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**Terminal Evaluation of the UNEP/GEF Project: “Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants (Ethiopia ABS CSUMP)”**

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**FINAL REPORT**



**Evaluation Office of UNEP**

**April 2020**



## Evaluation Office of UNEP

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Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants (Ethiopia ABS CSUMP)

Project No. GFL-5060-2715-4C56; GEF Id 4091

Date February 28, 2020

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## ACKNOWLEDGEMENTS

This Terminal Evaluation was prepared for the Evaluation Office of UNEP by Tomme Rosanne Young, J.D., Lead Consultant, and Shewaye Deribe Woldeyohannes, National Consultant. The report benefits from a peer review conducted within Evaluation Office of UNEP and among some project staff and partners.

The Evaluation Team would like to express our appreciation for the help and support of UNEP Evaluation Managers, Martina Bennett and Tiina Piironen, and UNEP Project Assistant, Mela Shah. We would also like to thank UNEP Task Manager, Jane Nimpamya; UNEP Fund Management Officer, Pooja Bhimjiani; UNEP Portfolio Manager, Johan Robinson; Ethiopia ABS CSUMP National Project Coordinator, Dr. Tesfaye Awas; Amhara region EBI Director, Ediget Merawi; Oromia/BMNP EBI Director, Nigusu Girma; Kure Project Pilot Site coordinator, Getu Wolde; and other Ethiopia ABS CSUMP project staff members for their contribution and collaboration throughout the Evaluation process. Sincere appreciation is also expressed to others who took time to provide information to this evaluation, or to comment on the draft report, including members of the Project Steering Committee, the Pilot Site Coordination Committees and others project participants. The Evaluation Office of UNEP would also like to thank the Government of Ethiopia, the project partners and stakeholders for their strong support for the terminal evaluation.

Credit also should go the Ethiopia Biodiversity Institute (EBI) as the principle executing agency of this project on behalf of the government of Ethiopia

## Evaluation team

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Mr. Shewaye Deribe Woldeyohannes, National Consultant, is an ecologist (biologist) with an MSc degree specialization in plant biodiversity conservation and management. He has worked and contributed in the following areas: enhancing sustainable management of the environment/ecosystems, halting activities that fuel climate change and land degradation, and design and management of integrated programs/projects contributing to environment, development and livelihoods. He has experience from grassroots up to policy levels, and participated and contributed in national and international forums. In the last three decades, he has served progressively for the Ethiopian Ministry of Education (MoE), Federal Environmental Protection Authority (EPA) and a nongovernmental organization. He is presently a freelance consultant, with experience working for various firms in Ethiopia and abroad.

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## ABOUT THE EVALUATION

Joint Evaluation: No

Report Language(s): English

**Evaluation Type:** Terminal Project Evaluation

**Brief Description:** This report is a terminal evaluation of a UNEP-GEF project implemented between November 2012 and November 2016. The project's overall development goal was to enable the development of a more robust and extensive market for locally grown and processed medicinal plants, while contemporaneously enabling and encouraging conservation of such plants and their ecosystems in the forests, including by participating in measures directed at addressing climate change and increasing local awareness of the value of forest services, where forests are conserved and well managed. It also sought to promote the development of "access and benefit-sharing" as conceptualised in the Convention on Biological Diversity and its Nagoya Protocol, particularly in the context of the ancient traditional knowledge applicable to medicinal plants. The project was approved to receive a GEF grant of US \$2,047,000.00, and a commitment of in-kind co-financing valued at US \$2,500,000.00.

**Key words:** Medicinal Plants; Traditional Medicine; Medicinal Plant Markets; Certification of Traditional Healers; Ex-situ Conservation; In-situ Conservation; Field Genebanks, Access and Benefit Sharing, ABS, Sustainable Forest Management; Forest Management; Forest Ecosystems, Forest Conservation, Governance; Project Evaluation; Biodiversity; Climate Change; Ecosystem Management; TE; Terminal Evaluation; GEF; GEF Project;

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## List of acronyms, abbreviations and other terms

ABS	"Access to genetic resources and equitable sharing of the benefits arising from their utilisation" (CBD, Article 15) or "access and benefit sharing"
ABTs	Aichi Biodiversity Targets
ATK	Traditional Knowledge associated with Genetic Resources, also known as "associated traditional knowledge (CBD, Articles 8j and 10c; and NP Articles 7, 12 and 16)
BMNP	Bale Mountain National Park
BoARD	Bureau of Agriculture and Rural Development
CBD	Convention on Biological Diversity (Rio de Janeiro, 1992)
Ethiopia ABS CSUMP	Ethiopia - Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants
CoEFCC	Commission of Environment, Forest and Climate change
EBI	Ethiopian Biodiversity Institute
EFMHACA	Ethiopian Food, Medicine and Health Care Administration and Control Authority
EWCA	Ethiopian Wildlife Conservation Authority
FMO	[UNEP] Fund Management Officer
FSP	Full Sized Project document
GOE	Government of Ethiopia
GEF	Global Environment Facility
IFAD	International Fund for Agricultural Development
Kebele	Most local level of governmental structure in Ethiopia; community
Log/Frame	Logical Framework (Table) of the Project Document
MoA	Ministry of Agriculture
MoFED	Ministry of Finance and Economic Development
MoH	Ministry of Health
MP	Medicinal Plant

MTR	Mid-Term Review
NP	Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from Their Utilization to the CBD
NPM	National Project Manager (general term used in project development)
NPC	National Project Coordinator (actual title given the individual who fulfilled the role of NPM in the Ethiopia ABS CSUMP project)
PES	Payments for Environmental Services
PIR	Project Implementation Review
PMU	Project Management Unit
PPG	Project Preparation Grant
PSC	Project Steering Committee
PSCC	Project Site Coordination Committee
PSIU	Project Site Implementation Unit
PTAC	Project Technical Advisory Committee
REDD and REDD+	Reducing Emissions from Deforestation and Forest Degradation (Plus)
RTOC	Reconstructed Theory of Change
SP	Strategic Program (GEF)
TOC	Theory of Change
TE	Terminal Evaluation
TH	Traditional Healer
THA	Traditional Healers Association
UNEP	United Nations Environment Programme
woreda	District governmental level in Ethiopia (comprises two or more kebeles)

## Project General Information

**TABLE 1. PROJECT SUMMARY**

GEF Project ID:	4091		
Implementing Agency:	UNEP	Executing Agency:	Ethiopian Biodiversity Institute (EBI)
Sub-programme:	Ecosystem Management	Expected Accomplishment(s):	POW 2012-13, SP 3, EA (c)
UNEP approval date:	24 April 2012	Programme of Work Output(s):	POW 2012-13, SP 3, EA (c), Outputs 1 & 4
GEF approval date:	24 April 2012	Project type:	FSP
GEF Operational Programme #:	Unknown	Focal Area(s):	Biodiversity
		GEF Strategic Priority:	BD1
Expected start date:	June 2012	Actual start date:	22 November 2012
Planned completion date:	May 2016	Actual completion date:	21 November 2016
Planned project budget at approval:	\$4,872,000	Actual expenditures reported as of 30/06/18: <sup>1</sup>	\$3,292,492
GEF grant allocation:	\$2,047,000	GEF grant expenditures reported as of 30/06/18: <sup>1</sup>	\$1,879,992
Project Preparation Grant - GEF financing:	\$110,988.75	Project Preparation Grant - co-financing:	\$190,000
Expected Medium-Size Project/Full-Size Project co-financing:	\$2,500,000	Secured Medium-Size Project/Full-Size Project co-financing as of 30/06/18: <sup>1</sup>	\$1,412,500
First disbursement:	25th September 2012	Date of financial closure:	To be confirmed
No. of revisions:	One revision of the budget, agreed in April 2016; one undated no-cost term extension (from May 2016 to November 2016).	Date of last revision:	Last dated document: 21 April 2016.
No. of Steering Committee meetings:	4 <sup>2</sup>	Date of last/next Steering Committee meeting:	Last: October 2015 <sup>3</sup>   Next: N/A
Mid-term Review/ Evaluation (planned date):	September 2015	Mid-term Review/ Evaluation (actual date):	October 2015 – April 2016
Terminal Evaluation (planned date):	n/a	Terminal Evaluation (actual date):	December 2018 – February 2020
Coverage - Country(ies):	Ethiopia	Coverage - Region(s):	National

<sup>1</sup> As noted in part 3.6, below, the last formal report of expenditure provided to the evaluation team reported expenditures as of 30 June 2016; however the project continued through 22 November 2016.

<sup>2</sup> The evaluation team has received limited documentation (an agenda or power point presentation for a total of three meetings, with the last two numbered as the "third" and "fourth" respectively, leading to the assumption that four meetings were held. A fifth was mentioned by one interviewee, but not confirmed.

<sup>3</sup> This is the Fourth Steering Committee meeting as per documentation made available by the PMU as of the time of drafting this report. That documentation does not give a precise date for the meeting, only "October 2015."

Dates of previous project phases:	GEF-UNDP and World Bank project on Conservation and Sustainable Use of Medicinal Plants in Ethiopia (dates unknown)	Status of future project phases:	TBD
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## Executive summary

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1. The Ethiopia – Access and Benefit Sharing Ethiopia – Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants project (ID: 4091) has been an effort to implement an ambitious proposal to assist the Government of Ethiopia in three interlinked pillars of action:
  - building infrastructure and capacity for the conservation and sustainable use of medicinal plants;
  - developing markets for medicinal plants and strengthening the capacity of local medicinal plant growers and traditional healers to participate in those markets; and
  - developing and implementing the country's framework for "access to genetic resources and equitable sharing of the benefits arising from their utilization," as enunciated in the UN Convention on Biological Diversity and implementing that framework in the context of medicinal plants.
2. It operated over a period beginning in November 2012 and continuing until 22 November 2016, spanning 48 months. Although it was granted a six-month no-cost extension, due to the project's late start, this only extended it to the 48 months originally envisioned. Funding was authorized through a GEF grant of US\$2,047,000.00 with in-kind cofinancing valued at US\$2,500,000.00 to be provided by the Government of Ethiopia. Owing to the passage of three years since the completion of the project, it has not been possible for the evaluation team to obtain records showing the final expenditure totals. Records of expenditure through 30 June 2016 (with the final 5 months of project operation still unreported) show a total expenditure of funds and reported cofinancing as of that date of US\$3,388,086.00.
3. The project was implemented at both local and national levels. Local implementation was undertaken in four "pilot sites":
  - Bale Mountain National Park in the Oromia region;
  - South Omo-Kure Natural Protected Forest in the Southern region;
  - the Amhara-Zegie Plateau Forest in the Amhara region; and
  - the Benshangul Gumuz-Anbesa Forest in the Benshangule Gumuz region.
4. This report presents results of a Terminal Evaluation (TE) of the Ethiopia ABS CSUMP project that involved two phases. During the inception phase, between December 2018 and February 2019, the evaluation team received and reviewed a large volume of documents supplied in a cloud data file, conducted telephone and in-person initial interviews with a number of persons connected with the project, requested other documents, conducted an initial review of project design quality, undertook a stakeholder analysis and developed a "Reconstructed Theory of Change at design" for the project. There followed a delay of several months, occasioned by a combination of communication and financial challenges related to the participation of Ethiopia's project staff and other persons in the evaluation's field mission. Consequently, the primary phase of the evaluation was undertaken between August 2019 and February 2020, during which the evaluation reconsidered its earlier analysis of project design quality, revised "Reconstructed Theory of Change at design" into a "Reconstructed Theory of Change at evaluation," repeated and updated its desk review of provided documents and fielded a mission

in Ethiopia to enable extensive interviewing with a wide range of project actors in Nairobi, Kenya, and in Bahir Dar, Jinka, Goba, Hawassa and Addis Ababa, Ethiopia, during a two-week period in August 2019, the analysis and reporting of results of which following the consultants' return are set forth in this report.

5. With respect to its objectives, the project established fully functional genebanks and nurseries in its four pilot sites and elsewhere and constructed a facility (building) for the Shashemene Botanical Garden at one site. It enabled the development and implementation of medicinal plant management plans or components of broader management plans in three of the four sites. It was active in policy interventions at the project sites, assisting with both the development of medicinal plant policies and the negotiation of "sustainable use agreements" between local stakeholders and relevant kebele- and woreda-level governmental units. The project also enabled and assisted the establishment of 12 traditional healers' associations within the 4 pilot areas. It provided physical facilities (processing tools/machines and sun-shades) to some of these associations.
6. The project is determined to have been **Moderately Satisfactory** overall, with its most notable strengths in its work on the conservation and sustainable use of medicinal plants.
7. The project was rated Highly Satisfactory with regard to the criterion of "Strategic Relevance." This criterion stands out due to the project's clear alignment with a range of priorities and policies of UNEP and GEF as well as the various levels of the Ethiopian government. It also received Highly Satisfactory ratings with regard to the subcriteria "Relevance to regional, sub-regional and national issues and needs," "Complementarity with existing interventions" and the factor of "Country ownership and driven-ness." Its "External Context" was found to have been Favorable. It was also rated Highly Likely with regard to two of the three subcriteria of Sustainability – "Institutional Sustainability" and "Socio-Political Sustainability." All of these ratings were determined in the context of an evaluation conducted 2-3 years after project closure, which saw clear evidence of the continuity of and community and institutional support for many project results, despite the passage of such a period of time.
8. With respect to the three intermediate states identified in the reconstructed Theory of Change - ("Buoyed by the success of pilot measures, other medicinal-plant communities are encouraged to replicate them.," "Increased revenue flows to local communities and businesses pursuant to ABS agreements" and "Sustainable management and its impact on the conservation values of Ethiopia's rich medicinal plants biodiversity are recognized by the agricultural sector and considered in its planning and development processes"), the evaluation noted definite progress with regard to the first and third, and recognition that the second could not be achieved due to external factors (i.e., that the Ethiopian government has not yet adopted an ABS framework and that market development is a long, multi-step process that could only be begun within the timeline of the project.) While recognising that additional steps are needed for full achievement, the evaluation notes that the project made a useful contribution. The project built technical capacity in universities, as well as hosting a workshop on ABS focused on government employees and civil society at the national level. Its greatest contribution to capacity, however, was through the numerous training and capacity building events reportedly reaching over three hundred participants in the pilot areas. Interviews suggested that the lessons provided are still being applied and shared, but also suggested that additional efforts are needed.

9. The project was also very successful with regard to the factor of "Stakeholder Participation and Cooperation," earning a rating of Highly Satisfactory, due primarily to the project's strong performance at the pilot-sites in the area of medicinal plant in-situ and ex-situ conservation and capacity at the local (kebele and woreda) levels.
10. The project was rated likely to have an impact. It accomplished its most striking achievements in relation to the in-situ and ex-situ conservation of medicinal plants and related capacity at the local (kebele and woreda) levels in the pilot sites. In these areas, the project's results have been significant, producing management plans, field genebanks and nurseries, as well as capacity development, traditional healers' associations and local market work. In the three years since the project ended, the government has recognized the value of this work, and had developed field genebanks, etc., in several other locations around the country.
11. The project's policy achievements were strongest in relation to the conservation/sustainable use pillar as well and were also undertaken at the local (kebele and woreda) levels in the pilot sites. In addition to enabling the development and adoption of policy documents related to medicinal plant conservation and sustainable use, it also promoted long-term commitments to these achievements by assisting in the negotiation of "sustainable-use agreements" between local stakeholders and relevant kebele- and woreda-level governmental units.
12. Progress with regard to second and third pillars was less than what was envisioned in the project design; however, market-development achievements were notable at the local level, including capacity-building, the establishment of traditional healers' associations and the provision of mechanisms to aid in processing the medicinal plants and sun-shades to help facilitate local market participation. ABS progress, also relatively limited, embodied by the preparation of a standard "gap analysis" report comparing national ABS legislation to the provisions of the Nagoya Protocol on Access and Benefit-Sharing, as well as translation of the Nagoya Protocol itself (which addresses the obligations of national governments) and of the current national legislation (which is in the process of being legislatively revised) into local languages.
13. As noted, the project's excellent performance with regard to the first pillar was obscured by the project's inability to achieve the market-development and ABS outcomes. Those deficiencies, in turn, were occasioned by design and financial challenges described below.
14. The project was rated Likely with regard to "Financial Sustainability." In this regard, it had enabled the establishment of 12 Traditional Healers' Associations at the pilot sites, many of which continue to be fully operational, financed by dues of their members.
15. The project was also rated Satisfactory in its overall rating on "Factors affecting Performance." In addition, it received a rating of Satisfactory relating to the factor "Responsiveness to human rights and gender equity." Although neither the project nor the evaluation identified any particular human rights violations or gender equity challenges, local activities identified and discussed challenges with regard to youth in the project area (as discussed in para 251) and these discussions are continuing.
16. The project was rated Moderately Satisfactory with regard to "Effectiveness," despite very high achievements with regard to the first (conservation/sustainable use) pillar, which were somewhat obscured by the project's inability to complete the market-development and ABS

outputs, as noted below. It was also considered Moderately Satisfactory with regard to the sub-criterion "Communication and public awareness." This was a result of the project's lack of a communication plan and limited dissemination of project reports, analyses and other achievements.

17. With regard to the sub-criterion "Delivery of outputs" and "achievement of project outcomes," the project was rated Moderately Satisfactory, as a result of its less-than-envisioned achievements with regard to the market-development and ABS outputs, outcomes and activities, which was apparently attributable to challenges with regard to financial management and project design as discussed below.
18. With regard to the sub-criteria of "Completeness of project financial information" the project was rated Moderately Unsatisfactory. This issue posed particular challenges to the evaluation, owing to the unavailability of information, which might be attributable to the passage of time and, perhaps to the resulting inaccessibility of archived records. (See part 5.5.1. See also paragraph 327).
19. The project was also rated Moderately Unsatisfactory for "Efficiency" and with regard to "Quality of Project Design." A range of other challenges arose in this project as a result of its design problems. The project's design exhibited both strengths and weaknesses. Its strengths were in its conceptual understanding of the inexorable linkage between the three conceptual areas of the project – its grounding in the fact that the achievement of conservation and sustainable use of medicinal plants in a community must be unavoidably linked to a recognition of both the ecological value of medicinal plants and the forest ecosystems in which they are found and financial value of medicinal plants, when produced and utilized sustainably. Its most challenging weaknesses arose out of limited understanding of the market-related pillar and the ABS pillar, lack of attention to the practicalities of how outcomes identified in these areas would need to work, and apparent unawareness of the amount of time required to even partly achieve its stated outcomes. These misunderstandings resulted in an overambitious project. As a result, the project did not acknowledge or address the external and internal prerequisites of many proposed outputs and activities – due to which a large percentage of the design's proposed market-related and ABS outputs and activities could not be completed through the project, and others were realized in a way that added little or no value toward the attainment of project outcomes and intermediate states.
20. The project was rated Moderately Unsatisfactory with regard to criteria "Communication between finance and project management staff," and the "Monitoring and Reporting" criterion. These ratings reflect the lack of appropriate plans in these areas, as well as the facts that the project management and its executing agency took an inappropriate approach in response to some financial challenges, and that the implementing agency's supervision in many instances did not recognize the existence of those challenges and/or the inappropriateness of that response.
21. Accordingly, the "Financial Management" of the project was also rated Moderately Unsatisfactory. Apart from the design weaknesses noted above, one of the key reasons underlying the challenges experienced in implementation of this project is demonstrated by the project's approach to addressing an unexpected external factor affecting the project's budgeted construction activities, as follows: In the period between the project's approval (2011) and on-the-ground commencement (November 2012), Ethiopia experienced a drought, which



produced unexpectedly high levels of inflation. For the project, this caused two major changes: the hard costs of construction increased markedly due to inflation; and the government had to deploy its personnel to address drought-relief needs, rather than as in-kind contribution of personnel to perform the facility construction in the project sites. The initial project design had called for the construction of specifically designated support facilities at three of the four pilot sites. Faced with the above changes, the project management unit and executing agency decided not to build any of the three designated facilities, but instead to construct a facility at the Shashemene Botanical Garden facility near the BMNP pilot area. (The project was later able to connect with an IFAD-GEF project working in the area of the Zegie pilot site. This IFAD project agreed to construct the originally designated facility at the Zegie field genebank site.) Due to its diversion of funds to cover increased costs and contractor payment schedules, the PMU determined that it would not be able to undertake some of the activities listed in the project logical framework. Thus the unilateral budget changes adopted by the PMU and EA affected the project's ability to complete other project outputs and activities, which now appear to have been dropped from project operational planning.

22. Project Management and the Executing Agency apparently opted to change project implementation dramatically, without any formal discussion with, or approval from, UNEP. They appear to have been aware of these changes to the budget and workplan in the first year of the project. Annual project reporting (GEF Project Implementation Review reports) made glancing mention of some of these changes, but did not bring them to the attention of the UNEP Task Manager. The project management unit apparently did not communicate these problems to the consultant who prepared the Mid-term Evaluation Report in late 2015. In 2015, alerted by substantial budgetary overspends on the construction, UNEP appears<sup>4</sup> to have opened up discussions with the project manager and executing agency for budgetary revision. This revision was completed in April 2016, less than 2 months before the scheduled project completion date, and slightly more than 7 months before the project actually concluded. The significant overspend was compensated by sizable adjustments to nearly every line of the budget. In the available time,<sup>5</sup> the only documentation of these changes was a revision to the UNEP budget lines – no revised project document or logical framework was agreed, and no calculation was done to reconcile the changed UNEP budget lines with the GEF component allocations as set forth in the project document.
23. Thus, the sub-criterion "Project Reporting" was also rated as Moderately Unsatisfactory. As noted, reporting deficiencies caused UNEP to remain apparently unaware, even during the budget renegotiation, of the extent to which the project's logistical framework had been changed. As a result, many of the action items (outputs and activities) retained in the budget (the only record of those negotiations) were activities and outputs that had never been started and could not be undertaken in the 7 months between completion of that budget revision and the project's extended termination date.

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<sup>4</sup> Owing to the passage of time, none of the UN Environment staff that were responsible for the project had direct, significant experience with the project during its operational years. Due to an oversight, although the second Task Manager was still employed at UN Environment at the time of this evaluation, he was not interviewed for this evaluation. Few records have been made available, but they clearly indicate that some negotiation took place and that the UNEP budget lines for the project (but not the project document, logistical framework or GEF component allocation) were adjusted in April 2016.

<sup>5</sup> As noted by a former UNEP Task Manager, "This issue was not brought directly from the EA but we identified that they overspent in April 2015. We had to discuss with the EA to understand the problem and try to find a solution. The negotiation was not late but this issue was brought to UNEP's attention too late."

24. The project also received a rating of Moderately Unsatisfactory with regard to “Preparation and Readiness”. Like many projects, it faced early challenges in hiring and in setting up its financial records, which delayed the commencement of project implementation. In addition, the preparation of the project should have included direct, possibly in-person, guidance in project management factors including how to set up, convene and use the project steering committee; what to do if changed factors underlying project implementation necessitate revision of the project documents; and how to report project work accurately. It would also have been appropriate to review the project document and logistical framework (including components, outcomes, outputs, activities, targets and indicators) to identify the fact that they were poorly drafted, unSMART and generally unhelpful as a tool of project implementation and reporting. If the project management unit, executing agency and implementing agency could have come to some agreement about how to address these deficiencies at the outset most of the other project challenges described in this evaluation report could have been successfully addressed.

**TABLE 2. SUMMARY OF EVALUATION FINDINGS**

Criterion /Sub-criterion	Findings	Recommendations/Lesson Link
A. Strategic relevance	The project demonstrated clear relevance to the priorities embodied in key strategic planning instruments of the GEF, UNEP and the Government of Ethiopia.	
B. Quality of Design	The design was admirably clear with regard to its overall conceptual approach, linking the conservation/ sustainability of medicinal plants and their ecosystem to the development of sustainable markets and of appropriate mechanisms and capacity for Access and Benefit-sharing in these areas. The more specific elements of the design were moderately unsatisfactory, however, causing and/or contributing to serious challenges with regard to project implementation, management and reporting.	Lesson learned 1: “Careful review of project documents is essential at all levels of the approval process...”; Lesson learned 2: “Project Design must be based on reasonable expectations and understanding regarding external and internal prerequisites of project activities”; Lesson Learned 4: “Project work in areas of special professional expertise should receive advice from a range of professionals ....” Recommendation 6: “... consider adopting a more hands-on approach in providing assistance with project design...”
C. Nature of External Context	The project design accurately represented the external context, although unpredictable conditions (drought and inflation) later arose.	
<b>D. Effectiveness</b>		
1. Achievement of Outputs	Much of this project’s work in the pilot sites, with regard to on-the-ground conservation/sustainability of medicinal plants and their environments, and capacity-building at this level was excellently completed. Its diverse outputs in its three interlinked areas of professional work varied in completion and quality,	Lesson Learned 2: “Project... implementation must be based on reasonable expectations and understanding regarding external and internal prerequisites of project activities...”

	<p>owing to design challenges that called for work to be done on markets/marketing outputs and activities, and on ABS implementation at a time when the internal and external prerequisites of those outputs and activities were not met.</p>	<p>Lesson Learned 4, supra.</p> <p>Recommendation 1: "consider further work on ... catalogue... guideline.... and ... extension ...."</p> <p>Recommendation 2: "Consider further work on ... alternative livelihood research."</p> <p>Recommendation 3: "Consider building a new project on advancing the gains ... made in medicinal-plant markets and market development."</p> <p>Recommendation 4: "...inquire into work ... on the "facilitation of access to credit"... and find new project or governmental support to complete that effort..."</p>
2. Achievement of Direct Outcomes	<p>The project's contributions at the pilot sites led to a greater presence, acceptance and understanding of the ecosystemic value of medicinal plant conservation through in-situ management and through the development of the tools and capacity for ex-situ cultivation. The project also took the first steps toward broadening and enhancing markets for medicinal plants and ensuring that those participating at the most local level can share in the benefits of those markets, although it was unable to achieve most of these outputs and activities. More work is needed, particularly with regard to markets and benefit sharing.</p>	<p>Recommendations 1, 2, 3, 4, supra.</p>
3. Likelihood of Impact	<p>The project's outcomes on promotion of in-situ and ex-situ conservation of medicinal plants and enhancing capacity for their cultivation have received a strong and consistent acceptance and continued implementation at the pilot sites. Many mechanisms and bodies have either received post-project governmental support or become self-sustaining. These include field gene banks and nurseries, pilot-site coordination committees (consisting of local stakeholders) and traditional healers' associations.</p>	<p>Recommendations 3, 4, supra.</p>
E. Financial Management	<p>The project faced serious challenges relating to financial matters, ranging from difficulties and delays in obtaining and implementing the UNEP financial records system, to serious communication challenges and lack of collaboration or notice to address apparently necessary project changes.</p>	<p>Lesson Learned 3: "... project needed... an "inception phase" during which critical issues and factors that could... later ... create serious problems implementation or project management should be addressed."</p> <p>Lesson Learned 5: "Open, clear and complete communication between the Project Management Unit, Executing</p>

		Agency and Implementing Agency ....”
F. Efficiency	The project built successfully on the lessons learned in a previous GEF project addressing medicinal plant conservation through in-situ management and through the development of the tools and capacity for e-situ cultivation. Its design – utilizing pilot-site staff, offices and equipment was efficient.	
G. Monitoring and Reporting	<p>Monitoring by project management was an area of distinct challenge. Although there was a budget and (standard template) plan for project monitoring, apparent misunderstandings relating to the meaning of monitoring provisions in project documents reduced project self monitoring to the production of a mid-term evaluation report, which was conducted and circulated about 7 months before the projects extended termination date.</p> <p>Reporting challenges arose for a variety of other reasons, as well, including both communication problems and an apparent desire to underemphasize unilateral unreported changes to project’s budget and logistical framework.</p>	<p>Lesson Learned 5, supra.</p> <p>Lesson Learned 6: “Project records should be carefully kept and preserved in usable form and formats.”</p> <p>Lesson Learned 7: “Monitoring and evaluation is not useful and possible unless conducted in a timely way, in accordance with a well-made and well-understood monitoring/evaluation plan”</p> <p>Recommendation 6:</p>
H. Sustainability	All indicators within governmental and non-governmental sectors at the pilot sites (based on evidence obtained three years after the project has terminated) indicate that the project’s results will continue to be sustainable within the community socio-political environment, that the gains made by the project will be supported and maintained, and that institutions, including non-governmental traditional healers’ associations, have the ability and will to sustain themselves, and to pass along the knowledge and capacity they have obtained through the project.	Recommendations 3, 4, supra.
Factors Affecting Performance		
Preparation and Readiness	Initial administrative delays including hiring, turnover and financial record-keeping were eventually overcome.	Lesson Learned 3, supra.
Project Management and Supervision	The Pilot Site Coordination Committees were mechanisms for strong and effective management, supervision and participation at the pilot-site level, but some difficulties were apparent with regard to the establishment and operation of the national Project Steering Committee.	Recommendation 5, supra.
Stakeholder Participation/ Cooperation	Pilot-site organization strongly supported and encouraged stakeholder participation, including both government stakeholders and local residents. There remain some concerns about representation in national project bodies.	

