pollution Monitoring Manual'
- Health impact manual 'Cost-effective epidemiological studies for assessing health impacts - Impacts of particulate air pollution on the respiratory health of school children'
- Seminar on Ground Level Ozone and Food Security in Asia
- Final Reporting.

C. Evaluation objectives, scope and methodology

Objective of the Evaluation

The Terminal Evaluation (TE) of the 'UNEP Project on 'Global Atmospheric Pollution Forum'[1] was initiated and commissioned by the United Nations Environmental Programme Evaluation (UNEP) Office, Nairobi. The terminal evaluation of the project was undertaken after the end of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, SEI, Sida and other partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

Key questions

The Terms of Reference outlines that the evaluation should focus on the following key questions, based on the project's intended outcomes, which may be expanded by the evaluator as deemed appropriate:

- To what extent did the project strengthen inter-governmental networks and regional initiatives at the regional and global scale to make possible development of more effective cooperative programmes.

- How well did the project harmonize and improve methodology on technical systems and information and assessment process within and between regions to facilitate more effective capacity building?

- To what extent did the project promote public awareness and consensus among policy, scientific and NGO communities to garner regional hemispheric and global action?

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 discussed in a more in-depth manner than 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 Sida Agreement, rather than

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[1] Hereinafter referred to as 'the Project'.

in the 'ends' part (read: the 'ROtI' part), that relates more to what can be expected from UNEP 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. 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 Sida Agreement and what could have been expected from UNEP when placing the Project in the context of UNEP's Medium Term Strategies and related Programmes of Work.

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

- the project has been defined at its start by the agreement between the government of Sweden and UNEP;

- the UNEP Gap Forum project has been redefined in terms of overall and specific objectives by the Project Document (August 2007), signed by UNEP and the supporting organization, i.e. the Stockholm Environment Institute, in collaboration with IUAPPA, UNECE-LRTAP, CAI Networks, APINA and IANABIS;

- the formation of the management structure indicates an overall implementation responsibility shared by UNEP (Result Area 1) and SEI (Result Area 2 and 3), steered by a Management Committee with representatives of UNEP, SEI, IUPAA, UNECE-LRTAP, CAI, APINA and IANABIS.

Therefore, the UNEP Project CP/5022-07-01 can be placed within the context of GAP Forum for the period 2007-2010, contributing in its turn to the overarching UNEP Strategy. The Project, (financially) supported through the Sida Agreement, is focusing (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 in the three result areas.

Methodology

This evaluation has been conducted using a participatory approach including the following:

1. An initial briefing by the UNEP Evaluation Office in order to discuss the objectives and the focus of this evaluation, and to finalize the evaluation methodology.
2. An initial desk review of relevant Project documents including the identification of gaps of information.
3. The preparation of an inception report containing a thorough review of the project design quality and the evaluation framework.
4. Field visit to Nairobi for further interaction with the UNEP Evaluation Office, for face-to-face interviews with the UNEP Project Manager and the Fund Management Officer, and for interviews face-to-face or by means of telephone or Skype with members of the Management Committee and with UNEP's Regional Offices.
5. Field visit to York for face-to-face interviews with the SEI Project Management and to London with the representative of IUPPA.
6. Further interaction through electronic communication with the UNEP and SEI Project Manager.
7. Feedback and consultation between UNEP/EO, UNEP/DELC 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 Annex I).

One of the main outputs of this evaluation is to focus on lessons learned and their application in a possible near future of the project. It is stated 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 January-March of 2012. With some exceptions all the intended interviews could take place. 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 this Project has a more complex structure with multi-level, -actor and sector involvement, i.e. from the (sub-) national to the global level, involving different stakeholders (policy, scientific and non-government organizations) and targeting a range of sectors such as industry, transport and households. In terms of 'monitoring and evaluation' this Project has been managed from the end of 2006 till the end of 2010, based closely on a LFA in the initial agreement between UNEP and Sida, whilst the LFA in the Project Document signed by UNEP and SEI is different.

II. Project concept and design

As indicated in Chapter I – Evaluation Background - this project (CP/5022-07-01) uses a different approach (incl. terminology) from what 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

Three 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

In November 2006 an agreement was signed between the Government of Sweden and UNEP and a logical framework was formulated in the annex to the document 'Agreement between the Government

of Sweden and UNEP on support to Global Atmospheric Pollution Forum'. It covers results, activities, timeline/details and deliverables, but no (performance) indicators.

Next a project document was signed in August 2007 between UNEP and the Stockholm Environment Institute (SEI), as the supporting organization of the project. A new logical framework was introduced in Section 4 of the document, covering the intervention logic, objectively verifiable indicators, means of verification and assumptions for the expected results and a list of outputs and activities.

The annual reports and the final report use the format of the agreement between the Government of Sweden and UNEP to track progress.

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First, it should be noted that two different 'overall objectives' are phrased in the Agreement.[2] Both Logical Frameworks have specified different 'overall objectives' and 'specific objectives'.

It must be observed that the overall objective formulated in the Project Document expresses **the project's intended impact**, whilst the formulation in the Agreement and the reporting documents is rather looking at the results delivered in order to achieve the Project outcomes. The differences between the Agreement (November 2006) and the Project Document (August 2007) can be highlighted as follows:

- the deletion of "to produce a step change in the capacity" is sharpening the project's intended impact;

- the reference "in developing countries" has been omitted and is making the geographical focus of the project's intended impact less explicit;

- the detail "on human health, poverty, the vulnerable ecosystems and economic activity" has been added and makes the project's intended impact more concrete;

- the replacement of the means "through the enhancement of scientific, technical and political capacity and institutions" by "through effective action" makes it less detailed;

- the level of action has been changed from "at the regional and inter-regional scale" to "at local, regional, hemispheric and global scales" .

Regarding the three specific objectives it can be observed that the major difference lays in the fact that the Agreement's LFA has a more 'process' oriented formulation, whilst the specific objectives in Project Document's LFA are phrased as 'results'. For the third and last specific objective a notion on 'public awareness' has been added.

Further **review of the project's logical framework** learns that there are more differences between the LFA in the Agreement and the one in the Project Document. There are differences in terms of presentation as well when it comes to the (re-)formulation.[3]

In the Project Document, the matrix is presented almost according to the common understanding of a 'logical framework approach'. It covers the results ('intervention logic', 'objectively verifiable indicators', 'means of verification' and 'assumptions'), the outputs and the activities. Though the Table 1 in the annex of the Agreement (and in the final report) is labelled as 'Logical Framework Analysis (LFA)' there is a clear difference with the first one:

- it consists of 'results' (without detailing the subcategories), 'activity', 'timeline/details' and 'deliverables'; the terminology used is thus different;

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[2] There is difference between the overall objective in the Agreement itself and in the Annex 1 to the Agreement. As the annual and final reporting documents of the project are referring to the formulation in the Annex 1, that one is used as a starting point.

[3] It is noted that the ToR for the TE is capturing the phrasing of the Final Report of the Project.

- it can be assumed that the 'results' in this table equal the 'intervention logic' in the original table: there is a different formulation; the same observation can be made for the activities and the deliverables.

Table 1 highlights the differences for the 'results'/'intervention logic' and the 'deliverables'/'outputs'. The reformulation of the 'activities' is too far from the original phrasing that it is impossible to capture the differences in one and the same table. However, it will be explained later on in this report that it is not influencing the 'Review of outcomes to impact'.

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The UNEP Project Manager explained that an agreement between the donor (Sida) and the implementing agency (UNEP) is turned into a Project Document following an internal procedure steered by UNEP's Project Approval Group, chaired at the time by the Deputy Executive Director. The members of the Group were the Chief of the Programme Coordination and Management Unit as the deputy chair, all division directors of UNEP stationed in Nairobi, the Chief of the Evaluation and Oversight Unit, the Chief of the Budget and Financial Management Service, UNON, and the secretary of the Project Approval Group. This should clarify the evolution in the LFs. From the Sida side there is an expectation that the Agreement would deliver progress in terms of outputs, whilst UNEP aims at a better articulated project which identifies 'the expected causal links in the project results chain'.[4]

C. Review of 'Outcomes to Impacts'-methodology

The terminology used in the Agreement (and the reporting documents) 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 Annex III. 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.

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[4] Note however that the formulation of the project's intended impact, reflected in the overall and specific objectives, was done *post factum*, i.e. more than a half year after the Agreement was signed.

Table 1 – Comparison between the Project's logical frameworks

Result	Activity	Timeline/ details	Deliverables
1. Strengthened Inter-Governmental Networks and Regional Initiatives at the regional and global scale to make possible development of more effective cooperative programmes	1.1 Promote policy process in Africa	Intergovernmental consultations led by UNEP and AEIN in collaboration with APINA and CAI-Africa, supported UNECE and Forum Secretariats and by the nomination of regional Forum co-ordinator	Intergovernmental agreement and stakeholders network on air pollution across Africa, which will facilitate capacity building and South-South cooperation.
		Year 1 Start-up meeting for 15 key stakeholders in region to agree process for science/ policy development	Action Plan for promoting pan- Africa intergovernmental co-operation on air pollution issues.
		Year 1 Larger multi-stakeholder meeting to advance regional process to towards a pan- African agreement	UNEP brokered intergovernmental declaration or other appropriate agreement; with proceedings and results published for wider consensus-building
		Year 2/3 Further science/ policy intergovernmental meeting	Proceedings and results published for wider consensus-building
	1.2 Promote policy process in Asia	Ongoing preparation work and intergovernmental consultations led by UNEP in collaboration with CAI-Asia, supported UNECE and Forum Secretariats and by the nomination of regional Forum co-ordinator	Network of intergovernmental agreements and regional forum on air pollution in Asia, which will facilitate capacity building and South-South cooperation.
		Year 1 Co-ordination meeting for key stakeholders in region, continuing through year 2 and 3	Proceedings and action plan for closer co-operation and joint action among regional and sub-regional networks

Result	Activity	Timeline/ details	Deliverables
	1.3 Promote policy process in Latin America	Intergovernmental consultations led by UNEP in collaboration with IANABIS and CAI-Latin America, supported by UNECE and Forum Secretariats and by the nomination of regional Forum co-ordinator Year 1 Start-up meeting for 15 key stakeholders in region Year 1 Larger multi-stakeholder meeting to advance process towards pan-Latin American intergovernmental agreement Year 2/3 Science/ policy inter-governmental meetings	Intergovernmental agreement and stakeholders network on air pollution across Latin America, which facilitate capacity building in Latin-America. Action Plan for promoting Latin American intergovernmental co-operation on air pollution issues. UNEP brokered intergovernmental declaration or other appropriate agreement; with proceedings and results published for wider consensus-building Proceedings and results published for wider consensus-building
	1.4 Geneva LRTAP Meeting: mobilizing developed country support	Ongoing: progressive integration of skills and capacity building in developing regions built into LRTAP programme; attendance as necessary of developing region representatives at LRTAP meetings. Year 1 Meeting in parallel with LRTAP EB meeting where developing countries identify core needs and priorities Year 2/3 Activities decided at year 1 meeting	Agreed programmes between the Convention LRTAP and regional networks in developing countries. Document outlining developing countries' core needs and priorities and action plan
	1.5 Potential for global cooperation	Year 2/3 Exploit regional and inter regional cooperation and convergence to clarify possible pathways to more effective global agreements.	Study on the potential for global cooperation. Forum document on potential for global agreements on air pollution

Result	Activity	Timeline/ details	Deliverables
2. Harmonized and improved methodology on technical systems and information and process within and between regions to facilitate more effective Capacity Building	2.1 Further development of emission inventory guidelines and capacity building	Year 1 Manual improvement Year 1 HTAP Meeting presentation and consultation (Beijing, October 2006) Year 1 BAQ Presentation and consultation Years 2/3 Further manual development, testing and application	Published and continuously updated emission inventory manual, which will be fed into regional networks for compilation of emission inventories through capacity building trainings. Published Manual Presentation and report Presentation and report Presentations, reports and updated manual
	2.2 Develop harmonised guidelines for monitoring and the interface with atmospheric modelling	Year 1 Consultation to develop common approaches with leading networks/organisations Years2/3 Further development, testing and application	Guidelines on the global harmonization of procedures for atmospheric pollution monitoring and modelling, which will be incorporated into the regional networks through ongoing training programmes. Forum guidelines on the global harmonization of procedures for atmospheric pollution monitoring and modelling Progress reports
	2.3 Develop guidelines for impact assessment on health, agriculture, ecosystems and their services, and materials and cultural heritage	Year 1 Consultation on common strategy with leading networks/organisations Years 2/3 Further development, testing and application	Guidelines on the global harmonization of procedures for atmospheric pollution impacts, which will be incorporated into the activities of regional networks through capacity-building. Forum guidelines on the global harmonization of procedures for the assessment of air pollution impacts Progress reports
3. Public awareness and Consensus among policy, scientific and NGO communities to underpin emergence of	3.1 Forum Secretariat, Management Committee and Advisory Board	Ongoing: Steering activities of Management Committee and Advisory Board	Proceedings of Management Committee and Advisory Board activities and meetings. Detailed planning for the implementation of the Sida proposal years 2 and 3 and diversification of the Forum's funding base

Result	Activity	Timeline/ details	Deliverables
regional, hemispheric and global action		Annual reporting	Annual report and financial report using the LFA structure and based on workplan. Specifically addressing gender and reporting the participation of the Swedish resource base by name of expert, affiliation and funding used.
	3.2 Communications strategy	Ongoing: Website (Secretariat) Newsletter (Secretariat) Biennial Review (Secretariat) Discussion papers (consultants used where appropriate)	Published discussion papers on communication strategies and awareness materials. Regularly updated website Published Newsletters Published Reviews Publication of three discussion papers
	3.3 Collaborative assessment of key issues	Year 1 Scoping studies for assessments Year 2/3 Assessments of air pollution/climate change links; urban/regional air pollution policy relationships; and approaches to health impacts and policy options	Published reports on consensus assessments. Plan for assessment activities Published consensus assessments by end of contract period
	3.4 Promotion of objectives and outcomes to relevant science/policy communities	Year 1 BAQ 2006 Year 1 CSD 15 activities to be decided by the Forum Management Committee in consultation with Sida Years 2/3 BAQs 2007 -2009 Years 2/3 Links to other relevant events	Presentation materials on objectives and outcomes relevant to science/policy communities. Side Event and Forum document Activities in connection with CSD 15 May 2007 Side Events and presentations Side Events and presentations

III. PROJECT 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 annual reports, the final report, other relevant Project documents and the answers provided by the interviewees.

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.

Achievement of Outputs and Activities

The activities and planned results, i.e. deliverables, are highlighted in Table 1, whilst the reported results have been copied in Annex IV (and summarized in Chapter I). Below a comparison is made between both tables, based on the (expected) deliverables. Furthermore it should be emphasized that the achievements are highlighted in the Final Report (June 2011) in a narrative way as well, concluding with a chapter on the 'impact and implications of the GAP Forum Programme'.

Result 1 – Strengthened intergovernmental networks and regional initiatives

Activity 1.1 – Promote policy process in Africa

It was expected to conclude an intergovernmental agreement across Africa, however soon in the Project it appeared more feasible to come to an agreement in each sub-region. This result has been achieved, although the agreement for North-Africa is still a draft version. The expected stakeholders network 'which will facilitate capacity-building and South-South cooperation' seems not strong enough. The 'Action Plan(s) for promoting pan-Africa (or sub-regional) intergovernmental cooperation on air pollution issues' could not be reported. Proceedings and process-related results have been published.