Responsiveness Human Rights/ Gender Equity	No gender biases or inequities were found in the pilot sites with any connection to the MP sector. Some issues were raised regarding youth, who are sometimes harvesting forest products for additional pocket money.	Recommendation 2, supra.
Country Ownership and Driven-ness	The project showed many strong indications that its implementation addressed the relevant priorities of the GOE. Sense of national ownership was so strong that project staff and work was sometimes used to address national needs beyond the scope of the project.	
Communication/ Public Awareness	Relatively few of the reported project outputs received broad circulation or were available to the evaluation team, less than three years after project termination. A communication plan would have been of benefit.	Lesson Learned 5: "A project should develop a communications plan that ensures that project studies, analyses, guidelines, tools, training materials, etc. will be used and available broadly, both during and after the project."

25. In sum, the project demonstrates many extraordinarily positive results with regard to its on-site provision of support to planning, research, physical facilities and capacity development for conservation and sustainable use of medicinal plants. In other elements it experienced difficult challenges that stem from not only the breadth of sectors involved, but also from over-inclusive design, covering professional sectors outside the scope of knowledge of the primary project staff and of the members of the overseeing bodies. Consequently, follow-up projects are recommended to build in areas in which the project started or was ready to start work. It also experienced some challenges relating to management, oversight and cooperation. This evaluation suggests six recommendations focusing on the possibility of such follow and possible approaches to alleviated some of the design and management challenges. It also offers seven lessons learned, identifying the ways in which those challenges arose. Focus areas include the project design and approval processes, communications, monitoring-reporting and record-keeping.

## 1. Introduction

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26. This report presents the results of the Terminal Evaluation (TE) of the UNEP/GEF project entitled “Ethiopia – Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants (Ethiopia ABS CSUMP)” which was approved by UNEP and the GEF on 24 April 2012. The Project began on 22 November 2012 and its on-the-ground presence and activities ended on 21 November 2016. This closure date reflected a four month no-cost extension granted to the project shortly before its original termination date. The project was executed by the Ethiopia Biodiversity Institute (EBI) on behalf of the government of Ethiopia
27. As set out in its Terms of Reference, the objective of this Evaluation are as follows: “In line with the UNEP Evaluation Policy and the UNEP Programme Manual, the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes (actual and potential) stemming from the project, including their sustainability.”
28. The TORs further note that the evaluation has two primary purposes: “(i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, the GEF and EBI. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation [especially for the second phase of the project, if applicable].” The evaluation addresses the need for accountability through assessment of whether the project achieved expected results against the original objectives. Underlying factors influencing performance are also explored.
29. This report also seeks to provide guidance to inform future design, funding, management and implementation.
30. The target audience for this evaluation includes the project funders at GEF, the project team at EBI and UNEP, the ministerial agencies represented at the Technical Consultative Committee and civil society represented in the project primarily through the Project Site Coordination Committees at each of the four designated project sites – committees that included both government officials and representatives from academia and NGO's
31. The project was approved under three GEF-4 Strategic Program(s): SP-4 (Policy), SP-5 (Markets) and SP-8 (ABS Capacity). It was implemented by UNEP under its Ecosystems Division. It also sought to contribute to the delivery of the UNEP Programme of Work for 2012/2013 primarily under Subprogram 3 Healthy and productive ecosystems, particularly Expected Accomplishment (c), Outputs 1 and 4.
32. The project's stated goal was “Improved in situ conservation of medicinal plants biodiversity resources secures biodiversity values, ensures food security and sustains human well-being.” The project budget was secured in the amount of US\$ 4,547,000, comprised of a GEF grant of \$2,047,000 which the Government of Ethiopia (GOE) supplemented with a commitment to cofinancing in the form of in-kind contributions valued \$2,500,000. As discussed in part 3.5, the eventual cofinancing contribution included cooperation with other projects in the relevant areas as well as the work of other units, although the amounts/value of these contributions has not been reported. Also noted below is the fact that the evaluation team has not reviewed any

agreed document confirming the final totals of the amounts of funding received or expended, or the valuation of cofinancing provided.

33. A Mid-Term Review (MTR) of the project was undertaken between November 2015 and April 2016.
34. The project was executed by the Ethiopian Biodiversity Institute (EBI)<sup>6</sup> through a project staff based in Addis Ababa and in four designated pilot sites.
35. The project was, in part, designed as a follow-up to a GEF project entitled “Conservation and Sustainable Use of Medicinal Plants”, that was implemented by the World Bank in Bale Mountains National Park – one of the four pilot sites chosen by the Ethiopia ABS CSUMP project (discussed in para. 63).
36. As yet, no formal discussions are being held regarding a follow-on to the Ethiopia ABS CSUMP project. It has been reported to the evaluation team that “UNDP has developed a GEF 7 project as a follow-on together with EBI,” however, when in Ethiopia, the evaluation team asked about it and was told that no such follow-on project was being considered. (Some interviewees suggested that Ethiopia was participating in a new ABS project, although no details on it were given to the interview team.)

## **2. Evaluation Objective and Methods**

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37. This document presents the TE of the Ethiopia ABS CSUMP project. The evaluation seeks to provide evidence of results to meet accountability requirements by assessing whether the project achieved expected results, as measured against the reconstructed Theory of Change (RTOC), set out in part 4, below, subject to the caveats discussed in paras 121-126. In this connection, it also considers external and internal factors influencing performance. Its second, but equally important objective is to promote learning, feedback, and knowledge sharing among national, regional and international stakeholders, inter alia, to inform future decision-makers and designers when they are called to address the funding, management and implementation of similar projects. To this end, it focuses on more than simply determining what results the project achieved, but also considers why and how these results were (or were not) achieved.

### **2.1 Evaluation Methods**

38. The field mission was undertaken 22 August – 10 September 2019. For reasons of time and economy, in addition to visits in Addis Ababa, site visits and personal interviews could only be conducted in three of the four pilot sites (detailed in para. 61 and mapped on Figure 1) – the Zegie, BMNP and Kure pilot sites. In the original planning of the field visits, the Anbesa pilot site was excluded for security reasons. These reasons were no longer a factor by the time the field mission was actually undertaken, however, the team did not visit the Anbesa Pilot site.
39. Subject to timing-related and other challenges discussed in part 2.2 below, the evaluation team recognized that the objectives of this TE would be best achieved through exploration of varied

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<sup>6</sup> Formerly known as the Institute of Biodiversity Conservation and Research or “IBC”.

perspectives of as many involved actors (including project managers, governmental and nongovernmental stakeholders, beneficiaries and other relevant sources) as possible. To that end, this evaluation relied on the following sources of information:

- Individual (sometimes in person, sometimes by telephone) interviews, sometimes supplemented by follow up email;
- review of all documents provided from UNEP files or obtained from the project staff or other sources upon request;
- information (including some project documents) from the NPM, project files and EBI files was often limited or non-existent. The evaluation team was not given access to EBI files on the project, and approximately 75% of the team's requests for information from national files were ignored). It is possible that the delay in fielding this evaluation contributed to these problems, since the persons of whom document requests were made may have found it too difficult or time-consuming to access archived files for a project they were no longer participating in;
- review of all information available from the MTR, Project Implementation Reviews (PIRs) and other project reporting;
- visits to three of the four project sites (see para 63), including facilities, field gene banks, nurseries and home gardens supported by the project;
- project deliverables and other records provided by the project; and
- other project reports and financial records made available by UNEP.

40. As explained in more detail in part 2.3, the selection of interviewees was more tactical than planned. The team sought and obtained the names of many participants or beneficiaries of the project, making plans to meet those that seemed most relevant and able to provide useful input. Owing to the passage of time, however, and the evaluation team's lack of access to files of the project's execution, the ultimate selection is properly characterised as "anyone who participated in or benefited from the project, whose name was remembered by someone interviewed, and whose current location could be found." Full lists of persons contacted and of documents, project deliverables and financial records reviewed are attached to this report, as Annexes I, II and III.

41. Subject to those limitations, methodological aspects of the interviews and in-country mission are as follows: At each place visited, the evaluation team undertook interviews of available partners, stakeholders and others with specific knowledge relevant to the project. In addition, at the pilot sites, the team was able to

- (a) conduct interviews of governmental stakeholders at both kabele and woreda levels regarding the work and situation at that site (as noted, selection of interviewees was generally based on present ability to locate anyone with project knowledge. In the capital, selection was apparently based on finding persons willing to meet with the team);
- (b) visit the field genebanks and nurseries established and/or supported by the project; and
- (c) (at Zegie and Shashemene near BMNP) visit the facilities constructed at that site.



42. Throughout the field mission, efforts to obtain information were supported by translation (sometimes through two languages) provided by individuals from the region and in some cases by former project staff
43. Some interviews were conducted in the homes or neighborhoods of local residents.
44. The evaluation activities was carried out over an extended period between December 2018 and February 2020. As such they occurred 2-3 years after the conclusion of the project's on-the-ground activities. The evaluation was conducted by independent consultants, Tomme Rosanne Young and Shewaye Deribe Woldeyohannes, under the overall responsibility and management of UNEP's Evaluation Office and in consultation with the Project Manager in Ethiopia and with the UNEP Task Manager. The inordinately long term of the TE work was occasioned by scheduling issues which delayed the field mission for approximately seven months.
45. As set out in Part 4, this evaluation is based on a "reconstructed Theory of Change" (RTOC) prepared during the inception phase and revised during the in-country mission and post-mission analysis phases. As noted in that discussion, preparation of the RTOC, presented particular, unexpected challenges due to the nature and content of project progress reports, financial reports and other communication challenges, rendering it difficult to confidently reconstruct a TOC that accurately and fairly reflected the project's implementation objectives and expectations.

## **2.2 Evaluation Timing**

46. The work of this evaluation was undertaken in stages, beginning in the inception phase (December 2018-January 2019), with detailed review of several hundred pages of relevant documents, coupled with initial telephone interviews of a number of stakeholders who participated in the project at some level.
47. Various scheduling problems caused a delay in the completion of this TE. In particular, the field mission had to be delayed several months to accommodate the current employment of the National Project Coordinator (NPC), in addition, the international consultant became rather seriously ill during the field mission, further delaying the completion of this TE report.
48. Due to the delay of the field mission, preparations for that mission were undertaken twice -- initially in January, 2019 and again in July/August, 2019. During this time, the evaluation team
  - re-reviewed relevant documents and identified key areas in which basic information was lacking;
  - sought out and contacted key project staff and participants to work with (or be interviewed by) the evaluation team in the field;
  - further revised the RTOC at design to produce the RTOC at Evaluation; and
  - prepared and submitted a Revised Field Mission Plan.
49. The field mission included a day spent by the team leader in Nairobi, meeting with relevant UNEP staff and filling some of the identified gaps in available basic data, followed by
  - A four-day visit to Bahir Dar, to enable work at and around the Zegie Pilot Site
  - a four-day visit to Jinka, to enable work at and around the Kure Pilot Site

- a five-day visit to Goba and Hawassa, to enable work at and around the BMNP Pilot Site; and
- two visits, totalling four days, in Addis Ababa.

50. The complete schedule of the field visit is attached to this report as Annex IV.

### **2.3 Evaluation Tactical Choices, Including Selection of Interviewees**

51. As noted in part 2.2, there was a 33-month delay between the operational completion of the project (conclusion of the project's on-the-ground activities and closure of its office) and the fielding of the evaluation mission. As a result, the original plan of the field mission and of the overall TE was subject to changes occasioned by problems encountered on-the-ground. The most important of these is the fact that many participants could not be located or contacted during the course of the evaluation mission. It was difficult (sometimes impossible) to find and meet with or communicate with many of the key project staff members and other key persons possessing the most direct knowledge of the project. In addition to the delay, the team sometimes found a lack of interest in discussing the project, which appeared to arise out of a general perception that no further project-related work should be expected.

52. Thanks to intensive work by the national TE consultant, often assisted by former pilot-site staff of the project, a number of individuals familiar with the project were found in each of the pilot sites visited, and in Addis Ababa. Where someone could be found who was aware of the project and was also willing to meet with the evaluation team, that person was interviewed. In some cases, key persons were convinced to travel, often long distances, to meet with the evaluation team. The team used extra efforts to ensure that all relevant perspectives and stakeholder groups were represented, but cannot give assurance that this objective was achieved – only that we did our best.

53. As a result of the difficulty in finding relevant participants, it was not always possible to fully corroborate (or “triangulate”) particular information or even to confidently identify a majority position among interviewees. For this reason, this report will only state particular conclusions or findings where they have been raised and supported by interviewees from more than two of the following categories:

- project staff,
- partner/participating agencies,
- community stakeholders,
- consultants

or by documentary evidence supported by at least two interviewees.

54. With regard to documentation, the evaluation team frequently asked about documents, activities and meetings, which, although reported to have been produced under the project, the interviewees were unable to remember or otherwise confirm. As noted, this lack of confirmation may indicate either a lack of documentation of these matters, the unavailability of project staff, EBI and UNEP support staff to expend efforts locating documents in archived files or a complication born of project reporting problems.

55. With regard to gender and other vulnerability issues, the evaluation team made the following specific efforts:
- i. to identify any direct or indirect gender-or-vulnerability-based differences in project value;
  - ii. to ensure that those excluded by gender, vulnerability or marginalisation were reached and their experiences captured effectively; and
  - iii. to specifically inquire of every woman or rural resident interviewed whether the project addressed their needs in comparison to those of others.
56. As discussed in part 5.9.4, these efforts generally confirmed statements that there had been no gender inequality identified relative to MP conservation, sustainable use, marketing and/or benefit-sharing.
57. Although more than one interviewee mentioned particular concerns relating to rural youth, no members of this group were available for and willing to participate in the interviews.
58. In most cases, interviews were conducted separately by the evaluation consultants, often accompanied by a former member of the project staff, to aid in communications and to help identify key points of discussion. The interviewees' comments are reported anonymously herein and notes and records of the interviews have been kept confidential and will be destroyed when this report has been finalized.
59. The evaluation team worked together in an attempt to ensure that the information received was properly documented and that it is accurately reported in the narrative portions of this report. To some extent, as noted in para 54 and elsewhere, critical documents were unavailable. In addition, the UNEP evaluation guidelines provide the means by which data analysis can be impersonal and thus more impartial. Those methods are used throughout this report.

### **3. The Project**

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#### **3.1 Context**

60. The Ethiopia ABS CSUMP project was designed around the goal of protecting medicinal plant (MP) diversity, both in situ and ex situ, while not inhibiting (and where possible, supporting) the burgeoning domestic and international markets in traditional medicines, and encouraging local herbalists and growers to participate in those markets. The project document linked this objective to the concept known as "access and benefit-sharing" (ABS), as originally expounded in the UN Convention on Biological Diversity (CBD) and subsequently addressed in the CBD's Nagoya Protocol (NP), which was in its final stages of negotiation during the preparation of this project. The CBD and NP include provisions calling for ABS legislation and policy development in countries that are parties to the two instruments. More importantly, the Nagoya Protocol was the first international instrument to specifically require that the ABS concept be applied to "traditional knowledge associated with genetic resources,"<sup>7</sup> (also known as "associated

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<sup>7</sup> CBD, Articles 8j and 10c; and NP Articles 7, 12 and 16.

traditional knowledge” or ATK). The Project’s primary beneficiaries – traditional healers (THs) and MP farmers – present classic examples of the challenges countries must address in trying to apply ABS to ATK.

61. The primary activities of the project occurred at four pilot sites:

- (a) Bale Mountain National Park (BMNP) in the Oromia region;
- (b) South Omo-Kure Natural Protected Forest (the Kure pilot site) in the Southern region;
- (c) Amhara-Zegie Plateau Forest (the Zegie pilot site) in the Amhara region; and
- (d) Benshangul Gumuz-Anbesa Forest (the Anbesa pilot site) in the Benshangule Gumuz region.

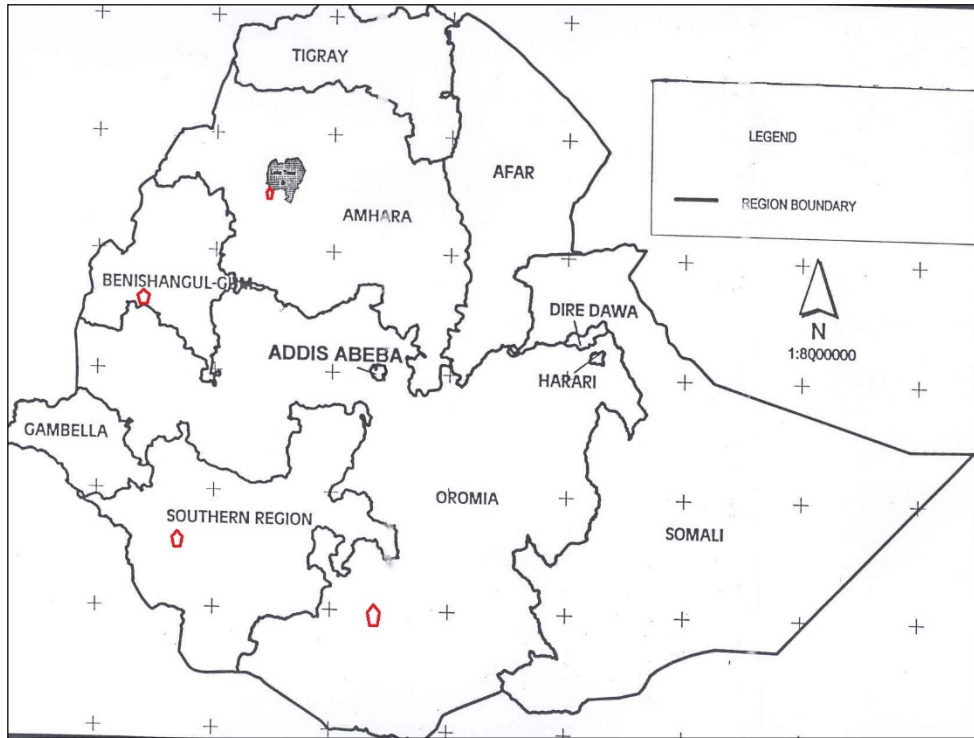
62. The ProDoc made relatively limited mention of inequalities related to the status of gender and other vulnerable groups, and most such statements were relatively generic. It stated, however, that “[a] gender analysis will also be undertaken to ensure that enterprise groups are based on existing gender roles while ensuring improved targeting and fair distribution of benefits between the youth, men and women.” (ProDoc para 176, see also para 179 and output 1.3.1.)

63. An earlier World Bank implemented GEF project, entitled “Conservation and Sustainable Use of Medicinal Plants” had been undertaken at Bale Mountain National Park (BMNP, one of the four pilot sites under the Ethiopia ABS CSUMP Project, see para. 61), executed by EBI (then known as the Institute for Biodiversity Conservation and Research or IBC). Initially, the Ethiopia ABS CSUMP project was designed as a follow-up to that work.<sup>8</sup> According to documents in the GEF database, this project was funded by an International Development Agency (IDA) grant of \$2.51 million, a GEF project grant of \$1,802,000, and GOE contribution in the amount of \$780,000. The World Bank described the project as a “learning and innovation lending project” that was intended to address, inter alia, the potential benefits of using indigenous medicinal plants to sustain human and animal health, improving in situ conservation of medicinal plant species, and improving the management of plant habitats. As discussed in para 353, there were some setbacks in the physical work of that earlier project (with regard to its genebank development activities), so that, when the Ethiopia ABS CSUMP project commenced, BMNP was considered to be essentially on a par with the three “new” pilot sites, with regard to its situation.

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<sup>8</sup> The World Bank TE of the earlier project includes a discussion of then ongoing negotiations between the GOE and the World Bank, but these negotiations reportedly did not bear fruit, so the proposal was taken to UNEP.

**FIGURE 1: MAP SHOWING LOCATION OF THE ETHIOPIA ABS CSUMP PROJECT PILOT SITES**



64. The Ethiopia ABS CSUMP project document postulated that THs and other sellers of MPs and their products were harvesting MPs from the wild at a rate that might not be sustainable. It also noted the magnitude of domestic markets for MPs and their products and predictions that such markets will grow and that international interest in Ethiopian MPs might be stimulated. Based on these points it stated the need for capacity building and other measures, such as the development of ex situ conservation sites (field genebanks and seed banks), nurseries and home gardens, to serve dual purposes:

- instilling the importance of conservation and sustainable use of MPs and of the forests generally; and
- preparing for the expected expansion of MP markets in ways that promote the sustainability and conservation of medicinal plants in the wild.

65. Given that MP farmers and THs are generally members of remote rural communities, one key element of this project was to begin to enhance their livelihoods by expanding the markets and perceived value of MPs.

66. The production of MP products was also postulated as a potential alternative livelihood for those in the region who currently supplement their incomes by unsustainable harvesting of forest products.

67. The Project Document (ProDoc) also suggested the opportunity and goal of expansion of the MP markets, nationally and internationally. This was recognized as a mechanism for promoting commercial relationships with and the development of MP companies.

### **3.2 Objectives, Components, Outcomes and Outputs**

68. The project's design and monitoring documents described its primary objective as "to ensure conservation and sustainable use of medicinal plants and the effective implementation of a revised national ABS regime."

69. This goal, along with the project's "components," outcomes and outputs as set out in the Project Document's Logical Framework (Log/Frame), formed the basis of work undertaken during the inception phase of this evaluation to produce the RTOC at evaluation for this project, as discussed in Part 4, below.

70. As designed, the project sought to achieve its objective through four substantive components and one operational "component," as the primary budgeting breakdown at the time the project is approved. The following are the project components (as adjusted in the RTOC process):

- Component 1: "the in-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites by improving the conservation status of threatened medicinal plant species; ensuring sustainable use of medicinal plants and providing new and diversified livelihoods opportunities for local communities in the project sites" (3 outcomes and 13 outputs);
- Component 2: "deal[ing] with the enabling policy and institutional framework for in situ and ex situ conservation of medicinal plants biodiversity [including through a] review of existing policy, law and legislation for medicinal plants [and] strengthen[ing] ABS capacity and raise awareness about ABS issues" (2 outcomes and 6 outputs);
- Component 3: "Markets for MP-friendly products promote farmer uptake of MP-conservation imperatives." (1 outcome and 3 outputs);
- Component 4: "Capacity building for measures in support of conservation/ sustainable use of MPs, including management, wider application of ABS measures; and participation in trade in MPs and their derivatives." (one outcome and 3 outputs); and
- Component 5: "Project Management, Monitoring and Evaluation."

71. As noted, the ProDoc enunciated a total of seven stated outcomes and 24 explicitly identified outputs (as reorganized and revised in the RTOC at evaluation). The tabular list of components, outcomes and outputs is Annex V and the outputs and outcomes are discussed in more detail in parts 5.4.1 and 5.4.2.

72. Initial scrutiny of the project's results hierarchy yielded the tentative conclusion that, component titles aside, this project was primarily designed around the goals of in situ and ex situ conservation of medicinal plants through a combination of specific medicinal plant conservation measures and the building of awareness and capacity among those in the pilot communities who are most involved in MP collection and use. The most carefully crafted and interconnected outcomes and outputs are found under component 1, and the MP conservation/sustainable use outputs found under other components. They are well detailed and clearly based on experience in the work of promoting both utilization and sustainability of MPs at the local level. By contrast, outcomes and outputs related to markets and market

development (under components 3 and 4) are relatively generic and unspecific, lacking, for example, a detailed understanding of what is involved in the market development processes. Similarly, relatively few items and activities under components 2 and 4 actually focused on ABS, and these are very generic and somewhat impractical.

73. This perception was borne out in the evaluation, where it is clear that the project's MP conservation and sustainable use works were undertaken in a comprehensive integrated manner and met with strong, durable results. These activities clearly contributed to the overall goal objectives that comprise component 1, as quoted above.
74. The listed outcomes and outputs relating to ABS and marketing are stated extremely generically, indicating the possibility that they received little attention in the design phase or were added for other reasons. Although ABS references are numerous, they do not include any discussion of the special relevance of ATK issues (the ABS issue most relevant to the MP and marketing portions of the project) in the context of the project. In component 4, although the term "ABS" was used in the component's name, the outcome and activities were entirely focused on practical aspects of MP conservation management, with no apparent ABS connection. During the evaluation mission, the team was told that the ABS component was a late addition to the project design, added to increase the chance that the project would be funded.
75. As further discussed in paras 123 and 199, the ProDoc also mentions the concept of "payment for environmental services," by using the acronym "PES" and included a paragraph describing "a potential water-based PES opportunity." It also made reference to the climate change programs for Reducing Emissions from Deforestation and Degradation (REDD and REDD+). These programs and concepts, however, were not major elements of the project's design or its activities.

### **3.3 Stakeholders**

76. The project targeted several stakeholder groups. The project's stakeholders comprise a broad range, including governmental actors, non-governmental actors, research entities, private entities, and beneficiaries (primarily local/regional governmental actors, traditional healers, and MP growers).
77. The government officials who were clearly stakeholders in the project include representation (offices/officers) of the Ministry of Agriculture (MoA),<sup>9</sup> and the Cooperative, Environment and Women affairs offices at the kebele (local/ community) and woreda (district) levels). Central government offices were also involved in project activities, as described in part 3.4, below. In addition, national legislative bodies were the beneficiaries of some of the project's outputs relating to ABS.
78. Research agencies, such as the Department of Drug Research and the School of Pharmacy and the Faculty of Veterinary Medicine at Addis Ababa University and various universities in pilot

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<sup>9</sup> Known at levels as the Bureau of Agriculture and Rural Development (BoARD) and as the Office of Agriculture and Rural Development at zone and woreda levels.

regions (e.g., Bahir Dar University (near Zegie), Robe University (BMNP site) and Hawasa University (for Kure)) both participated in and benefited from the project's activities.

79. Private stakeholders included THs, farmers, community organizations and community members in the four pilot sites, as well as local traders and companies and individuals throughout Ethiopia who are involved in MP-related industries.
80. The particular application of the project with regard to gender, disadvantaged and under-represented/marginalised groups was directly investigated, producing generally positive findings, which are addressed in parts 5.4 and 5.8, below.
81. In addition to the stakeholders listed above, the final Project Document, as posted on the GEF website, lists a number of community institutions as additional beneficiaries of the project: "traditional medical care, community based agricultural and environmental organizations such as Ethiopian Rural Self Help Association,...Farmers Associations, ... Oromia Forestry and Wildlife Enterprise, Ethiopian Wildlife Organization, Ministry of Tourism and Culture, Ministry of Water & Energy, Ethiopian Electric Power Corporation, CBOs, Ministry of Mining, ... Ethiopian Institute of Agricultural Research, Ministry of Trade, ...Ministry of Science and Technology, Ministry of Tourism & Culture, Ministry of Justice, House of Representatives, ..., District Cooperative Promotion Commission, NGOs, ... National Meteorology Agency, Media, Private Sector, ...UNDP, Bale Eco-Region Sustainable Management Programme, Organization for Natural Medicine, Bamboo Rehabilitation Program, Tana Beles Integrated Water Resource Development Project, Lake Tana and its Vicinities Biosphere Reserve Initiative, Ethiopian Standard Authority, etc."<sup>10</sup> It identified (in Table 4 to that document) the entites or categories<sup>11</sup> that it considered as "key institutions" with regard to each of the Ethiopia ABS CSUMP project's outputs. Although the evaluation team (specifically the national consultant) made herculean efforts to identify potential interviewees in such stakeholder organizations, the evaluation team was unable to meet with persons from most of these entities who had any knowledge or awareness of the project. As noted in part 2.3, this may well be a function of the passage of time since the conclusion of project activities and the closure of its offices. In that case, however, it may also point to a rather disillusioning conclusion regarding the transitory nature of the work done by projects of this type.

### **3.4 Project Implementation Structure and Partners**

#### **3.4.1 Project Partners and Duty Bearers**

82. In the context of a project that is managed within a specified government agency, it is often difficult to determine which other agencies, organizations or projects are to be considered "partners" and which are "stakeholders" or "beneficiaries." Guidance for this TE includes another term – "duty-bearers" – which is useful in making the distinction. The following lists the agencies, organisations and others that have either been assigned specific duties under the initial project documents or have later undertaken particular activities described therein.

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<sup>10</sup> ProDoc (online at the GEF website as "Project Document for CEO Endorsement" - <https://www.thegef.org/project/capacity-building-access-and-benefit-sharing-and-conservation-and-sustainable-use-medicinal>) at page 71.

<sup>11</sup> Most outputs, for example, listed "CSOs" (presumably "civil society organizations," "CBOs" (presumably "community based organizations") and "cooperatives" as generic identification of key institutions.