Activity 1.2 – Promote policy process in Asia

It can be concluded that a 'Network of intergovernmental agreements and regional forum on air pollution in Asia' has be set up as expected. Proceedings have been published, an 'action plan for closer cooperation and joint action among regional and sub-regional networks' could be achieved. Progress on the implementation could not be reported yet as it is outside the scope of the progress report.

In addition it can be reported that activities on 'Capacity building on negotiating agreements on air pollution' and on 'Long term vision for urban air quality management in Asia' have been developed.

Activity 1.3 – Promote policy process in Latin-America

An intergovernmental agreement, incl. its network, can be reported, but – as in Africa – although progress has been made, the expected stakeholders network as such and the overall action plan was not within reach during the period under evaluation. Regarding the latter, components of an action plan are part of the Ministerial Decisions and recommendations.

Activity 1.4 – Geneva LRTAP Meeting: mobilizing developed country support

There has been a close cooperation between the Project Management and the (former) lead of LRTAP. Progress have been made, joined activities have been deployed, but 'agreed programmes between the Convention LRTAP and regional networks in developing countries' cannot be reported. The interaction between LRTAP and some of the sub-regional networks led to a better understanding of 'developing countries' core needs and priorities', but not to an 'action plan'.

Activity 1.5 – Potential for global cooperation

The activity has delivered what was expected: see Annex IV.

Result 2 – Harmonized and improved methodology on technical systems and information and process within and between regions

First of all, it should be noted that for all three activities it was expected a process of 'development, testing and application' would have been set up. As there is no detailed reporting available, it is not clear for the Terminal Evaluation in what way this process has preceded the publication of the deliverables. However it has been explained that guidelines and manuals were produced through demonstration and participation of target users. Furthermore it was expected as well that the activities would 'facilitate more effective capacity-building'. It seems that – due to the delay in delivering – it is now too early to evaluate fully this particular aspect, but to date manuals are in use. Corrosion impact studies, crop impact studies, and emission inventory compilation in Africa and Asia have been conducted and are ongoing using the manuals. Health impact studies are ongoing in Asia based on the manual.

Activity 2.1 – Further development of emission inventory guidelines and capacity-building

The Project resulted in a GAP Forum emission inventory manual/workbook, incl. an update, and is therefore close to the expected accomplishment of a 'Published and continuously updated emission inventory manual, which will be fed into regional networks for compilation of emission inventories through capacity building trainings'.

Activity 2.2 – Develop harmonized guidelines for monitoring and the interface with atmospheric modeling

Except for a slight delay, the guidelines have been finalized.

Activity 2.3 – Develop guidelines for impact assessment, on health, agriculture ecosystems and their services, and materials and cultural heritage

Three different manuals on impact assessment (crop, corrosion, health) have been published and by doing so, the result is close to what has been expected.

Result 3 – Public awareness and consensus among policy, scientific and NGO communities

Activity 3.1 –Forum Secretariat, Management Committee and Advisory Board

It should be noted that 'The GAP Forum Management Committee … functioned … as an advisory body.' At the beginning proceedings have not been made; only the last two meetings the minutes can be regarded as what can be expected from a Secretariat. Furthermore, there is no evidence for a 'diversification of the Forum's funding base'. The annual report, using the LFA structure from the Sida Agreement and based on the work plan (incl. a financial report), has been published as expected. However gender issues have not been addressed (see below).

Activity 3.2 – Communications strategy

A communication strategy has been prepared and discussed in the meeting of the Management Committee, however further action has been referred till later but not really taken up again. It seems the 'discussion papers on communication strategies and awareness materials' were never published. On the other hand, the website was functional, newsletters and discussion papers have been published, etc.

Activity 3.3 – Collaborative assessment of key issues

The expectations towards results have been met (see Annex IV), inter alia, by delivering the discussion papers on 'Atmospheric Pollution: Developing a Global Approach'.

Activity 3.4 – Promotion of objectives and outcomes to relevant science/policy communities

The expected result of the promotion to relevant science/policy communities has fully been accomplished: cf. the presentations at events, meetings, conferences etc. (see Annex IV).

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

## Effectiveness, incl. Review of Outcomes to Impacts (ROtI)

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, since the Project logical framework in the Agreement is focusing on 'processes' (read: 'activities') and 'outputs', 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 Global Atmospheric Pollution Forum against the background of the UNEP Strategy. Moreover, as indicated before, a full answer to the key questions could only be formulated (see Chapter II) 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 UNEP Strategy, and within it the yellow zone, highlighting the Project CP/5022-07-01. Furthermore, the 'assumptions' and 'impact drivers' have been summarized to fit into the scheme. In order not loose information Box 1 is expanding on the rationale behind each of this synthetic representation.

Figure 1 – Schematic of the 'Impact Pathway' of the Project CP/5022-07-01 within the context of GAP Forum
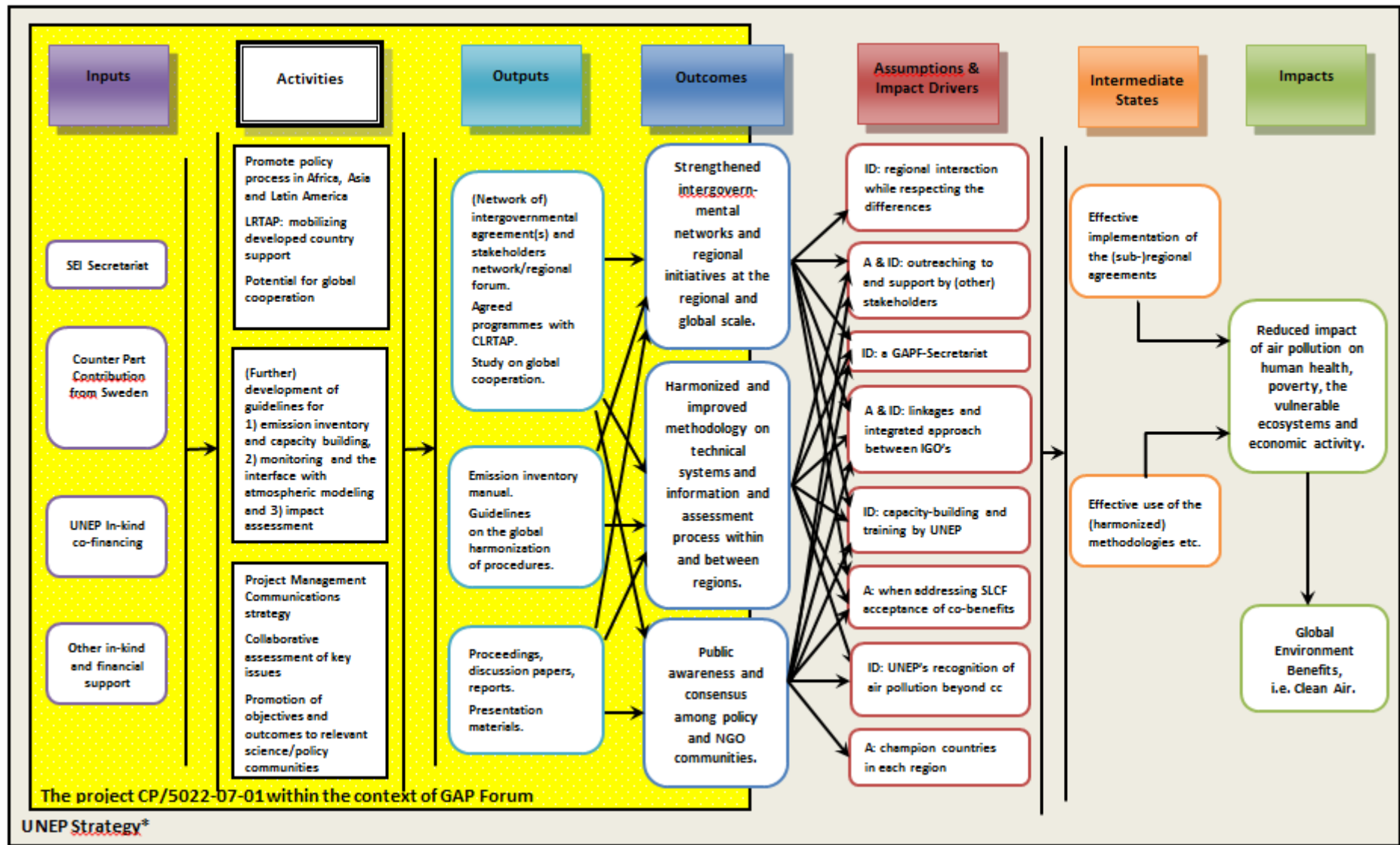
The Project met its immediate objectives by producing (draft) agreements endorsed by the relevant regional government forums, publishing a number of common methodologies available for monitoring and impact assessment (see Annex IV), attracting the active participation of countries in each region (note: examples are given below), contributing to an increased media coverage on air pollution issues and increasing the number of joint projects focused on mitigation of air pollution.

Although the annual reports and the final report makes it possible to track the progress made (in terms of 'activities' and 'outputs'), the Project itself can hardly be rated against the parameter of effectiveness as such. The overall objective has been set to a level where it is difficult to track down fully the process from outcomes to impact. Moreover, it should be reminded that there are three different outcomes to be attained in three different regions. Therefore the Project CP/5022-07-01 within the context of the GAP Forum, in terms of its achieve its outcomes and progress towards 'intermediate states' as formulated in 'impact pathway' (see Figure 1), has been given a ranking **BB, i.e. 'likely' to achieve impact**.

Box 1 - Clarification of assumptions and impact drivers in the 'impact pathway'

Figure 1 provides the impact pathway analysis, however due to limitations in terms of lay-out a synthesis for the assumptions and the impact drivers is shown in the different small boxes. Below, respecting the order of Figure 1, some more information is given about the rational of the synthesized representation. The purpose is to have a better understanding when reading the references to the impact pathway.

Impact Drivers, synthesized as '**regional interaction while respecting the differences**':
- recognizing the differences between (sub-)regions and adapt the programme strategy to it
- more efforts to set up an interaction between the 3 region's

Assumption & Impact Driver, synthesized as '**outreaching to and support by (other) stakeholders**':
- there is a support amongst other stakeholders for the GAP Forum outputs
- outreaching to (other) stakeholders based on a well-developed strategy

Impact Driver, synthesized as '**a GAPF-Secretariat**':
- continuation of a GAPF-Secretariat as a facilitating hub/partner/coordination

Assumption and Impact Driver, synthesized as '**linkages and integrated approach between IGO's**':
- integrated approach between IGO's
- enhance linkages with other (similar) projects, (relevant) organizations or institutions

Impact Driver, synthesized as '**capacity-building and training by UNEP**':
- expand and continue capacity-building/training strategy by UNEP at the national and regional level

Assumption, synthesized as '**when addressing SLCF acceptance of co-benefits**':
- increase acceptance of the co-benefits when addressing 'short-lived climate forces' and 'climate change' at the same time

Impact Driver, synthesized as '**UNEP's recognition of air pollution beyond cc**':
- recognizing by UNEP the problem of air pollution, beyond the impact of climate change

Assumption, synthesized as '**champion countries in each region**':
- champion countries showcasing in each (sub-)region best practices

Outcomes

Three 'outcomes', i.e. behavioral or systemic effects, were anticipated from this Project. The following can be observed in general terms:

- o   as indicated in Chapter II, the formulated 'objectively verifiable indicators' at the level of 'specific objectives' have not been monitored;

- o   therefore it is not possible to come forward with clear quantitative evidence for these 'outcomes', being 'specific objectives';

- o   however the question if the 'outputs' have contributed to 'behavioral or systemic effects' can be answered by taking information from the reporting documents and using the responses from the interviewees.

More related to the 'specific objectives', the following can be stated:

- **Strengthened intergovernmental networks and regional initiatives at the regional and global scale to make possible development of more effective programmes**:
  - o   the legal status of the intergovernmental networks and regional initiatives – compared to LRTAP – varies going from convention over agreement to declaration;

  - o   all countries in Africa have taken part in an 'agreement'; however for the Northern Africa countries it is still a draft agreement; they are all focusing on air pollution;

  - o   all countries in Asia are taking part in – at least – one of the framework convention/agreement/declaration; however there is a (slightly) different focus and content among the frameworks (preservation of environment, acid deposition, control and prevention of air pollution, transboundary haze pollution); by the end of the Project an agreement was reached on a joint plan for a joint forum on atmospheric issues in the Asia-Pacific involving all regional air pollution networks;

  - o   the result of the project in Latin-America was a draft regional framework agreement on air pollution, supported by a ministerial decision calling for additional work;

  - o   next to the results at the regional level, initiatives have been undertaken to set up an interaction between UNECE LRTAP and the other regions and at the global scale.

This outcome is ranked overall at 'B', i.e. the Project's intended outcome was delivered, and was designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding.

- **Harmonized and improved methodology on technical systems and information and assessment process within and between regions to facilitate more effective capacity building**:
  - o   the major achievement was the publication in 2010 of the Air Pollution Monitoring Manual;

  - o   guidelines for conducting crop, corrosion and health impacts have been published as well by the end of the Project.

This outcome is ranked overall at 'B', i.e. the Project's intended outcome was delivered, and was designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding.

- **Public awareness and consensus among policy and NGO communities to underpin emergence of regional, hemispheric and global action**:
    - o this 'specific objective' is in particular a hard one to evaluate because the monitoring through the 'objectively verifiable indicators' is lacking; as defined in the ROtI-methodology it should be about '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';
    - o furthermore it should be noted that this was not an objective the LFA of the Sida/UNEP Agreement, but it was in the UNEP/SEI Project Document's LFA; during the period under evaluation (2007-2010), some public awareness related activities were undertaken "… in relevant circles" (cf. Final Report), but understandable there was no outlined strategy; though a GAP Forum Communication Strategy has been developed in 2007 with key components for 2007-08; however it was not possible for the evaluator to track progress in a systemic and coherent way.

    This outcome is ranked overall at 'B', i.e. the Project's intended outcome was delivered, and was designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding.

Some of the interviewees asked themselves how far the activities/results of the Project resulted in 'behavioral or systematic effects' (read: 'outcomes') and – if positive – beyond the public authority in charge of 'environment'. It has been illustrated by interviewees with the phrase 'What's next?', indicating that the job is not finished yet.

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Collectively these outcomes are ranked at a rate 'B' , i.e. the Project's outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding (see Table 2). However there are examples of projects outcomes taken up by existing processes.

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Intermediate states

Two 'intermediate states', i.e. transitional conditions, are regarded as crucial for this Project:

- **Effective implementation of the (sub-)regional agreements**
    - o some of the agreements are being implemented, but most of the agreements need further support; during the interviews it has been acknowledged that there is/might be a problem with the implementation of some agreements;
    - o therefore in terms of process additional efforts are needed to follow-up and to stimulate the implementation;
    - o different 'impact drivers' (and 'assumptions') are related to this 'intermediate state';

- **Effective use of the (harmonized) methodologies etc.**
    - o some interviewees pointed at a fast turn-over of country representatives; the consequence being not only the capacity-building is getting lost, but as well the physical documentation because it is taken with them to their other post;
    - o furthermore, it is taken for granted that potential users do have a basic knowledge of air pollution, which is too often not the case;
    - o though the outputs in terms of (harmonized) methodologies are regarded as useful, it should be noted that some interviewees were doubtful about the effective use of the manuals/guidelines/etc.;

o therefore a plan for a continuous process of capacity-building and training would have been needed; that could be a next level of operation, so was stated by interviewees;

o different 'impact drivers' (and 'assumptions') are related to this 'intermediate state'.

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The ability to achieve these 'intermediate states' is ranked at 'B', i.e. measures designed to move towards intermediate states have (recently) started, but no indication yet that they can progress towards the intended long term impact (see Table 2).

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In summary, the planned Project's outputs were delivered according to the agreement. The 'outcomes' were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding. The Project has taken measures to move towards intermediate states, but it remains to be seen if progress towards the intended long term impact can be achieved. Thus the effectiveness of the Project has been given a ROtI-rating BB, i.e. likely to achieve impact: see Table 3.

Table 2 – Rating scale for outcomes and progress towards 'intermediate states'

Outcome Rating	Rating on progress toward Intermediate States
D: The Project's intended outcomes were not delivered	**D**: No measures taken to move towards intermediate states.
C: The Project's intended outcomes were delivered, but were not designed to feed into a continuing process after Project funding	**C**: The measures designed to move towards intermediate states have started, but have not produced results.
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**: 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.
A: The Project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after Project funding.	**A**: 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 3 - Results rating the 'UNEP Project CP/5022-07-01 within the context of GAP Forum

Outputs	Outcomes	Rating (D – A)[5]	Intermediary states	Rating (D – A)[8]	Impacts (incl. GEB)	Rating (+)	Overall
(Network of) intergovernmental agreement(s) and stakeholders network or regional forum. Agreed programmes with CLRTAP. Study on global cooperation.	Strengthened intergovernmental networks and regional initiatives at regional and global scale.	B	Effective implementation of the (sub-)regional agreements.	B	Reduced impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity.		BB
Emission inventory manual. Guidelines on the global harmonization of procedures.	Harmonized and improved methodology on technical systems and information assessment process within and between regions.		Effective use of the (harmonized) methodologies etc.		Global Environment Benefits, i.e. Clean Air.		
Proceedings, discussion papers, reports. Presentation material.	Public awareness and consensus among policy and NGO communities.						
Rating justifications:	All three 'outcomes' have been delivered, but with no prior allocation of responsibilities after Project funding.		Measures have been designed to move towards intermediate states, but there is no indication yet that they can progress towards the intended long term impact.		There is no evidence of impacts accruing within the life time of this Project.		

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[5] See Table 2 for rating scale.

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 (2007-2010) should be the basis to look at the **UNEP Programme of Work** 2006-2007 (cf. UNEP/GC.23/8), 2008-2009 (cf. UNEP/GC/24/9) and 2010-2011 (cf. UNEP/GC.25/12).

In the first relevant UNEP Programme of Work (2006-2007) reference to air pollution is made under the expected accomplishment 'Environmental assessment and early warning'. Through 'Technical cooperation' UNEP sought to provide "Advice and technical support to Governments in the development and implementation of policies to improve the air quality in developing country cities …" Furthermore, another substantive activity is the 'Promotion of legal instruments': "Environmental law input and assistance to Governments for the development and strengthening of regional and sub-regional legal regimes in areas such as … air pollution …" In the subsequent UNEP Programme of Work (2008-2009) it seems UNEP's efforts on air pollution are more related to the element of the strategy on "Enabling and facilitating the taking of appropriate action by national authorities …", in particular linked to 'Technical cooperation', with a reference to the Bali Strategic Plan: "Assistance to governments in the development and implementation of policies to improve the air quality in developing country cities …" In both subprogrammes there are references to the Partnership for Clean Fuels and Vehicles (PCFV) and the development of urban air quality monitoring in sub-Saharan Africa and sustainable urban transport in Asia and the Pacific, which are instrumental as well in contributing to the overall objective of reduced impact of air pollution. Note that the UNEP Programme of Work 2010-2011 (cf. UNEP/GC.25/12) is less explicit on air pollution. The only reference which could be related to this Project falls under the expected accomplishment 'Environmental governance': "To ensure that environmental governance at the country, regional and global levels is strengthened to address agreed environmental priorities …" But 'air pollution' is not earmarked as an 'environmental priority'. In none of the UNEP Programmes of Work is there specific reference to the Global Atmospheric Pollution Forum.[6]

The Project 'outcomes' can contribute mainly towards the Goal 7 (Environmental Sustainability) of the **Millennium Development Goals**. If the Project would be more designed in order to achieve its 'outcomes' and progress towards 'impacts' (i.e. 'Reduced impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity'), it would contribute to three different targets: 'Target 1 - Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources', 'Target 2 - Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss' and 'Target 4 - By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers'. The Project could contribute to the other targets of MDG 7 as well, e.g. Goal 4 (Reduce Child Mortality).

Furthermore, it is clear that the Project is in line with the aim of the Global Atmospheric Pollution Forum, established by SEI and IUAPPA: see under I. Evaluation Background.

In summary, CP/5022-07-01 outcomes (has the intention to) remain consistent with objectives of the UN programmes and initiatives and – to a certain extent in time – with UNEP's objectives. As such, it has been rated as **'satisfactory'** in terms of its continuing relevance.

Efficiency

The efficiency of the Project was hard to evaluate for two reasons: the differences in objectives between the two LFA's (Agreement versus Project Document) and the dynamic adaptive management (see below). The implementation of some of activities can be characterized as delayed, because – as was stated by interviewees – the differences between regions was bigger than expected and therefore more time was spend to the first result area. But as the project was prolonged in time most of the expected results as described in the Agreement LFA could be achieved.

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[6] It should be noted that GEO 5 did report on atmospheric/air pollution.

In terms of financial means for the Project, Sida has contributed for 100%. In addition, UNEP and other stakeholders contributed in-kind financing. Some contributors supported activities in the field.

When it comes to setting-up procedures etc., as this Project is quite unique, it could only draw from previous and on-going similar projects (RAPIDC, ABC …) with some of the same partners involved. Note that interviewees do see an added value in a more developed exchange with similar projects/initiatives.

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

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In summary, the 'immediate objectives' and – to some extent - 'outcomes' were delivered in a cost-efficient manner, but Project's progress from outcomes, through intermediate states to impacts is not sufficiently guaranteed. The Project outcomes were consistent with objectives of the UNEP programmes and initiatives and are thus seen as relevant for the time being. Based on the findings of the evaluation the Project is given an overall rating of '**satisfactory**' for attainment of outcomes and objectives (Attainment of outputs and activities – 'Satisfactory'; Effectiveness - satisfactory; Relevance – satisfactory; Efficiency - satisfactory)

B. Sustainability and catalytic role

1. <u>Sustainability</u>

Sustainability is understood as the probability of continued long-term Project-derived outcomes and impacts (see Table 3 and Figure 1) in the broader sense of the UNEP Strategy after the Project funding ends. 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 unlikely'** when it comes to the probability of continued long-term outcomes and impacts.

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. According to the Project Document 'this project is designed to maximize participation of stakeholders at the sub-national, regional, and global scale'. 'The continuation of the Forum under the ambit of UNEP or an existing or new international treaty organization' can play a role at the global scale, whilst the sustainability depends on the continued participation of stakeholders at the sub-national and regional scale. The majority of interviewees are indicating that representatives of the governments at the (sub-)regional level were the most important stakeholders. Evidence from workshops, seminars and conferences show that there has been a multi-stakeholder approach: technical experts, ministers, civil society/NGO's, private sector, academic world.

Governments: from the global scale perspective the awareness, as described in the ToR "Developing countries were represented in the management committee through APINA and IANABIS and they represented a major partner of the constituency of UNEP and CAI and nearly half the member organizations within IUAPPA." Only a limited number of countries are member through very different institutions or organizations of these INGO's. However the interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project is going through the networks at the (sub-)regional scale. Interviewees brought to the attention of the evaluator several observations. First of all, it could be helpful if the GAP Forum Project could have a direct contact with national public authorities (cf. the sub-national scale). Secondly, the danger exists that governments withdraw if they believe a climate change agenda is pushed through these kind of projects. Rather it should be made explicit that it is about an air pollution topic, linked to the development agenda.
The Project Management brought to the attention of the evaluator that in reality, GAP Forum making direct link with the public authorities is not sustainable. There was a need to establish institutional

changes within the country through the governments to address the air pollution issue with a long-term perspective, which was exactly what the project was targeting. Furthermore, intergovernmental networks are owned by the governments. At the sub-regional level, countries will make the decision on their work plan. It is up to the countries whether to include climate change in their work plan.

IGO's: except for the UNECE LRTAP, there are no other IGO's on the Management Committee to keep the Committee small to make it cost effective, so was declared by the Project Management. Nevertheless UNEP and UNECE, both on the Management Committee, are the key IGO's directly involved on intergovernmental cooperation for air pollution. There has been no interaction with other economic commissions, because – it was said by interviewees - historically these are different organizations: UNECE was intended as a multilateral pan-European organization, while the other regional development arms of the United Nations seems to work in the first place bilateral with countries. Also working with WMO and WHO seems not easy because each of them has their own agenda and is focusing on other priorities. UNDP has always been informed when something was going on in the (sub-)region or country.

Private sector: though there was no structural interaction with the private sector, e.g. through WBCSD or ICC, as indicated before, the private sector has been represented at several occasions (workshops, seminars, conferences).

Academia: the Project within the context of the GAP Forum worked together with the academic world although it was not a systematic process with equal involvement of academia from all (sub-)regions. Interviewees clarified that 'more academic/scientific institutions should be on board' in the future.

NGO's: only CAI-Asia was represented in the Management Committee. CAI-Africa and CAI-Latin America were reported as not very active at the time of the project. Besides, these NGO's started with the help of the World Bank. As highlighted before, NGO's were involved at national and local level when initiatives were undertaken.

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Participating countries/sub-regions are at different stages of development . Despite the recognition of these differences in the project document, at the start of the implementation the Management Committee had hoped to move forward coherently across the regions. Though there have been considerable efforts from the side of the UNEP (and SEI) to involve all governments and their experts from different developing countries, additional efforts are needed. Through the development of a differentiating strategy (incl. a part on capacity-building and training) 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'**.

Financial resources

The Project was closed without achieving fully its objectives in terms of financial resources and without the Forum coming formally under the ambit of UNEP or an existing or new international treaty organization (as expected in the Project Document) after the three (four) year grant period.[7] In that sense financial risks that may jeopardize sustenance of Project outcomes and onward progress towards impact can be identified at two levels.

There is a need for donor funding to continue a Forum like instrument at the global and regional level for the activities under the three result areas. Interviewees indicated that they would expect other IGO's and emerging economies in the Global South to contribute as well in the respective (sub-) regions. However a gradual phase out/withdrawal of donor money/UNEP (in-kind) contribution should be built in.

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[7] It must be acknowledged that options for a continued support have been explored in 'Atmospheric Pollution: Developing a Global Approach', a discussion paper for GAP Forum partners on the prospects for enhancing international co-operation on air pollution, launched in December 2010.

On the other hand there is a need to increase the financial means at the sub-regional and national level for the implementation of the agreements and the application of the manuals. Within this context, financial support from other sources (e.g. private sector) would be welcomed as well.

It must be observed from the interviews that there is no cohesive vision on how the global, regional and national (incl. local) level are interconnected and who should/could do or pay (for) what. Though there are a few indications of ad-hoc or continued funding for activities (such as the funding of the East Asia network by the member countries and financial contribution by the Government of India of the South Asia network) targeting the objectives of the Project, it is felt by interviewees that continuation of a similar initiative at the global level (cf. GAP Forum) could be adequate in leveraging funding.

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Thus, the Project is rated '**moderately likely**' in terms of financial sustainability.

Institutional framework and governance

A favorable institutional framework and governance climate is particularly important to the sustainability of the Project outcomes. First of all, with regard to air pollution, at UNEP there is no out-posted office or collaborating center nor has there been an establishment of a scientific advisory group. One of the interviewees added to it that this observation is not surprisingly because unlike the sea, there is no international legal binding instrument on the protection of the atmosphere. Another interviewee stated that the establishment of one scientific body for all the air pollution issues is scientifically questionable. However, it should be noted that the ABC Science Team, under the ambit of UNEP including members from all continents, is considering important air pollution issues. There above there are UNEP supported scientific bodies on air pollution issues such as acid deposition, health impacts, monitoring, emissions inventory and crop impact.

Furthermore, it can be observed that there is a lack of systematic and coherent approach with reciprocal references between the UNEP Programmes of Work and the Project documents. Moreover it seems the Project has lost attraction when reading the UNEP Programmes of Work (2006-2007, 2008-2009, and 2010-2011) (see under 'Relevance'). In other words the related activities to the Project were reflected in a way in the Programmes of Work at an early stage, but there was no explicit reference neither was it in UNEP's Medium Term Strategy 2010-2013. Furthermore in the Project Document it was expected that at some stage after the three year grant period, the Forum would come formally under the ambit of UNEP or an existing or new international treaty organization: it did not happen. However, to date UNEP's regional offices are providing secretariat support intergovernmental agreements. The establishment of the ABC and Air Pollution Secretariat at the headquarters in Nairobi can be regarded as an important part of the institutional framework and governance.

It can be noted that that one of the specific objectives is targeting the institutional sustainability: "Strengthened intergovernmental networks and regional initiatives at the regional and global scale to make possible development of more effective cooperative programmes." The basis for this outcome should be – inter alia – a "(Network of) intergovernmental agreement(s) and stakeholders/network forum." (see Figure 1). As mentioned before the legal status of the intergovernmental networks and regional initiatives – compared to LRTAP – varies going from convention over agreement to declaration, each with a different institutional framework and governance. The Final Report of the Project does list the 'institutional' deliverables, but it does not assess the results (institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc.) required to sustain project results.

The contribution of the deliverables of the two other specific objectives to the Project's impact will very much depend on the institutional framework and governance at the global and (sub-)regional level. Therefore it is suggested – as an 'impact driver' – to foresee in a kind of GAP Forum Secretariat. It can function as a partner for the follow-up and support of the implementation of the agreements.

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In general, because remediating is in the hands of UNEP, the project has been rated as '**likely**' for this dimension of sustainability.

Environmental

Referring to the overall objective in the Project Document, the definition for 'Global Environment Benefits' as used in the ROtI-manual should be recalled: "Lasting improvements in the status of an aspect of the global environment that safeguards environmental functioning and integrity as well as benefiting human society."

It is obvious that this Project intends to contribute directly to a 'Reduced impact of air pollution' as 'an aspect of the global environment'. However, it would have been interesting to read in the Final Report of the Project what the forecasts/foresights are for a reduced impact 'on human health, poverty, the vulnerable ecosystems and economic activity' (cf. overall objective) due to the intervention logic.

However it is not relevant to rate activities in the project area as environmental risks sensu stricto. Note that as for any Project within the UN system, the UNEP GAP Forum project 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 (Socio-political sustainability – 'moderately likely'; Financial sustainability – 'moderately likely'; Sustainability of Institutional frameworks and governance – 'likely').

2. 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 (sub-)national issues such as market based incentives and 2) this is a first but terminal 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 'catalyzed behavioral changes', 'incentives', 'institutional change', 'policy change', 'catalytic financing' and 'champions'.