83. **EBI** is the governmental organization spearheading conservation and sustainable use of biodiversity in Ethiopia. It served as the Project's Executing Agency (EA) and hosted the national project management unit (PMU). Through the PMU, it was responsible for financial management in line with the procedures of UNEP and GEF, delivery of project results and communicating the project to all stakeholders and reporting to the project steering committee and UNEP.
84. The **Ministry of Finance and Economic Development (MoFED)** was responsible for providing guidance on fund management and other financial oversight. Specifically, its mandate was to oversee, monitor, evaluate and audit the finance channeled to the project through MoFED.
85. In addition to holding responsibility for the management of relevant natural resources (forests, fishery resources, rangelands, etc. that host biodiversity) in Ethiopia, the **Ministry of Agriculture (MoA)** is the Ministerial "home" of EBI. As such, it also bore responsibilities for co-financing of the project as well as specific roles regarding awareness raising at higher levels and for handling strategic and policy issues. These legislative/administrative responsibilities induced the evaluation team to consider that it was also a stakeholder/beneficiary of the project's work, including its work on strategic and policy issues. It was also responsible for presenting project deliverables and other matters on behalf of the project to the Ethiopian Council of Ministers (EBI did not have a mandate to directly participate and communicate with the Council). The MoA's representation at regional (through their respective Bureaus of Agriculture and Rural Development or BoARD), zonal, woreda/district (Offices of Agriculture) were very involved in project site activities. As such, the MoA was a key player in all outputs of the project.
86. The **Environmental Protection Authority (Federal EPA)** was also affiliated with the project, reportedly having specific roles with regard to certain project activities and outputs, particularly through direct participation of its regional counterparts, known as "Bureaus of Environmental Protection and Land Use".
87. **Regional bureaus of Culture, Tourism and Parks** were also partners or duty-bearers in this sense.
88. The **Forest and Wildlife Enterprise of Oromia** was similarly a duty-bearer in that sense.
89. Another de facto duty-bearer was a contemporaneous GEF project co-funded and implemented by the International Fund for Agricultural Development (IFAD) entitled "**Community-Based Integrated Natural Resources Management in Lake Tana Watershed**" (the IFAD project).<sup>12</sup> This project had a more focused overall geographical scope (Lake Tana watershed), but that scope included the Zegie Pilot site. Although the IFAD project was being implemented under the GEF's Land Degradation focal area, its substantive scope and mandate were broad enough to include activities and outputs also covered in the Ethiopia ABS CSUMP project. As noted in

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<sup>12</sup> GEF Project Id. 3367. Information concerning the IFAD project can be found at <https://www.ifad.org/en/web/operations/project/id/1100001424>. That project was initially operated from 2009 through 2018, and is now closed. That site indicates that this was a \$25 million project, with more than \$13 million from IFAD, \$4.4 million from GEF and lists \$2.78 million from GOE and \$3.5 million from "beneficiaries." The GEF database record of the IFAD project states that the project funding total was \$25.7 million to which cofinancing of 21.3 million was added. That cofinancing includes the two above-mentioned cofinancing contributions, both of which were in-kind, supplemented by a GEF Agency "soft loan" of 7,500,000 and a GEF Agency grant of another 7,500,000. See [https://www.thegef.org/sites/default/files/project\\_documents/12-11-07%2520Revised%2520PIF-Ethiopia-ID3367.pdf](https://www.thegef.org/sites/default/files/project_documents/12-11-07%2520Revised%2520PIF-Ethiopia-ID3367.pdf). Attempts to obtain further information in-country and from IFAD directly have not produced results. Although many interviews mentioned the IFAD project, we were not able to obtain clear information about its coordination with the Ethiopia ABS CSUMP.

part 3.5, below, when it became necessary to reconfigure the facility construction elements of the Ethiopia ABS CSUMP project, the IFAD project undertook the facility construction in Zegie.

90. **UNEP** was the GEF Implementing Agency (IA) of the project and responsible to check whether the project was implemented in accordance with UNEP/GEF procedures. As a Co-chair of the PSC, it was expected to track implementation of decisions made by the PSC. As discussed in greater detail in paras. 324 and 370, the project was passed between three UNEP Task Managers, the last of whom was given the project one month prior to closure, when it had received all the final payment.

### 3.4.2 Project Implementation Structure

91. The **Project Management Unit** (PMU) was responsible for overall and day-to-day leadership, management and technical guidance of the project. Its assignments were (i) to coordinate the implementation of project activities; (ii) to support supervision of activities contracted to consultants; (iii) to ensure the achievement of project objectives and delivery of project outputs across the four pilot sites in close consultation with the site level project management units, stakeholders and partners and (iv) to provide functional expertise in the project administrative process and work with users to ensure the project meets business needs. The PMU was comprised of a **National Project Manager** (the actual title used in this project's implementation was "National Project Coordinator" (NPC) which is the term used in this report when speaking of this project. When discussing the position more generally or in future projects, the more common designation NPM is used), Market Specialist, Policy Specialist and support staff (financial officer, Project assistant/secretary and a driver/messenger). The NPC's responsibilities included reporting to the Director General of the EBI, maintaining liaison with UNEP, supporting the units undertaking site-level project activities and taking responsibility for national-level outcomes. (The evaluation team was able to meet with four members of the PMU staff.)
92. At the central level, the project was overseen by a **Project Steering Committee** (PSC), which was to be comprised of three categories of membership, representing the various interests of stakeholders – project owners/partners, beneficiaries and suppliers. The PSC was intended to serve as the highest decision-making organ of the project, that is, to oversee the project and take responsibility for its feasibility, business plan and achievement of outcomes. Housed within EBI, the PSC was to be co-chaired by its Director General and UNEP. The project undertook stakeholder analysis that identified stakeholders from grassroots up to national levels (i.e., at community, woreda, region and national levels). Key stakeholders<sup>13</sup> from this list, as well as representatives of UNEP, the pilot sites, the private sector and relevant NGOs were reportedly members of the PSC, although participation of the latter three categories has not been indicated in the limited documentation available with regard to the PSC. (The evaluation team did not receive a list of all members of the PSC, and has interviewed only 13 people who participated in PSC meetings. As discussed in part 5.9.2, below, there are doubts remaining as to whether the PSC was used appropriately in the project.)
93. The primary implementation activities occurred at the four project sites, which were coordinated under the guidance of the four **Project Site Implementation Units** (PSIUs), which

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<sup>13</sup> Including the four regional states (Benshangul-Gumuz, Amhara, Oromia and SNNP), and the woredas where pilot sites were situated (Bambassi, Debub Ari and Dinsho and Bahir Dar City Administration).

staffed offices in or near each of the four Pilot Sites. The PSIUs were under the guidance of the NPC and with technical back up from the Market and Policy Specialists at the PMU. Each PSIU consisted of a Project Site Officer (PSO), Project Site Policy and Marketing Associates and support staff (project administration officer/secretary and driver/messenger). (Some of these staffers remained in their respective regions following the end of the project or were still in contact with persons contacted during the evaluation field mission and were thus available to provide useful input into this evaluation. Many however could not be located or were unable to meet with the evaluation team.)

94. At each of the four project sites, a **Project Site Coordination Committee** (PSCC) was organised. Most of the PSCCs were comprised of representatives of all stakeholder groups, although one of the sites visited (BMNP) limited PSCC membership to representatives of stakeholder institutions. The PSCCs' stated objectives included forging linkages between sectors, guiding and coordinating the delivery of site activities, and ensuring that the project is delivered on time, to budget and to the required quality standard (within agreed specifications). The project specified that PSCCs would "meet at least once every quarter to review work plans, review progress, discuss implementation barriers, agree on ways of addressing conservation barriers, forge linkages, harmonize activities, exchange information and experiences, provide guidance for implementation and make financial decisions." In practice, at least one PSCC (Zegie) was reportedly far more active, meeting much more often and becoming involved in intense discussions. That PSCC has since merged into the community association, and thus continues to meet. (The evaluation team met with or interviewed several persons who participated in PSCCs, however, it did not receive any minutes or other record of those meetings nor any list of the persons who participated.)

95. A **Project Technical Advisory Committee** (PTAC) was established, whose mandate was to provide technical and methodological expertise to the project at national, state and local level. The PTAC was to consist of a representative from the following institutions:

- (a) The National Herbarium at Addis Ababa University,
- (b) Bahir-Dar University,<sup>14</sup>
- (c) Awassa University,<sup>13</sup>
- (d) Robe University,<sup>13</sup>
- (e) the Ethiopian Institute of Agricultural Research;
- (f) the Ethiopian Health and Nutrition Research Institute;
- (g) the Food, Medicine and Health Care Administration and Control Authority; and
- (h) the private sector.

96. The evaluation team interviewed a number of members of the PTAC. These persons were located at institutions around the country, and did not have formal meetings, as such. Many of them were also members of the PSC and/or participated in PSCC in their area). The evaluation team was not able to confirm any collective action by the PTAC; however, discussions with

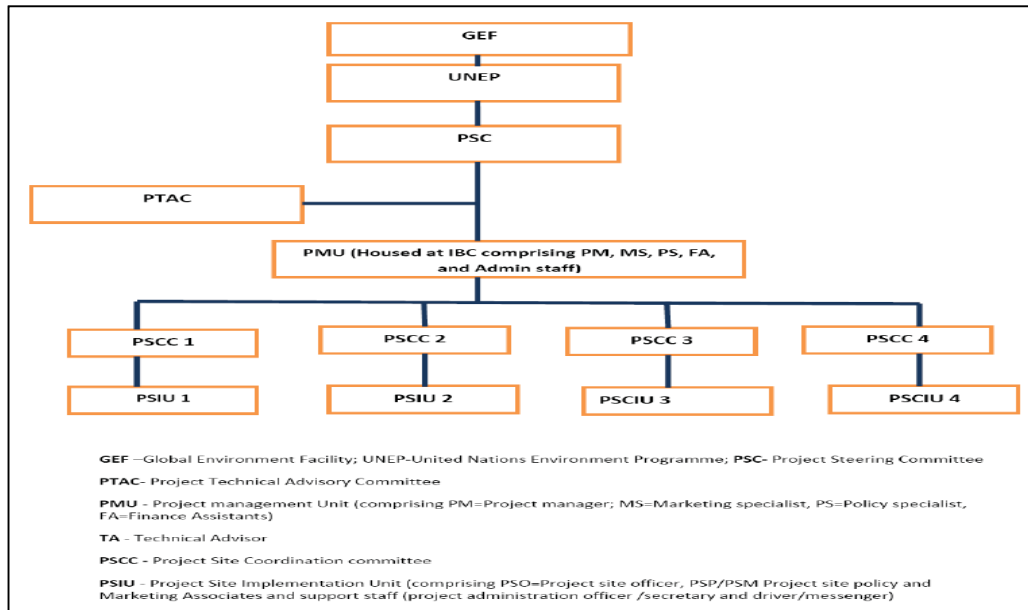
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<sup>14</sup> Also reportedly members of the PSC.

several of its members led to the inference that they had been individually contacted for particular technical advice and/or that they offered technical advice at PSC or PSCC meetings.

97. The institutional framework for the project implementation, covering all components of the project as described above, is illustrated in Figure 2.

**FIGURE 2. FRAMEWORK FOR PROJECT IMPLEMENTATION**



Source: Annex 10 of the original ProDoc.

### 3.5 Changes in Design During Implementation

98. As set forth in paras 51-54 and elsewhere, the evaluation team had access to very few sources of information on the relationship between the project's implementing activities and the project design, and these sources were generally inconsistent with or contradictory of one another. Communications between the Project, the EA and the IA appear to have been limited and somewhat uninformative on these and many other issues. While the miscommunication appears to have been primarily a function of often inaccurate and misleading project reporting, some element of it may have been a byproduct of the fact that the project was passed between three different UNEP Task Managers over its term, which may have caused some slippage and oversights with regard to communication. (See paras. 324 and 370). A serious example of the results of such communication and design problems related to a relatively major change in conditions in Ethiopia, which resulted in a dramatic increase in the cost of facilities to be constructed by the project. Although the changed circumstances were known and apparent to the in-country project staff and the NPC within the first year of the project, they were not discussed between EBI and UNEP until UNEP withheld funds in 2015, having received no responses on questions on this point. The problem was addressed by design-change discussions in 2016 – a few months before the end of the project. The following description examines all project design changes in terms of that budget revision, due to three facts:

- i. the changed circumstances that gave rise to these changes related to unexpected inflation and other cost/contribution factors,
- ii. the only formal documentation of the design change is an agreed budget revision, which appears to have attempted to address all changes to the project – decreasing or curtailing other components to accommodate the change in facility construction, and
- iii. as noted above, other sources of information on project design/implementation issues are extremely limited and contradictory.

99. The primary change to the project's scope/parameters related to the proposed construction of office facilities at three sites. The PMU and/or EA made a decision to scale that work back to construction of only one facility – the Shashemene facility, which was not among those listed in the initial project description. It also convinced the IFAD project to undertake the construction of the planned structure at the Zegie site and decided not to construct the facilities planned for the Anbesa and Kure sites.

100. During the evaluation, many stakeholders expressed strong dissatisfaction with regard to cancelation of construction works in the originally planned sites. Discussions between the PMU and UNEP appear to have only covered this decision verbally near the end of project implementation. No document provided to the evaluation team expresses the concrete /documented/ justification for the decision to canceling the two other planned construction works and shifting the money to Shashemene Botanical Garden construction.

101. As stated in a confirming letter dated 26 April 2016 from the UNEP Task Manager to EBI's Director general, "As you know, in the beginning of the project the total funds planned for the construction works was US\$300,000. US\$155,000 was going to be funded through GEF grant and the rest was going to be provided by the Government (co-finance). In the execution of the project PMU informed us that the cost of the construction had increased and due to the droughts the government co-finance had not been received by EBI. So far US\$613,332 has been spent from the GEF grant for the construction works. UNEP and EBI have agreed that the remaining funds of the GEF grant should be used for the other non-completed activities and PMU should find additional co-finance."

102. During the field mission, it was explained that droughts and other factors caused unpredictably high levels of inflation during the period between submission of the proposed project budget and commencement of construction activities on-site. In addition, the droughts made it necessary for the government to allocate its manpower to other activities which it deemed more essential than the construction of office facilities for three MP field genebanks. Accordingly, in addition, to needing much-higher-than-expected cash expenditure on the construction of the Shashemene Botanical Garden facility, the in-kind contribution of services by the GOE was not forthcoming.

103. As a result of the change, the Shashemene facility became the only construction work to be directly built by the project.

104. The project was, however, able to obtain a kind of cofinancing in the form of construction of the facility at the Zegie field genebank site by the IFAD project. The cash value of this contribution is not known to the evaluation team, which has been unsuccessful in attempts to

contact the IFAD project manager and task manager to obtain this information. Additional efforts involving research on both the IFAD website and the GEF website failed to produce this information.

105. Communications from the NPC indicate that at least some of IFAD's cooperation with the project involved the payment of money to the project, however, the project has provided no record of these payments. Accordingly, the evaluation team has considered IFAD's contribution as an unspecified amount and type of "other co-financing." Lacking any information, this TE cannot credit or include that contribution in project financial records.

106. In order to accommodate the large increase in facility construction costs, the IA and EA negotiated a revision to the project budget, which, on its face, appears to provide some guidance regarding which other project components were to be reduced or deleted to balance the higher construction costs. Many of the items that were proposed for deletion from the budget, however, had been reported throughout the project to be in varying stages of completion. During evaluation interviews it became clear that they had not been undertaken at all during the project. By then it was too late to delete them from the budget, project design or RTOC.

107. Apart from the budget revision, the evaluation team has not received any other document or information indicating a formally agreed change to the project design. Based on review of preliminary documents in this negotiation, it appears that these budgetary renegotiations attempted to reflect other priority changes in implementation, although they did not reflect the PMU's apparent earlier decisions to drop certain outputs or activities.

108. Table 3 shows the financial changes occasioned by this situation.

**TABLE 3. COST IMPACT OF MAJOR DESIGN CHANGE DURING IMPLEMENTATION**

	GEF grant expenditure	GOE in-kind co-financing	Other co-financing	Allocation/Expenditure totals
Per initial budget	US\$300,000	US\$155,000	0	US\$455,000
Actual approved expenditure	US\$613,332	0	IFAD expenditure (amount not known)	US\$613,332 + IFAD
Total change	US\$313,332	(US\$155,000)	IFAD expenditure	US\$158,322 + IFAD

109. The net changes were an increase of US\$313,332.00 in the expenditure of GEF funds, a diminution or complete deletion<sup>15</sup> of US\$155,000.00 worth of GOE in-kind cofinancing and an increase of unreported amounts of cofinancing from other external sources (the IFAD project).<sup>16</sup>

110. As described in part 3.6, the budget revision addressed only the GEF funds, reducing most other budget lines to accommodate the higher cost without increasing the grant. UNEP's

<sup>15</sup> The evaluation team has not received any breakdown of the GOE in-kind co-financing and thus has no basis for determining whether any such contribution was applied to the Shashemene construction.

<sup>16</sup> The evaluation team was not able to obtain any financial information from the IFAD project or persons participating in it.

intention to view this budgetary revision as a design negotiation was apparent in many of the line-item negotiations, in which UNEP did not agree to delete particular activities that it felt were essential to the project goal, even though the negotiations were happening less than 9 months before project termination. As noted, UNEP's positions were apparently reasonable, based on the fact that, as discussed in part 5.7.3, PIRs had regularly reported that some of these activities were underway. The results of this evaluation mission, however, indicated that a number of them had not been undertaken at all.

111. Photographs of the two facilities are photos 1 and 2, below.

**PHOTO 1: THE FACILITY CONSTRUCTED AT THE ZEGIE PILOT SITE**



**PHOTO 2: THE FACILITY CONSTRUCTED AT THE SHASHEMENE BOTANICAL GARDEN**



112. Part 3.6, below provides a further discussion of these budgetary adjustments.

### **3.6 Project Financing**

113. As explained in part 3.5, above, external factors led to a major change in the project – a change which was known by the NPU and EA in the first year of project operation, but not formally documented or agreed until shortly before the project’s termination date. As discussed in more detail elsewhere (especially in paras. 324 and 370,infra), communications between EBI and UNEP may have been less effective, due to the fact that the project passed between three UNEP Task Managers during the life of the project. One of the Task Managers noted there had been a good volume of email exchanges between EBI and UNEP but changes in email system did not allow sharing them. The evaluation team has determined that much of what was said in the PIRs and other communications was inaccurate or misleading and that those inaccuracies and misstatements were not tracked down. Some of them were apparently questioned, but there is no indication in any of the documents or interviews that those questions were answered or discussed. One of the tasks of Task Manager oversight roles involves confirming such statements however, until problems arose in project closure, no successful steps were taken to confirm or uncover misstatements in project reporting. The revision of project budgets to accommodate this change are set out in Table 4, which provides a breakdown of the specific UNEP budget line items whose amounts were adjusted in the budget (and in the 2015 and 2016 workplans) to accommodate the approved increase in construction expenditure:

**TABLE 4. ANALYSIS OF APRIL 2016 BUDGETARY CHANGE (ALL FIGURES IN USD)**

Line item or subcategory	Original budget	Adjustment	Δ netchange to this line item	Δ% change to this line item
Project Personnel sub-component <sup>(a)</sup>	331,751	<b>249,678.81</b>	<b>-82,072</b>	<b>24.74</b>



Local consultants	61,294	<b>66,719.54</b>	<b>5,425</b>	<b>8.85</b>
contracting services (individuals, local)	0		<b>0</b>	
International consultants	20,000	<b>10,136.09</b>	<b>-9,864</b>	<b>49.32</b>
Project staff & PSC travel	24,088	<b>19,088.03</b>	<b>-5,000</b>	<b>20.76</b>
Stakeholders travel	13,000	<b>4,000.00</b>	<b>-9,000</b>	<b>69.23</b>
In situ managt, FGB, nursery, CO <sub>2</sub> trade	245,631	<b>613,332.19</b>	<b>367,701</b>	<b>149.70</b>
Policy/regulation review & bylaws	38,617	<b>25,505.75</b>	<b>-13,111</b>	<b>33.95</b>
Marketing - value chain, trade association	44,935	<b>31,100.05</b>	<b>-13,835</b>	<b>30.79</b>
National framework, tools, livelihoods, maps	67,924	<b>61,553.74</b>	<b>-6,371</b>	<b>9.38</b>
Piloting ABS agreements	75,653	<b>21,511.95</b>	<b>-54,141</b>	<b>71.57</b>
Sustainable use (guideline, catalogue, etc)	30,457	<b>17,838.17</b>	<b>-12,619</b>	<b>41.43</b>
Training on in situ & law enforcement	86,301	<b>75,622.82</b>	<b>-10,678</b>	<b>12.37</b>
Training on integration & certification of MPs	82,661	<b>48,353.94</b>	<b>-34,307</b>	<b>41.50</b>
Training on ABS, negotiation; sectoral policy	94,295	<b>79,599.73</b>	<b>-14,695</b>	<b>15.58</b>
inception meeting	29,058	<b>29,057.93</b>	<b>0</b>	<b>0.00</b>
Meetings, conferences sub-component <sup>(b)</sup>	35,084	<b>32,612.22</b>	<b>-2,472</b>	<b>7.05</b>
Stakeholders travel	6,032	<b>6,032.30</b>	<b>0</b>	<b>0.00</b>
Expendable equipment sub component <sup>(c)</sup>	56,235	<b>44,524.55</b>	<b>-11,711</b>	<b>20.82</b>
Computer/printer/photocopier/scanner/fax	49,942	<b>41,942.11</b>	<b>-8,000</b>	<b>16.02</b>
office furniture/telephones	32,381	<b>32,380.50</b>	<b>0</b>	<b>0.00</b>
vehicle motorcycle	85,133	<b>85,132.94</b>	<b>0</b>	<b>0.00</b>
Fences for FGB (3 sites)	48,050	<b>30,049.73</b>	<b>-18,000</b>	<b>37.46</b>
Office & amenities	46,950	<b>40,159.99</b>	<b>-6,790</b>	<b>14.46</b>
(Miscellaneous) operation and maintenance of equipment sub-component <sup>(d)</sup>	131,404	<b>119,336.46</b>	<b>-12,068</b>	<b>9.18</b>
Reporting and dissemination	33,631	<b>21,394.57</b>	<b>-12,237</b>	<b>36.38</b>
Gender Issue	30,810	<b>23,720.91</b>	<b>-7,089</b>	<b>23.01</b>
Mitigating Climate Change	29,219	<b>21,826.63</b>	<b>-7,393</b>	<b>25.30</b>
Communication, awareness & participation	93,541	<b>75,200.09</b>	<b>-18,340</b>	<b>19.61</b>
Strengthening data base	4,000	<b>0.00</b>	<b>-4,000</b>	<b>100.00</b>
added line extension pkg		<b>0.00</b>	<b>0</b>	<b>0</b>
Audit	6,000	<b>8,666.60</b>	<b>2,667</b>	<b>44.44</b>

(Source: Generated with data obtained from multiple documents. No "final agreed budget" with that or a similar title was provided to the evaluation team, despite requests. This set of figures indicates that the revised budget amounted to an increase of \$2000.00 over the initial budget, but without confirming documents, the evaluation team cannot comment on the difference.)

Notes:

(a) This line combines the allocations for the NPC, 4 Project Site officers, 5 Policy/law specialists, 5 Market specialists, 5 Administrator/accountants, 5 Secretaries, and 5 Driver/messengers. Changes to these lines were only budgeted for 2016. The sub-area total shown above includes allocations for other staff as well.

(b) This line combines the lines "Project planning meetings" and "PSC meetings."

(c) This line combines the lines "Office supplies" and "equipment for field work".

<sup>(d)</sup> This line combines the lines "Vehicle maintenance (2 vehicles- spare parts, fuel and maintenance)," and "Information technology equipment, internet."

114. The agreed changes to the budget clearly but indirectly changed the approved project design. The specifics of such changes are, however, difficult to assess. Designed in 2010, the Ethiopia ABS CSUMP project comprised five "GEF components" as its primary organisational tools. It specified the amount of the GEF grant that was allocated to each of those five components, as set out in Table 5. At project commencement, UNEP prepared a document entitled "UNEP-GEF Budget Reconciliation," which was provided to the evaluation team. That document allocates each UNEP budget line, showing how much of that line is attributable to each particular GEF component. As shown by that document most UNEP budget lines are attributable to more than one component. The reconciliation document merely states how much of that line is allocated to each particular component: it does not explain the allocation in terms of particular project outputs and activities. Unsurprisingly (given the late date at which the revised budget was prepared), no document provided to the evaluation team attempted this kind of reconciliation between the revised UNEP budget and the GEF budget. The evaluation team initially attempted to develop a de-facto reconciliation, based on the percentages derived from the original allocations, however, the team also noted that most UNEP budget lines include expenditures on many different project outputs and activities. Given that the revision resulted in or reflected the PMU's decision to drop many activities, it is likely that a true apportionment of the revised UNEP budget lines to the GEF components would be different from the original reconciliation percentages, and, as such, a final division of expenditures cannot be calculated without a new agreed reconciliation document.

**TABLE 5. ORIGINAL BUDGET: EXPENDITURE BY COMPONENT (ALL FIGURES IN USD)**

<b>Component</b>	<b>Estimated cost at design</b>	<b>Percentage of total funding</b>
Component 1: In-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites (Shortened in the UNEP Budget to "Conservation")	\$ 516,600	25.24
Component 2: Enabling policy and institutional framework for in situ and ex situ conservation of medicinal plants biodiversity (Shortened in the UNEP Budget to "Policy")	\$ 274,500	13.41
Component 3: Markets for medicinal plants biodiversity friendly products promote farmer uptake of medicinal plants biodiversity conservation imperatives (Shortened in the UNEP Budget to "Marketing")	\$ 238,900	11.67
Component 4: Capacity building for wider application of ABS measures (Shortened in the UNEP Budget to "Capacity")	\$ 713,000	34.83
Component 5: Project Management, Monitoring & Evaluation (Shortened in the UNEP Budget to "PMC, M&E")	\$ 304,000	14.85
<b>Totals</b>	<b>\$ 2,047,000</b>	

115. Thereafter, for purposes of operational oversight, the project's budget was put into UNEP's financial system using UNEP's operational budget lines, as reflected in a table that specifically reconciled with the GEF components by breaking down each UNEP budget line into appropriate proportions of some or all of the components.

116. In April 2016, as discussed in part 3.5, the project budget was changed in a revision that affected nearly every UNEP budget line. The evaluation team was not given a document that fully translated these changes into the UNEP budget and then reconciled those UNEP budget lines with the GEF components and, based on lack of response to inquiries into this, has come to the conclusion that no such reconciliation was undertaken. This may have been a consequence of the lateness of the date of the budget revision, by which point such a document might not have had any effect on the final months of project implementation. As a consequence, the evaluation team has no way to determine whether or how changes to UNEP altered the project allocation with respect to the GEF components.

117. As planned, cofinancing for the project, included only GOE in-kind contributions, but as explained in part 3.5, ultimately project works were also supported/supplied through contributions (whose total amount had not been discovered) by the IFAD project. In addition, PIRs indirectly suggest that some project outputs and activities were deleted because another project or another unnamed GOE unit had done work satisfying the requirement. The evaluation team has asked for, but has not received information on the sources nature and value of these contributions, none of which were reported as a cofinancing. The random selection of economic documents provided to the evaluation team do not appear to provide a final assessment or breakdown of the GOE's in-kind contribution.

## 4. Theory of Change at Evaluation

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118. The Ethiopia ABS CSUMP project was designed before 2010 and therefore did not include a Theory of Change (TOC). Accordingly, during the inception stage of this TE, with input from a range of persons, and considering a “reconstructed TOC” (ROTC) prepared during the MTR, the evaluation team developed the “RTOC at Design”, which was circulated to project staff, the Task Manager and the UNEP Evaluation Office.
119. Among the preparations for the delayed field mission, the RTOC at design was adjusted slightly based on recommendations received in its inception-phase development and review. The result was adopted as the draft “RTOC at Evaluation,” and applied as such throughout this evaluation. During the field mission, however, the RTOC at Design was further refined according to information obtained during the field mission and further document analyses, becoming the RTOC at Evaluation, which is shown in figures 3, 3-A and 3-B.
120. Revisions of the RTOC generally followed the guidance provided by the UNEP Evaluation office. As such, they were used to clarify project elements (outcomes, outputs and components) that had been ambiguous or unclear in the original Log/Frame. In addition, some changes were made to meet the following direction: “Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency.” In general, such changes were made where there was clear evidence in documentation and reports supported by interviews, that the PMU and/or PSC viewed the element differently, but appropriately, and had sought to apply that view in implementing the project. In several cases, however, owing to the vague contents of PIRs and other project reports, the excision of particular outputs and other changes could not be made with confidence until after the evaluation team had been able to ask questions in the field.
121. One important factor that must be reiterated at this point relates to the inappropriate prominence given to ABS in the project title and in the original phrasing of outcomes. Based on review of the ProDoc and Log/Frame, and borne out by the results of the field mission, it is clear that the project was misleading in the inclusion of ABS in the title. It was clearly primarily focused on MP conservation and the development of markets for an Ethiopian MPs and their products. Although the evaluation team was not able at this point to change the title, it has revised outcomes and other elements, when including them in the RTOC, to better reflect the actual priorities of the project.
122. As discussed in greater detail in part 5.7.3 and elsewhere below, project operational reports (annual reports and PIRs) added a measure of confusion to the RTOC process, in that many particular outputs and activities on which progress was reported were not confirmed in the evaluation mission. In light of the fact that they had been reported, however, the items were not deleted in the budget revision described in parts 3.5 and 3.6. Also, as noted, those budgetary negotiations were the only memorialization of the change to the project. As such, the evaluation team was at best uncertain about deleting or altering them in the RTOC.
123. Substantive areas, too, presented confusion. As noted in paras 74-75, 196-199, 350 and 375-376, a number of specific outputs and activities listed in the Log/Frame appeared to address issues and areas outside of the overall mandate of this project – in particular the

mentions of REDD/REDD+ and PES. While the ABS CSUMP project outcomes clearly made an indirect contribution in these areas, the project did not attempt to directly undertake outputs addressed to these matters. From its location within EBI, the PMU was aware of other projects on these matters and actively sought to coordinate with these projects where possible; however, it did not report the activities of those projects as outputs of the Ethiopia ABS CSUMP project, even when it was reporting that the project had made progress on those specific outputs. Given that the evaluation team was provided with a copy of a memo detailing these matters (see para. 125), the outputs that focused on these areas have not been included in the RTOC at Evaluation.