Because the Project has only been finalized by the end of 2010, it is too early to evaluate all of these points, but – inter alia - based on the answers of interviewees the following points can be made:

- Catalyzed behavioral changes: there is 'a step change' in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects (e.g. the use of the impact assessment manuals); ii) strategic programmes and plans developed (e.g. contents of actions plans in the form of agreements, work plans, etc.); and iii) assessment, monitoring and management systems established at a national and sub-regional level (e.g. through the use of the emission inventory manual); however no overall catalyzed behavioral change has been monitored as part of the Project implementation;

- Incentives: the Project has mainly been working at a global and (sub-)regional scale and not directly with governments; therefore it is hard to demonstrate that the Project activities provided incentives (social, economic, market based, competencies, etc.) to contribute to catalyzing changes in stakeholder behavior;

- Institutional change: it can be observed that the three regions and - within each region – countries have a different stage of social and economic development; in some (sub-)regions there was no network at all focusing on (transboundary) air pollution; today almost all countries are subscribing a (sub-)regional convention/agreement/declaration, i.e. an institutional change has taken place;

however, without a systematic monitoring it is not possible to see to what extent the Project activities have contributed to changing institutional behavior at national level;

- 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 (see under A. Attainment of objectives and planned results – Effectiveness - Outcomes). Therefore it can be concluded that policy has been influenced modestly; it is clear as well that there are differences between the (sub-)regions, knowing that some of the (sub-)regions have a longer history (e.g. the Malé Declaration for South Asia) than the period under evaluation;

- Catalytic financing: some interviewees argued that catalytic financing from governments (US, China …) and other donors (e.g. petroleum federation in Brazil) start to follow for related projects in the field. However there is still a need to scale it up.

- Project champions: interviewees indicated as well that progress can be made when champion countries are taking the lead and show the possibilities to their neighbor countries (e.g. Ghana, with the support of US-EPA for capacity-building, equipment, etc., on monitoring air quality).

Replication

'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 that the Project the global scale and 'regions' (Asia, Africa and Latin-America) as geographical areas.[8] 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 (sub-)regions of the world. It is clear that this part of the evaluation is linked to the observation raised under the 'Institutional Sustainability': the need to assess the results in terms of legitimacy and legal basis (institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc.). These factors are of course expected as well to contribute to the potential of scaling up.

On the contrary, it should be noted that this Project within the context of GAP Forum is rather an – improved and expanded - replication of other projects such as RAPIDC (initiated in 1996) and ABC (started in 2001) from which lessons and experiences could be drawn. It should be noted as well that LRTAP figured as an example.

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Based on the evidence presented, the Project (CP/5022-07-01) has been rated as '**satisfactory**' in terms of its catalytic role and replication.

C. Processes affecting attainment of project results

1. Preparation and Readiness

As already highlighted in Chapter I (and Annex III), here it should be reminded that there are differences between the logical framework (incl. overall and specific objectives) in the Sida/UNEP-Agreement (and used in the annual and final reporting) and the UNEP/SEI-Project Document. In that sense it is difficult to say that the objectives and its components were/are crystal clear to the evaluator. Moreover the question can be raised if the formulation in the Project Document was practical and feasible within its timeframe and counterpart resources (funding, staff, and facilities). It seems that the formulation of the objectives in the Agreement is closer to what was realistic and therefore corresponding with the provided counterpart funding.

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[8] However, it must be acknowledged that some activities were targeting a sub-region (e.g. in Africa).

Indeed, the arrangements for the implementation of the Project as described in the Agreement appear to have been in place. It seems the capacities of UNEP and SEI as the executing organizations were properly considered when the Project was designed. UNEP was overall responsible for result area 1, while the overall responsibility for the implementation of result area 2 and 3 was in the hands of SEI.

Lessons have been incorporated (implicitly) from other relevant (in terms of content) or similar (in terms of scale) projects such as RAPIDC and ABC, so was indicated by the interviewees. Procedures and processes have been inspired by these other initiatives.

A Management Committee with all major partners (UNEP, SEI, IUPAA, UNECE, CAI-Asia, APINA and IANABIS) in the Project has been responsible for taking strategic decision and for directing the Project within the context of the GAP Forum. However it seems that the Management Committee always had limited time to deal with all relevant agenda items. As a consequence items were referred at a next meeting or electronic consultation, but sometimes it was not taken up again.

Despite the confusion 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 compared to the requirements in the Agreement between UNEP and Sida.

2. Implementation Approach and Adaptive Management

First of all, it should be noted that not all project implementation mechanisms outlined in the project document have been followed: no separate advisory board, changes in the name given to and in the composition of the management committee, etc. The Project Management explained that the intended members of the advisory board were invited to the meetings of the management committee. The changes in the name given to and the composition of the management committee were motivated by strategic reasons. Although it is hard to say that these were pertinent adaptations made to the approaches originally proposed, it seems however that these changes have not influenced the effective delivering of project outputs and – to a certain extent - outcomes.

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Furthermore, three different levels of the implementation approach and the adaptive management need to be considered:

- o the Management Committee;
- o the UNEP with an overall responsibility and a specific responsibility for the implementation of Result Area 1;
- o and SEI serving as a Secretariat to the Project and with a specific responsibility for the implementation of Result Area 2 and 3.

The Management Committee

The Management Committee, meeting twice a year, did not have a formal structure. It has been working e.g. with a system of rotating 'convenors' who were chairing the meetings. Looking at the minutes of the meetings, it can be observed that SEI was always represented, UNEP, IUPPA and UNECE have been absent during one or two meetings. The other core members of the Management Committee (CAI, APINA and IANABIS) did not always attend the meetings. Overall, it can be observed that the Management Committee was steered by SEI (and UNEP).

UNEP

The latter is important to understand the close collaboration between SEI and the Project Management at UNEP. Interviewees reported as well a regular interaction with Sida. The relationship between UNEP's Project Management, SEI and Sida contributed to the progress made during this Project.

Despite the changes in management over time (see below), in terms of UNEP's specific responsibility for the implementation of Result Area 1, it has been repeatedly reported by interviewees that the progress made in this area would not have been possible without the efforts of the different UNEP

divisions in Nairobi and in the regions: they have access to governments and their institutions, which SEI does not have.

SEI

If formal management procedures (see elsewhere) are disregarded, SEI has been successful in serving as a Secretariat to the Project.

With regard to SEI's specific responsibility for the implementation of Result Area 2 and 3, it should be noted that the delay in Result Area 2 was mainly due to their time investment in supporting the activities under Result Area 1. The activities under Result Area 3 have been properly managed.

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There is one important change during the life of the project which required adaptive management: the possibility of focusing on air pollution and climate change co-benefits, based on the short-lived climate forcers as a potentially important component in international environment policy. It led to the organization of the a conference in Stockholm in 2008 "which has played a crucial catalytic role in developing understanding of and support for 'short-lived climate forcer (SLCF)' strategies which, as well as abating key regional air pollutants and hence contributing to health and food security, could deliver earlier climate abatement than action on CO2 alone", so was stated in the Final Report (UNEP, 2011).

It can for sure be regarded as an opportunity, but it has been as well a threat for the implementation of the planned activities, because it was stated by interviewees that this is as well an explanation for the delay in (partially) delivering.

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

3. Stakeholder participation (and public awareness)

No formal mechanisms were put in place by the Project for identification and engagement of stakeholders[9] but the Project Management explained that experience could be drawn from the RAPIDC-project and by using the stakeholders networks of existing sub-regional forums. From there policy, scientific and non-government organizations have been identified as the target audiences. However, interviewees communicated that 'more could have been done' in terms of stakeholder engagement at the global and (sub-)regional level, but from the different answers (see as well the socio-political sustainability under B.) it is unclear how the format should look like. This is confirmed by a reflection on 'possible changes to the GAP Forum's priorities and working processes' in the minutes of the last Management Committee Meeting (Vancouver, 15 September 2010): "More thought also needed to be given to how to engage wider stakeholder groups." Additionally, it should be emphasized that stakeholders were involved when specific initiatives were taken (workshops, seminars, conferences).

In addition to what have been highlighted under 'Public awareness and consensus' (see page 20), the following public awareness campaign can be mentioned: promotion of clean fuels within the context of the Bus Rapid Transit (BRT) project in Dar es Salaam (April 2009)..

In general, therefore, CP/5022-07-01 has been rated as '**moderately satisfactory**' in terms of stakeholder participation (and public awareness).

4. Country ownership / driven-ness

Due to the global nature of the Project, country ownership can be assessed to some extent by the level of interest and willingness in different countries to implement the agreements and using the

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[9] Note that 'stakeholder analysis' is an explicit part of constructing a logical framework.

manuals/guidelines. The country ownership/driven-ness has been explicitly asked for during the interviews. 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, bearing in mind the short period since the Project was concluded:

- o it was observed by interviewees that – except for (sub-)regions with a longer tradition – it is not sure that there is country ownership and driven-ness to really implement the provisions of the agreements;

- o it is unclear to what extent the departments besides the one participating in the preparation of the agreements were involved;

- o there is no indication that countries on the UNEP Governing Council are taking ownership by referring in their interventions to the Project within the context of the GAP Forum.

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

5. <u>Financial Planning and management</u>

The evaluation of the Project's financial planning could be based on the Project Document (August 2007), the Project Revision (January 2009), three MS Excel-files with the 'Budget & Plan'-report for 2007 (April 2008), 2008 (April 2009) and 2009 (March 2010) and the draft GAPF Project Worksheet (February 2012). The latter has been provided by UNEP Project Fund Management Officer.

In Annex VI the final actual project expenditure by activity is given based on the information provided by the UNEP Fund Management Officer as an input to the final reporting. The Final Report on the work stream January 2007-December 2010 has been finalized in June 2011, but the financial report (cf. the draft GAPF Project Worksheet) is still need to be completed because some information (e.g. the cost of the Terminal Evaluation) is lacking.

The assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime seems to meet proper standards. It can be observed that the Grand Total as reflected in the Project Document differs for several object codes from the Grand Total in the subsequent 'Budget & Plan'-reports, but the dynamic budgeting system takes care of the changes in needs and therefore cost factors.

From the files for 2007 and 2008, it can be noticed that there has been a delay in expenditure, in particular for ROLAC (and to a certain extent in ROA). This has been very much related to a delay in the initiation of activities in these regions.

Though the official UNEP documents (Project Document 2007, Project Decision Sheet 2009 and Project Action Sheet 2010) are using figures (closely) in line with the draft final, a variability in the reported Grand Totals over the years for at least 20007, 2008 and 2009 can be observed: see Table 4. for an overview. It has been explained by UNEP FMO that UNEP recorded the reports on quarterly basis as and when reported by the partners. Since UNEP has its cut-off dates for closing the annual accounts, sometimes the final reports from partners only arrive after the closure of UNEP accounts hence the differences are recorded in the following year as an adjustment. In some cases, the final reported amount by partners is only confirmed after its annual audit which is completed after closure of annual accounts of UNEP.

Table 4 – Overview of the variability in Grand Totals in the subsequent financial reports

	2007	2008	2009	2010	2011
Annual Report 2007 (April 2008)	299,427	/	/	/	/
Annual Report 2008 (April 2009)	53,683	842,877	/	/	/
Annual Report 2009 (May 2010)	53,683	979,404	509,167	/	/

Annual Report 2010 (N.A)	N.A.	N.A.	N.A.	N.A.	/
Final Report (June 2011/February 2012)	34,601	425,448	1,082,452	327,493	192,778

Regarding the overall Grand Total, the Project succeeded in attracting an extra grant in 2009 from Sida of 320,140 US$, bringing the total on 2,041,970 US$, and later on in 2010, an increase in the budget by 22,020 US$ realized from the favorable exchange rate gain as a result of receiving the final payment of the contributions by the Donor.

The in-kind contribution of UNEP (see Annex VI) transcends the planned input, i.e. 281,148 US$ instead of 132,000 US$, so was reported by the UNEP Project Manager. Different governmental institutions contributed furthermore for specific subprojects, through hosting meetings, workshops, seminars, conferences or by providing services through seconding experts. Because these contributions were channeled in varying ways, often not reported explicitly, it has not been possible for the Project Management to keep track of it. These in-kind contributions have in particular helped the Project to make progress at the (sub-)regional and national level, so was declared by interviewees.

Despite the difference between the figures in the yearly reports and the UNEP-IMIS-reporting, the efforts of the Project Management can be appreciated in terms of financial planning and management. In general, therefore, CP/5022-07-01 has been rated as '**satisfactory**'. However a lesson learned will be drawn from these observations.

6. UNEP Supervision and Backstopping

The direct project management at UNEP and SEI have been led by the same people during the period under evaluation (2007-2010). The project started as a project in the Division of Regional Cooperation, located at the Regional Office for Asia and the Pacific. The supervision and backstopping was executed by the Regional Director and Representative for Asia and the Pacific till his new appointment in 2008. In the same period the UNEP's Project Manager moved from Bangkok to Nairobi to take up new responsibilities at the Division of Environmental Law and Conventions, but still remained in charge for the Project under evaluation. Although a crystal clear line of supervision and backstopping could not been identified anymore, the personal engagement of UNEP's Project Manager seemed to have been crucial "to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs, in order to identify and recommend ways to deal with problems which arise during project execution."

It has been highlighted before that the Agreement (and not the Project Document) has been used as a basis for the outcome monitoring. It can be acknowledged that this has been done by the Project Management in systematic and coherent way over the years in a realistic and forthright manner. No other documentation of project supervision activities have been brought to the attention of the evaluator.

Furthermore, as the management committee was responsible for taking strategic decisions and to direct the Project, the minutes of its meetings are essential to track down the way the supervision and backstopping have been implemented. Two observations should be made:

- o the name of the committee changed four times over the years; the question arises if the role of the committee has been clear;
- o the committee met eight times, but at the beginning minutes were not prepared; only the last two meetings the documents provided to the evaluator can be regarded as functional to gauge the quality of project supervision activities.

The financial aspects of project implementation supervision have been discussed under the previous point.

Despite the weaknesses to some extent of the formal documentation, this Project has been ranked as '**moderately satisfactory**' in terms of UNEP's supervision and backstopping.

7. Monitoring and Evaluation

The Terms of Reference of this evaluation request to assess the quality, application and effectiveness of project monitoring and evaluation plans and tools. This criterion is assessed on three levels: 1) the Project design, 2) the Plan Implementation and 3) the Budgeting and Funding for M&E activities. The evaluation is based on the documents and the information provided for by the Project Management and the specific questions formulated for the interviews.

It can be observed that the project management team designed itself a proper monitoring and evaluation system.   Over the years one can track down the progress made. Details will be discussed in the draft report.

The Project Design of M&E

As indicated earlier in this evaluation, with regard to the (original) Sida Agreement the Project is using a logical framework to monitor results and track progress towards achieving Project expected results of activities. But as stated by the Project Secretariat "the project management would have benefited from more coherence between ... documents and the more adherence to the formal LFA headings …". A baseline as such has not been developed: the expected deliverables as outlined in the LFA were serving as a baseline.

It should be noted that the LFA in the Project Document listed 5 'objectively verifiable indicators' (OVI's), with for 4 of them 'means of verification'. There was no reporting back (annual report, final report) on these indicators.

As no indicators as such have been used, no methodological sheets were developed, reflecting the SMARTness (of indicators). Therefore it has not been possible to evaluate this design aspect of M&E. Members of the Management Committee, when asked for, were not aware of another M&E system used for in the Project than the matrix used in the annual and final report.

 In conclusion, although it could have been expected that UNEP internally paid more attention to the systematic and coherent development of an M&E system, the Project Management followed a kind of M&E design in the agreement between the Contracting Authority ('Sida') and the Organization ('UNEP'): see Annex IV.

The application of the M&E plan

The comments made in the previous section are relevant here as well. As explained before, the follow-up using the matrix (see Annex IV) focusses on the 'means' part of the Project result chain. Through the use of Annual Reports (for 2007, in April 2008, 24 pp.; for 2008, in April 2009, 27 pp.; for 2009, in February 2010, 28 pp.) and a Final Report (for 2007-2010, June 2011, 29 pp. plus 17 pp. of annexes) an M&E system was in place and facilitated the tracking of results and progress of activities after one year. The Annual Reports are rather brief, using each year the same outline and reflecting accurately the progress made. The Final Report focusses on a (self-)evaluation of activities, outputs and results.

Progress Implementation Review (PIR) reports are understandable not available, because these reports are a standard reporting format for GEF funded work and therefore not applicable to these kind of projects.

Project Budgeting and Funding for M&E Activities

Except for the Terminal Evaluation, there was 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.

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Based on these findings, the M&E system for this project is rated as '**moderately satisfactory**'.

D. Complementarity with UNEP Strategies and Programmes

It should be stressed that the period under evaluation covers 2007-2010. The South-South cooperation and the Bali Strategic Plan date from before, UNEP's Expected Accomplishments 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 and POW 2010-2011

There is no explicit reference to an Expected Accomplishment related to 'air pollution' or any directly related topic ('atmospheric pollution', 'urban air quality', 'black carbon', 'brown cloud', …) in UNEP's Medium Term Strategy 2010-2013. However an indirect interpretation could be given to a reference under 'Climate change': "The UNEP expected accomplishments are: … (b) That countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation; …" Note that the reorientation/additional focus of the Project is precisely on the co-benefits an strategy on 'short lived climate forces', i.e. (urban) air pollution, could generate.

Furthermore, implicitly, it could be interpreted that the Project is contributing to UNEP's objective under 'Environmental governance' "that environmental governance at country, regional and global levels is strengthened to address agreed environmental priorities". However, 'air pollution' is not an agreed environmental priority (anymore) and the expected accomplishments are not explicit about the (sub-)regional level.

The same observation can be made for the Programme of Work 2010-2011 (and 2012-2013).

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

Alignment with the Bali Strategic Plan

Not all objectives of the Bali Strategic Plan are of equally importance to the Project because of its nature, however it is contributing directly at least to the following objectives:

- o "to strengthen the capacity of Governments of developing countries as well as of countries with economies in transition, at all levels:

- o to provide systematic, targeted, long and short-term measures for technology support and capacity-building, taking into account international agreements and based on national or regional priorities and needs;

- o to emphasize the identification and dissemination of best practices and the fostering of entrepreneurship and partnerships;

- o to enhance delivery by UNEP of technology support and capacity-building, within its mandate, to developing countries as well as to countries with economies in transition based on best practices from both within and outside UNEP, including by mainstreaming technology support and capacity-building throughout UNEP activities;

All three intended outcomes (see Figure 1) are in line with the Bali Strategic Plan.

Gender

The Project's LFA-table mentions explicitly the following in the Annual Report (2007, 2008 and 2009) and in the Final Report, under the deliverables related to Activity 3.1: "Annual report and financial report using the LFA structure and based on work plan. Specifically addressing gender and reporting the participation of the Swedish resource base by name of expert, affiliation and funding used." However In none of the four reports there is a reference to gender. The Project Management is aware of this shortcoming in the written reports, but argued that this item has been discussed at regularly with Sida. Implicitly the intended impact is gender-related, so was stated during the

interviews, because the most vulnerable people e.g. to indoor air pollution are women and children. Besides, UNEP has participated in projects to introduce more efficient cook stoves, which has lead inter alia to the Global Alliance for Clean Cook Stoves, launched at the 65th Session of the UN General Assembly.

South-South Cooperation

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 evidence lays in its nature of bringing together representatives of different (sub-)regions in the South, channeling experience and expertise from one (sub-)region to another, etc.: see overview with the achievements in Annex IV.

IV. CONCLUSIONS AND RATINGS

This evaluation covers Project 5022-07-01 within the context of GAP Forum in the period 2007-2010. It takes place after the Project has been concluded (December 2010) with no formal intention to continue. In that sense this exercise can be regarded as a first but terminal evaluation.

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Before summarizing the overall conclusions and ratings, the key questions need to be answered on the basis of the findings in Chapter III.

- **'To what extent did the project strengthen inter-governmental networks and regional initiatives at the regional and global scale to make possible development of more effective cooperative programmes?'**

  Prior to the GAP Forum programme, there had been no significant co-operation at regional scale in Africa or Latin America, and, in Asia, no significant co-operation among the three sub-regional networks that had emerged since the 1990s.

  When the Project was initiated, so has been stated in the interviews by the Project Management, the idea was that the experience and expertise of LRTAP could have been used to inspire developments in other (sub-)regions, but the differences between (sub-)regions were considerable. Soon, after the Project started it became clear that more time and differentiated attention needed to be given 'to strengthen inter-governmental networks and regional initiatives'.

  The project has established a platform to address air pollution issues in all the developing regions and therefore resulted in a step-change in the extent of co-operation on air pollution at (sub-)regional scale , though it is not sure that the ties between (sub-)regions (in view of 'the global scale') have been established, not to speak strengthened.

  As highlighted at several occasions in Chapter III it is hard to say if the efforts have led 'to make possible development of more effective cooperative programmes' because this would require the effective implementation of the agreements: cf. intermediate states in Figure 1.

- **How well did the project harmonize and improve methodology on technical systems and information and assessment process within and between regions to facilitate more effective capacity building?**

  Although there has been a delay in delivering, partly thanks to the input of existing information for the manuals/guidelines, 'the project (did) harmonize and improve methodology on technical systems and information and assessment process' such as the Emission Inventory Manual which is being used in Asia (Malé Declaration countries and in China), Africa (southern Africa) and is being supported by the LRTAP Task Force on Hemispheric Transport of Air Pollutants (HTAP); and parallel guidance manuals on air pollution monitoring, human health and crop impact assessment. However it is uncertain if the Project could realize as well a process 'within and between regions to facilitate more effective capacity building': cf. intermediate states in Figure 1.

- **'To what extent did the project promote public awareness and consensus among policy, scientific and NGO communities to garner regional hemispheric and global action?'**
  As indicated in Chapter III, 'public awareness' was not an objective as such in the Sida/UNEP Agreement LFA. But – to a certain extent - 'the project (did) promote ... consensus among policy, scientific and NGO communities to garner regional hemispheric and global action'.
  It is stated 'to a certain extent', because of the following reasons as explained in Chapter III:
    o there is no evidence for country ownership/policy change/… in all the (sub-)regions and for all the governments;

- the involvement of the scientific world has been limited; interviewees have been pleading for expanding the scope;
- there has been interaction with NGO's at the local level, partially at the regional level, but hardly at the global level.

* * * * *

Conclusions for the 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' as 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 Sida Agreement, are rated 'satisfactory'. But these parameters evaluating the 'outcomes' (and 'impacts') have a rating 'moderately satisfactory'. There are risks that the Project will not have continued long-term Project-derived outcomes and impacts.

Based on the findings presented, the Project CP/5022-07-01 is awarded an overall rating of '**moderately satisfactory**'.

Table 5 – Overall Evaluator Ratings Table

Criterion	Sub-criteria		Evaluator's Summary Comments	Rating	
A. Attainment of project objectives and planned results	A.1. Attainment of outputs and activities		The activities and the direct outputs have been achieved, but the more intangible defined outputs (cf. OVI's) could not be monitored.	S	**S**
	A.2. Effectiveness (via ROtI)		The 'outcomes' to a certain extent and 'intermediate states' have not been articulated (nor incorporated) therefore it is moderately likely the results of the Project could lead to achieve impact.	L	
	A.3. Relevance		The Project can be seen as in line with the UNEP PoW's at the time of design, though it remains to see how it fits into the current MTS.	S	
	A.4. Efficiency		There is good value for money in terms of activities.	S	
B. Sustainability and Catalytic Role	B.1. Sustainability	1. Socio-political	Though considerable efforts have been made, additional efforts are needed to involve actively all stakeholders, incl. governments and their experts.	ML	**ML**
		2. Financial resources	There is no cohesive vision on how the global, regional and national (incl. local) level are interconnected and who should/could do or pay for what. In some (sub-)regions financial resources are available for the implementation.	ML	
		3. Institutional framework	The outcomes of the three result areas depend very much on the institutional framework and governance at the global and (sub-)regional level.	L	
		4. Environmental	It is not relevant to rate activities of this Project as environmental risks sensu stricto.	N/A	
	B.2. Catalytic Role	1. Catalytic Role	The Project has a high potential to play. Foundational and enabling activities have been articulated (and incorporated) to a certain extent.	S	**S**
		2. Replication	Mechanisms to replicate (read: in different regions and with a view of multiplication) the outcomes could still be enhanced.	S	
C. Process affecting attainment of project results	C.1. Preparation and readiness		Despite the differences in the logical frameworks and the non-classical preparation of the Project, useful outputs could be delivered.	**MS**	
	C.2. Implementation approach		The dynamic adaptive management can be regarded as looking for opportunities, but it has been as well a threat for the implementation of the planned activities.	**MS**	
	C.3. Stakeholder Participation		Although there are no mechanisms in place for the identification and engagement of stakeholders, some efforts (e.g. outreach activities) have been made.	**MS**	
	C.4. Country Ownership		Some countries are showing ownership, but what about all countries signing a (sub-)regional agreement ?	**MS**	
	C.5. Financial Planning and Management		Despite differences over the years in reporting, the financial planning and management can be appreciated.	**S**	
	C.6. UNEP Supervision and backstopping		UNEP's Supervision and Backstopping cannot be labeled as stable throughout the period under evaluation (2007-2010), though the changing internal hierarchical system did not slow down the dynamics of the Project.	**MS**	

Criterion	Sub-criteria		Evaluator's Summary Comments	Rating	
	C.7. Monitoring & Evaluation	1. M&E Design	Except for 'objectively verifiable indicators' in the Project Document's LFA (not monitored), there was no formal M&E design.	MS	MS
		2. M&E Plan implementation	The reporting back (annual report, final report) was done by a matrix, based on the structure of the Agreement's LFA.	MS	
		3. Budgeting & funding	Except for the Terminal Evaluation, there was no specific budget allocated for M&E activities.	MS	

Rating Keys:

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

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

V. LESSONS (TO BE) LEARNED

This was a Project building on expertise of and experience with similar projects, initiated earlier: it produced 'a step change in the capacity to reduce the impact of air pollution in developing countries through the enhancement of scientific, technical and political capacity and institutions', mainly at the (sub-)regional scale. It became clear from the evaluation and the interviews it was a complex project with a need for multi-level, -actor and sector involvement.

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LESSON 1. During the Project design, differences have been introduced between the logical framework (incl. overall and specific objectives) in the Sida/UNEP-Agreement (and used in the annual and final reporting) and the UNEP/SEI-Project Document. Moreover the question can be raised if the formulation in the Project Document was practical and feasible within its timeframe and counterpart resources (funding, staff, and facilities). It seems that the formulation of the objectives in the Agreement is closer to what was realistic and therefore corresponding with the provided counterpart funding.

A process during the Project design, based on an interaction between UNEP, the main executive partner (in casu SEI) and the donor, should be set up to formulate a common Logical Framework, applying more systematically and coherent the LFA guidelines, based on causal pathway (see Lesson 3). It will as well allow – inter alia - the design and implementation of an appropriate M&E system, the outlining of a real stakeholder involvement, etc.

LESSON 2: This Project could be seen as isolated within the UNEP structure. It had difficulties in channeling its outputs into a process of outcomes and the progress made towards impacts. This had to do, on the one hand, with the changes in location of the Project in the UNEP structure and, on the other hand, with the decreased attention in the PoW's and MTS for air pollution. Furthermore, it can be observed that the expertise and experience is centralized in a limited number of individuals. This is a risk in terms of losing 'institutional memory' … at once if something occurs (e.g. the Project Manager leaves the organization).

Better defining and planning linkages within UNEP (incl. at the inter-division level) and with other IGO's can be beneficial for a (complex) Project like this one. It can be expected as well that the Executive Office anticipate well in advance (i.e. > 5 years) a change in priorities entering into force, trying to valorize internal expertise and experience (cf. the possibilities of co-benefits between air pollution and climate change initiatives).

LESSON 3: As highlighted in this evaluation interviewees acknowledge the progress made by this Project, but are asking themselves 'What is next?'. This clearly shows that the theory of change was not carefully thought through and the causal linkages to the ultimate outcomes not clearly established. In this evaluation translation into the effective implementation of the agreements and the effective use of (harmonized) methodologies are suggested as 'intermediate states' (see previous lesson learned). The developed discussion papers by the GAP Forum might be considered as an input for such a reflection. But for this to occur, a consistent strategy is needed that is impact-focused and takes due account of the specific situation of (sub-)regions. This should be undertaken prior to the preparation of any continuation of (a similar) Project.

LESSON 4: The Project gives the impression of an unfinished business for each of three result areas in each of the three regions. This is understandable given the fact that this is complex project dealing with a multi-level, -actor and -sector involvement to be realized in three year time with all in all a limited budget. Future projects and/or a continuation of a (similar) project should take this into account.

VI. RECOMMENDATIONS

The lessons learned formulated in the previous chapter have the potential for wider application and use, but as well if it is considered that the Project would continue in some form or another. **In that sense**

the lessons learned need to be considered as 4 important recommendations. In addition, the following 5 particular recommendations can be made:

RECOMMENDATION 1 (to UNEP Executive Management) : Assure a continuation of the Project's outputs/outcomes by establishing a global secretariat under the ambit of UNEP, in close collaboration with partners such as SEI, IUAPPA and others (because such a collaboration has proven its strength due to the particularities of each organization/institution.) Be reminded that the three current result areas, taking into account a multi-level, -actor and –sector approach while respecting the differences between (sub-)regions, are of equal importance. Focus from the UNEP side should be on the global and (sub-)regional level. A Scientific Advisory Board with a balanced representation might be of support to Result Area 2.

RECOMMENDATION 2 (to UNEP Project Management): Develop an outreach strategy (including communication, awareness raising, etc.) and foster capacity-building and training, in the 6 UN languages to ease the access to the available information (in Central Asia, French speaking Africa, Latin America, Arabic World, China), using the 'outputs' of the Project: agreements and manuals/guidelines. By doing so, the 'behavioral or systemic effects, i.e. the 'outcomes', will be strengthened and they would enable a progress towards 'effective use', i.e. the 'intermediate states'.

RECOMMENDATION 3 (to UNEP Project Management): Based on an in-depth stakeholder analysis, set-up 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 governmental institutions 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).

RECOMMENDATION 4 (to UNEP Executive Management): Within the broader context of UNEP's strategy, 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'. The following has been made explicit in the impact pathway:
- the organization as a whole (i.e. UNEP, including its Governing Council) should recognize that air pollution beyond climate change is still a major environmental problem;
- UNEP should work on linkages with the work stream of other IGO's and come forward with an integrated approach.

RECOMMENDATION 5 (to UNEP Project Management): In this Project no appropriate M&E system encompassing the requirements in the Sida Grant Agreement has been designed or implemented. More attention should paid to effective monitoring and supervision and Project documents should have budgeted M&E plans. Within the context of this Project this would allow the design and implementation of an appropriate M&E system.

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.