124. Another such issue was climate change mitigation, which was not directly addressed by any specific outcome of the ProDoc. The budget revisions adopted in April 2016, however, appear to have specifically retained the budget line entitled “Mitigating climate change.” Although the evaluation team’s field work indicates that, the project’s main contribution to the unstated climate mitigation outcome consisted of offering to cooperate with other projects specifically focused on climate change mitigation, the evaluation had no option but to retain the “adaptation to climate change” output in the RTOC<sup>17</sup>.

125. Some of the primary work in developing the RTOC was focused on identifying and including as “outputs” a number of activities and other deliverables that were not listed as “outputs” in the project’s Log/Frame and other design documents, but were clearly included among the key activities of the project, and were clearly intended to contribute to one or more of the project’s outcomes. While some of these were simply accommodated by restating existing outputs, others were added to the RTOC as “project outputs.” Such additions only occurred when the output lists a key activity necessary to achieve the other outputs, the relevant outcome or the indicator thereof. In one such case, there was no actual output listed for a particular project outcome.

126. Table 6 shows alterations between the results as stated in the approved/revised Prodoc logframe/TOC and the elements as formulated in the TOC at Evaluation. Project elements not listed in this table were not changed from the original. The full list of project outcomes and outputs is found in Annex V to this evaluation

**TABLE 6: CHANGES OF PROJECT COMPONENTS IN RTOC**

Project element:	Original language from ProDoc (from Log/Frame unless otherwise noted)	As revised in RTOC at Evaluation	Reason
Outcome 1.1	“Conservation status of threatened medicinal plant species improved within the pilot areas covering 200,000 ha”	Threatened medicinal plant species are protected by the implementation of management measures, so that the species loss situation is improved within the pilot areas.	The reference to “200,000 ha” was confirmed on paper, and already achieved in BMNP as of the project commencement.

<sup>17</sup> The budget line refers to climate change “mitigation” – the project document refers to “adapting” to climate change effects.

Output 1.1.1	"Management plan for in situ conservation of medicinal plants"	Management plans for in situ and ex-situ conservation of MPs adopted and implementation commenced at pilot sites	Clarification
Output 1.1.6	Text: "Pilot study on ecosystem services as an additional revenue stream for local communities" (Results framework: "Reduced or avoided deforestation & forest degradation, and improved forest restoration through use of the prospect of PES for promoting conservation")	Deleted	See para 125.
Outcome 1.2	"Ensuring sustainable use of medicinal plants"	Measures in place at the site level help farmers with cultivation skills and physical capacity, ensuring that their use of MPs is sustainable.	Verifiability
Output 1.2.4	"1200 new home gardens established and supplied with medicinal plants"	Home gardens in all four pilot sites supplied with MPs	Output targeting "new" home gardens was not reasonable since home gardens were already extensive.
Output 1.2.6		Four sustainable use agreements relative to the project's work on MPs facilitated and negotiated	Added. In the original Log/Frame this was an "Objectively Verifiable Indicator," but these agreements, were a major contribution of the project.
Outcome 1.3	"Livelihood opportunities based on natural resources and biodiversity"	Using equitable approaches, new livelihood opportunities based on MPs developed and implemented	Better aligned the outcome with listed outputs, used consistent terminology
Output 1.3.1	"Equity across gender and vulnerable groups in management of and benefit from natural resources and biodiversity"	Equity is promoted on behalf of gender and other vulnerable groups in management of and benefit from MPs.	Consistent terminology
Outcome 2.1	"Policy, law and institutional framework revised and strengthened"	Policy, law and institutional frameworks (including	Clarification.

		ABS) relevant to MPs drafted or revised and strengthened	
Output 2.1.2	"Medicinal plant biodiversity policies revised and medicinal plants conservation and institutional arrangement for their implementation formulated"	Revised MP policies are recommended and MP conservation plans and institutional arrangement for their implementation formulated	Avoids implication that the project had power to (and was expected to) revise policies
Output 2.1.3	"Local institutions in the four pilot sites have medicinal plant bye-laws and regulations"	Local institutions in the pilot sites enabled and encouraged to put MP bylaws and regulations in place and to implement them	As above
Output 2.1.5	"Extension packages for conservation and sustainable use of medicinal plants biodiversity"	Extension packages developed to support law/policy/institutional measures for MP conservation and sustainable use.	Clarification
Outcome 2.2	Increased revenue flows to local communities and businesses arising from ABS	Increasing markets for MP friendly products through the expansion of contract-based export trade, value-chains and national and international markets that will promote farmer uptake of MP management. is a recognised objective of government frameworks on MPs.	Revised to correct a misunderstanding of the ABS contract development processes and time involved, and to better align with output.
Output 2.2.1		Support to the creation of 8 pilot ABS agreements for contract-based export trade in MPs in place at the end of the project	Added. Without the words "support to the creation of," this output originally listed as an "Objectively Verifiable Indicator," although no output discussed it or helped to bring it about.
Outcome 3.1:	"Markets for MPs friendly products increased by at least 50% through expansion of value chains and national and international markets"	Local MP sellers and healers assisted to sustainably expand their markets, including through the establishment and/or expansion of value chains and creation of relationships with	Clarification

		national and international markets.	
Component 4	Capacity building for wider application of ABS measures	Capacity building for measures in support of conservation/ sustainable use of MPs, including their management; wider application of ABS measures; and participation in trade in MPs and their derivatives.	This component's title was changed -- for clarity -- to include all of the subjects addressed under the component, rather than only mentioning ABS, which is not mentioned in outcome 4.1.
Outcome 4.1:	Strengthened local government and enforcement of policies for conservation and sustainable use of MPs at district and local levels in the four pilot sites	Strengthened local institutional frameworks proposed for a coordinated approach to on-the-ground implementation of plans and other measures for the conservation and sustainable use of MPs	Clarification.
Output 4.1.3	Local communities (farmers, THs, elderly, youth and women) integrating medicinal plants into farming systems	Local communities (farmers, THs, elderly, youth and women) assisted to integrate MPs into farming systems	Clarification.

127. The deletion of Output 1.1.6 occurs as a result of the following statement from the MTR: "Through discussions with the PMU, it emerges that the REDD plus and PES activities for conservation purposes are being undertaken by the Ministry of Environment, Forest Development and climate Change (since July 2013) and substantially funded. The funds allocated for this output in the initial budget were seen to be very insignificant considering the importance and scope of the subject matters."

128. As noted above, this statement also would have eliminated output 1.3.2 ("Adapting to climate change effects"), but for the fact that a budget line for climate mitigation was inserted in the April 2016 budget revision. For this reason, the original output was retained. The evaluation team was not willing to delete these outputs before the field visit, owing to the fact that the project had reported progress on both of them through 2015. In country, it became clear that the project's involvement with this issue was primarily in the form of assisting REDD+ projects when they needed to contact or mobilize residents in the project's pilot sites. The project staff in the pilot areas and coordinated with and encouraged community support to



those projects, as such it continued to report this activity throughout the project, but (correctly) did not report other project's work as this project's outputs.<sup>18</sup>

129. As shown, the project's 26 outputs are restated in a way that offers a clear causal pathway to one or more of the overall outcomes as discerned in the RTOC process. For example, driven by local residents awareness of their potential to improve livelihood, and based on the assumption of an integrated approach to implementation of the project's outputs and outcomes,

- Outcomes 1.1 (MP management), 1.2 (Enhanced sustainability of MP cultivation and use), and 1.3 (development/improvement of sustainable alternative livelihoods) and the 15 outputs under them all contribute directly to two overall outcomes of the project – improved efficiency and sustainability of MP production and reduction of the illicit MP harvesting and unpermitted utilisation of related ATK and genetic resources;
- Outcomes 2.1 (support to MP and ABS policy/law development) and 2.2 (governmental objective to develop a framework to enable and support MP trade) along with the six outputs under them contribute directly to two overall outcomes – reduction of the illicit MP harvesting and unpermitted utilisation of related ATK and genetic resources; and enhancement of the market demand for Ethiopian MPs as a further incentive for conservation and sustainability;
- Outcome 3.1 (market and value chain development) along with the output stated under it contributes directly to the same two overall outcomes; and
- Outcome 4.1 (strengthened international framework for coordination of MP use and conservation) along with the output stated under it also contributes directly to the same two overall outcomes.

130. As further discussed in Part 5.4, many of the outputs and activities stated in the initial project documents appear duplicative or overlapping. Given that they were all reported separately, the RTOC made no attempt to combine or streamline these items, pending clearer understanding of whether and to what extent the project viewed them as separate. Ultimately, the evaluation has determined that the same documents have been offered as proof of progress on all of these activities

131. Given the number and variety of project outcomes and outputs, the RTOC provides a tool for re-orienting our understanding of the project, concluding that all project outcomes contribute to three “overall outcomes”:

- Improved efficiency/stability of MP utilization and production;
- Reduction of illicit MP harvesting and improper, unpermitted, illicit or uncompensated use of genetic resources and/or traditional knowledge; and

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<sup>18</sup> Interviews during the field mission confirmed that the project coordinated with and contributed to forest conservation (arguably REDD and REDD+) efforts undertaken by other projects known to the PMU by virtue of the fact that they too were situated within EBI. When combined with its establishment of the field gene banks and nurseries (ex situ conservation) these rather clearly reduced the need or desire of local people to collect MP specimens in the forest, thus indirectly leading to forest conservation and, in theory, to REDD and REDD+ objectives. As far as the evaluation team has discovered, the project did not undertake or coordinate with any PES work. In June 2016, the project reported “Activity: 1 Development of four project design documents (PDDs) for voluntary carbon market” as work under this output, reporting that it was 75% complete. The voluntary carbon market work could not be confirmed by the field mission, and did not involve any of the activities or concepts that are normally considered “ecosystem services, nor any pilot evaluation of the application of PES.

- Expanded commercial supply of and demand for Ethiopian MPs.

132. The overall outcomes were designed in the MTR process. To the extent achieved, they appear to be steps toward the achievement of the Intermediate States, through the power of spreading word of the project's success in the pilot sites, and assuming that the GOE is able to "scale up" needed types and levels of guidance and support (to apply the experience of the project to other areas). These three Intermediate states are as follows:

- Desire to replicate the achievements of the project site prompts similar work in other communities;
- MP development helps to create an industry through which local communities receive increased income and support; and
- The value of these achievements is recognised throughout the agricultural and incorporated into its planning and development processes.

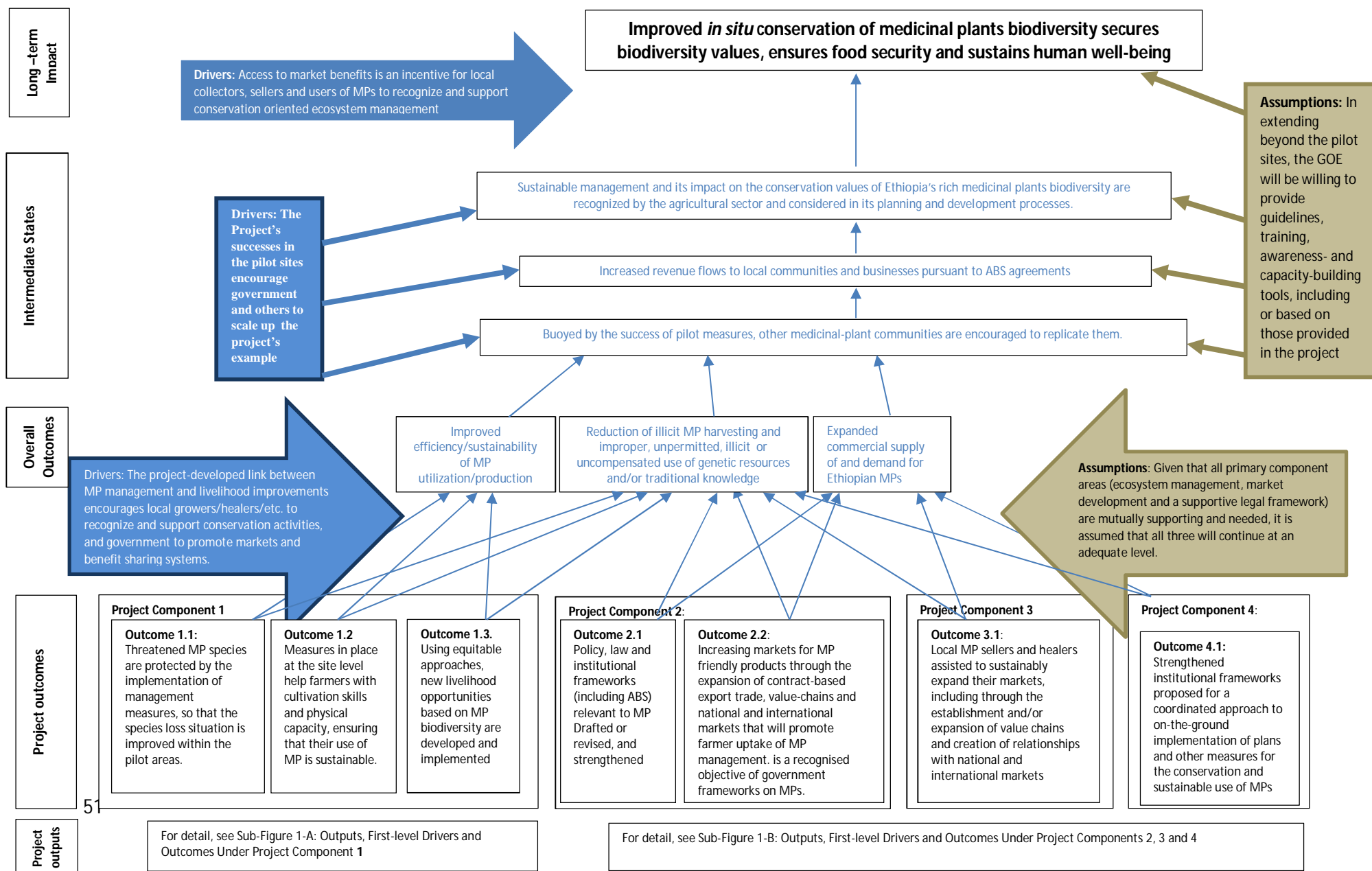
133. In turn, given the values of sustainability, local livelihood enhancement and the increase in local healers', farmers' and all levels of government's recognition of and support to conservation-oriented ecosystem management, the achievement of the interim states will ultimately produce the project's desired long-term outcome: "improved in-situ conservation of medicinal plants biodiversity secures biodiversity values, ensures food security and sustains human well-being."

134. In developing the RTOC's statements of drivers of change, one point was underscored: that drivers are not things the project can do, but things done by others that the project can influence or help to bring about. In particular, the drivers leading to outcomes, states and objectives above the level of "project outcome" represent influences that, by definition happen outside the project. They consider whether and how the project can have an influence on those who can drive subsequent developments.

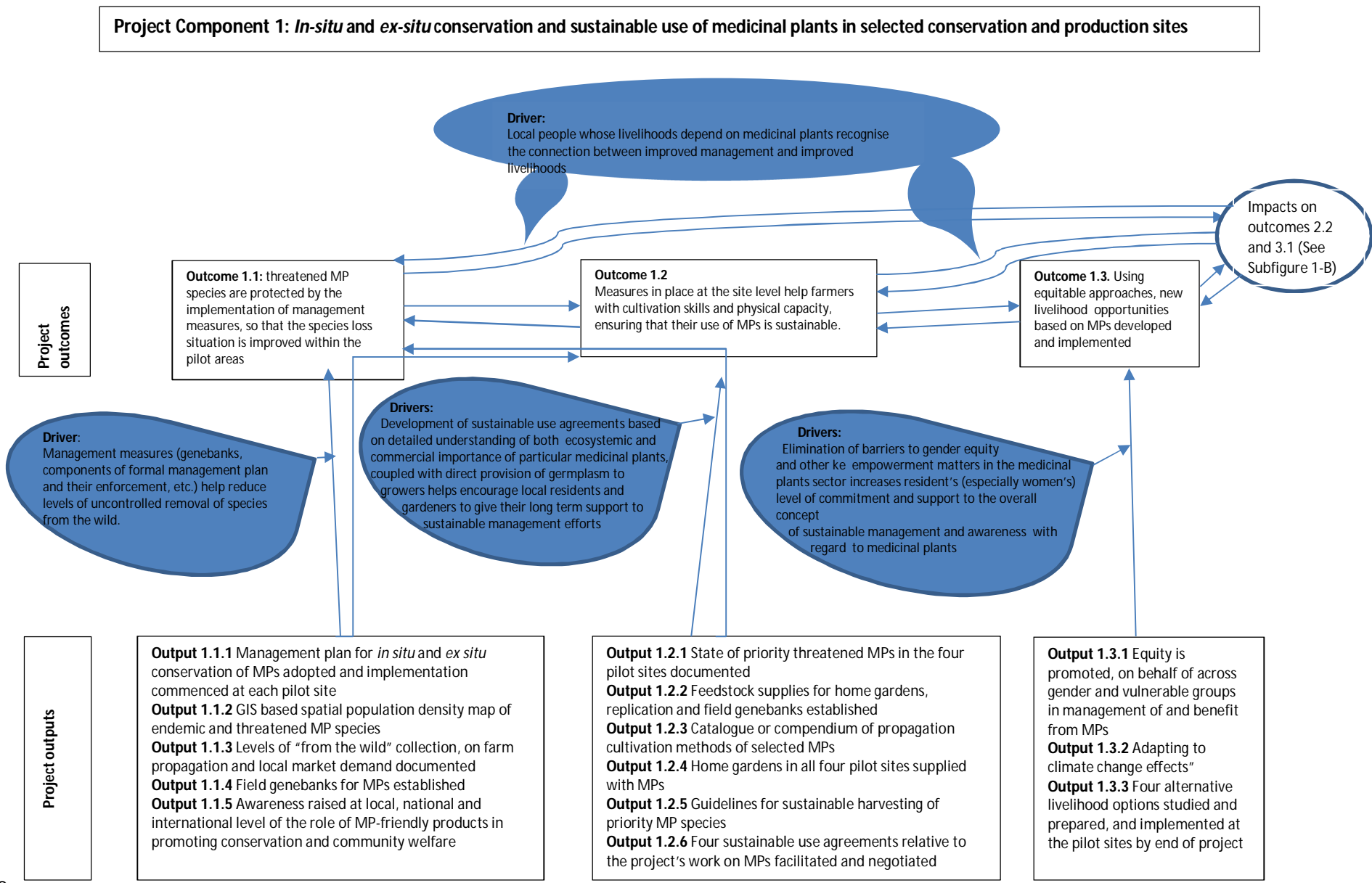
135. In the same manner, government willingness underlies all assumptions, because if it is not present, the post-project developments (and even project outputs and outcomes) may not be driven in the right direction.

136. The RTOC at Evaluation is intended to be an aid to the work of the evaluation in considering project's activities and the achievement of its objectives, both immediate and long-term. It is not used as a tool for evaluating the job performance of the PMU, PSIU and other actors who relied on the Project Document as the guide to their work.

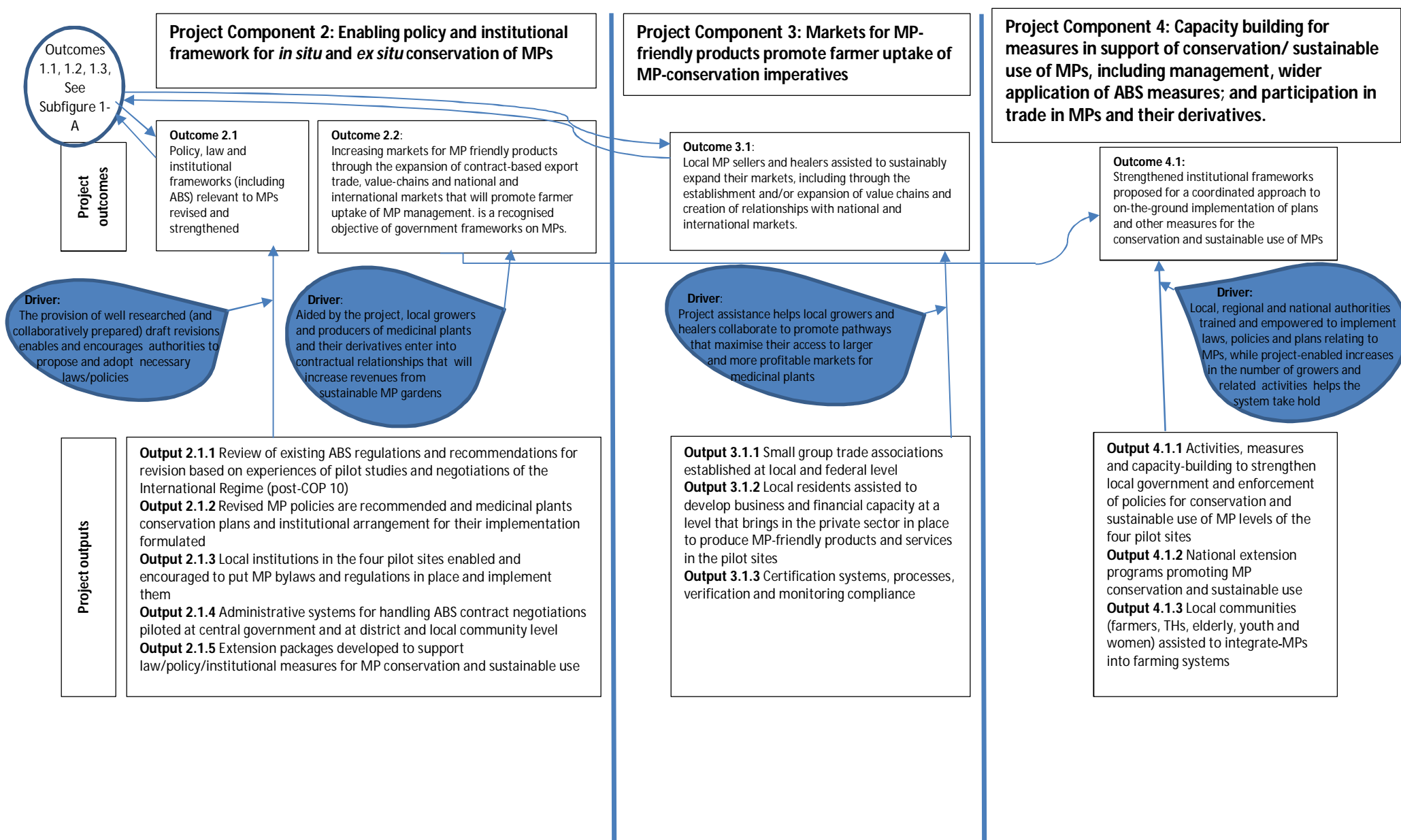
**FIGURE 3. GRAPHIC PRESENTATION: RECONSTRUCTED THEORY OF CHANGE (RTC) AT EVALUATION**



SUB-FIGURE 3-A – OUTPUTS, FIRST-LEVEL DRIVERS AND OUTCOMES UNDER PROJECT COMPONENT 1



**SUB-FIGURE 3-B – OUTPUTS, FIRST-LEVEL DRIVERS AND OUTCOMES UNDER PROJECT COMPONENTS 2, 3 AND 4**



## 5. Evaluation Findings

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137. The following discussions are offered to describe, explain and support the evaluation team's ratings as shown in the Evaluation Ratings Table (Table 8). They are grouped into nine criteria categories, as specified in the guidelines provided by the UNEP Evaluation office: (1) Strategic Relevance; (2) Quality of Project Design; (3) Nature of External Context; (4) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (5) Financial Management; (6) Efficiency; (7) Monitoring and Reporting; (8) Agreement; and (9) Factors Affecting Project Performance.
138. In accordance with that guidance, all evaluation criteria are rated on a six-point scale (generally, the six points are Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory and Highly Unsatisfactory; however, the ratings of "sustainability" and "likelihood of impact" use a "likely" scale and nature of the external context of a "favourable" scale.)
139. The individual criterion ratings are automatically weighted using the EOU's weightings table, thereby producing a final determination of an overall project rating. Each criterion or sub-criterion's rating is presented at the end of its discussion below, all ratings are collected presented in tabular form in Table 8 in part 6.2, below.

### 5.1 Strategic Relevance

140. In line with the OECD/DAC definition of relevance, this section addresses the extent to which the various project activities are suited to the priorities and policies of the recipient and the donor (including UNEP, the GEF and the GOE).
141. In examining these issues it is important to first be clear on the nature of the project's activities and priorities. The greatest focus of the project has been on the development of MP utilization, markets and capacity, in a way that is sustainable and conserves the MPs (forest ecosystems) through the establishment of field genebanks, nurseries and other facilities and by raising awareness of the importance and means of conservation, all undertaken at the most local (woreda and kebele) levels working directly with those persons (THs, farmers and other in the pilot site communities) who are most directly involved. An apparently lesser priority relates to the development of a functional and practical ABS framework in Ethiopia. The following paragraphs address the project's strategic relevance through its alignment at four levels:

#### 5.1.1 Alignment to the UNEP Medium Term Strategy and Programme of Work

142. The project's primary focus on sustainable development, forest conservation and the most local (grassroots) stakeholders, clearly aligns with many specific elements of the UNEP's Medium Term Strategy (MTS)<sup>19</sup> and Programme of Work (POW), both of which are examined below.

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<sup>19</sup>The MTS guides UN Environment's programme planning over a four-year period, designating each of its thematic priorities as a Subprogramme, and setting out the expected accomplishments (outcomes) that each Subprogramme seeks to achieve.

143. This report has focused on the 2010-2013 MTS,<sup>20</sup> which was the key guiding document at the time of project development and commencement, and on the 2014-2017 MTS,<sup>21</sup> which was in force during project operations.

144. In both MTSSs, the subprogrammes most relevant to the project are “Ecosystem Management” and “Resource Efficiency,” although the project also includes significant elements of “Environmental Governance.” The project document also specifically stated an intent to coordinate with and integrate “Climate Change” concepts.

145. With regard to the Ecosystem Management Subprogramme, UNEP’s objective includes the aspiration to “promote a transition to integrating the management of ... living resources, with a view to maintaining biodiversity and providing ecosystem services sustainably and equitably....,” applying the ecosystem approach and promoting the development of an enabling environment, including development planning and accounting. The Ethiopia ABS CSUMP project aligns closely with this subprogramme, in that it links ecosystemic protection and ex situ conservation (including the field genebanks, nurseries, farms and home gardens) with enhancing the livelihoods of local residents in rural areas, particularly THs and farmers, but also potentially includes others who have sometimes poached forest produce to supplement their livelihoods.

146. The Resource Efficiency Subprogramme generally sought to “strengthen synergies and coherence in environmental governance, with a view to facilitating the transition towards environmental sustainability in the context of sustainable development.” To this end, its expected accomplishments (outcomes) included strengthening the capacity of countries to “develop and enforce laws (included in both MTSSs), strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations” (2010-2013 MTS) and enabling and supporting country’s efforts to “mainstream environmental sustainability in national and regional development policies and plans” (in the 2010-2013 MTS). The latter of these emphasized the need for countries and regions to “begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services.” Here also, the Ethiopia ABS CSUMP project aligns closely with this Subprogramme, in that it emphasizes and fully integrates sustainability, in the context of its development of a more robust MP industry from the most local communities up. In addition, the ABS legislative work directed at “internationally agreed environmental objectives” as set forth in the Nagoya Protocol, and the primary (MP-oriented) work of the project is clearly aligned with many of the Aichi Biodiversity Targets (ABTs), including the following project goals:

- Increasing local people’s awareness of the values of biodiversity and ecosystems to the continued existence and availability of MPs, and of the steps they can take to ensure that MPs are conserved in the wild and used sustainably (ABT#1);
- Providing incentives, in the form of enhanced MP markets, small loan programs and additions to livelihoods, to enhance efforts for the conservation and sustainable use of MPs and the ecosystems that nurture them (ABT#3);

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<sup>20</sup> Online at <https://www.preventionweb.net/publications/view/14460>. The most recent MTS, UN Environment, Medium Term Strategy 2018-2021, is available online at [http://wedocs.unep.org/bitstream/handle/20.500.11822/7621/-UNEP\\_medium-term\\_strategy\\_2018-2021-2016MTS\\_2018-2021.pdf.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7621/-UNEP_medium-term_strategy_2018-2021-2016MTS_2018-2021.pdf.pdf?sequence=3&isAllowed=y).

<sup>21</sup> Online at [https://wedocs.unep.org/bitstream/handle/20.500.11822/7670/-UNEP\\_Medium\\_Term\\_Strategy\\_2014-2017-2015MTS\\_2014-2017.pdf.pdf](https://wedocs.unep.org/bitstream/handle/20.500.11822/7670/-UNEP_Medium_Term_Strategy_2014-2017-2015MTS_2014-2017.pdf.pdf).

- Plans and strategies both for use and maintenance of the field gene banks and for the sustainable development and enhancement of the local, regional and national markets for MPs and local healers/farmers participation in it (ABT#4).
- Reduction of forest loss as a result of community awareness and oversight (ABT#5);
- Ensuring that MP cultivation is sustainable and collection of wild MPs is closely regulated and managed (ABT#7);
- Minimizing wild collection of MPs through a combination of (i) the development of ex situ collections and nurseries to satisfy the demand for MPs; and (ii) regulatory and community restrictions on collection of MPs in the wild (ABT#13); and
- Maximizing the participation of local people in the decisions and activities related to the multiplication, in situ and ex situ conservation, multiplication/production and development of MPs and their products (Aichi Strategic Goal E).

as well as (with regard to ABS-related issues)

- Assistance to the national legislature in revising and strengthening Ethiopia's national ABS framework (ABT#16); and
- Enhancing respect for THs as holders of important traditional knowledge of indigenous and local communities relevant regarding the customary use of MPs (ABT#18).