I. Project background and overview

Project General Information[10]

Table 1. Project summary

Project number	CP/5022-07-01	**IMIS number:**	3630
Focal Area(s):	**Environmental Governance**		
UNEP Strategic Priority/Objective:	The overall objective of the project is to reduce the impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity through effective action at local, regional, hemispheric and global scales.		
Approval date:	UNEP 20 August 2007	**Planned duration:**	36 Months
Geographical scope	Global with focus on Africa, Asia and Latin America	**Implementation:**	Internal
Expected Commencement date:	August 2007	**Expected completion date:**	July 2010
UNEP Allocation:	US$ 0	**Expected Co-financing:**	US$ 1,739, 830
Total Cost:	US$ 1,739,830		

Project Background

The Project Global Atmospheric Pollution Forum was an initiative between United Nations Environment Programme (UNEP) and the Swedish International Development Cooperation Agency (Sida) in collaboration with partner institutions and governments for a period of three years, initially from August 2007 to July 2010, and later extended to December 2010.

The initiative was a response to the impacts of air pollution on human health and well-being of poor people in developing countries. The contributions of air pollution to global and regional issues such as climate change and such as acid deposition were taken into consideration. It focused on Africa, Asia and Latin America, following requests from governments from these regions that UNEP assist in capacity building at the national level, harmonization and knowledge sharing at the regional and

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[10] Source: UNEP Project Document

global level. It was expected to build on existing networks in Africa, Asia and Latin America and sought to facilitate the emergence of an effective global alliance on atmospheric pollution through strengthening and coordinating regional networks, capacity building and harmonization of scientific and policy assessment and information generation processes.

UNEP in collaboration with the partner institutions and governments were expected to play a key role in facilitating the formation of inter-governmental initiatives on air pollution issues. For example, facilitate the formation of regional air pollution related intergovernmental cooperation such as the Malé Declaration for South Asia. UNEP was expected to host the leading global initiative on air pollution emission reduction such as the Partnership for Clean Fuels and Vehicles (PCFV).

The GAP Forum (GAP Forum) was established on the initiative of the International Union of Air Pollution Prevention Associations (IUAPPA) and the Stockholm Environment Institute (SEI) in 2004. The Sida funded programme was initiated jointly by IUAPPA, SEI, and UNEP. Principal partners have included UNEP (who acted on behalf of the GAP Forum as co-ordinator for the Sida programme) and the UNECE Convention on Long-Range Transboundary Air Pollution (LRTAP).

The inspiration for the Sida funded programme was a widening recognition that increased co-operation at regional scale could contribute substantially to the reduction of air pollution and its health and environmental impacts, and that such reductions were urgently needed in many parts of the developing world. In the UNECE Region (Europe, North America, the Russian Federation and Central Asian Republics) a regional agreement, the LRTAP Convention, had promoted substantial progress in the reduction of air pollution and its health effects through development of optimized strategies for key pollutants. Elsewhere in the world – where regional co-operation was at a more initial stage and scientific and technical capacity far more limited – air pollution was exacting a very heavy (and in some cases increasing) toll in health and environmental damage and reduced economic activity and aggravated poverty. At the same time there was increasing evidence that the hemispheric and global scales would become increasingly relevant for the abatement of air pollution, and that ways needed to be found to enhance co-operation at these scales, and that regional air pollution networks could potentially play an important role in this.

a) Project objectives, expected outcomes and activities

1. The overall objective of the project was to provide a step change in the capacity to reduce the impact of air pollution in developing countries through the enhancement of scientific, technical and political capacity and institutions at the regional and inter-regional scale.

2. Specific objectives included:

   a) reaping the significant benefits that could accrue from strengthening networks for regional co-operation, and promoting co-operative action which would allow developing regions to take advantage of experience in the developed world as they sought regionally relevant and cost-effective approaches to air pollution abatement; and

   b) identifying and developing consensus on the hemispheric and global co-operation strategies needed for effective action on air pollution at those scales.

Expected Project Outcomes

The principal expected outcomes over the three years of the project were expected to:

a) Foster Regional Cooperation whose activities were intended to strengthen inter-governmental networks at the regional scale to make possible development of more effective co-operative programmes. It ought to have created new/building on existing regional co-operation networks at the inter-governmental level in Africa and Latin America to make possible the necessary co-operative action at regional scale. The regional cooperation should also have enhanced collaboration and joint action among the existing regional inter-governmental networks in Asia. The regional cooperation was also expected to encourage a co-operative international framework

for the transfer of skills and capabilities in pollution reduction from the UNECE region to developing regions.

b) Harmonize methodologies in order to provide convergence on the methods and guidelines to be used by different regional initiatives around the world as scientific basis for policy making and to enhance capacity to use those guidelines through coordinated project in different parts of the developing world. This included developing and trialing of harmonized technical guidance (on emissions inventories, monitoring and modeling and impact assessment) which identify best practices, make it readily applicable in developing countries and allow capacity building in developing countries to be better targeted and more cost-effective.

c) Ensure consensus on collective policy action in order to form a better basis for consensus on collective policy action through assessments of key issues produced collaboratively by different networks and science policy interests working together.

Project Activities

Project activities should have focused on 3 main result areas:

a) Strengthening inter-governmental networks at the regional scale to facilitate development of more effective co-operative programmes;

b) Promoting harmonisation of technical systems and information and assessment processes within and between the regions and capacity building based on them;

c) Promoting consensus among policy, scientific and non-government organisations (NGO) communities to underpin emergence of regional, hemispheric and global action on air pollution and linked climate change issues.

The project activities were expected to build on existing initiatives such as APINA, Malé Declaration, and PCFV and fill the gaps on regional cooperation, harmonization, and consensus. Results of this project were to be fed into the existing initiatives to ensure capacity building and sustainability.

b) Executing Arrangements

The project was to be implemented as part of the Global Atmospheric Pollution Forum. Key partners in the Forum were APINA, CAI, IANABIS, IUAPPA, SEI, UNECE LRTAP Convention, UNEP and the Forum's founders, IUAPPA and SEI, who constituted a management committee for the programme. The forum also included other regional air pollution bodies and a range of inter-governmental and non-governmental organisations.

The Division of Regional Cooperation (DRC) was expected to serve as the focal point within UNEP and UNEP ROAP to liaise with project partners and assist DRC in serving as the UNEP focal point. Activities in Africa, Asia and Latin America were to be led by ROA, ROAP and ROLAC respectively.

The management committee was responsible for taking strategic decisions and to direct the Forum. The Secretariat, undertaking the day-to-day coordination and management of activities, was expected to continue to be serviced by IUAPPA and SEI, during an interim phase while the Forum was further establishing itself. Subject to progress and the view of participating bodies, it was expected that at some stage after the three year grant period, the Forum would come formally under the ambit of UNEP or an existing or new international treaty organisation. Developing countries were represented in the management committee through APINA and IANABIS and they represented a major partner of the constituency of UNEP and CAI and nearly half the member organisations within IUAPPA.

An international advisory board was to provide advice to the Forum through regular contact and through advisory board meetings. The Board was comprised of internationally eminent persons who can provide advice and linkages required for the Forum to develop effectively.

c) Project Cost and Financing

3. The table below provides a summary of expected financing sources for the project as presented in the project document. Estimated budget (in US$ or local currency):

	US$
Cost to environment fund	0
Counterpart Contribution Sweden	1,739,830
Total Cost of the project	1,739,830

d) Project Implementation and Contribution to Sub- programmes

The duration of the project was anticipated to be 36 months starting from August 2007 and ending in July 2010. Implementation of the project was to be both internal through DRC and external through SEI (Stockholm Environment Institute) and other partners. The geographical scope was global with a focus on Africa, Asia and Latin America.

The project closely links with poverty and environment and other assessment activities conducted by UNEP Regional Offices in Africa, Asia and pacific and Latin America, as well as activities conducted in the Division of Early Warning and Assessment of UNEP such as Global Environment Outlook process and in the Division of Environmental Policy Implementation, such as the Partnership for Clean Fuels and Vehicles and its air quality activities (e.g. BAQ Africa).

The proposed activities for this project fall within the mandate of UNEP and include the following: (i) analyse the state of the global environment and assess global and regional environmental trends, provide policy advice, early warning information on environmental threats, and to catalyse and promote international cooperation and action based on best scientific and technical capabilities available; and (ii) promote greater awareness and facilitate effective cooperation among all sectors of society and actors involved in the implementation of the international environmental agenda, and to serve as an effective link between the scientific community and policy makers at the national and international levels.

The project was expected to contribute to two of the expected accomplishments in DRC's programme of work, namely (a) process of policy deliberations and consensus-building globally and in the regions facilitated and supported; (b) increased cooperation with governments and intergovernmental, non-governmental and United Nations partners in the delivery of programmes and projects at the regional, subregional and national levels, addressing environmental priorities identified by the UNEP Governing Council and by the regional institutions.

II. Terms of reference for the evaluation

A. Objective and Scope of the Evaluation

4. In line with the UNEP Evaluation Policy[11] and the UNEP Evaluation Manual[12], the evaluation of the Project "Global Atmospheric Pollution Forum (GAP Forum) " should be undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, SEI, Sida and other partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of key questions, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

   a) To what extent did the project strengthen inter-governmental networks and regional initiatives at the regional and global scale to make possible development of more effective cooperative programmes.

   b) How well did the project harmonize and improve methodology on technical systems and information and assessment process within and between regions to facilitate more effective capacity building?

   c) To what extent did the project promote public awareness and consensus among policy, scientific and NGO communities to garner regional hemispheric and global action?

e) Overall Approach and Methods

5. The terminal evaluation of the Project "Global Atmospheric Pollution Forum" will be conducted by independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with UNEP Global Atmospheric Forum Secretariat, SEI and Sida.

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

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

   a) A desk review of project documents[13] including, but not limited to:

   - Relevant background documentation, inter alia UNEP, SEI, Sida and other partners, policies, strategies and programmes pertaining to reduction of impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity;

   - Project design documents; annual work plans and budgets or equivalent, revisions to the logical framework and project financing;

   - Project reports such as progress and financial reports from participating countries, from UNEP, SEI, Sida and other partners; Steering Committee meeting minutes; annual reviews and relevant correspondence;

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

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

[13] Documents to be provided by the UNEP are listed in Annex 7.

- Documentation related to project outputs and relevant materials published on the project web-site.

  b) Interviews[14] with:

- UNEP project management (DELC) and Fund Management Officer (Nairobi); SEI, Sida staff as appropriate;

- Other relevant UNEP Divisions;

- Representatives of other multilateral agencies and other relevant organizations.

f) Key Evaluation principles

8. Evaluation findings and judgments should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned[15]. Analysis leading to evaluative judgments should always be clearly spelled out.

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

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

11. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between what has happened with and what would have happened without the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgments about project performance.

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

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

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

assessment of "where things stand" today. The consultant could also provide recommendations for the way forward.

g) Evaluation criteria

1. Attainment of Objectives and Planned Results

13. The evaluation should assess the relevance of the project's objectives and the extent to which these were effectively and efficiently achieved or are expected to be achieved.

   a) Achievement of Outputs and Activities: Assess, for each component, the project's success in producing the programmed outputs both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section 3 (which covers the processes affecting attainment of project objectives).

   b) Relevance: Assess, in retrospect, whether the project's objectives and implementation strategies were consistent with the UNEP, SEI, Sida and other partners mandates and policies at the time of design and implementation; strategic priorities and the relevant operational program(s).

   c) Effectiveness: Examine to what extent the project has achieved its main objective to draw attention to reduce the impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity through effective action at local, regional, hemispheric and global scales. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section 3.

   d) Efficiency: Assess the cost-effectiveness and timeliness of project execution. Describe any cost- or time-saving measures put in place in attempting to bring the project to a successful conclusion within its programmed budget and (extended) time. Wherever possible, compare the cost and time over results ratios of the project with that of other similar projects. Give special attention to efforts by the project teams to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency.

   e) Review of Outcomes to Impacts (ROtI): Reconstruct the logical pathways from project outputs over achieved objectives towards impacts, taking into account performance and impact drivers, assumptions and the roles and capacities of key actors and stakeholders, using the methodology presented in the GEF Evaluation Office's ROtI Practitioner's Handbook[16] (summarized in Annex 8 of the TORs). Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to <u>changes in stakeholder behaviour</u> as regards: i) participation of stakeholders at the national, sub-national, regional and global levels in order to ensure sustainability and their participation in the development of common methodologies and capacity building activities to ensure stakeholder involvement ii) financial sustainability through linkages to existing regional networks like the Malé Declaration on trans-boundary air pollution for South Asia and Better Air Quality in Africa; iii) impacts of air pollution effect on the poorest, the disadvantaged and vulnerable groups in society; iv) how the project responds to gender problems in developing regions where women tend to be more continuously exposed in crowded domestic areas and indoors;

   f) Sustainability and catalytic role

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[16] http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RotI_handbook.pdf

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

15. Four aspects of sustainability will be addressed:

    a) Socio-political sustainability. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?

    b) Financial resources. To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources[17] will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact? How financially sustainable are the regional activity centres?

    c) Institutional framework. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?

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

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

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

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

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

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

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

e) contributed to sustained follow-on financing (catalytic financing) from Governments, Sida, or other donors;

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

17. **Replication,** in the context of UNEP projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). What are the factors that may influence replication and scaling up of project experiences and lessons? In this particular case, the evaluation will assess how the project has made sure that plans, programmes, institutions, agreements and management systems developed are going to be put to good use in the subsequent project(s).

2. Processes affecting attainment of project results

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

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

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

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

c) Evaluate the effectiveness and efficiency of project management by UNEP DRC and other relevant UNEP Divisions, SEI, and other partners; and how well the management was able to adapt to changes during the life of the project. How well did the relationship between UNEP, SEI, Sida and other partners work?

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

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

20. **Stakeholder[18] Participation and Public Awareness**. The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

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

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

    c) how the results of the project (studies, assessment frameworks, etc.) engage project users' communities and their institutions in reduction of impact of air pollution on human health, poverty, the vulnerable ecosystems and economic activity through effective action at local, regional, hemispheric and global scales.

21. The ROtI analysis should assist the consultants in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and objectives to impact.

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

    a) Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating information on the economics of ecosystems and biodiversity that catalyzed action to improve decisions relating to the conservation and management of biodiversity.

    b) Assess the level of country commitment to the generation and use of research related to the economics of ecosystems and biodiversity during and after the project, including in regional and international fora.

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

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

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

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

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

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

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

a) The adequacy of project supervision plans, inputs and processes;

b) The emphasis given to outcome monitoring (results-based project management);

c) The realism and candour of project reporting and ratings;

d) The quality of documentation of project supervision activities; and

e) Financial, administrative and other fiduciary aspects of project implementation supervision.

25. **Monitoring and Evaluation**. The evaluation will 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 evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

a) 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 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 evaluators should use the following questions to help assess the M&E design aspects:

- Quality of the project logframe as a planning and monitoring instrument; analyse/compare logframe in Project Document, revised logframe and logframe used in Project Implementation Review reports to report progress towards achieving project objectives;

- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?

- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?

- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?

- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?

- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

b) M&E Plan Implementation. The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;

- annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;

- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;

- projects had an M&E system in place with proper training, instruments and resources for parties responsible for M&E.

c) Budgeting and funding for M&E activities. The evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

3. Complementarities with the UNEP strategies and programmes

26. UNEP aims to undertake funded projects that are aligned with its own strategies. The evaluation should present a brief narrative on the following issues:

a) Linkage to UNEP's Expected Accomplishments and POW 2010-2011. 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 of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP projects designed prior to the production of the UNEP Medium Term Strategy (MTS)[19]/ Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist.

b) Alignment with the Bali Strategic Plan (BSP)[20]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

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[19] http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf

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

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

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

B. The Consultants' Team

27. For this evaluation, an expert in air pollution, environmental pollution, environmental health, environmental management, climate change will be required. The evaluator will conduct the entire evaluation including data collection and analysis and preparation of the main report and ensure that all evaluation criteria are adequately covered.