147. Neither the project document nor any project implementation documents provided to the evaluation team referred to or cited any aspect of the then-relevant POW; however the project aligns well with the POW in effect at the time it was designed.<sup>22</sup> In addition to elements of the POW that focus on the design and deployment of UNEP itself (see para 148), the POW also presents all UNEPs subprogrammes, with their respective, expected results statements, all of which serve as indicators of specific concerns.

148. The MTS noted several institutional relationship factors regarding UNEP's substantive work with national governments:

- The involvement of UNEP's regional offices in substantive project work, particularly national policy and planning work, environmental governance, implementation of multilateral environmental agreements, and operational development in various areas including ecosystem management.
- The forging and optimization of UNEP's "partnerships in various arenas, including with Governments, the private sector and other major groups. These partnerships should strategically leverage the core skills of UNEP in science and policy and should lead to the scaling up of UNEP projects."
- The assumption by regional offices of "a more leading role in ensuring the relevance and coherence of UNEP engagement at the regional and country levels in addition to playing a supportive role in efficient delivery of the programme of work."<sup>23</sup>

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<sup>22</sup> UN Doc UNEP/GC.25/12. This report relies on POW 2010-2011, which was the POW during the period that the ProDoc was being developed and approved. The evaluation team has reviewed other POWs, which have been adopted since that time, as well.

<sup>23</sup> Quoted from POW 2012-1013, as set out in "Biennial programme of work and budget for 2012–2013 - Report of the Executive Director." UN Doc UNEP/GCSS.XII/9/Add.1, available at <http://wedocs.unep.org/bitstream/handle/20.500.11822/11281/K1174429-e-GCSS-XII-9-Add-1.pdf?sequence=1&isAllowed=y>.



The institutional cooperation aspects of the Ethiopia ABS CSUMP project were deficient in some areas.

149. The POW listed three Subprogrammes that are particularly relevant to the ABS CSUMP project, and enunciated their “expected accomplishments” as follows:

- **Subprogramme 3: Ecosystem management** (Objective: To ensure that countries utilize the ecosystem approach to enhance human well-being) – expected accomplishments:
  - (a) The capacity of countries and regions increasingly to integrate an ecosystem management approach into development and planning processes is enhanced;
  - (b) Countries and regions have capacity to utilize ecosystem management tools; and
  - (c) The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services is strengthened;
- **Subprogramme 4: Environmental governance** (Objective: To ensure that environmental governance at the country, regional and global levels is strengthened to address agreed environmental priorities) – expected accomplishments:
  - (a) The United Nations system, respecting the mandates of other entities, progressively achieves synergies and demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements;
  - (b) The capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions is enhanced;
  - (c) National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in the implementation of their programmes of work; and
  - (d) Access by national and international stakeholders to sound science and policy advice for decisionmaking is improved; and
- **Subprogramme 6: Resource efficiency and sustainable consumption** (Objective: To ensure natural resources are produced, processed and consumed in a more environmentally sustainable way) – expected accomplishments:
  - (a) Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains;
  - (b) Investment in efficient, clean and safe industrial production methods through public policies and private sector action is increased;
  - (c) Consumer choice favours more resource efficient and environmentally friendly products.

150. Consideration of the RTOC at Evaluation in terms of these Subprogrammes and their objectives, expected accomplishments, indicators and plans indicates that, while the ABS CSUMP project clearly aligned with all three of the above-listed Subprogrammes, its implementation was most strongly positive in contributing to the achievement of

Subprogramme 3, particularly expected accomplishments (a) and (b). These EAs reflect the high quality work, as to which the GOE has demonstrated a continuing commitment to continuing and supporting the project's work and further extending the benefits it provided to the pilot sites.

151. The project also made significant progress regarding the promotion of sustainable development through local MP markets, growers, THs, etc. These activities should properly be listed among the contributions to expected accomplishment (c) of Subprogramme 3, as well as to Subprogramme 6, especially expected accomplishments (b) and (c), thereunder. As discussed in part 5.2.2, the ProDoc also encompasses a number of larger-scale activities that could not be completed within the relatively short project term. Interviews in this evaluation suggested that the GOE is committed to further progress in these areas, as it becomes timely.
152. The ProDoc and early reports of the project displayed a limited understanding of ABS and its relationship to ecosystem management and sustainable use of MPs. As such, the project's work on ABS was sometimes difficult to determine and often did not live up to the particular outcomes and outputs that addressed ABS accurately. Much of that work was clearly intended to contribute to expected accomplishments (b) and (c) of subprogramme 3 as well as all three expected accomplishments under subprogramme 6. Here also, the ProDoc envisioned a process that would require a much longer term, and here also the GOE has indicated that it strongly supports the ongoing work in this area.
153. As noted in part 4, the ABS CSUMP ProDoc originally also invoked Subprogramme 1 Climate change, however, little actual project work, and no project report or interview, indicated the nature of any substantive project work on climate issues.

#### Rating for Alignment to the UNEP Medium Term Strategy and Programme of Work

154. Taken together, the above paragraphs suggest that this project should be considered **satisfactory**, in terms of its alignment with UNEP Medium Term Strategy and Programme of Work.

#### 5.1.2 Alignment to UNEP / Donor/GEF Strategic Priorities

155. The project's integration with the UNEP Strategic priorities of the time of its design are described above. In considering project relevance to GEF priorities, this TE has focused primarily on GEF-IV, which covered the four year period beginning 1 July 2006, during which the project was designed and approved, and the Bali Strategic Plan. The TE also considered the GEF-5 Programming Document which was in force during most of the operations of the Ethiopia ABS CSUMP project.
156. In the Project document (FSP) by which this project was proposed, the GOE stated that the project was intended to align with three of the GEF's Strategic Programs (SPs): SP-4 (Policy), SP-5 (Markets) and SP-8 (ABS Capacity). The project emphasized these three aspects in terms of (and with a goal of enhancing) their potential as drivers of and incentives for MP conservation and sustainable use.
157. GEF's SP-4 ("Strengthening the Policy and Regulatory Framework for Mainstreaming Biodiversity") calls for the incorporation of biodiversity conservation, sustainable use, and

benefit-sharing into broader policy and regulatory frameworks. It is directed at enabling primary mechanisms for ensuring that policy development is more than just paper – that it is actually implemented in a way that “yields substantial social or private benefits and thus provides incentives for public and private actors to effect policy changes.” To achieve this, it focuses on three elements: (i) incentives (ii) awareness of such incentives and (iii) reduction of “critical knowledge barriers.” It also places heavy emphasis on capacity-building at institutional levels, particularly with regard to production sectors, including agriculture. In turn, GEF SP-5 (“Fostering Markets for Biodiversity Goods and Services”) emphasizes two components: market development and supply chain development.

158. The documents indicated that the proposed work of the Ethiopia ABS CSUMP project tightly integrated its work on SP-4 and SP-5, so that participants and beneficiaries of project activities view both as necessary prerequisites to achievement of project goals.
159. GEF SP-8 (“Building Capacity on Access and Benefit Sharing (ABS)”) focuses on the complexities inherent in ABS, and on “the lack of capacity of most key stakeholder groups to deal with these complexities, “including lack of capacity in most countries to deal with legitimate, but often conflicting, interests of providers and users of genetic resources and associated traditional knowledge,” which have, it notes “contributed to slow progress in the implementation of [ABS].” It notes that capacity-building must happen in government as well as in “key stakeholder groups, including indigenous and local communities, and the scientific community.” Although it does not specifically state this, it recognises that the establishment of a national ABS framework is one of the key necessities both for functionality of the ABS concept within the country and to support the building of capacity at the level of local communities and other ABS transaction participants.
160. In terms of alignment with SP-8, as discussed in paras 261-263 and 280-281, the design of the Ethiopia ABS CSUMP project included both contributions to national ABS framework development and the sponsoring of negotiations at the local level. These design elements align with SP-8. It is also noted, however, that the project was less successful and effective in its ABS outputs and outcomes, including these two factors.
161. It is also relevant to consider the project’s alignment with UNEP’s Bali Strategic Plan for Technology Support and Capacity Building (BSP) and South-South Cooperation (S-SC).<sup>24</sup> The BSP focuses specific attention on the capacity of governments to comply with international agreements and obligations at the national level, with particular attention to ensuring that assistance is suited to the country’s own perception of its needs. As such the Ethiopia ABS CSUMP project, which is closely aligned with the issues of implementation of the CBD and NP, falls squarely within the BSP’s mandate.
162. Although some interaction with other developing countries may have been fostered through ABS workshops that were welcomed into the country through the project, the ABS CSUMP project appears to have undertaken little or no effort to implement the S-SC’s objectives regarding the exchange of resources, technology and knowledge between developing

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<sup>24</sup> Possibly available online at <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>, although this html, which was provided in the TE’s TORs was not functional when the consultant’s sought access, so this paragraph is based on an old hard copy in the lead consultant’s files.

countries. Arguably, this was a matter of national determination of the country's own needs in this area.

### Rating for Alignment to UNEP / Donor/GEF Strategic Priorities

163. Taken together, the above paragraphs suggest that this project should be considered **satisfactory**, in terms of its alignment to UNEP/Donor/GEF Strategic Priorities.

#### 5.1.3 Relevance to Regional, Sub-regional and National Environmental Priorities

164. The Ethiopia ABS CSUMP project's design was in line with the Ethiopian National Biodiversity Strategy and Action Plan (2005), in that it directly supported the strategic objective of increasing investment to secure MP biodiversity, by enhancing local capacity to obtain, grow and use MPs sustainably.

165. The project also supported the then-current national "Growth and Transformation Plan" that specified the conservation and sustainable use of biodiversity as a key element, recognized biodiversity as a security for improved livelihood and a foundation for the agricultural development strategy of the country and accordingly included plans to strengthen, reinforce and expand biodiversity activities to effectively support food security and livelihood programs during the plan's five-year term, in conjunction with the development plans of other affiliated bodies of the Ministry of Agriculture.

166. The project also coordinated with the GOE's efforts to bring agricultural/environmental priorities into alignment with those of the project and with the Aichi Targets discussed in para 145.

167. By creating an improved understanding of the options and role of medicinal plant biodiversity management, the project contributed to the prospects for a wider partnership between the public sector and civil society in Ethiopia, with the goal of promoting the exchange of knowledge, technology transfer and capacity building to further develop the regional capacity for in situ conservation and utilization of components of MPs.

168. UNEP's level of direct substantive involvement in the project after the design phase appears to have been generally low, and seems not to have aligned with the institutional aspirations of POW 2012-2013, as described above.<sup>25</sup> The intent, reportedly pursuant to a recently signed Ethiopian United Nations Development Assistance Framework (UNDAF) for 2012-2015,<sup>26</sup> was that UNEP, would, through its country office in Addis Ababa, work closely with the other UN agencies at the country level to ensure implementation of the new signed framework between the UN system and Government to assist in interventions that will among other things address key prioritised issues of the Government through a coordinated effort.

169. Project staff reported little contact with UNEP's Ethiopia country office. In addition, owing to many changes in UNEP staff assigned to the project, it may have received less task-manager

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<sup>25</sup> Having gained the needed insight into the POW issues from reviewing the 2010-2011 and 2012-2013 PoWs, the evaluation team did not invest the time needed to review other POWs.

<sup>26</sup> Apparently, this document is no longer available at the UN Environment website (the html given in the ProDoc was <http://undg.org/docs/12319/UNDAF-Ethiopia-2012-2015.pdf>), so this report relies on information in the ProDoc's description.

attention than was needed, particularly during the design (and at the commencement) of the project.

#### Rating for Alignment to Relevance to Regional, Sub-regional and National Environmental Priorities

170. Taken together, the above paragraphs suggest that this project should be considered **highly satisfactory**, in terms of its relevance to regional, sub-regional and national environmental priorities.

#### 5.1.4 Complementarity with Existing Interventions

171. As noted in part 5.6.2 and elsewhere, the project's work dovetailed with (and continued the work of) a previous World-Bank-implemented GEF project, entitled "Conservation and Sustainable Use of Medicinal Plants," which had focused on BMNP.

172. In addition, as discussed in parts 5.3.1, 5.5.1 and 5.6.2, the project also developed a direct, important and collaborative relationship with an IFAD-implemented GEF project entitled "Community-Based Integrated Natural Resources Management in Lake Tana Watershed" (the IFAD project).

173. Also relevant to this evaluation criteria is the fact that (thanks perhaps to the hosting of the project within EBI) many project staff interviewed, both at site and national level, were and continue to be aware of many other biodiversity-related projects that are being undertaken within Ethiopia and/or their particular regions, and stated that they had positive relationships with such projects.

174. Finally, the project was in contact with at least one regional project, which co-sponsored an ABS workshop with the project.

#### Rating for Complementarity with Existing Interventions

175. Taken together, the above paragraphs suggest that this project should be considered **highly satisfactory**, in terms of its Complementarity with Existing Interventions.

#### 5.1.5 Rating for Strategic Relevance

176. This project's design was rated **Highly Satisfactory** for strategic relevance based on its primary focus on MP conservation and sustainable use, although the evaluation noted that project work on other strategic elements was less successful and that the PMU and Executing Agency did not appear to closely interact with UNEP's national and regional offices during most of its term. Such interaction were a key element of then-existing UNEP priorities.

## 5.2 Quality of Project Design

177. The evaluation team developed an initial rating of the project's design quality during the inception phase of this TE, based on a desk review of design-related documents and communications. While some of those ratings were generally confirmed during the field visits and subsequent research, others needed drastic revision.

178. Accordingly, for this TE, it has been necessary to revise the design rating initially provided in the inception report.<sup>27</sup> The following paragraphs provide a brief summary of the project's strengths and weaknesses with regard to its design.

### 5.2.1 Strengths

179. The project's design appears to have been highly satisfactory with regard to the means by which it addressed its mandate to promote conservation and sustainable use of medicinal plants, noting especially its contributions to the following:

- i. undertaking and promoting the utilization of ex situ conservation measures – the field genebanks and nurseries,
- ii. making significant and well remembered contributions to the capacity of THs, farmers and others at the community level; and
- iii. maximizing local community stakeholder participation and cooperation at the most local level in its conservation and sustainable use activities relating to MPs.

180. Presumably, (although the inter-project relationship is not directly mentioned in the design documents) this quality arose out of the relationship between this project and a recently completed GEF medicinal plants project at the BMNP pilot site. The project is designed to enable better progress at BMNP, while refining the lessons of the project and extending them to additional pilot communities.

181. Thus the design includes a large number of detailed and specific outcomes and outputs, particularly with regard to the first project component ("In-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites") and related elements of the second ("dealing with the enabling policy and institutional framework for in situ and ex situ conservation of medicinal plants biodiversity including through a review of existing policy, law and legislation for medicinal plants ....") and fourth ("Capacity building for measures in support of conservation/sustainable use of MPs, ....").

182. Although less complete or meticulous in its treatment of MP markets and ABS, the project design did a good job of underscoring the essential interconnectedness of the three areas, recognizing that public support for MP conservation and sustainable use efforts is generally strongest when backed by integrated incentives, such as the potential of livelihood improvement that is brought about when markets for MPs and MP products are enhanced and strengthened. It also recognizes that such a market, and its profitability at all levels, is generally supported by a legislative framework such as ABS, which addresses and mandates the grass-roots nature of the sharing of benefits arising from the utilization of MPs and the related ATK held by local communities.

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<sup>27</sup> The TORs for this TE stated, "The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established ([www.unep.org/evaluation](http://www.unep.org/evaluation)). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report." This was not possible, given the change in understanding developed during the preparations for and conduct of the field mission.

## 5.2.2 Weaknesses

183. The project design suffered from some notable weaknesses, both of rendering and of substance.

### Drafting Weaknesses

184. In drafting, the design was repetitive, inconsistent and inaccurate in the manner it addressed certain concepts and activities. Its title and the names of its components gave an inaccurate view of its focus and objectives. It also used terminology inappropriately and set targets and indicators somewhat randomly.

185. The design appeared somewhat repetitive, including a number of outputs and activities that seemed duplicative. For example, separate outputs called for

- "a Catalogue or compendium of MP propagation and cultivation methods,"
- "guidelines for sustainable harvesting of priority MP species" and
- "extension packages for conservation and sustainable use of MPs."

As noted in para 243 and elsewhere, the project staff appeared to equate these in its reporting, separately describing the four "extension packages" it prepared (two of which (Moringa and Gizawa) were translated into at least one local language) as its work on each of these three items.

186. The drafting was also, at times, inconsistent and inaccurate in the manner it addressed certain concepts and activities. One of these was the distinction between in-situ and ex-situ conservation activities, and particularly the apparent consideration of forests as "in-situ genebanks," leading to descriptions and targets that confused the field genebanks and nurseries (ex-situ conservation activities) with in-situ forest management and conservation.

187. Another usage problem related to the concept of ABS, which the design apparently perceived as a generic program of conservation – a program that includes within its ambit other conservation activities. In fact, ABS is much narrower and not generic – it is a (primarily financial) mechanism, which can provide an incentive for conservation and sustainable use when an effective framework for it exists and is properly implemented. By viewing MP conservation as a sub-element of ABS, rather than vice versa, the design supposes that many conservation activities and outputs are part of the overall heading "ABS implementation". For example, although Component 4 is entitled "Capacity building for wider application of ABS measures," neither the outcome nor any of the outputs under it address ABS measures, even indirectly. Rather, they focus solely on training related to measures "for the conservation and sustainable use of medicinal plants."

188. As noted, the project's title implied that the project's focus would be primarily ABS in conjunction with the conservation and sustainable use of MPs. In fact, ABS was at most a secondary focus of this project. This lack of comprehension of the true meaning and scope of ABS may have been the reason for that misunderstanding.

189. That same misunderstanding was also contributory in causing the project to miss an important ABS opportunity. If it had actually focused on ABS issues in the pilot sites, it could

have used its direct and long-term interaction with THs (generally held to be the holders of ATK relating to medicinal plants in Ethiopia) to help the legislators develop a better practical understanding of how the ABS concept of “benefit sharing” can be applied to ATK held by individuals within a rural community. This is an issue that became critical with the adoption of the NP, but it is also an issues on which there is little or no effective awareness in any country, as yet.<sup>28</sup>

190. Perhaps the most serious drafting weakness relating to this project design is its identification of targets and indicators. Based on project reporting it is apparent that the PMU viewed many of the indicators as irrelevant by the project, the annual reports and PIRs very often reported progress based on very different factors.

191. For example, the Log/Frame builds a target into output 1.2.4, which requires “1200 new home gardens established and supplied with medicinal plants.” During the field mission, the evaluation team learned that, as of the commencement of the project, the number of pre-existing home gardens at the pilot sites was apparently at optimum level, and as a result no “new” home gardens were established by or with assistance from the project. This contributed to the reporting challenge noted in para 377, in that the PMU apparently unilaterally chose a different reporting metric. The project instead reported different statistics, including the number of persons who obtained seedlings from project-established nurseries and in some cases the total number of seedlings produced.

192. Other target/indicator challenges created by the design included the following:

- Outcome 1.1’s indicator involved the establishment of “in-situ genebanks” of enormous size. This was probably a misstated target regarding the area of forests subject to management, as the document later speaks of them as “in situ conservation sites.”<sup>29</sup>
- In that same outcome, the stated target area (“200,000 ha”) was apparently already met at the project’s commencement, since the BMNP, which is larger than that, was already operating under a conservation management plan, which included awareness of MP issues, thanks to the work of the prior World Bank project mentioned in para 63.
- Outcome 1.2, which focused on direct conservation/sustainable use site activities, lists the adoption of four “sustainable use agreements of medicinal plants” as its only indicator. These agreements<sup>30</sup> were specifically negotiated with direct enabling assistance from the project, and reported as such. They were not simply indicators of project performance, but more properly could be considered outputs or activities.
- For Output 1.3, also, the indicator of achievement of this output was an activity (“Four alternative livelihood options studied and prepared, and implemented at the pilot sites by end of project”) which would have to either be undertaken by the project or obtained from another project. The evaluation team could not confirm that such documents exist (they were referred to by former project staff members but not provided to the evaluation team), but interviews indicate that they were not a product of the project.

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<sup>28</sup> By contrast, the project contracted for a “gap analysis” comparing the existing Ethiopian ABS legislation to the NP. There have been a great many “gap analysis” papers published since the NP’s adoption (too many to list). In addition, they do not help the countries’ legislators find and address the problem points that prevent most national ABS frameworks from functioning effectively.

<sup>29</sup> The genebanks established under the project were ex situ – established on community or other lands not within the protected forest area.

<sup>30</sup> There is no standard understanding in the environmental field regarding what constitutes a “Sustainable Use Agreement”. As discussed in paras 245-247, the agreements that were actually negotiated did not align with the description in the ProDoc.



Hence it was not possible to confirm that indicator, particularly three years after the study was done.

- Outcome 2.2 lists “Eight ABS agreements in place covering 8 different medicinal plant species at the end of the project” as an indicator of project achievement of the outcome, and explains the targets for its achievement as “Four pilot initiatives for contract-based export trade in medicinal plants established with ABS agreements in place at mid-term and another 4 at the end of the project.” Such agreements, however, do not simply appear, particularly where rural communities are involved. In order for such agreements to be created, some promotional and support activities by the project would be needed, and it would only be truly effective after a clear national ABS framework is in place. The design does not list any outputs (such as, support to the development of these agreements) toward the achievement of these extremely overambitious targets.<sup>31</sup> Not surprisingly, therefore, no such agreements were completed in any of the pilot sites during the term of the project.
- Outcome 3.1 on market development identifies “Four value chains established and implemented by end of project” as its indicator of achievement. Here also, the establishment of “value chains” is a commercial process involving private negotiations well beyond the level of activity involved in developing stakeholders’ ability to participate in various markets. It depends on several types of preparation and support and would have taken a significant amount of time, even if the prerequisite conditions were in place and preparatory steps had been taken.
- Outcome 3.1 itself states that “Markets for medicinal plants friendly products increased by at least 50%.” This is not measurable, because it doesn’t actually say what is to be increased – the number of markets, the size of markets, the volume of MPs available at markets, etc. The project did not develop a baseline on any of these market-related factors, so the 50% increase is not measurable.
- Outcome 4.1, which is achieved through primarily local activities, lists its indicator as “One functional national institutional framework for medicinal plants biodiversity conservation in place by end of project.” It is not clear what a “functional national institutional framework” would encompass with regard to MPs or how policy work and capacity development at the pilot sites would bring it about, in less than four years.

193. It seems clear that these various drafting deficiencies could have been mitigated if (i) there had been close coordination between the PMU and UNEP, and (ii) that coordination had focused on clarifying the ProDoc as a “road map” for project performance, including careful reconsideration of the targets and indicators to identify SMART elements, with emphasis on their “Relevance” (i.e., the extent to which they can be perceived to result from or be closely connected to the project outcome and outputs to which they apply), “Measurability” (i.e., how would one objectively determine target performance) and “Achievability.”

194. In this connection, it is notable that the ProDoc included long discussions of evaluation and monitoring; however, those long sections were apparently a template provided to the designer inserted as-is into the ProDoc. It seems clear that they were not read at that point, possibly by anyone, given that bracketed language explaining what specific information needed

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<sup>31</sup> Even if the new national ABS framework were in place, the negotiation and execution of even one ABS agreement within the time scope of the project would be unexpected, based on the experience of Ethiopia and other developing countries that have been active at the forefront of this work.

to be inserted was still included and no project-specific component was inserted into these sections.

## Substantive Challenges

195. In terms of substance, the project design was unduly over-inclusive in some substantive areas, particularly with regard to market development, policy development and ABS elements. This over-inclusiveness led to three apparent design problems that affected project implementation/effectiveness: (i) the need for an integrated approach to project design, (ii) the failure to investigate sufficiently and (iii) untimely deliverables. These three challenges are discussed under the next headings.

## The Need for Focus and an Integrated Approach

196. A basic reading of the Project Document conveys the strong feeling that, although the medicinal-plant-oriented elements of the project are well detailed and closely integrated, many other components are not. Upon investigation, the evaluation team confirmed that certain aspects of the project were added to the draft ProDoc based on direct advice that the inclusion of these points would increase the likelihood that the project would be funded. This appears true of all references to ABS. In addition, climate-change (REDD and REDD+) and PES were both discussed in the ProDoc, sometimes in detail, although they were not directly addressed in any project work.

197. Within the GEF system, the Ethiopia ABS CSUMP project is listed within the ABS portfolio; however, as noted in paras. 187-189, above, the ABS elements of the project appeared to be a unrelated to most of the work of the project, and the project design did not address the ABS issue that is most relevant to the project -- the challenge of finding an effective and equitable means of applying ABS principles to ATK within the overall benefit-sharing framework.<sup>32</sup>

198. Similarly, the mention of key issues such as REDD, REDD+ and PES in the project document was a misleading use of key "buzzwords." The Project Document mentions REDD and REDD+ in its discussion of other ongoing activities in or near the pilot sites, but does not identify any element of the project that would directly address these objectives.<sup>33</sup>

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<sup>32</sup> The Nagoya Protocol specifically calls on its parties to include mechanisms for access to and sharing the benefits of "traditional knowledge associated with genetic resources". This is uncharted territory in national ABS frameworks, especially where such knowledge is held by single individuals within the traditional community. To be both useful and integrated, the project design regarding ABS could have included specific consideration of how ABS issues integrate with the primary medicinal plants issues and outcomes of the project, and how the project could uniquely contribute to the country's work on ABS.

<sup>33</sup> Output 1.1.6 mentions "reduced or avoided deforestation & forest degradation" – terminology of the so-called "REDD+" framework under the UN Framework Convention on Climate Change, and includes two paragraphs in the output description on REDD+. The project document stated that "The forest ecosystems and their surrounding landscapes present huge potential to introduce REDD based carbon financing scheme. REDD+ project area including core zone, leakage belt and reference area was determined by the baseline study for the three pilot sites. .... With the currently envisaged REDD+ project activities such as improved forest management (IFM) and improved cropland management (ICM), a total of 24.1 MtCO<sub>2</sub>e emissions reductions will be achieved in 20 years. At the current price of 6 US\$ for 1 tCO<sub>2</sub>e, a total revenue of US\$ 144.5 million will be generated in the same period. The project area also includes the Bale Mountains National Park (BMNP). ...The same report indicated that in the pre-feasibility study emission reductions of 96 MtCO<sub>2</sub> of the Bale Mountain Region over 20 years considering the reduction of deforestation and carbon stock enhancement were estimated. Considering different factors with the current project activities in the 5 woredas of the BMNP, an emission reduction potential of 18.5 MtCO<sub>2</sub> over 20 years is projected with revenue of US\$ 111 million.... For REDD, there is a growing international market whether compliance or voluntary. There is national systems for implementing REDD based projects. Ethiopia already prepared and submitted REDD Readiness Project Idea Notes (R-PINS) to the World Bank Forest Carbon Partnership Facility in which national lead and implementing institutes have been clearly identified. EPA as a DNA is the lead institute, while MoA is the implementing institute in collaboration with concerned sectoral ministries,

199. The Project Document also used the acronym “PES”<sup>34</sup> and included a paragraph describing “a potential water-based PES opportunity,”<sup>35</sup> but made no further reference to this issue apart from a general call for a PES analysis without explaining which “environmental service” would be involved, nor how PES would integrate with the project’s framework of MP management, market development and ABS. A review of the PIRs suggested that this apparently led to apparent confusion among project staff, where no PES expertise was available.

200. Although these are concepts that include many elements that could be generally relevant to the project, they were not components of the project’s work. As designed, the project was already highly demanding with more than 25 outputs<sup>36</sup> to be achieved. The above described references to additional activities might have (but fortunately did not) unduly broadened the NPU’s perceived view of the project’s scope, which would have been unhelpful or caused further overextension of project activities. In general, project design should be focused on creating a clear demarcation (road map), focusing project activities and on clarifying the scope of and expectations for the project being designed.

### Insufficient Design-stage Investigation, Leading to Unrealistic Outputs

201. As noted, the project’s over-inclusive design approach was at least in part a result of insufficient information, especially the lack of accurate information on how long it would take to complete each output or activity and whether particular activities could be commenced immediately or should build on other activities in a stepwise fashion. Ethiopian experts in market development, policy development and ABS might have been able, even in 2010, to provide more realistic indications of how long each element would take, and what steps would be needed to achieve relevant outcomes, and indeed what particular elements of research or analysis would be most useful. Such information might have helped to make each activity an effective measure toward achievement of the overall outcomes related to markets, policy and ABS. This is shown by the design of the MP conservation/sustainable use elements, whose detail and specificity were exemplary. An equivalent level of understanding and awareness of the steps in the market development, policy adoption and ABS implementation processes might have enabled the design to identify achievable outcomes and outputs. Instead, however, many individual outputs in the ProDoc referred to activities that could only be realistic or helpful if undertaken after some prerequisite had occurred, complete achievement of the development and implementation of an entire marketing, policy or legal/institutional framework.

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agencies and other concerned institutions working in the area including NGOs. The project will work across the concerned stakeholders to develop PIDs for carbon finance using lessons from the existing national, regional and global experiences”. None of this discussion was reflected in the outcomes/outputs of the project.

<sup>34</sup> The Project document does not spell out this acronym, which refers to a general concept called “Payment for Environmental Services.”