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

C. Evaluation Deliverables and Review Procedures

29. The Evaluator will prepare an inception report containing a thorough review of the project design quality and the evaluation framework. The review of design quality will cover the following aspects:

- Project relevance (see paragraph 20 (b));

- A desk-based Theory of Change of the project (see Annex 8 - ROtI analysis);

- Sustainability consideration (see paragraphs 21-22) and measures planned to promote replication and up-scaling (see paragraph 23);

- Preparation and readiness (see paragraph 25);

- Financial planning (see paragraph 30);

- M&E design (see paragraph 33(a));

- Complementarities with UNEP strategies and programmes (see paragraph 34);

- Using the above, complete and assessment of the overall quality of the project design (see Annex 9)

- The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. A draft schedule for the evaluation process should be presented.

30. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The inception report will be submitted for review by the Evaluation Office before the evaluation team conducts any field visits.

31. The main evaluation report should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the

annotated Table of Contents outlined in Annex 1. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate.

32. **Review of the draft evaluation report.** The consultant will submit the zero draft report on 17 February 2012 to the UNEP Evaluation Office and revise the draft following the comments and suggestions made by the Evaluation Office. The Evaluation Office will then share the first draft report with the UNEP Global Atmospheric Forum Secretariat, and other relevant UNEP Divisions for review and comments. The UNEP Global Atmospheric Forum Secretariat will forward the first draft report to the other project stakeholders. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Comments would be expected within three weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation. The Evaluation Office will provide the comments to the consultant for consideration in preparing the final draft report. The consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The consultant will prepare a response to all comments that contradict the findings of the evaluation and could therefore not be accommodated in the final report. This response will be shared by the Evaluation Office with the interested stakeholders to ensure full transparency.

33. Consultations will be held between the consultant, Evaluation Office staff, the UNEP Global Atmospheric Forum Secretariat and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.

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

> Mr. Segbedzi Norgbey, Head
> UNEP Evaluation Office
> P.O. Box 30552-00100
> Nairobi, Kenya
> Tel.: (+254-20) 762 3387
> Email: segbedzi.norgbey@unep.org

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

> Ms. Tomoko Nishimoto
> Director
> Division of Regional Cooperation (DRC)
> United Nations Environment Programme
> P.O. Box 30552
> Nairobi
> Tel: 254-20-7623519 / 4153
> Email: tomoko.nishimoto@unep.org

> Mr. Bakary Kante
> Director
> Division of Environmental Law and Conventions
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> P.O. Box 30552
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> Tel: 254-20-7624011
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Mr. Iyngararasan Mylvakanam
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35. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou and may be printed in hard copy.

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

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

D. Resources and Schedule of the Evaluation

38. This final evaluation will be undertaken by an international evaluator contracted by the Evaluation Office, UNEP. The contract for the evaluator will begin on 15 December 2011 and end 31 March 2012 (7 weeks spread over 15 weeks - Desk Review, Report writing and field visits to selected countries). The evaluator will submit a draft report on 17 February 2012 to UNEP Evaluation Office and the Chief of the Evaluation Office will share the draft report with the UNEP DRC and DELC office, UNEP DELC 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 by 16 March 2012 after which, the consultant will submit the final report no later than 31 March 2012.

39. The evaluator will, after an initial telephone briefing with Evaluation Office and the UNEP Project Manager, conduct initial desk review work and present an inception report. The consultant will travel to Nairobi (Global Secretariat) and the United Kingdom (Stockholm Environmental Institute - SEI) to meet with relevant stakeholders.

E. Schedule of Payment

40. The evaluator will receive an initial payment covering the costs for travel 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.

41. 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 guidance has been used during the interviews:

Overall appreciation

1. What is your perception of the progress made by the Project? How well has it performed?
2. How valuable has it been to you personally, and to your institution or organization, to participate in the Project?
3. Was the project formulated for the atmospheric pollution management ?
4. Overall, in your opinion, what aspects of the Project have worked particularly well? Please explain.
5. Overall, in your opinion, what aspects of the Project have not worked particularly well? Please explain.
6. Do you have any suggestions for how a similar Project in the future could be improved, procedurally?
7. Do you have any suggestions for how a similar Project in the future could be improved, intellectually?
8. What do you see as the most important lessons learned from the publications that could be applied to other assessments in the future?
9. Are there specific things UNEP/SEI could do to improve the outcomes and ultimately the impacts of its work?

Sustainability in time

10. If you would need to make a SWOT in terms of 'sustainability' (read: 'permanence') of the Project, indicate …
    a. one strength: …
    b. one weakness: …
    c. one opportunity: …
    d. one threat: …
11. At this point, do you believe that the Project has been doing sufficiently valuable work to justify its continuation? Why or why not?
12. How do you evaluate the financial support for the Project?
13. Do you see any organization or country considering the possibility to start, to continue or to increase its financial support for the Project's objectives, eventually at (sub-)regional level? Under which conditions ?

Similarities with other projects

14. Do you recognise similar projects in your field of expertise? In general?

15. If positive, what could the Project have learned from these other projects? Or vice-versa?

Country ownership

1. How confident are you that the specific needs of the region/countries or organization you represent have been addressed by the Project?

2. What are you personally doing to strengthen the visibility of the Project's outcomes within the region/country or organization you represent? How might this be improved in the future?

3. What would be the most valuable things the UNEP/SEI could do in the near future to reach and influence the region/country or organization you represent with its outcomes?

Users perspective

16. Who are the primary users of the Project outputs?

17. Do you believe that the Project has adequately taken user perspectives into account in structuring its intellectual work?

18. Are there any points in the process where you believe consultation with user groups would have served significantly to enhance the outputs?

Stakeholders involvement

19. Who were the primary stakeholders of the Project?

20. Do you believe that the Project has adequately interact with the stakeholders?

21. Are there any points in the process where you believe the interaction would have served significantly to enhance the outputs?

Monitoring and evaluation

22. Has the Project been using any internal 'monitoring and evaluation' system?

23. What were the most important indicators to track progress? In terms of output, outcome and/or impact ?

AOB

24. Do you have any other thoughts you would like to share about the Project?

Annex II.b. – List of interviewees

Organisation	Name	Title	Email	Interview format	Date
UNEP	Surendra Shrestha	Director of Strategic Resource Mobilization and Special Initiatives, former Regional Director and Representative for Asia and the Pacific	Surendra.Shrestha@unep.org	Phone call	1 February 2012
UNEP-DELC	Iyngararasan Mylvakanam	Coordinator, Project Manager	Iyngararasan.Mylvakanam@unep.org	Several Meetings (Nairobi)	31 January - 3 February 2012
UNEP-DRC	Onesmus K. Thiong'o	Fund Management Officer	Onesmus.Thiongo@unep.org	Meeting (Nairobi)	2 February 2012
UNEP-DTIE (Transport Unit)	Jane Akumu	Programme Officer	Jane.Akumu@unep.org	Meeting (Nairobi)	1 February 2012
UNEP-RRCAP	Aida Roman	Coordinator of EANET/ Head, Network Support	Adelaida.Roman@rrcap.unep.org	Phone call	2 February 2012
SEI	J. C. Kulenstierna	Director	jck1@york.ac.uk	Meeting (York)	7 February 2012
SEI	Kevin Hicks	Project Manager	kevin.hicks@york.ac.uk	Meeting (York)	7 February 2012
IANABIS	Paulo Artaxo	Representative, Professor at University of Sao Paulo	artaxo@gmail.com	Phone call	1 February 2012
IUAPPA	Richard Mills	Director General	rmills_iuappa@yahoo.co.uk	Meeting (London)	8 February 2012
APINA	Sara Feresu	Representative, Professor at University of Zimbabwe	feresu@ies.uz.ac.zw	Phone call	1 February 2012
CAI-Asia	Sophie Punte and May Ajero	Representatives, Executive Director and Air Quality Program Manager	sophie.punte@cai-asia.org and may.ajero@cai-asia.org	Phone call	2 February 2012
Kanazawa University	Katsunori Suzuki	Professor, resource person	suzukik@staff.kanazawa-u.ac.jp	Phone call	3 February 2012
ScandEnvironment	Lars Nordberg	former Executive Secretary LRTAP, resource person	la.nordberg@tele2.se	Skype	2 February 2012

Annex III – Glossary of Terms for the ROtI-methodology

Activity	The practical, time- bound actions that the Project carries out to deliver the desired Project outputs.
Assumption	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.
Global Environmental Benefit	Lasting improvements in the status of an aspect of the global environment that safeguards environmental functioning and integrity as well as benefiting human society.
Impact	A fundamental and durable change in the condition of people and their environment brought about by the Project.
Impact driver	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.
Intermediate state	The transitional conditions between the Project's outcomes and impacts that must be achieved in order to deliver the intended impacts.
Logical framework	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.
Outcome-impacts pathways	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.
Output	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.
Outcome	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.
Strategy	The major types of intervention employed by a Project in order to deliver the intended impacts.
Theory of Change	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.

Annex IV – Overview of progress in implementing the activities and achieving the deliverables (Final Report, June 2011)

LFA Result	LFA Activity	Progress in 2006/2007 (Deliverables in Bold)	Progress in 2008 (Deliverables in Bold)	Progress in 2009 (Deliverables in Bold)	Progress in 2010 (Deliverables in Bold)
1. Promoting Inter-Governmental Networks and Regional Initiatives	**1.1 Promote policy process in Africa**	• Disseminated GAP Forum activities at a sub-regional workshop for Malawi, Mozambique, Zimbabwe and Tanzania on urban air pollution • Presented GAP Forum activities at the APINA Annual Meeting and planned for partnering with APINA to hold a Southern Africa Sub-regional Policy Dialogue on Air Pollution • Discussed urban air pollution at a national stakeholders meeting in Liberia	- In partnership with APINA, convened the Southern Africa Sub-regional Policy Dialogue on Air Pollution and developed the **Lusaka Agreement (2008) - Southern African Development Community (SADC) Regional Policy Framework on Air Pollution** - Held the Eastern Africa Sub-regional Workshop and adopted the **Eastern Africa Regional Framework Agreement on Air Pollution (Nairobi Agreement-2008)** - Discussed air pollution issues at the sub-regional level for Northern Africa states (Tunisia, Morocco and Algeria) in preparation for 2009 workshop. - Discussed air pollution issues at the National Stakeholders Workshop for Promotion of Clean Fuels and Vehicles in Ethiopia	- Convened a Western and Central Africa Sub-regional Workshop on Better Air Quality in July 2009. The Ministerial Session adopted a regional framework agreement (**Abidjan Agreement**) on air pollution for the region. - Convened a North Africa Sub-regional Workshop on Better Air Quality in November 2009. The representatives of six countries participating produced **a draft regional framework agreement on air pollution** for North African countries - Disseminated Africa Regional Agreements at a Regional Workshop on Fuel Specifications in Africa: 24-25 September 2009 Kampala, Uganda	- Disseminated draft regional framework agreement on air pollution for North African countries at a sub-regional workshop on cleaner fuels and vehicles for Morocco, Tunisia and Algeria in April 2010, in Rabat, - Disseminated Abidjan Agreement at a Sub-regional workshop held in August 2010 in Abidjan, Ivory Coast with participation of Ghana, Mali, Togo and Benin
	1.2 Promote policy process in Asia	• Dissemination of GAP Forum activities at the intergovernmental meetings of EANET and MaléDeclaration • Developed capacity building programme for policy makers • Approval of the proposed capacity building programme for policy makers by the EANET intergovernmental meeting • Convened the first governmental meeting on urban air pollution • Agreement on development of long term vision on urban air quality in Asia	- Developed **background document and draft joint plan** to promote closer cooperation among the regional air pollution networks in Asia - Developed training manual titled "**Multilateral Cooperation on Air Pollution: Science, Policy and Negotiations for Agreements/Instruments**" - Convened one capacity building training for policy makers - Convened the **Second Governmental Meeting on Urban Air Quality in Asia** - Devised long term vision on urban air quality in Asia - Dissemination of GAP Forum activities at the intergovernmental meetings of EANET and Male' Declaration	- Convened the **first joined meeting** of regional air pollution networks in Asia-Pacific - Agreement on Joint Forum for closer cooperation among regional air pollution networks in Asia-Pacific. - Completed the training manual: "**Multilateral Cooperation on Air Pollution: Science, Policy and Negotiations for Agreements/Instruments** - Conducted one capacity building training for policy makers in March.	Convened the second joint meeting and the meeting agreed on joint plan for **joint forum on atmospheric environmental issues in Asia-Pacific**. Convened the third governmental meeting on urban air pollution and the meeting reviewed the progress in the implementation of long term vision on urban air quality in Asia. Published a handbook for policy-makers on regional cooperation on air pollution.
	1.3 Promote policy process in Latin America	• A Meeting of High-Level Government Experts was convened by UNEP Regional Office for Latin America and	- XVIth meeting of the Forum of Environment Ministers of Latin America and the Caribbean (LAC) adopted a	- Convened the first **Network meetings** in March 2009. A number of key priorities were agreed.	A decision on air pollution was approved by the Ministers of Environment in April 2010, which

LFA Result	LFA Activity	Progress in 2006/2007 (Deliverables in Bold)	Progress in 2008 (Deliverables in Bold)	Progress in 2009 (Deliverables in Bold)	Progress in 2010 (Deliverables in Bold)
		the Caribbean (ROLAC) (Panama City, Panama; August 2007)	**proposal to establish an Inter-Governmental Network on air pollution in the region** (Annex 6).	- Convened the second **Network meeting** in December 2009 and the governmental representatives of each country produced a **draft regional framework agreement on air pollution** for submission to the next regional environmental ministers meeting of Latin America and the Caribbean	reinforces the role of the Inter-Governmental Network and calls for additional work on the draft regional framework agreement on air pollution
	1.4 LRTAP Meeting: mobilizing developed country support	• GAP Forum participated the executive Body meeting of LTRAP • Meeting in parallel with LRTAP EB meeting where developing country participants identified core needs and priorities • Intergovernmental meeting of the Malé Declaration expressed the interest to develop joint programmes with LRTAP. This was communicated to the LRTAP EB	- GAP Forum strengthened its role as the principal instrument for the Convention's 'Outreach' programme and as the framework within which co-operation among the Convention and other networks would be pursued - Joint meeting of EANET and HTAP taskforce where gaps in the establishment of emission inventories were identified. - Co-operative programme on crop impact studies established between LRTAP, the Malé Declaration and APINA. **Letter exchange between Malé Declaration and LRTAP Secretariats**	- Enhanced networking between the International Cooperative Programmes (ICPs) of LRTAP and Sida funded activities on crop and corrosion impacts under GAP Forum and the Malé Declaration	- Enhanced networking between the International Cooperative Programmes (ICPs) of LRTAP and Sida funded activities on crop and corrosion impacts under GAP Forum and the Malé Declaration (e.g. see Section 2.3). Recommendations of the GAP Forum discussion paper (see Section 2.3.4) were reflected in the decisions made at the EB in December 2010
	1.5 Potential for global cooperation	- First GAP Forum Discussion Paper entitled '**Atmospheric Pollution: Developing a Global Approach #1**' launched at a GAP Forum Side Event to the 14th Session of the Commission on Sustainable Development (CSD)', May 2006. - A GAP Forum document entitled '**Tackling Regional, Hemispheric and Global Air Pollution: The Potential Role of the UNECE Convention on Long-Range Transboundary Air Pollution**' launched at the Sixth Ministerial Conference "Environment For Europe, Belgrade, Serbia, 10-12 October 2007		-	Second GAP Forum Discussion Paper entitled '**Atmospheric Pollution: Developing a Global Approach- A discussion paper for GAP Forum partners on the prospects for enhancing international co-operation on air pollution**' launched at the LRTAP EB December 2010.
2. Methodology Convergence and Capacity Building	**2.1 Further development of emission inventory guidelines and capacity building**	• Presentations at HTAP Meeting (Beijing, October 2006) and BAQ 2006.	- Invited presentation at HTAP Workshop held in Hanoi October, 2008; - GAP Form approach used as the basis for the development of the Atmospheric Brown Cloud (ABC) emission inventory manual /workbook		Update workbook with the inclusion of additional default emission factors and the capability to inventory emissions of carbon dioxide, black carbon, organic carbon and methane.