<sup>35</sup> “A potential water based PES opportunity is identified, particularly in relation to hydro-electric power generation. Three of the four forest ecosystems occupy landscapes that are the head waters of rivers on which large hydro-power generating turbines are either located or under construction. Damage to these forest ecosystems and unsustainable land use practices in the watersheds can negatively affect turbines and power generations by increasing siltation of the dam and reducing base flow. However, there is little research work done in Ethiopia to provide scientific evidences on the interrelationships between the processes described. Furthermore, there exists no institutional awareness among the potential buyers of the services, principally Ethiopian Electric Power Corporation (EEPCO) to streamline PES into the power plant operation business. This means that there is no market for the watershed and/or green/blue water credit at this point in time. Therefore, the project will focus on initiating a demonstrational pilot project by the different institutions identified as partners in this project. This will pave the way for future introduction of the scheme in the country.” (Paragraph 166). It is noted that none of the project’s activities as designed had any relationship to water resources, water-resource use, water policy or water law.

<sup>36</sup> As noted in Part 4, the RTOC at Evaluation has reduced the original list to 25.

202. The clearest example of this over-inclusiveness is found in the various components relating to market development. Although a marketing strategy was an essential prerequisite to effective market development, the design did not reflect the fact that project marketing deliverables should have been guided by that strategy and that a strategy of this type would include multiple steps, different for each market level, which would have to be completed in series.
203. Similarly, its one-output call for “Certification systems, processes, verification and monitoring compliance” under the marketing outcome indicates a clear lack of understanding of the marketing certification concept, the steps involved and the type and amount of information and time that is required.
204. The project’s excellent marketing strategy was not completed until August, 2015. By that time (less than 14 months before the scheduled termination date of the project), a number of project deliverables relating to specific steps in toward achievement of marketing components of project outcomes had been undertaken, including some activities, such as assisting local MP sellers to attend regional and national market events, which could have, if guided by the strategy, been more productive and had a long-term influence on the MP market and the THs, growers and sellers affected by it. The project staff had no choice but to go ahead with these actions, given that they had a mandate to complete an over-optimistic list of activities and deliverables within the project term.
205. Some of these activities were not particularly effective in showing local healers and farmers the value that could come from broader participation in MP markets. For example, sellers from all of the pilot sites were taken to regional and national market days, earning some money, but reportedly not seeing the levels of value or interest that they were told to expect. This was not surprising as the development of consumer expectations is a critical preliminary activity – an essential prerequisite of expanding into a new market, and those activities (well described in the marketing strategy) were not undertaken (not called for in the project design).
206. Similar challenges were noted when the project introduced Moringa (a medicinal plant species from another region) in the Zegie pilot site with no market preparation or analysis (See para 254).
207. Relevant information, including the time needed to develop a marketing strategy, a generic list of basic steps that would need to be guided by and taken under the marketing strategy, and the amount of time needed to reasonably complete those steps (i.e., how much of the strategy could be implementing within the same four-year period), could have been obtained in the project design process through consultation with Ethiopian marketing professionals, who are familiar with how these kinds of activities are done in Ethiopia, and know about the time constraints that apply.
208. Instead, the list of project deliverables includes the entire local, regional and national market development process as a single output, without realistic assessment of the time necessary to prepare all of the various essential steps to successful achievement of such development.
209. Similarly, the approach taken to ABS work is relatively impractical. The project document correctly notes that Ethiopia was (and still is as of this writing) in the process of revising its ABS

legislation (Access to Genetic Resources and Community Knowledge and Community Rights Proclamation (Proclamation No. 482/2006)), with the goal of bringing it into line with international ABS developments, including the Nagoya Protocol. Although the project called for the project to provide research to support that process, and to undertake work to “pilot” the new ABS framework, its general expectations were not based on any realistic information regarding how long the legislative revision work would take; what further steps would be necessary after the revised ABS law was enacted, in order to create a functional ABS framework, what activities would be needed to help implement that framework and what factors would be involved in the development of ABS contracts and value chains. (As noted above, it also did not consider the special relevance of some key project participants with regard to ATK – the insights that might be developed in a project working with THs at the local/rural level.)

210. Ethiopia has long been at the forefront of ABS development. Within the government and commercial sectors of Ethiopia, there are many persons with detailed knowledge and experience, regarding the ABS issue, the challenges of ABS legislation and the amount of time and specific steps needed to bring a detailed ABS legal framework into functional effect. Failure to obtain this information led to a situation in which very few of the project’s ABS outputs could be completed. In the project term, it was clearly predictable by anyone familiar with the ABS issues and Ethiopian legislative processes that the laws that form the foundation of a national ABS framework would not be adopted at all within the term of the project. It was, therefore, highly unlikely that the regulatory and institutional measures needed to implement them could be put in place within that time. Yet the project design called on the project to “pilot the ABS framework” and to promote and support the development of ABS contracts and value-chains involving MPs.

#### Untimely Deliverables – External Prerequisites and Internal Preliminary Steps

211. There was another result of the project design’s assumptions regarding the ease with which market development and ABS outcomes and activities would be completed, and apparent belief that there were no preparatory stages or processes necessary before each consecutive step in those processes: By applying this assumption, the design encouraged the PMU to undertake outputs and activities before the necessary preparatory steps in the process, and to interpret the outputs as separate items, rather than in terms of their relationship to the achievement of outcomes. As currently defined, UNEP uses “output” to mean “the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions”. Having been produced without waiting to build on the prerequisite steps (such as national ABS framework adoption), those “untimely” activities were less effective and their contribution to the achievement of outcomes was diminished.

212. Thus, for example, the project reported activities and deliverables related to participation in regional and other markets, but these did not contribute to achievement of the relevant outcome. They were undertaken too early, without prior completion of the preparatory steps. As such, their contribution to the project outcome was minimal, although the participants returned home with some profit, it is not clear that the cost of traveling on their own, coupled with the loss of a day’s work, would have been compensated by that return if the project had not sponsored their trips.

213. Similarly, as noted above, the project design was over-optimistic regarding the speed and completeness of Ethiopia's ABS development. In this area, key outcomes focused on the important work being done by the national legislature in revising its national ABS framework. These legislative actions can only be done by the government, and that these processes can rarely be shortened (apart from national emergency situations). Prior to completion of a national ABS legislative framework, many key issues cannot be predicted. It is therefore inadvisable and unhelpful to attempt to begin implementation of the national ABS framework until the primary components of that framework have been decided. Certainly, experience has taught many private-sector enterprises to wait for the completion of the new regulatory framework, before commencing negotiations that might be affected by it.
214. The ProDoc called for the project to build capacity on the ABS framework, but did not integrated that the framework needed to exist in order for that work to contribute to the ABS outcome. The PMU attempted to complete those outcomes, inter alia, by translating the NP (a document that specifies the obligations of national governments to one another<sup>37</sup>) and the soon-to-be-replaced 2008 Ethiopian ABS decree into local languages for dissemination at the woreda and kebele levels, and to hold workshops and other capacity-development activities based on the NP, despite the fact that no one currently knows what approach the GOE will choose to apply when it adopts ABS legislation, implementing regulations and institutions. While clearly listed as outputs in the ProDoc, these translations and seminars, etc., were untimely, when their usefulness is compared with that of similar or identical activities that will be undertaken after the country's ABS framework is in existence.

### 5.2.3 Rating for Project Design Quality

215. The project design process and PPG was begun with the goal of completing the earlier World Bank project in the BMNP and extending its benefits to other communities. As finally designed, however, the Ethiopia – ABS CSUMP project sought to extend its activities far beyond that initial focus. In examining the contents and Log/Frame of the ProDoc, it is clear that such a project could not reasonably be expected to completely address all aspects described with regard to ABS, policy and the development of commercial MP markets particularly where those aspects specified full vertical coverage from the grassroots level up to and including national and international markets and contracts.
216. It seems reasonable to interpret the project design as having been intended to serve as a longer-term plan, rather than simply the map of a single four-year project.
217. Such a long-term design approach, however, does not satisfy the role of a Project Document in the UNEP and GEF project processes. The combined efforts of in-country, GEF and UNEP participants in and commenters on the design process might have been more effective if it had emphasized and more accurately outlined the work and timeline of a four year project, rather than a longer term plan. The role of the PPG process within the GEF is the production of a ProDoc that provides a clear roadmap for project implementation.

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<sup>37</sup> It is commonly, but erroneously believed that the Nagoya Protocol is a "blueprint" for national legislation. In fact, however, it leaves virtually all legislative decisions to each country's individual discretion.

218. As discussed in paras 63 and 215, by building on the experience of the World Bank Project, the project design of the MP conservation and sustainable use elements of the project were quite good; however its approach to the other activities was relatively poor.
219. As noted above, many of these deficiencies could have been mitigated if the PMU and UNEP had worked closely in the initial stages of project inception to ensure that the project had a clear road-map before it.
220. Also noted above is the fact that the inception report of this TE found the project design to be “satisfactory,” based in part on the expectation that the PSC and other mechanisms within the project would have promoted cooperation among the key participants to clarify the less pellucid elements of the design. Based on the information generated in the field mission and further delving into the electronic mountain of documents provided for this TE, however, the evaluation team concluded that no such clarification had ever been made, and that it would be necessary to revisit the earlier rating. A “Revised Project Design Quality Template” is attached to this report as Annex VI.
221. Accordingly, considering all of the factors mentioned above, the rating for the project design criteria is **Moderately Unsatisfactory**.

## 5.3 Nature of the External Context

### 5.3.1 External factors

222. The evaluation identified relatively little “external context” (that is, prevalence of conflict, natural disasters or political upheaval) that appeared significant enough to affect this evaluation.
223. The pre-project documents did not identify any such serious threats. The field interviews identified two other, unpredictable external factors that affected the project: First, between the submission of the final FSP and the commencement of the project, there had reportedly been serious drought in some parts of Ethiopia leading to serious and unexpected inflation levels and a need for the GOE to reconsider its deployment of staff and in-kind services.
224. Second, during the project term some local unrest was reported in pilot site areas. Its influence on the project appears to have been minimal. Specifically, in the Zegie pilot site, rocks were thrown through the windows of the facility built on the genebank site.<sup>38</sup> The field genebanks were not touched. Thus, the rock throwing appears to have been relatively mindless destructiveness, not driven by any political agenda involving the project.

### 5.3.2 Rating for External Context

225. The project’s recognition of the external context was rated **Favorable**, although unpredictable conditions (drought) later arose affecting project implementation and reporting.

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<sup>38</sup> As noted in paras 65-70, this facility was actually constructed through the IFAD Project, and neither it nor the GOE has repaired the broken windows as of the dates of the field visits to that site.

## 5.4 Effectiveness

226. In its “evaluation of effectiveness,” this TE is called upon to apply the RTOC at Evaluation (subject to the limitations and considerations noted in part 4), and through it to consider and evaluate the work of the project and its achievement of its overall and specific objectives. The following paragraphs focus on “evidence relating to the achievement of results; process of producing change and the roles of key actors, as well as drivers and assumptions” underlying the RTOC” and to note any “effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation.” The discussion is divided under three headings: delivery of outputs, achievement of outcomes and likelihood of impact.

### 5.4.1 Delivery of Outputs

227. The evaluation team looked at all listed outputs that were included in the RTOC, as planned in the ProDoc. Per UNEP Criterion, it considered three points in this analysis:

- **“quantity and quality.”** (For this evaluation, this factor looks first at whether and to what extent the outputs were completed by the project or by collaborating projects or units reported under the project. It considers “quality” by determining whether the output meets the specifications set out in relevant project documents);
- **“timeliness of delivery”** (subject to the challenges described in paras 211-214); and
- whether the completed outputs were **“owned by, and useful to, intended beneficiaries”** (For this purpose, the evaluation considers whether an output was completed to the satisfaction of the project’s management structure and how participating beneficiaries and other relevant parties received the output, as they described that reception 3 years following the project’s termination date.)

228. At the late date of this analysis, and in light of the challenges presented by reporting and other administrative issues, much of the work under this subcriterion involved determining whether the particular outputs were attempted at all. As such, the specific outputs are here considered along with the evaluation team’s input into the above three points.

229. As a general matter, the PMU and PSIUs had the objective of producing all products that were listed as outputs in the ProDoc and its Log/Frame within the project term. Unfortunately, as noted in part 5.2, the ProDoc did not clarify the preparations and prerequisites of each listed output. In many cases, simple completion of the listed product, without prior preparations and prerequisites rendered that output relatively weak as a contribution to the achievement of the desired outcome.

230. As noted in paras 211-214, however, many parts of the project’s design did recognize some external prerequisites that needed to exist in order for the output to be useful. Nor did it build in preparatory steps or sufficient time to prepare for its listed outputs and thus to maximize their desired influence on project participants and through them its contribution to the achievement of project outcomes.

231. The exception to the previous paragraph was the project’s work on in-situ and ex situ management of conservation and sustainable use of MPs at the project sites. In these areas, the project’s design was sufficiently detailed, and the project completed or partially completed a large percentage of the project outputs, in a manner and stepwise approach that maximized



their effectiveness. It was less able to complete many of the specified outputs in relation to MP market development and ABS in this way.

232. All of the outputs calling for developments and activities at the national/federal level, faced sometimes insurmountable difficulties with regard to promotion of the relevant outcome. There were two common reasons for difficulties at this level. First, in many instances, the effective completion of proposed outputs relied on completion of earlier outputs and utilization of those outputs as preparations and prerequisites for the later output (a “stepwise” approach, where early steps were not yet completed).
233. Second, all of the outputs calling for development of MP policy, value chains and trade associations at the national/federal level faced sometimes insurmountable difficulties due to situational factors. In most cases, these developments would only occur at the national-level when the national-level situation had developed to a point that national level work was recognized to be needed and beneficial. While the project recognized that this time will eventually come with regard to Ethiopia’s MP markets, the earlier efforts at local/pilot levels did not progress far enough during the term of the project to enter the national discourse.
234. The following paragraphs consider the primary substantive focus areas of the project (MP conservation/sustainable use; MP markets and ABS) separately.

#### MP Conservation/Sustainable Use Outputs

235. As noted above, the project’s work in MP conservation (especially the development and use of ex situ field genebanks and nurseries, to reduce or eliminate the pressure that increased wild harvesting of MPs would place on forest ecosystems<sup>39</sup>) was highly regarded by virtually all interviewees, reports and other sources, as such it made a major contribution to the achievement of desired outcomes regarding “conservation and sustainable use of MPs” The following are specific comments on particular outputs relating to MPs, their conservation, sustainable use and marketing:
236. **Output 1.1.2** (“GIS based spatial population density map of endemic and threatened MP species”): This was addressed a limited way in student research that were not collated or widely shared by the project.
237. **Output 1.1.3** (“Levels of ‘from the wild’ collection, on farm propagation and local market demand documented”): Also addressed in the student papers that were not collated or widely shared by the project.
238. **Output 1.1.1** (“Management plans for in situ and ex-situ conservation of MPs adopted and implementation commenced at pilot sites”): The Evaluation team was able to examine the MP components of management plans for BMNP, Zegie and Anbessa. No management plan had been adopted for Kure.

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<sup>39</sup> As noted in the student papers addressing output 1.1.3, current levels of MP harvesting as of the beginning of the project did not appear to be harming ecosystems or threatening species survival. Clearly, however, the increase in harvesting occasioned by the improvement in local perceptions of THs and MPs, and the establishment of broader markets would increase those levels and might easily pose threats to species and ecosystems.

239. **Outputs 1.1.4** (“MP Field genebanks for MPs established”) and **1.2.2** (“Feedstock supplies for home gardens, replication and field genebanks established”): These outputs were apparently overlapping and reported as such. The field genebanks visited<sup>40</sup> were well completed and still functioning and maintained nearly three years after the end of the project;
240. **Output 1.1.5** (“Awareness raised at local, national and international level of the role of MP-friendly products in promoting conservation and community welfare”): The project excelled in local awareness raising regarding the importance of MP-friendly products in conservation and community welfare. That work had major, long-term and positive effects on local participants (community stakeholders, kebele and woreda officials, etc.) as confirmed by interviews. It was achieved through a range of activities and its effects survive among participants in those communities to this day. There is also evidence that at least some of those participants are continuing to share their experiences and thereby to promote continued and greater awareness in their communities. This aspect of this output was among the most successful of the project.
241. The project did not complete the national/international component of that output, however. Capacity-building at the national and international level is difficult to undertake effectively and must be timed to maximize national/international attention. The NPC’s work on this aspect embodied a presentation at the international meeting of the CBD’s Subsidiary Body on Science, Technological and Technical Advice.
242. **Output 1.2.1** (“State of priority threatened MPs in the four pilot sites documented”): In each of the four pilot sites, studies were completed by post-graduate students, in part documenting the state of “priority threatened medicinal plants.” The team could not confirm any use of these studies in the other work of the project or elsewhere.
243. **Outputs 1.2.3** (“Catalogue/compendium propagation cultivation methods of selected MPs”), **1.2.5** (“Guidelines for sustainable harvesting of priority species of MPs”) and **2.1.5** (“Extension packages developed to support law/policy/institutional measures for MP conservation and sustainable use”): These outputs were generally reported as overlapping – the same documents were claimed to satisfy them. The project produced a detailed list discussing 69 medicinal plants, which may partially satisfy the requirement of output 1.2.3. As for the other two outputs, the “propagation methods” aspect of output 1.2.3, and outputs 1.2.5 and 2.1.5 appear to have remarkably similar objectives, (“Catalogue or compendium of MP propagation and cultivation methods”, “guidelines for sustainable harvesting of priority MP species” and “extension packages for conservation and sustainable use of MPs”).

In reporting it seems clear that the project had basically concluded that its work in producing extension brochures on four species (Moringa, Gizawa, Ensilal and Aloe) satisfied all three outputs. Unfortunately, there were more documents expected. For example as to output 2.1.5, the project did not achieve the target of 8. The team understands that the project identified a great many MP species including 69 that are detailed in a list compiled by the project. This suggests that there may be more than four “priority MP species”. Certainly no specific statement was made to the effect that these four are the only priority species. In addition, it may be reasonable to include **Output 4.1.2**

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<sup>40</sup> Although the team visited only three of the sites, completion of the field gene bank in Anbesa was reported in documents and confirmed in interviews with project staff

(“National extension programmes promoting MP conservation and sustainable use”) in this conclusion, as the five extension brochures were reported as the extension works in this project.

244. **Outputs 1.2.4** (“Home gardens in all four pilot sites supplied with MPs”) and **4.1.3** (“Local communities (farmers, THs, elderly, youth and women) assisted to integrate MPs into farming systems”): Although Output 1.2.4 focused on the establishment of “new home gardens” of MPs, in fact, the home garden saturation in the pilot communities has apparently reached maximum at the commencement of the project. The project’s encouragement to local residents to cultivate MPs resulted in their existing home gardens and farms, and supplying them with MP seedlings. This was a very positive result.

245. **Output 1.2.6** (“Four sustainable use agreements relative to the cultivation and use of MPs facilitated and negotiated”): At least 4 sustainable use agreements were reportedly negotiated between EBI/the pilot communities and relevant kebele/woreda bureaux and agencies. Under those agreements the parties commit to continued implementation work with regard to the policy and concrete outputs of the project. These agreements are reportedly in place and continuing. They, too, appear to be a major achievement of the project.

246. This output provides another example of the mismatch between project design and output however. In the original project documents, these agreements were listed as the indicator for Output 1.2 as follows: “Four sustainable use agreements of medicinal plants facilitated and negotiated by in situ management and local management groups at the 4 pilot sites specifying the type and amount of resources that can be used and by whom.” As written, the example provided to the evaluation team<sup>41</sup> stated 6 objectives:

- “to legalize the in-situ medicinal plant conservation.”
- “to ensure and guarantee Community ownership and use right on in-situ medicinal plant.”
- “to ensure sustainable management and livelihood through revitalize community based on in-situ medicinal plant.”
- “to achieve in situ medicinal plant conservation, address open access medicinal plant exploitation and establish effective community based in situ medicinal plant management.”
- “to promote management initiative and motivation in self-development.”
- “to support community livelihood through sustainable use of in-situ medicinal plant product use agreement between local community and conservation organization for priority species.”<sup>42</sup>

247. Although not meeting the description in the original target, this agreement’s objectives suggest that the rights of MP collectors and users may have been somewhat precarious prior

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<sup>41</sup> The evaluation team was able to review only one of the sustainable use agreements reportedly facilitated by the project: “Sustainable Use Agreement document of Medicinal Plant Conservation and Sustainable Use Between Harena Bulluk Woreda pastoralist development office and Sodu-welmel Community,” dated January, 2014. These objectives were stated in that document.” The project reported that at least four such agreements had been adopted in or related to the pilot sites. The evaluation team did not receive any detailed information about the others, however in every site visited, local governmental bodies were still aware of and supportive of the project’s objectives.

<sup>42</sup> Ibid., at ¶ 2.

to this agreement, so that the contents as finally agreed were more important than the setting of MP-use quotas, as called for in the original design.

248. **Output 1.3.1** (“Equity is promoted across gender and vulnerable groups in management of and benefit from MPs”): As further discussed in part 5.9.4, none of the women interviewed during the field mission felt that there had been any pre-existing gender equity problem nor that any new inequity had been created. Participants in PSCCs indicated that this question had been canvassed with similar results. Accordingly, this output was not specifically acted on.
249. **Outputs 2.1.2** (“Revised MP policies are recommended and medicinal plants conservation plans and institutional arrangement for their implementation formulated”), **2.13** (“Local institutions in the four pilot sites enabled and encouraged to put MP bylaws and regulations in place and implement them”) and **4.1.1** (“Activities, measures and capacity-building to strengthen local government and enforcement of policies for conservation and sustainable use of MP levels of the four pilot site”): Again, these outputs were reported as, overlapping. The project gained excellent results with regard to the revision/adoption of MP policies, by-laws, regulations and implementation arrangements at the kebele/woreda levels. This work was clearly completed to a level consistent with the level of MP development work at the pilot sites.
250. Here also, however, the ProDoc’s description of Output 2.1.2 differs from the activities undertaken. The former was focused on national level MP policies, which do not appear to have been addressed. It is not clear how and why national agencies would develop a policy focused only on MPs unless/until there was a national level issue (national/international market, ABS contracting, etc) that was a focus of sector, public and/or governmental concern. Hence, this appears to be another area in which the project’s choice to act only on the local level was appropriate because direct work at the federal level would have been premature.
251. **Output 1.3.3** (“Four alternative livelihood options studied and prepared, and implemented at the pilot sites by end of project”): With regard to sustainability, the project also reported on activities in support of an indicator, which has been translated into this output in the RTOC at Evaluation. In project reports (annual reports and PIRs), it appears that the PMU misunderstood the concept of “alternative livelihood options”, and reported its primary activities – including promoting gardens and encouraging market participation – as the development of “alternative livelihood options.” On this basis, it apparently did not call for, support or undertake the required study. However, based on statements in project operational documents, the need to address the “vulnerable groups” under Outcome 1.3, was reportedly discussed in at least some PSCCs. The only area in which any vulnerable group was identified that could be assisted by the project was “youth”. This discussion focused on the fact that some youth and other persons who only recently entered adulthood and are not yet sufficiently integrated into the labor force have sometimes engaged in the collection of forest products (primarily wood, but potentially other forest produce as well) as a means of obtaining money. While recognising this as a challenge, the PSCCs did not take or suggest actions or activities by which MPs could produce an alternative lifestyle for, or otherwise benefit, youth and help them to give up these unsustainable activities.

## MP Markets

252. As noted above, many of the project’s activities that were directed at MP conservation and sustainable use had clear relevance to the development of sustainable markets, while in

turn the prospect of enhanced markets that improve local livelihoods was an important incentive for conservation and MP management in the eyes of local stakeholders. Although the project was unable to achieve all of the identified project outputs related to MP markets and their development, it did achieve reasonable results in the area.

253. Some of the project's work on MP market development was quite effective, although it did not necessarily align with the ProDoc's specified outcome/outputs relating to the market development process. For example, although not a specifically listed output, the production of a Medicinal Plant Marketing Strategy – an essential prerequisite to market development – was one of project's most valuable contributions to the overall market-development outcome. As explained in that strategy, the first steps in the development of the local MP market were as follows:

- further understanding of local markets,
- development and enhancement of those markets,
- the building of TH capacity-building with regard to local markets, and
- analysis of whether and how these activities were effective.

254. The results of project efforts to develop local markets and attitudes were mostly effective, however, some efforts were less effective, possibly due to the fact that they predated the marketing strategy. Two examples of the latter are as follows:

- In Zegie,– the attempt to introduce an MP (Moringa) that was brought to the site from another area was not completely successful. While the project effectively raised the capacity of local THs and farmers to grow the plants, it did not properly assess and address consumer needs. When it was completed, the MP Marketing Strategy noted two relevant points: (i) the need to prepare the targeted consumers to receive the new product, and (ii) the fact that local/rural buyers generally prefer to buy fresh or dried plants, rather than powders or other processed products. Thus, when MP sellers attempted to sell Moringa, few were interested and those preferred plants over the powders, which meant that (contrary to what the sellers had been told) the powdered products ultimately sold for less per plant than the unprocessed plants.
- The project was also less-than-effective where it sought to increase local participation in regional and national markets. Even greater preparatory work is necessary at these levels prior to the introduction of MPs and MP products. Such market development involves many challenging steps, and it is not enough simply to transport MPs and sellers to market. The project helped several local sellers attend regional and national markets. Without market preparation, however, these visits were not major successes. While they produced some relatively low level of income, it was not clear whether it would have exceeded the costs of travel and accommodation, had those costs not been assumed by the project. Since termination of the project sellers did not report having returned to any broader-than-local markets.

255. Ultimately, these experiences may have provided the participants with “anti-lessons,” which may be difficult to overcome, when, pursuant to the Marketing Strategy, local MP producers are actually ready to work in regional, national and international markets

256. The following sections discuss specific MP-Market-related outputs as listed in the RTOC.

257. **Output 3.1.1** ("Small group trade associations established at local and federal level"): The project's work on the important task of establishing "small group trade associations" at the local level was extremely well received – another crowning achievement of the project. More than 12 THAs were established at woreda and kebele levels, and most of these have been formally registered. The THAs contacted by the evaluation team continue to be active and maintain their membership 30 months after project closure. This output produced a major contribution to achievement of project outcomes.
258. The Prodoc's description of the output also called for establishment of THAs at the national level; however, that aspect of this output seemed untimely. In general, interest in creating such associations at the national level usually grows from their proliferation at the grassroots level and the realization by these local groups that they could benefit even more by joining their efforts with those of THAs around the country. Such a realization would be likely if and to the extent that regional, national and international markets for MPs develop, and THs seek to maximize their ability to negotiate with commercial enterprises by joining forces at the regional or national level.
259. **Output 3.1.2** ("Local residents assisted to develop business and financial capacity at a level that brings in the private sector in place to produce MP-friendly products and services in the pilot sites"): The project did not complete this output which called for the delivery of "business and financial capacity" of Ethiopian businesses. The project design appears to have assumed that these capacity-building efforts would alone initiate the development of relationships between the pilot sites and the private sector developing MP-friendly products and services –would "bring in the private sector" and increase their interest in production of MP-friendly products and services, possibly creating new livelihood opportunities in the pilot sites without further inputs from the project. In connection with this output, the PMU developed some awareness of private sector actors interested the MP product development, which may be useful if a follow-on project should develop. It did not, apparently, undertake specific activities designed to build their local-level relationships with pilot-site communities.
260. **Output 3.1.3** ("Certification systems, processes, verification and monitoring compliance"): Although certification, verification and monitoring will be very important to the ultimate establishment of durable and robust MP markets above the local level, the development of such systems and processes is a highly detailed and difficult and very long process, involving many levels of institutional development and capacity-building, and is only appropriate where regional, national and international markets exist. The PMU decided at an early stage that the project could not to pursue this output. Unfortunately, however, in later years the project continued to report progress on this output in Annual Reports and PIRs. Those reports included some indications that the report drafter apparently misunderstood the output, and concluded that the project's work in helping local healers obtain the certificates needed to operate legally as healers constituted "certification."

### ABS Outputs

261. As noted in paras 209-214, most of the outputs listed that related to ABS were premature and could not be completed. The following comments relate to the project's ABS-related outputs.

262. **Output 2.1.1** (“Review of existing ABS regulations and recommendations for revision based on experiences of pilot studies and negotiations of the International Regime (post-COP 10)”): As originally stated, the “Review of ABS legislation” was to be “based on experiences of pilot studies” as well as addressing relevant elements added by the NP. The document that was prepared however, was a relatively standard “gap analysis,” making no attempt to tie in the experience of the project or indeed to discuss the particular and difficult challenges of ATK, which are the most relevant ABS issues in the project.
263. **Output 2.1.4** (“Administrative systems for handling ABS contract negotiations piloted at central government and at district and local community level”): This output called for the central government’s establishment of “administrative systems for handling ABS contract negotiations,” which were then to be “piloted at woreda and kebele levels.” It would have made little sense to pilot the existing system, which is on the verge of significant revision, or new systems that had not been provisionally completed, or to pilot a “model” system developed by consultants based on foreign experience or their own opinions. Any of these options, would be inadvisable (economically and otherwise). Thus, until the revised ABS legislation had been finalized, if not adopted, it appears unwise to attempt to “pilot” it. In this connection, however, the project did translate into local languages two ABS documents that will be of little use to local communities: the NP (a document that specifies the obligations of national governments to one another) and the soon-to-be-replaced 2008 Ethiopian ABS decree.
264. In this connection, it is noted that the project, in coordination with other international projects, presented some ABS workshops; however these were not apparently focused on MP products, but rather generic discussions of ABS legislation and/or contract negotiations. The work and situational factors necessary for this type of deliverable to contribute to achievement of project outcomes had not been completed by the time these activities were undertaken.