LFA Result	LFA Activity	Progress in 2006/2007 (Deliverables in Bold)	Progress in 2008 (Deliverables in Bold)	Progress in 2009 (Deliverables in Bold)	Progress in 2010 (Deliverables in Bold)
		• GAPF also presented emission inventory approach and experience at an ADORC meeting for EANET in October 2007. • GAP Forum invited to a capacity building workshop in Beijing, China in 2007 to deliver emission inventory training to participants from 6 Chinese cities			
	2.2 Develop harmonised guidelines for monitoring and the interface with atmospheric modeling	-	-	- Draft guidelines developed for air pollution monitoring	The GAP Forum '**Air Pollution Monitoring Manual**' was finalized in consultation with relevant experts.
	2.3 Develop guidelines for impact assessment on health, agriculture, ecosystems and their services, and materials and cultural heritage Starts 2008	-	-	- Guidelines for conducting **crop (Clover clone experimental protocol and EDU_experimental_protocol) and corrosion impact studies** completed based on LRTAP and GAP Forum (Air Pollution Crop Effect Network-APCEN) expertise.	The health impact manual '**Cost-effective epidemiological studies for assessing health impacts - Impacts of particulate air pollution on the respiratory health of school children'** was completed. **Seminar on Ground Level Ozone and Food Security in Asia** successfully held in Delhi, November 2010
3. Consensus building and policy development	**3.1 Forum Secretariat, Management Committee and Advisory Board**	Steering activities of Management Committee Advisory Board established; **Annual reporting to Sida**	- In 2008, the Management Committee met in Monte Carlo, Monaco in March, in conjunction with the Tenth Special Session of the Governing Council of the UNEP, and in September the members met informally at the Stockholm Co-benefits Conference. - Secretariat expanded with secondment from USEPA 07/08 - Sahara-Sahel Observatory (OSS), Tunisia, added to the management	- Meetings of the Management Committee in Bangkok, Thailand, in March 2009, in conjunction with the meeting of the Joint Forum on Regional Air Pollution Issues in Asia and the Pacific; and in conjunction with the major Gothenburg Air and Climate conference follow-up to the Stockholm conference organised by the Swedish Government.	Meetings of the Management Committee in a joint meeting with the Hemispheric Task Force of the LRTAP Convention, and subsequently in Vancouver in conjunction with the World Clean Air Congress **Final Reporting**

LFA Result	LFA Activity	Progress in 2006/2007 (Deliverables in Bold)	Progress in 2008 (Deliverables in Bold)	Progress in 2009 (Deliverables in Bold)	Progress in 2010 (Deliverables in Bold)
			committee to aid development of the North Africa sub-regional meeting in 2009 - The Arctic Monitoring and Assessment Programme (AMAP) approached to join Management Committee - Advisory Board members were actively involved in the Stockholm Co-benefits Conference by aiding the development of **background papers**, advising on invitees and presenting at the conference itself. **- Annual reporting to Sida**	- **Annual Reporting to Sida**	
	3.2 Communications strategy	Communications Strategy developed, presented to Management Committee and updated Website developed(Secretariat) Newsletters issued (Issue 1, March 2006; Issue 2, March 2007; Issue 3, September 2007; Issue 4, December 2007) Mailing lists developed and expanded (Secretariat) GAP Forum and GAP Forum initiatives highlighted at 2007 World Air Pollution Congress and other conferences	- The website (**www.gapforum.org**) hosted by Secretariat and updated regularly **- 2 expanded Newsletters** issued ((Issue 5, May 2008; Issue 6, November 2008) **- Mailing lists** developed and expanded (Secretariat) - GAP Forum contributed to the development of the CAI-Asia **CitiesACT portal (www.citiesact.org)**	- Continued expansion of Website - Published two newsletters (Issue 7, October 2009) - Mailing lists expanded; periodic emails highlighting Forum activities to expanded mailing list - Cities-ACT database launched and linked to the GAP Forum website	- Published two newsletters (Issue 8,February 2010; Issue 9, September 2010)
	3.3 Collaborative assessment of key issues	Discussion paper on "**Atmospheric Pollution: Developing a Global Approach #1**" Report to the European Environment Ministers: "Tackling Regional, Hemispheric and Global Air Pollution: The Potential Role of the UNECE Convention on LRTAP"	- Review and discussion paper efforts were directed at the Stockholm Conference in 2008, which resulted in **several background papers that are available on the website**	- The GAP Forum secretariat and developing country partners in Asia contributed a chapter to the 2009 Swedish EPA Air and Climate Conference book entitled: 'Air Pollution and Climate Change – the Case for Integrated Policy from an Asian Perspective'	Discussion paper on "**Atmospheric Pollution: Developing a Global Approach #2**" launched at the LRTAP EB meeting in December 2010.
	3.4 Promotion of objectives and outcomes to relevant science/policy communities	GAP Forum Side Event at CSD 14 in New York in 2006. - contribution to the organization of BAQ 2006 held in Yogyakarta in Central Java,	- Activities associated with the GAP Forum Stockholm Conference entitled 'Air Pollution and Climate Change: Developing a Framework for Integrated Co-benefits Strategies' held under the	GAP Forum presentations at the Joint Forum on Regional Air Pollution Issues in Asia and the Pacific; and in conjunction with the major Gothenburg Air and Climate conference follow-up to the	GAP Forum presentation at LRTAP EB meeting in December 2010 and at the Asian Co-benefits Forum;

LFA Result	LFA Activity	Progress in 2006/2007 (Deliverables in Bold)	Progress in 2008 (Deliverables in Bold)	Progress in 2009 (Deliverables in Bold)	Progress in 2010 (Deliverables in Bold)
		Indonesia, through a partnership with CAI-Asia, Participated in special sessions on 'atmospheric particles and on transport in an energy hungry, carbon-constrained world' at the 2007 World Air Pollution Congress in Brisbane in 09/07. Hosted a side event to promote the paper to European Environment Ministers at the "Environment for Europe" conference in Belgrade in 10/07. Coordinating series of presentations and hosting informal gathering of LRTAP officials and officials from GAP Forum partners at the LRTAP Executive Body meeting in Geneva in 12/07. Press release at the COP-13 meeting in Bali on climate/air pollution co-benefits	auspices of UNECE LRTAP Convention and the UNFCCC (see Section 3.3).	Stockholm conference organised by the Swedish Government. GAP Forum presentation at LRTAP EB meeting in December 2009	

Annex V – List of documents reviewed and consulted

The following documents have been provided to the evaluator: the Sida/UNEP Agreement (incl. the logical framework); the UNEP/SEI Project Document (incl. the logical framework); the financial reports; the co-financing documents; the meeting reports of the Management Committee; published agreements, reports, etc.; personal communication by the Project Management, etc. Furthermore have the following documents been consulted:

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

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-fourt 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 (2008). Global Atmospheric Pollution Forum (GAP Forum). Annual Report. December 2006 – December 2007. Compiled by UNEP with inputs from GAPF Secretariat and in consultation with the GAPF partners. April 2008. 24 pages.

UNEP (2009). Global Atmospheric Pollution Forum (GAP Forum). Final Report. January – December 2008. Compiled by UNEP with inputs from GAPF Secretariat and in consultation with the GAPF partners. April 2009. 27 pages.

UNEP (2010). Global Atmospheric Pollution Forum (GAP Forum). Final Report. January – December 2009. Compiled by UNEP with inputs from GAPF Secretariat and in consultation with the GAPF partners. February 2010. 28 pages.

UNEP (2011). Global Atmospheric Pollution Forum (GAP Forum). Final Report. January 2007 – December 2010. Compiled by UNEP with inputs from GAPF Secretariat and in consultation with the GAPF partners. June 2011. 30 pages plus annexes.

World Bank (2004). Monitoring and Evaluation: Some Tools, Methods & Approaches. Washington DC, The World Bank.

Annex VI – 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[21] (in US$)		Total (in US$)		Total Disbursed (in US$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Grants	/	/	1,739,830	2,063,990	/	/	1,739,830	2,063,990	2,062,772
Loans	/	/	/	/	/	/	/	/	/
Credits	/	/	/	/	/	/	/	/	/
Equity investments	/	/	/	/	/	/	/	/	/
In-kind support	See below	See below	/	Different[22]	/	/	/	/	
Other[21]	/	/	/	/	/	/	/	/	
Totals	/	/	1,739,830	2,063,990	/	**/**	1,739,830	2,063,990	2,062,772

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

[22] Different governmental institutions contributed for specific subprojects, through hosting meetings, workshops, seminars, conferences or by providing services through seconding experts.

In-kind contributions by UNEP	Planned Cost (US$)	Actual Cost (US$)						
		2006	2007	2008	2009	2010	2011	Total
SEI/IUPPA	27,000	0	0	0	0	0	0	0
UNEP ROAP	27,000	2,747	27,470	27,470	10,988	/	/	68,675
UNEP ROLAC	27,000		14,881	14,881	14,881	14,881	2,747	62,271
UNEP ROA	27,000	0	0	0	0	0	0	0
UNEP DRC	9,000	0	2,747	0	0	0	0	2,747
UNEP Transport Unit	0	0	16,482	16,482	16,482	16,482	2,747	68,675
UNEP DEWA	6,000	0	0	0	32,825	32,825	0	65,650
UNEP DELC	0	0	0	0	0	0	13,130	13,130
Total	132,000	2,747	61,580	58,833	75,176	64,188	18,624	281,148

Object Code	Class/Code Name	2007 Total Amount USD	2008 Total Amount USD	2009 Total Amount USD	2010 Total Amount USD	2011 Total[23] Amount USD	Total Amount USD
	Final actual Project expenditure by activity supplied by the UNEP Fund Management Officer						
1101	International Experts/1 -SEI	-	-	174,877	44,295		219,172
1181	UNEP Participation	18,000	34,411	22,105	-3,863	64,353	135,006
1199	**Subtotal International Experts**	**18,000**	**34,411**	**196,982**	**40,433**	**64,353**	**354,178**
1201	consultants	-	-	-	6,226		6,226
1281	UNEP Participation	-	-	33,000	-1,853	3,653	34,800
1299	**Subtotal International Experts**	**-**	**-**	**33,000**	**4,373**	**3,653**	**41,026**
1401	UNEP/DTIE Volunteers		19,107	17,306	6,294		42,707
1499	**Subtotal Volunteers**		**19,107**	**17,306**	**6,294**	**-**	**42,707**
1601	Mission Costs	-	-	87,460			87,460
1621	Travel Advisory Service		1,323		-		1,323
1681	UNEP Participation	12,621	20,035	18,821	-63	12,500	63,914
1699	**Subtotal Travel on Official Business**	**12,621**	**21,358**	**106,281**	**-63**	**12,500**	**152,697**
1999	**Project Personnel Total**	30,621	74,876	353,569	51,036	80,506	590,607
2201	Grants to collaborating						

[23] In the tabel of the Fund Manager these expenditures are labeled 'ROAP'.

Object Code	Class/Code Name	2007	2008	2009	2010	2011	
		Total	Total	Total	Total	Total[23]	Total
		Amount USD	Amount USD	Amount USD	Amount USD	Amount USD	Amount USD
	organizations[24]						
	IUAPPA	-	-	151,783	98,137	63,591	313,511
	CAI	-	-	-	-	-	-
	IANABIS	-	-	-	-	-	-
	APINA	-	-	-	-	-	-
2281	MoU/LoA for regional counterparts[25]	-	95,000	31,000	-	-	126,000
2999	**Subcontracts Total**	-	95,000	182,783	98,137	63,591	439,511
3301	Meetings/conferences	-	-	270,482	140,675		411,157
3381	UNEP Participation	-	200,759	135,965	-5,348		331,375
3999	**Training Total**	**-**	**200,759**	**406,447**	**135,327**	**-**	**742,532**
5199	**Operation and Maintenance Total**	**-**	**4,794**	**10,350**	**-3,404**	**1,500**	**13,240**
5299	**Reporting Costs Total**	**-**	**1,074**	**4,774**	**8,720**	**1,000**	**15,568**

Final actual Project expenditure by activity supplied by the UNEP Fund Management Officer

[24] These expenditures were reimbursed through SEI.

[25] These expenditures were reimbursed through UNEP.

Object Code	Class/Code Name	2007	2008	2009	2010	2011	
		Total	Total	Total	Total	Total[23]	Total
		Amount USD	Amount USD	Amount USD	Amount USD	Amount USD	Amount USD
5599	Monitoring and Evaluation Total	-	-	-	-	24,003	24,003
5999	Miscellaneous Total	-	5,868	15,124	5,316	26,503	52,811
	TOTAL	30,621	376,502	957,922	289,817	170,600	1,825,462
	Programme Support Costs	3,981	48,945	124,530	37,676	22,178	237,310
9999	GRAND TOTAL	34,601	425,448	1,082,452	327,493	192,778	2,062,772

Final actual Project expenditure by activity supplied by the UNEP Fund Management Officer

Annex VII – Expertise of the evaluator

1. Name:	**Bernard MAZIJN**
2. Date of birth:	17 February 1962
3. Nationality:	Belgian
4. Contact details	Tel. +32 479 799 645; Fax +32 50 35 03 27;
	Email bernard.mazijn@skynet.be
5. Education:	1. Agriculture Engineer (specialization: Hydrobiology) – Ghent University, 1980-1986
	2. Engineer in Environmental Sanitation – Ghent University, 1986-1988
	3. Advanced University Degree in Development Cooperation (specialization: Economy) – Ghent University, 1992-1994
6. Present position:	Consultant 'Going for Sustainable Development'
	Visiting Professor at Ghent University
	Managing Director - Institute for Sustainable Development
	Coordinator at Regional Centre of Expertise on Education for Sustainable Development – Southern North Sea
7. Key qualifications	'Sustainable development' is the field of work, 'environment' (including climate change) is the specialization. Consequently with links to the Global South. The following support can be given: • Policy preparation • Counseling of participating processes • Monitoring and Evaluation • Peer review • Life Cycle Sustainability Assessment • Strategic advice
8. Other skills:	Computer literate – Word, Excel, Access, Project, Power Point

9. Language skills   **5 highest to 1 lowest**

Language	Reading	Speaking	Writing
Dutch (native)	5	5	5
English	4	4	4
French	4	4	4
Spanish	2-3	2	2
German	2-3	0	0