#### Other Output

265. Output 1.3.2 (“Adapting to climate change effects”): As discussed in parts 3.5, 3.6 and 5.7.3, no direct project activities were undertaken under this output, although progress was reported on it. The budget change discussions refused to delete reference to climate work. During the project interviews, questions regarding this work discerned that the project’s main contribution was to encourage local residents at pilot sites to participate in relevant activities by other projects and government units.

#### Rating for Delivery of Outputs

266. In general, the project performed excellently in delivering some outputs, while ignoring or giving minimal attention to others. The project is thus rated **moderately satisfactory** with regard to this component of effectiveness.

#### 5.4.2 Achievement of Direct Outcomes

267. As noted, 30 months passed between the closure of the project and the field visits of this evaluation. In addition, there was a lack of objective baseline data from the commencement of the project and also of specific data on the baseline-measured factors as of date the project closed. Hence, the evaluation team’s analysis of achievement of environmental goals and the relation of the current status to the results of project activities is even less clear than in most

evaluations of this type. That said, however, the field mission provided many indications the stakeholders of all types attributed to the project a number of positive environmental and related social changes in the pilot sites and communities. The following sections consider each of the seven project outcomes.

268. It must also be noted that the project produced other work, in addition to or beyond the specific outputs described in project documents. In considering how well the project contributed to the expected outcomes, the evaluation team considered the full body of project work, including both listed outputs and other activities.

Outcomes 1.1: "Threatened MP species are protected by the implementation of management measures, so that the species loss situation is improved within the pilot areas." and 1.2: "Measures in place at the site level help farmers with cultivation skills and physical capacity, ensuring that their use of MPs is sustainable"

269. Although distinguished in project design, Outcomes 1.1 and 1.2 were substantively similar or identical in implementation, given that the project appears never to have separately identified "threatened MP species." In addition, the outputs listed under these two outcomes are overlapping, and to some extent each is a separate step in the ordered process of developing and implementing management measures.

270. It appears that the project did not establish any distinction between "threatened MP species" (or sometimes "priority threatened MP species") and other MPs. Such identification is discussed in two outputs: (1.2.1 documentation of the "State of priority threatened MPs" in the four pilot sites; and 1.1.2 production of a "GIS-based spatial-population-density map of endemic and threatened MP species"). Only one of these (Output 1.2.1) was delivered to the extent of its having been addressed in the four post-graduate student papers commissioned by the project. In field interviews, however, it appeared that the information contained in these papers was not widely shared within the project pilot sites. Similarly, the project did not emphasize baseline information collection, having not delivered documentation of "[l]evels of 'from the wild' collection, on farm propagation and local market demand" (output 1.1.3). Each PSIU did, however, keep track the number of species that had been protected in the wild through the ex-situ conservation program (field genebanks, nurseries and community action) at that site:

- Zegie: 115 species
- Kure: 30 species
- BMNP: 312 species at the time of the project.<sup>43</sup>

In each site visited, this number constituted an increase over the number of MP species previously identified, as THs shared their knowledge of plants that would be usable medicinally, in the hope that the ex situ conservation of these species would improve their long-term chance of survival.

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<sup>43</sup> During the field visits, it was noted that the current total of species protected at BMNP was 275. During the project, the Goba (highland\_field gene bank had been planted with both highland and lowland species. However, the lowland species couldn't perform well in the cold highland weather, and many were lost. EBI has established a lowland field genebank in that area, at Dolo Mana, and is in the process of introducing all of the previous lowland species. Although not confirmed in the Field, the project reported that it had identified and protected 62 MP species at the Anbesa site.



271. The project's great successes under this outcome were its establishment of field genebanks and nurseries, as tools of ex-situ conservation and its local awareness-raising achievements, as well as the effect that these have had in the expansion of the presence of MPs in home gardens, schools and other locations; the introduction of MP species into farms; and a general improvement of the role of MPs in the project sites. With regard to the latter, local THs, farmers and community members continued to be guided in their behavior by the lessons they had learned regarding the manner in which such unsustainable activities affect species survival and local economies. Many THs, gardeners and farmers reported use of these facilities, and satisfaction with the results. In addition, THs reported that, as a result of the project, public opinion of THs and of the value of MPs had improved markedly. Local residents who had previously viewed MPs and THs as passé and no longer relevant began to see them in a different and more positive light. Although many farmers indicate that they have dropped MPs from their cultivation activities, during the years that have passed since the project ended, they noted that if the project's promised efforts to improve markets for MPs were restarted, they were interested in adding them again.
272. Other aspects of the path to achieving this outcome were less successful. Only three of the four project sites had, by the end of the project, adopted the "management plan for in-situ conservation of MPs" called for as output 1.1, which would seem to be a prerequisite for long-term continuation of these successes. One of those three sites (BMNP) already had such a plan when the project began. The Kure site's management plan has not been adopted, and some persons interviewed stated that it had not been prepared, while others said it had. Similarly, the project sites did not appear to have satisfactorily completed some of the project's primary/initial stocktaking activities (outputs 1.1.2, 1.1.3), nor did the project appear to have effectively utilized other information contained in the background studies (PhD research) of MP activities in each pilot area.
273. All of the outputs under these two outcomes became part of the MP components of the management plans for biodiversity conservation (output 1.1.1).
274. As noted above, most of the project design elements calling for national and international work under this outcome were premature.
275. Finally, relatively limited progress was made in the development of the kind of tools that are generally perceived to provide long-term benefit in this type of project – specifically, the "catalogue or compendium of propagation methods" and "guidelines for sustainable harvesting". As noted in para 243, the project appears to have merged these mandates with the call for "extension packages for conservation and sustainable use," (output 2.1.5), resulting in the production of four extension brochure, each addressing a single species, rather than the targeted 8; and a listing of 69 species and their respective production capacities and market statistics.
276. In sum, the project demonstrated excellent achievement of on-the-ground conservation efforts, despite its failure to produce management plans for some sites, failure to identify and map priority species, and production of only a very modest number of catalogue/guideline/extension documents.

### Outcome 1.3: "Using equitable approaches, new livelihood opportunities based on MPs are developed and implemented"

277. Although ostensibly addressing "livelihood opportunities," this outcome was apparently intended to address any challenges relating to gender equity and equitable treatment of vulnerable groups. As addressed in part 5.9.4, below, the project inquired into MP-related gender inequality (as did the evaluation team), finding none. As such it did not appear to undertake any activities directly addressing gender equity. With regard to other "vulnerable groups," as noted in para 251, discussions in PSCCs raised awareness and critical concerns about youth engaging in unsustainable harvesting of forest products, but no project action was taken to address them. Except to the extent that work towards the other outcomes was improved by the favorable situation of women in the communities and by the communities' level of concern regarding the situation of children and young adults, little of the project's work was directed toward this outcome, given the apparent lack of need for work to address gender inequality.

### Outcomes 2.1: "Policy, law and institutional frameworks (including ABS) relevant to MPs revised and strengthened" and 2.2: "Increasing markets for MP friendly products through the expansion of contract-based export trade, value-chains and national and international markets that will promote farmer uptake of MP management is a recognised objective of government frameworks on MPs"

278. The project's work on "enabling policy and institutional framework for in situ and ex situ conservation of MPs" included a range of actions at various levels of government, and once again, they are spread across two outcomes in a way that necessitates consideration of both together. The outputs addressed to MP policy and MP markets were included in these outcomes, but are discussed below under Outcomes to which they are more relevant.

279. With regard to MP policy and framework development, project made a major contribution to achieving this outcome at the local level in the pilot sites. The PSIUs and PMU worked intensively and closely with local governmental agencies and officials, with the result that their by-laws, regulations and policies, were developed and accepted and, as noted in paras 245-247, "sustainable use agreements" were negotiated. The project does not appear to have undertaken direct work toward a revision of the national MP-related policies.

280. In addition to (or in conjunction with) these MP elements, these two outcomes include the entire ABS aspect of the project, expressed in generalities that do not take the legal-development-through-implementation process into consideration. As noted in paras 211-214, the output that was focused on providing support to national ABS framework development was the only one that could usefully be undertaken at this point, in light of the fact that the country's ABS framework was still in the process of legislative revision.

281. Thus, the project could not make much headway on the ABS components of this outcome. It was, however, able to identify a number of situations and conditions at the site level (in particular individual healer secrecy) that may inhibit ABS implementation with regard to ATK associated with medicinal plants. In this connection, the project reported that it was able to begin to make some progress in addressing these situations/conditions primarily by emphasizing the importance of identification and ex situ conservation of all MPs, including those whose uses are held as secrets. These efforts, however, were not documented.

282. In support of Outcome 2.2 (under which no outputs were stated), the indicator of achievement was to be “the development of eight ABS contracts.” It is likely that the original project design relied on the assumption that, by completing output 3.1.2, such contracts would inevitably result. Given that output 3.1.2 was not delivered, the evaluation team cannot use it as a determinant of whether that assumption was valid, however, experience in other projects/countries suggests that it is not. As far as the evaluation team could determine, there is no indication that there have ever been any contracts, in place or under negotiation.

Outcome 3.1: “Local MP sellers and healers assisted to sustainably expand their markets, including through the establishment and/or expansion of value chains and creation of relationships with national and international markets”

283. In support of Outcome 3.1., the indicator was the establishment of “4 local value chains with clear links to national and international markets established by end of project.” There is no suggestion in reports or in field interviews of progress made with regard to the establishment of value chains and international markets. There is no documentation of activities undertaken to promote this outcome, nor of the factors underlying failure to even partially achieve it. As noted in paras 211-214, however, value chains would normally be completed in the later stages in implementing the project’s marketing strategy, so probably could not have been completed within the term of this project.

284. This outcome addresses, again very generally, the highly difficult and complex process of market development. It was not really reasonable to expect the project to undertake market development on such large a scale and at multiple levels within the time allowed, particularly since no market development strategy had been prepared in advance, and the strategy prepared by the project was not completed and circulated until August of 2015, leaving only 15 months of project time for its implementation.

285. In addition to the market development strategy, the project’s primary contributions to achievement of the market development outcome occurred at the local level in the pilot sites, through the establishment of THAs and building their members’ capacity to grow, harvest and process MPs, initial studies regarding local markets for MPs, and communication efforts that raised the image of THs and local attitudes about the value and use of MPs. These were important contributions to the achievement of outcome 3.1, and helped to prepare local THs and MP farmers and gardeners for the next step – entry into and enhancement of regional markets.

286. The project helped THAs develop store locations, encouraged the establishment of home gardens and took other measures intended to enable individual and collective participation in local (and other) markets.

287. As enunciated, however, the wording of this outcome focuses on higher-level activities (“build[ing] capacity through strengthening national and institutional frameworks for the wider application of ABS measures in Ethiopia and, in particular for the conservation and sustainable use of medicinal plants biodiversity”), including;

- the development of business relationships between rural MP producers and companies interested in developing MP products;
- the unification of local THAs through the establishment of federal-level THAs; and

- the development of tools for higher-lever market participation, such as value chains, primary processing capability, certification systems, verification processes and related monitoring arrangements.

As discussed in para 254, efforts to take such further steps, without consultation with marketing strategy and experts backfired slightly.

288. The project's inability to achieve these outputs, caused it to fall short of achievement of this outcome, despite the fact that it made valuable contributions.

#### Outcome 4.1: "Strengthened institutional frameworks proposed for a coordinated approach to on-the-ground implementation of plans and other measures for the conservation and sustainable use of MPs"

289. Although Outcome 4.1 was put forward as the only expected outcome under the 4<sup>th</sup> project "component" ("Capacity building for wider application of ABS measures"), the work under this outcome did not directly address ABS. Instead, it focused only on conservation, sustainable use and capacity with regard to MPs and MP agriculture. As such, they amount to a reiteration of Outcomes 1.1, 1.2 and 1.3, as described above.

#### Rating for Achievement of Direct Outcomes

290. As noted with regard to the delivery of outputs, the project achieved great successes in some areas, while giving little or no attention to others. Accordingly, its rating for achievement of direct outcomes is **moderately satisfactory**.

#### 5.4.3 Likelihood of impact

291. In undertaking the field mission nearly three years after project closure, the evaluation team had an excellent opportunity to verify the project's longer-term impacts, which have been strong and very positive, particularly with regard to the conservation and sustainable use of medicinal plants. In that connection, the field genebanks and nurseries are still in operation and seedlings are still in demand. Traditional healers and MP farmers have seen an improvement in their community status recognizing a clear mantle of leadership in MP conservation. Lessons learned by the communities appear to still be remembered and applied. Even the fact that one community expressed negative feelings about the project is an indicator of positive impact, since those feelings were all tied to the belief that the project should have been continued.

#### Objective, Intermediate States and Stepping Stones to Achievement

292. The project's contribution to achievement of its objective ("Improved in situ conservation of medicinal plants biodiversity secures biodiversity values, ensures food security and sustains human well-being") is expected to occur where the project contributes to the country's achievement of three "intermediate states":

- (a) Buoyed by the success of pilot measures, other medicinal-plant communities are encouraged to replicate them.

- (b) Increased revenue flows to local communities and businesses pursuant to ABS agreements.
- (c) Sustainable management and its impact on the conservation values of Ethiopia's rich medicinal plants biodiversity are recognized by the agricultural sector and considered in its planning and development processes.

293. These three states begin from the assumption that the work at the pilot sites will be successful, inspiring other communities and producing revenues for all of them. These successes are expected to provide an incentive throughout the country for sustainable MP management and integration of those principles into agricultural sectoral decision-making.

294. As noted in the RTOC, however, the interim states are not achieved automatically. Accordingly, the RTOC identified three "overall outcomes" are described as steps leading from the project outcomes to the achievement of the "intermediate states":

- Improved efficiency/stability of MP utilization and production;
- Reduction of illicit MP harvesting and improper, unpermitted, illicit or uncompensated use of genetic resources and/or traditional knowledge; and
- Expanded commercial supply of and demand for Ethiopian MPs.

295. The following discussion considers these three "overall outcomes," as they were observed by the evaluation team.

#### Improved Efficiency/stability of MP Utilization and Production

296. The evaluation team has come to the general conclusion that the project has had significant long-term impacts in the years since the project ended, and can be expected to continue to have such an impact. The activities which today have the clearest post-closure impact on the efficiency/stability of of MP utilization and production include:

- its direct ex situ conservation work, which both reduced wild harvesting and promoted the initial development of a stable production system;
- its well received and remembered capacity-building efforts at the local level in the four pilot areas, which successfully implanted key conservation and sustainable use principles in local stakeholders; and
- its (admittedly limited) support to the ongoing ABS framework development processes, which will eventually result in an increase of the financial incentive for MP conservation.

297. The evaluation team was able to confirm direct improvement of the MP utilization and management situation while in the field. In addition to direct perception of the field genebanks, the team received a number of reports of the project's success at reducing the need of local THs and others to engage in wild harvesting and their belief that the genebanks and nurseries will provide a system capable of fulfilling the increase in demand that they are hoping for.

298. There is evidence that the project may have had a catalytic effect within the country. In some areas, project partners and staff indicated that there has been interest from other local communities in obtaining benefits similar to those experienced in the pilot sites.

299. Perhaps more relevant, the GOE has undertaken other field genebank development projects in several areas, and is continuing (through EBI) its commitment to the project-developed field genebanks and nurseries in the pilot sites.

300. The evaluation team found that local stakeholders who participated in project awareness and capacity-building activities clearly remembered and continued to apply lessons they learned through those experiences, and community members who were assisted by the project to attend more intensive capacity development (training) indicated that they are continuing to share that information with others in their community.

#### Reduction of Illicit MP Harvesting and Improper, Unpermitted, Illicit or Uncompensated Use of Genetic Resources and/or Traditional Knowledge

301. Many sources confirmed that there was greater awareness and control of illicit forest harvesting, although underscoring the importance of further work in this area, particularly with the youth of the communities (see para 251).

302. The evaluation team believes that the project's successes in this connection should be attributed to the excellent attainments in very actively integrating and cooperating with both governmental and individual stakeholders at the project sites, and in collaborating with other projects on related topics. The role of the PSCCs and THAs in this connection cannot be understated.

303. As one example, BMNP recognized and emphasized the value of partnership between traditional healers and the park for joint conservation of the forest for mutual benefits (conservation of endemic wildlife and medicinal plants). Forest within BMNP serve as sources of medicinal plants for healers and seed for nurseries. Similar opportunities for mutual collaboration were observed between traditional healers and biodiversity conservation in the Monastery Forest of Zegie, and between Mago National Park and the Kure Field Genebank.

304. It is important to note that, although its forest conservation work was more indirect (operating to help coordinate with local stakeholders with forest protection, tree planting, etc. projects' activities) this was not a minor contribution. It not only activated local stakeholders on the direct in-situ conservation actions of other projects, but it also linked such conservation actions and their successes to the concept of MP management.

305. Overall, the long-term impact of the project's marketing-related outputs and outcomes will depend, to a great extent, on whether the GOE (possibly supported through a new project) is able to take the time and employ the experts necessary to assist the pilot communities in the implementation of the marketing strategy developed by the project.

#### Expanded Commercial Supply of and Demand for Ethiopian MPs

306. As noted above, the market goal of expansion of supply of and demand for Ethiopian MPs has been less supported, having only begun such work at the local level in the pilot sites. Thus, while it arguably contributed to this "overall outcome," it is not really possible to see measurable improvement at this point. Clearly, however, these initial steps in market capacity and development are of considerable value in promoting the interim states as identified in the RTOC.

307. The project's work at the pilot-site level in empowering and organizing THs and MP farmers appears to have provided a strong foundation for further efforts and a major basis for achievement of the interim state in which other communities are encouraged to replicate the project's successes. Indicators are found in the facts that, inter alia;

- THAs established during the project are apparently still active (supported by member dues) and utilizing equipment and facilities obtained with the help of the project; and
- THs have indicated that they have seen a resurgence of interest in and acceptance of traditional (MP-based) remedies, and new appreciation of THs as holders of ATK within the wider community and other stakeholders in the project areas and beyond.

308. With regard to its marketing outcomes, however, most hands-on marketing activities in the communities were premature, in that they were not closely linked to the MP market strategy developed by the project (see para 254). MP sellers indicated that market work returned to its previous status in many cases, although certain local contributions (market shades and some equipment) remain in use, and many farmers indicated that they would return to growing MPs if market issues were addressed.

309. Similarly, with regard to ABS, as noted in paras 211-214, most of the relevant activities and outputs could not be reasonably expected prior to the federal government's adoption of the revised national ABS legislation. As a result, there is less likelihood that the project's ABS outputs and outcomes will have a lasting effect, however, it was rumored during the field mission that Ethiopia has obtained another ABS project. If that project is sufficiently individualized to Ethiopia's needs, and makes the effort to obtain actual experience-based information from areas like the ABS CSUMP project pilot sites, it may be better able to improve the ABS situation in Ethiopia than the project has been.

### Assumptions and Drivers

310. The project design was relatively clear (but sometimes not explicit) regarding the assumptions that it makes with regard to the long-term benefits and impacts of the project, which have been concretely expressed as the "overall outcomes" and "intermediate states" in the RTOC. As restated in the RTOC, those assumptions are as follows:

- Given that all primary component areas (ecosystem management, market development and a supportive legal framework) are mutually supporting and needed, it is assumed that all three will continue at an adequate level.
- In extending beyond the pilot sites, the GOE will be willing to provide guidelines, training, awareness- and capacity-building tools, including or based on those provided in the project.

The field mission clearly indicated that the ecosystem management components are not only continuing, but expanding beyond the pilot sites. While the marketing work has been less extensive, interviews with THs indicate a clear interest in the market-development aspect of the project and a belief in and commitment to the idea that their marketing efforts will eventually be able to extend into broader markets. Local and national officials expressed strong commitments to supporting further developments in both areas with guidelines, training, awareness- and capacity-building tools, including or based on those provided in the project. Although limited interest in ABS was expressed at the pilot-site

level, it is clear that national level efforts at framework development and ABS implementation are ongoing.

311. As stated in the RTOC the drivers of progress from the project outcomes to the intermediate states and overall goal are as follows:

- The project-developed link between MP management and livelihood improvements encourages local growers/healers/etc. to recognize and support conservation activities, and government to promote markets and benefit sharing systems.
- The project's successes in the pilot sites encourage government and others to scale up the project's example.
- Access to market benefits is an incentive for local collectors, sellers and users of MPs to recognize and support conservation oriented ecosystem management.

The evaluation team saw clear evidence that the project had inculcated the linkage between MP management and livelihood improvements in the minds of stakeholders at the pilot sites, and that this awareness has prompted their continued support for the outcomes of the project. The team also was told about persons from other areas who heard about the project's work and sought to participate or inquired into the possibility that similar facilities (genebanks, nurseries and THAs) in their communities. Unfortunately, the project's progress in linking these ecosystem management benefits to a real change in the market, or to ABS implementation was relatively limited, so the evaluation team had no ability to assess the validity of the third driver.

312. The project's pilot-site ecosystem management work has progressed to a point where it can be funded and overseen by local entities, who can make further progress at the pilot sites without the need for unattainable levels of staff commitment or other investment. This is not the case with regard to the market-development and ABS aspects of the project's work. Clearly, full achievement of the project's outcomes (leading in turn to contribution to "overall outcomes," attainment of the "intermediate states" and realisation of the project objective) will depend on whether the country (possibly supported by another project) is able to follow through on the next steps in these outcome areas, for example:

- Implementation of the MP marketing strategy developed during the project;
- Final adoption of revised ABS laws, particularly with regard to traditional knowledge, as well as formal efforts for its implementation with reiterated and more focused local training on the relevance of ABS to MP production and marketing; and
- Efforts to solidify widespread multilevel policy support for the development of the MP markets, etc.

313. Although it had shortcomings as a guidance for this project, the initial ProDoc for the ABS CSUMP project provides an excellent discussion of how – in a long-term view – the conservation and sustainable use of medicinal plants and the development of markets for medicinal plants can be mutually reinforcing factors that can help improve local rural livelihoods while protecting ecosystems. It also correctly indicates that attention to international market and supply-chain development (including through the establishment of a functional ABS framework and its implementation) will be an important support to the achievement of these objectives.



## Rating for Likelihood of Impact

314. Accordingly, the evaluation team finds that on a balance the project is **likely** to have an impact.

### 5.4.4 Rating for Effectiveness

315. As explained above, the evaluation has identified some areas of major achievement and some of no achievement. Consequently, the evaluation team concludes that the project should be rated **Moderately Satisfactory** with regard to its effectiveness.

## 5.5 Financial Management

316. According to the guidelines, the evaluation team is instructed to rate the financial management of the project by addressing two dimensions:

- “the completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used”; and
- the “communication between financial and project management staff.”

The Evaluation Office of UNEP has provided a “financial management table” to help clarify these matters.

317. The evaluation team’s ability to review the financial element of the project has been inhibited by three primary factors:

- Owing to the length of time since the project ceased operations, the members of the project staff have gone on to other demanding tasks and no longer appear to have either the time nor access to project records to enable them to provide answers to requests for copies of officially agreed documents or other financial matters; and
- Financial issues have arisen between the PMU and UNEP regarding some of the closing records of the project, which remain open as of the date of this TE.<sup>44</sup> It is recommended that these matters should be finally resolved and the project closed as soon as possible.
- As discussed in more detail in paras. 324 and 370, *infra*, the project passed through the hands of three UNEP Task Managers, which may have significantly contributed to the inefficiencies of communication, financial record production and monitoring/oversight which are reflected in this evaluation.

318. The following paragraphs discuss the two sub-criteria of the Financial Management criterion. They are followed by the Financial Management Table (Table 7.)

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<sup>44</sup> The NPC noted in comments only that there are unresolved issues that need to be resolved. As binted in Table 7, *infra*, a UNEP commenter described those issues as follows: “The EA never submitted all annual reports despite our constant requests . For those submitted they never responded to the comments we raised.” With regard to this evaluation, it is noted that as a result of the lack of final closure, the evaluation team has been received few final financial records – only those that, although labelled “2016 Annual Report” (or similar) all were actually produced before project closure and as such properly reported only expenditures through June 2016 (6 months before project closure on 22 November 2016.) This is the last data provided to the evaluation team.

### 5.5.1 Completeness of Financial Information

319. Evaluation of the completeness of financial information has been hampered by several factors. Primary among these is the fact that all of the financial officers who served during the operation of the project have left their respective offices (UNEP, Ethiopian Ministries of Agriculture and Finance, and the project office). As a consequence, the evaluation team was only able to speak with one financial officer who had any personal memory of the project (the PMU's financial officer, who is now working for a different ministry and has no access to documents of the project.) The evaluation team received as much help as it could obtain from the current UNEP Task Manager who was given that assignment in the final months of the project, the UNEP fund manager who began working for UNEP after the project had closed, and persons in relevant government ministries who had no personal involvement with the project.
320. Financial documents provided to the evaluation team (apart from those provided directly by the current Fund Manager assigned to the project), were basically unlabeled, undated and unorganized. This has necessitated the commitment of days to the unprofitable task of reading all of those documents in case they included useful information. It has also occasioned a relatively high level of guesswork and estimation by the evaluation team regarding financial matters.
321. In addition it has contributed to the evaluation team's uncertainty that it has actually received all of the relevant documents, and interpreted them correctly. According to one report, as of 30 June 2016, the project had apparently spent \$1,879,990.77 from the GEF grant. Another undated document lists the total value of the GOE's in-kind contribution to 30 June as \$1,412,500.00. Producing a total spend of as of that date (5 months before project closure) of \$3,292,491.77, excluding the amount spent by the IFAD project on construction of the support facility at the Zegie field genebank. As noted in part 3.5, the evaluation team has not been able to obtain a figure from either the IFAD project manager or IFAD itself, and no budget breakdown is available on the IFAD website or on the GEF website. In addition, some project reporting implied that some of the work done by other projects or government units was found to have satisfied some outputs or activities in the project Log/Frame (so the project dropped these outputs/ activities). These other projects and units, too, are missing from the documentation. Beyond this, there is no project financial document that breaks any of these figures down across the GEF components (see Table 5) for comparison purposes.
322. There appear to have been numerous occasions in which the PMU, EA or IA had to contact one another about late or incomplete submissions or transfers. As of the field mission, some continuing disagreements over the correctness and completeness of project financial information had not yet been resolved.

### Rating for Completeness of Financial Information

323. As noted in table 4, financial documentation available to the evaluation team is incomplete and requests for further documentation have not produced final information or confirmation of agreement on particular matters. The evaluation team is aware that discussions on project financial reporting have not reached a satisfactory conclusion as yet. The number of documentation items that have not been made available to the evaluation is relatively substantial (estimated at more than 25%). Consequently, the rating with regard to the factor "completeness of financial information" is **moderately unsatisfactory**.

## 5.5.2 Communication between Financial and Project Management Staff

324. Interviews of project staff and at UNEP indicated that there had generally been a breakdown of communication between the PMU/EBI and UNEP. These challenges are reflected in the various delays and oversights that led to the major revision in the project's budget during its final months of operation (see parts 3.5 and 3.6, supra), as well as the numerous monitoring/reporting challenges discussed in part 5.7.3, below. To some extent, these difficulties can be attributed to the fact that the project passed through the hands of three UNEP Task Managers during its term, whose hand-offs may have affected the oversight of this project. As noted above, the current (third) UNEP Task Manager received the project after all funds had been paid out and only a month before it was to close and the current financial management officer responsible for the project joined UNEP after the project had been long closed. (Due to an oversight within UNEP, the second Task Manager, who managed the project during 2015 and early 2016, was not interviewed by the evaluation team.) Still, on the basis of numerous interviews and review of all of the documents provided, it appears that gaps in management and ineffective handovers to successor Task Managers may have been a contributor to the project's failure to produce a formally agreed revision of the framework of project outcomes and outputs, or some of the documents necessary for proper review and allocation of the budget revision,<sup>45</sup> and might also have been useful in focusing successor Task Managers on the inconsistencies in project reporting.
325. As to the latter, as noted in part 3.5, some communication difficulty apparently arose with regard to the project budget. Apparently, economic and meteorological factors combined to drastically change the project's cost for its planned construction of three facilities. In country interviews indicate that the PMU (and possibly the EA) were aware of these challenges within the first year of the project. Changes were not formally addressed or directly mentioned in any report until several months into the fourth year of the project, by which time the PMU had unilaterally decided to spend double the project's cash budget for construction on the then-partial completion of only one building (which was not one of the three designated in the ProDoc), and admitted that it was not expecting to receive any in-kind contribution from the GOE for the remaining two planned structures. The resulting budgetary adjustments affected nearly every other budget line for the project.
326. In addition, as discussed in part 5.7.3, project reporting documents were not transparent, and provided information that led UNEP staff to give grades of acceptable or higher to reported outputs and activities that this terminal evaluation determined had never been undertaken or promoted by any project efforts. As outlined in part 5.4.1, a number of project activities were not completed, and several were collapsed so that the same deliverable was reported as the completion of multiple project outputs.
327. In many cases, as discussed in part 3.5, the project's decision not to complete an output was forced not by operational problems, but by design – outputs depended on the prior completion of other outputs or the occurrence of expected external conditions, but the ProDoc did not emphasise (or in some cases mention) those pre-requisites. The communication challenge arose because project reporting (annual reports, PIR and MTR) throughout the project stated that the dropped outputs were partly or completely finished. As a consequence,

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<sup>45</sup> One of the Task Managers reported having shared all the files for the project with the Evaluation Office, but noted that UNEP's change in email system didn't allow sharing all email exchanges with the Project team.

even in the April 2016 discussions of budget revisions, project components were retained even though they had not yet been commenced and it was unlikely that they could be completed in the closing months of the project.

328. Some of these reports that an output or activity was “partially complete” (e.g., regarding ABS contract negotiations and business meetings) appear to have been entirely untrue. As to others, the project reports noted conditions or actions within the country on which no project funding or attention had been spent, identifying these as the project’s progress. While these conditions/actions existed, they did not address the specific MP issues described in the ProDoc and were not reported or confirmed in any way.

329. Another communication problem, also resulting from project design flaws, related to project indicators and reporting. The evaluation team has noted that in many cases indicators identified in the ProDoc were inappropriate, and ProDoc descriptions of particular products or activities were not accurate descriptions of the type of product/activity needed to contribute to project outcomes. In these cases, without any apparent agreement from UNEP, the PMU apparently chose its own targets and indicators at the time of reporting.

330. In addition, the project’s implementation activities did not appear to have been limited to the scope of the ProDoc. For example, as noted in para 442, the project’s work on gene-bank development appears to have supported work at facilities that were far outside of the geographical range of the listed pilot sites. In so doing, the project was clearly addressing issues to which the GOE had expressed clear commitment and support and they were generally relevant to achievement of the project’s overall objective, but were ultra vires with regard to the project. The challenge of the excessive scope was not so much the fact that the project undertook these other works, but its lack of communication with UNEP regarding them.

331. All of these are instances of serious miscommunication among the PMU, EA and IA. In evaluating a difficult project, three years after its closure, it has not been possible to obtain clear information concerning the factors driving the communication challenges of the project. The PMU appears to have avoided the need for budgetary discussions for several years, during which most Implementing Agency oversight appears to have occurred remotely.

332. More seriously, the collaboration necessary between the PMU, EA and IA appears not to have been a priority for any of the three from the outset, given that the ProDoc and Log/Frame were, at best, unclear. Those documents could have been clarified at the commencement of the process, creating both a suitable roadmap to project completion and a positive collaborative relationship among the three bodies.

#### Rating for Communication between Financial and Project Management Staff

333. Although the reporting entity (PMU and/or EA) was apparently very faithful in submitting records, it was apparently not particularly forthcoming in informing UNEP of the numerous unilateral decisions made regarding, for example, vastly exceeding the budgeted expenditure for construction and decisions to drop other activities. It also did not attempt to initiate discussions with UNEP regarding these matters.

334. Similarly, UNEP appears to have been somewhat slow in noticing and initiating discussions regarding these changes, which were not fully agreed until a few months before the project closed.
335. Records of these changes are incomplete and cannot be finally verified on the basis of the documentation provided to the evaluation team; however, based on the hundreds of documents reviewed and numerous interviews conducted, it is clear that communications between the Project Management and the financial staff was limited primarily to inquiries relating to late payments and/or late or incomplete documentation to support payment requests. As noted in table 4, the rating with regard to the factor “communication between financial and project management staff” is **moderately unsatisfactory**.

### 5.5.3 Rating for Financial Management

336. Records of financial decisions and expenditures, and all records relating to communication between financial staff and project management suggest that the financial management criterion was not a successful aspect of project performance.
337. As noted in Table 7 and throughout this report, a great many financial records have not been made available to the evaluation team and may not have been documented. Requests for these records have not been answered or have produced copies of non-final documents previously provided. The evaluation team recognises that, owing to the passage of time since the completion of the project, every records request has necessitated a dive into archived records, which no one except the UNEP FMO (who was not with UNEP at any time during the project) was willing to make. In addition, although we believe that we have opened and read all of them, the evaluation team cannot be entirely certain that particular financial points are not addressed somewhere within the enormous volume of undated, unlabeled and often untitled electronic documents provided to the team; however, we have search them as completely as we can and have not found the material mentioned in the table or in this report.
338. Table 7 also notes the communication challenges discerned by the evaluation team, which indicate that the serious difficulties identified in this report might have been eliminated or mitigated if the UNEP paradigm for communication on both sides had included closer scrutiny of inaccuracies in reporting or closer follow-up on information requests that had been ignored.

**TABLE 7. FINANCIAL MANAGEMENT TABLE**

<b>NON-GEF AND GEF PROJECTS</b>		
<b>Financial management components:</b>	<b>Rating</b>	<b>Evidence/ Comments</b>
<b>1. Completeness of project financial information:</b>	MU	
Provision of key documents to the evaluator (based on the responses to A-G below)	MU	
A. Co-financing and Project Cost's tables at design (by budget lines)	HS	
B. Revisions to the budget	MS	Evaluation team obtained a copy of 2016-approved budget revision, however it was not reconciled with GEF components.
C. All relevant project legal agreements (e.g. SSFA, PCA, ICA)	HS	
D. Proof of fund transfers	HS	Excellent and swift cooperation from the current UNEP FMO assigned to this TE
E. Proof of co-financing (cash and in-kind)	HU	No such document found among the random provision of spreadsheets and other financial information received.
F. A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	U	Annual audit reports listed annual expenses and budgets were provided, no overall summary.
G. Copies of any completed audits and management responses (where applicable)	MS	Annual audits provided, however, the "final audit" is apparently still under discussion As noted by UNEP, "The EA never submitted all annual reports despite our constant requests . For those submitted they never responded to the comments we raised."
H. Any other financial information that was required for this project (list): <ul style="list-style-type: none"> <li>• Final expenditure information</li> <li>• Final Revised Budget Reconciled to GEF components</li> <li>• Final Audit</li> </ul>	HU	The last expenditure information the evaluation has obtained financial reports that addressed first and second quarters of 2016. The evaluation has found some documents that look like budget revision documents, but they do not match the revision that is used in the second quarter 2016 report. The evaluation has not found anything that clearly identifies the final agreed budget revision.
Any gaps in terms of financial information that could be indicative of shortcomings in the project's compliance <sup>46</sup> with the UNEP or donor rules	HU	The project's final budget and final expenditure statements through November 2016 have not been provided.
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process	MS	
<b>2. Communication between finance and project management staff</b>	MU	
Project Manager and/or Task Manager's level of awareness of the project's financial status.	MU	

<sup>46</sup> Compliance with financial systems is not assessed specifically in the evaluation. Nevertheless, if the evaluation identifies gaps in the financial data, or raises other concerns of a compliance nature, a recommendation should be given to cover the topic in an upcoming audit, or similar financial oversight exercise.

Fund Management Officer's knowledge of project progress/status when disbursements are done.	MU	
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.	MU	
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		No information
<b>Overall rating</b>	MU	

339. Accordingly, the project appears to warrant a rating of **Moderately Unsatisfactory**, with regard to this criterion.

## 5.6 Efficiency

340. The project faced many challenges with regard to the components of the efficiency evaluation ("maximizing results from available resources"): delays, extensions and time-saving measures; effective use of pre-existing human and institutional resources; and environmental efficiency.

### 5.6.1 Delays and Extensions

341. In the first months/year of the project, the PMU reported difficulty in finding and retaining project staff members, noting for example that the salaries were low. In the Kure sites, the field interviewees stated that the project was only in operation for two years from their perspectives, although the project reported establishment of the PSIU on schedule. This was the pilot site at which no MP management plan was adopted, and these two facts may have been related. Project staff did not explain why the project was foreshortened at this site, and project reports indicate that each of the four pilot site offices were operational for nearly four years.

342. According to project staff, other delays were caused by "delayed fund transfers." A review of relevant documents indicates that, as expected, fund officers at UNEP needed to confirm particular points before authorizing the transfer. In addition, the NPC noted that all submissions of requests for payment had to be approved by appropriate officers in relevant Ethiopian ministries and agencies, before sending. This may have been required with respect to responses to UNEP Fund Management Officer (FMO) questions, making the funding request processes longer and less predictable than the NPC expected.

343. The most serious delays, however, were intentional holds placed on further transfers, when UNEP decided that it was necessary to get answers to questions regarding the fact that the project was reporting higher-than-budgeted expenditures. This occurred quite late in the project (late 2015 and early 2016), although the reasons for the overspend were present on the first day of project operations and known, at latest, by the end of that year. The reasons for the overspend are detailed in Part 3.5 of this report. Essentially, between the submission of the project proposal and the commencement of construction of the first of three facilities that were intended to house support to the field genebanks, significant financial changes (unexpectedly high inflation) had occurred, caused at least in part by drought conditions in some parts of the country. The money spent on the only facility to be built by the project (which was not among

the three mentioned in the ProDoc) was more than twice the entire budget for all construction (in part because the in-kind services that the GOE had expected to contribute were not available – having been diverted to drought relief activities).

344. Rather than commence budget-revision discussions, however, the PMU instead went into a funding conservation mode, deciding to curtail certain other outputs because they were too expensive, and reducing some project activities, in some cases by relying on studies or other actions by other projects or units, instead of undertaking more specific studies, etc. listed in the project documents.

345. By late 2015, these measures had been noticed and flagged by UNEP. The Task Manager and FMO appear to have held back funds in order to force the commencement of discussions leading to the general agreement described in Part 3.5, and culminating in a budget revision that affected nearly every budget line – changing nearly all by more than 10%. Fund transfers were recommenced during this process.

346. The project received one no-cost extension, extending the date of project closure from May 2016 to November 2016. This extension was recommended by the MTR, but was also reported in the final report, which was circulated in April 2016, but which noted a relatively long list of incomplete (some un-commenced) outputs, with only a few months left in the project schedule.

347. As originally approved, the project was supposed to commence in June 2012, but in fact that commencement was delayed until November 2012. Hence this extension merely gave the project the full measure of time originally planned.

## 5.6.2 Effective Use of Pre-existing Resources

348. The project made extensive use of other resources. This was partly built into the project design, as previous work of a World Bank project in the BMNP was used as a foundation for the project's work in that site (see paras 63 and 215).

349. Another notable example of the project's use of other resources was its decision (discussed in part 3.5) to contact the IFAD project to undertake the facility construction at the Zegie pilot site.

350. In addition, as funds grew tight, the PMU and PSIUs apparently identified work being undertaken by other projects or agencies, which were generally in the realm of endeavour targeted by particular outputs, and viewed those works as having satisfied the output. Primary examples of this were government and other-project work on forest conservation and climate issues (e.g. REDD+); the Ministry of Agriculture's work in setting up initial regional and national market events, to which the project sent participants; and work by unstated groups generally studying the role of women in the context of biodiversity. As a result, some of the project's objectives were not met, where the other-agency/other-project work was undertaken as a means of achieving a different outcome.

351. For example, project reporting noted some other studies of gender issues in the pilot areas in connection with output 1.3.1, and as a consequence no study was undertaken considering the role of women in the MP sector. In its consideration of gender issues, the MTR



prepared information on the raw numbers of women who attended project capacity-building events.

### 5.6.3 Environmental Efficiency

352. The project's primary measure for environmental efficiency was its decentralized management – each pilot site was managed by a PSIU located in the pilot site area.

353. In addition, the previous World Bank project's experience provided further elements of efficiency. The ABS CSUMP project learned lessons from that project, particularly the need for establishing a separate low altitude field genebank for lowland MP species. During the implementation of the World Bank project, both low-altitude and high-altitude MPs were collected in the same high-altitude field genbank located in Goba town (more than 3000 meters above sea level). This high-altitude was not favourable for lowland species; as a result, lowland specimens were stunted by the cold, failed to adapt to the low-temperature environment and were eventually lost. The ABS CSUMP project established a lowland field genebank in Dolo Mena for lowland MP species and avoided unnecessary costs of attempts to preserve lowland species in high altitudes.

### 5.6.4 Rating for Efficiency

354. While the external changes which caused the increase in construction costs were not in any way controllable by the project, the delays in project operation were in fact caused by a combination of failure to report those changes and seek budgetary revision at a more apt time, and lack of direct oversight by the implementing agency, which, as noted above in parts 3.5, 5.5.2 and 5.6.1, did not begin budget-revision discussions until the project was nearly over. Review of the PIRs and other quarterly and annual reports from the project suggest that as early as 2013 there were indicators of a need for direct (perhaps face-to-face) discussions regarding the budget, not only for construction, but also for a range of outputs mentioned in the reports as having been dropped because they were too costly.

355. In this connection, it seems important to reiterate that the Shashemene facility was not among the construction works described in the project documents and in discussions with stakeholders. As mentioned above, stakeholders specifically mentioned their dissatisfaction with regard to cancelation of construction works in Anbessa and Kure sites, and the fact that they did not receive any information in justification of this change. No document provided to the evaluation team provides such a justification or formal approval of this change.

356. Accordingly, the project's rating for efficiency is **Moderately Unsatisfactory**.

## 5.7 Monitoring, Evaluation and Reporting

### 5.7.1 Monitoring Design and Budgeting

357. The project's only apparent monitoring plan was the paragraphs in the ProDoc containing this heading. It seems apparent that these paragraphs were never read by anyone, as they still bracketed phrases asking the developer to insert project-specific language in the template. As discussed in paras 190-192, the project design used indicators inappropriately. Many of its

components, outcomes and outputs were ambiguously phrased, and targets and indicators, (whether specified or implied by the phrasing of the output) were often unSMART.

358. Reports from the project suggest that the PMU generally ignored the actual wording of outcomes, outputs, indicators and targets, choosing its own metrics on which to report on activities undertaken. Thus, for example, the project reported on the number of seedlings produced in the nurseries field genebanks and the number of households receiving seedlings from the nurseries, without addressing the target (the number of “new home gardens” established).<sup>47</sup> They provided other information in raw statistical form as well, without providing support for these statistics or information on how they were collected.

359. There is no indication that the decisions to re-shape outputs and to reconfigure or ignore indicators and targets were ever discussed with UNEP or the GEF. Instead, in the early months of the project, there appears to have been, at most, very limited coordination between the PMU and UNEP Task Manager. As far as the evaluation team has been able to discover, most of the contact between the PMU and UNEP focused around a delay in providing the project the specifics details of how it would be expected to keep its financial records. It does not appear that there was ever any discussion in which the implementing and executing agencies’ personnel made any effort to confirm a shared understanding of the components, outcomes, outputs, indicators and targets.

360. Although the terms of reference call for specific consideration of the budgeting related to monitoring, the evaluation team has not obtained specific information regarding the monitoring budget, apart from the following:

- The project hired a consultant to perform the MTR;
- The project paid an auditor who submitted at least six separate reports, which have been provided to the team; and
- The project budget included specific allocations US \$26,960 (apparently revised to \$21,394) for “reporting and dissemination” and \$9,000 (apparently revised to \$8,666) for “audit.” The “evaluation” budget line is blank in both the original and revised versions of the budget regarding funds transferred to the project; however, there is a budget of US\$45,000 for the MTE, listed under “UNEP Participation (M&E)”.

### Rating for Monitoring Design and Budgeting

361. The design problems that raise uncertainties regarding the content and achievement of specific outcomes, outputs, activities, targets and indicators, coupled with the suggestion that no one participating in project development (at least) actually read the monitoring plan included in the ProDoc, join other factors discerned in this evaluation to indicate that monitoring design and budgeting were not well done.

362. At the same time, the project clearly complied with the two specific requirements set out in the other parts of the ProDoc and budget.

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<sup>47</sup> The evaluation team has no particular complaint about this revision of the indicator, except that it appears to have been unilaterally chosen by the PMU and there is no written indication that UN Environment was consulted or formally agreed.

363. Accordingly, the project is rated **moderately unsatisfactory** with regard to the sub-criterion “monitoring design and budgeting.”

### 5.7.2 Monitoring of Project Implementation

364. Apart from the MTR and various annual and internal reports, discussed below, no project monitoring information was provided to the evaluation team, and no internal plan for the collection of data was shared with the team. It appears that on-site monitoring of the project was entirely by project staff and the project-hired consultant who prepared the MTR. In 2015, the second UNEP Task Manager attended the PSC meeting, but noted that he was “advised to visit Bahir Dar only because of security concerns in the region where other pilots were.”

365. Between November 2015 and April 2016, a consultant engaged by the project undertook a formal MTR of the project, producing a detailed report that culminated in a range of recommendations, including a call for a no-cost extension and the designation of particular “priority activities” -- activities that were behind schedule for completion, which should be prioritized during the remaining 3 (extended to 8) months of the project. That list included the following:

- i. completion of the sustainable use agreements of medicinal plants;
- ii. preparation of one “catalogue of propagation and cultivation methods of selected medicinal plants, [including] guidelines for priority species harvesting [and] a list for incentive measures”;
- iii. “Preparation and implementation of tools for mapping the roles of women and other different groups in the pilot areas ... for three pilot sites; Anbesa, BMNP and Kure” (the MTR consultant indicated that there was some documentation on this topic at the Zegie pilot site);
- iv. “Publication and dissemination of the translated ABS law and regulation in Afan Oromo & Tigrigna and of the Afan Oromo and Tigrigna versions of the Nagoya Protocol”;
- v. “Development & implementation of 1 document on ABS models for different ecosystems in the 4 pilot sites”;
- vi. “Development & implementation of two study documents: one on how to involve communities in decision making & sharing of benefits; and the other one on best practices of ABS across the world”;
- vii. “Eight ABS agreements covering 8 different medicinal plant species at four pilot sites”;
- viii. “Continued sensitisation and awareness raising at the local level about the community bylaws”;
- ix. “Awareness raising and sensitization of the new parliament on ABS and the medicinal plants policy as well as lobbying at the government level and of parliament for the adoption of the medicinal plants policy and initiation of debates towards adoption of medicinal plants law and revision of ABS regime”;
- x. “Licensing of the remaining three medicinal plants cooperatives two in Kure and one in Anbesa” (as noted above, more than 12 THAs had been established with support

from the project, however, these three have not yet been formally licensed by relevant local authorities);

- xi. "Facilitation of access to credits by cooperatives to be completed in Anbesa site" (This refers to work to be undertaken with local banks and credit institutions. Although many had been expecting it, none of the local participants who participated in field interviews had experienced "access to credit" or knew of others who had); and
- xii. "Linking medicinal plants cooperatives with the markets and the private sector."

366. Of this list, the project appears to have addressed items iv and viii during the remaining months of its operation. In such a short period with limited funds and the need to complete project closure, however, it is not surprising that items such as market linkage, ABS modeling and contract negotiations (activities that may require years to complete) could not be completed within this time-frame.

367. Apart from the MTR, which was a specific activity listed in the original project documents, there is some indication that the PMU misunderstood its monitoring obligation. The project often reported its "monitoring" activities by pointing to REDD+ programmes (carried out by other project(s) at some of the project sites) that trained local residents to monitor and certify the conservation status of local forests. (This was also sometimes reported in connection with the "certification" output.<sup>48</sup>)

### Rating for Monitoring of Project Implementation

368. The in-country project team appears to have misunderstood the ProDoc's monitoring requirement, and its only monitoring activities involved the hiring of a consultant to prepare the MTR and the reception and distribution of the MTR itself. Although this report was prepared far later than mid-term, it identified specific actions to improve the project's remaining performance. The project accepted, but did not address, all of the MTR's suggestions.

369. Accordingly, the project is rated **moderately unsatisfactory** with regard to the sub-criterion "monitoring of project implementation."

### 5.7.3 Project Reporting

370. The project regularly provided quarterly reports, "Annual Reports," and PIRs, as well as at least one document titled a "Terminal Report."<sup>49</sup> In many instances, however, these reports are incomplete, sometimes inconsistent and those inconsistencies were not apparently questioned by the Task Manager reviewing them, or if questioned, no response to those questions was received and filed. Much of the information contained in the PIRs and other reports was directly contradicted or not confirmed by information gathered by the evaluation team. As noted in para 324 above, the handoffs between the project's three successive Task Managers may have contributed to the disorganized and incomplete record of these reports and to the lack of a

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<sup>48</sup> The project early on reported contacting Rainforest Alliance, but deciding not to pursue the certification output, due to costs. Later reports mentioned formal licensing (governmental recognition) of the THAs as certification activities, and/or discussed REDD+ forest monitoring training conducted by another project in this context.

<sup>49</sup> The Terminal Report provided to the evaluation team was an unsigned undated and partially incomplete form. The evaluation team does not know whether it was submitted, and if so, whether it was supplemented by a later report.

systematic analysis of their shortcomings at the time of their submission. It is clear from review of the Task-Manager checklists in PIR reports that project reports were not closely scrutinized to ensure that they addressed the issues of concern that had been noted in earlier reports.

371. Except where specified otherwise, the following discussion focuses on PIRs.
372. There were apparently some timing difficulties regarding the submission of quarterly reports and inquiries into the reason for expenditures in excess of the budgeted amounts, which, when finally resolved led to the general overhaul of the project budget in mid-2016, as discussed in parts 3.5, 5.5.2 and 5.6.1.
373. In terms of content, the evaluation team spent a significant amount of time reviewing and comparing the PIRs and examining them in terms of their coherence with the information provided to the evaluation team during and since the field mission. Thus, for example, in reporting progress on particular outcomes and activities, the PIRs did not limit themselves to describing project activities, but also included activities undertaken by other projects and other government agencies, about which the project had been aware. These statements were not clear about the fact that some other project or government body undertook the work and/or whether the project participated in any way. The evaluation team recognises that some part of these activities may have been included within the GOE's in-kind cofinancing of the project. As noted in part 5.5.1, the evaluation team has not received any final enumeration of those in-kind contributions.
374. The PIRs mentioned that studies had been prepared (for example "capacities of the existing associations were assessed and reports compiled for the four pilot sites"), where the studies themselves were not provided to the evaluation team and no person interviewed from the PSIUs recalled them. The evaluation team recognises that to some extent, this lack of confirmation may be a function of the delay in evaluation, however, the extent of it suggests that at least some of it represents actual reporting inaccuracies.
375. In addition, the PIRs reported several major activities which the evaluation team was unable to confirm, and as to which project stakeholders expressed major dissatisfaction arising from non-performance of those activities. For example, the 2016 PIR reported "Credit facilitation undertaken at 4 pilot sites through mobilization of initial capital and legal certification...." Although the evaluation team sought information on this work, the only information obtained was that no such work had been completed.
376. There were many of these cases, as to which the project reports were unspecific, not only about what was being done, but also about who was doing it. As noted above, the project cooperated with other projects working in the areas of REDD+, regional/national market event production, ABS, gender issues, and possibly others. Field interviews discerned that in some cases this collaboration involved a limited form of pro-active contribution by the project, particularly mobilizing local residents who were working with the ABS CSUMP project to participate in activities of these other projects. In other instances, this "coordination" appears to have been limited to determining that another project would be undertaking generally related work, and concluding that this would satisfy the relevant project outcome or output. This determination and decision regarding project activities is not mentioned directly. The reports simply state that "The [particular activity or condition] was done." None of the projects

collaborating with the ABS CSUMP project, including the IFAD project, were directly named or mentioned in any project report. Nor were the decisions to drop project activities and outputs agreed with UNEP in any formal writing or other confirmation.

377. As noted in part 3.5 and 3.6, cost-cutting measures apparently included decisions not to undertake particular outputs, due to high cost. In some of these instances that decision was reported, although not always consistently. For example one report stated that the output on certification had been dropped, however, later reports indicated that the certification work was continuing and estimated its percentage completion. In reviewing the project's work, it is now clear that early statements about what had been dropped were more correct, and later reports seem to have been an attempt by the persons preparing the report to find something to report under every item, without careful review of what had been reported previously.
378. As noted in paras 190-192, the targets and indicators set out in the ProDoc and Log/Frame were not well designed. As a result, the project appears to have rewritten indicators for itself at the time of reporting. For example, the project reported on the number of homes that received seedlings from the genebanks (above 3,000), the number of seedlings produced annually (varying over the years between 267,000/year and 700,000/year), and the number of participants in project capacity-building activities (reporting that "A total 794 farmers and 114 traditional healers were trained on the benefit of integration of medicinal plant production into farming system"). However, the sources of this data were not available to the evaluation team either in reports nor in field interviews and the manner of its collection was not explained. In general, due to the passage of time, it was not possible to confirm the reported statistics or identify their sources.
379. In addition, as mentioned in part 5.9.5, the evaluation team found out that the project provided direct services to genebanks that were not listed in the project document and not located in the pilot sites. It is not clear whether the total reported number of seedlings produced includes nurseries at these other genebanks or only the four specified in the project documents.
380. Another example involves PIR reporting concerning the target of an "Administrative system for handling ABS contract negotiations strengthened at central government, and piloted at district (woreda) and local community level."<sup>50</sup> The targets for this indicator were "Four pilot initiatives for contract-based export trade in medicinal plants established with ABS agreements in place at mid-term and another 4 at the end of the project." As reported in the 2016 PIR, progress was as follows: "Negotiation ongoing with one company for six medicinal plants and it's on the process of finalization." In the 2015 PIR, progress was listed as follows: "TOR prepared and bid is announced to hire a qualified consultant for the preparation of the 1<sup>st</sup> document i.e how to involve communities in the making of decisions concerning the use of medicinal plants genetic resources and community knowledge and sharing of benefits derived from utilization thereof." A later reference to the same target stated that the negotiation of an ABS contract was "[i]nitiating for *Moringa stenopetala*." This PIR reported that its work on this activity was 25% complete. The 2013 and 2014 PIRs reported this action as "not yet done", but also stated that "Negotiations with three institutions initiated." During the field visits, the

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<sup>50</sup> This indicator and target was reported under "Outcome 1.2: Enabling policy and institutional framework for in situ and ex situ conservation of medicinal plants biodiversity."

evaluation team was told that there had not been any ABS contract negotiations during the project term, within or outside the project.

381. The 2015 PIR also stated with regard to the output “Development of 1 review report on the existing ABS legal framework and modifications required prepared, & another document on ABS models for different ecosystems in the 4 pilot sites”, the 2015 PIR cited that work as 100% completed. The only document provided to the evaluation team was the “gap analysis” that compared Ethiopia’s national ABS legislation to the Nagoya Protocol, and interviewees agree that the second document was never prepared.

382. The attempt to track the various progress statements in the four PIRs and four annual reports of the project discerned a great many other unclear attributions of the work of others, as discussed in paras 374-377, and many other inconsistencies of the type described in para 380. For example, activities reported as between 25% and 80% complete were discovered not to have been completed and the team received no documentation showing or explaining any partial work on them.

383. In February 2020, as this report is being finalised, the evaluation team has been asked state “whether the GEF Tracking Tool for the relevant focal area was completed.” The team has not received any such document, to our knowledge. Following the request, we ran a search of all documents we received, looking for the words “tracking tool” and finding them only in the comment requesting the information. We also researched the GEF Tracking Tools, finding that most of them were adopted after the submission of the Ethiopia ABS CSUMP ProDoc. We agree that the appropriate use of such tool would have been of value to the project, however, it was apparently neither required nor voluntarily undertaken.

#### Rating for Project Reporting

384. Recognising that the purpose of project reporting is to give a clear idea of how the implementation of the project is currently faring, the evaluation team has identified a number of factors that interfered with achievement of this purpose.

385. In light of the relatively limited attention given to these reports, which were patently unclear on key points and in need of clarification, it seems likely that appropriate training in and help with PIR preparation and other areas of cooperative assistance might have avoided some of these challenges and helped to make it clear that disclosure of current challenges in the PIR could result in help addressing those challenges, building a relationship that might have avoided the later budget non-disclosure problem (see parts 3.5, 3.6, and 5.5.2).

386. The rating with regard to the sub-criterion “project reporting” is **moderately unsatisfactory**.

#### 5.7.4 Rating for Monitoring and Reporting

387. The project implementing and executing units did not appear to place a priority on this element of project implementation. Reporting and other record keeping were neither careful, well documented nor carefully scrutinized. Applying the UNEP criteria weighting tool, however the rating for this criterion is **Moderately Unsatisfactory**.

## 5.8 Sustainability

388. The evaluation of project sustainability focuses on three aspects: socio-political sustainability; financial sustainability and institutional sustainability, and considers “the probability of direct outcomes being maintained and developed after the close of the intervention.”
389. The delay of 32 months after the close of the project to field a terminal evaluation mission enabled the Evaluation Team to gain first-hand knowledge of the continuity and durability of the project’s outputs – an area in which the project has shown excellent results – and their results in promoting the sustainability of project outcomes.
390. Given the nature of the activities undertaken by the project, the question of “sustainability” overlaps closely with this report’s earlier discussion of “Likelihood of Impact.” The following paragraphs should be read in conjunction with the discussion of that subcriterion.

### 5.8.1 Socio-political Sustainability

391. The project’s socio-political sustainability is relatively strong, particularly with regard to its primary focus on conservation and sustainable use of medicinal plants.
392. As noted in the TORs of this TE, “The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained”
393. Interviews in the pilot sites indicate continuing local ongoing awareness of these objectives and their ownership, interest and commitment to those outcomes, as well as governmental and stakeholder ownership, interest and commitment to continued support of the mechanisms the project put in place or supported (conservation measures, delineation and mapping of in-situ conservation areas, field genebanks, nurseries and support to cultivation of MPs in home gardens and on farms) as well as political and social support for and the objectives of MP conservation and sustainability. Local participants remained very clear on the project’s message and very confident of their improved capacity, when interviewed three years after project closure.
394. In this connection, there is significant externally verifiable evidence of continued governmental support in the maintenance of the project’s outputs as the physical means by which its outcomes are sustained, including the fact that all of the genebanks and nurseries established by the project continue in operation, maintained and overseen by appropriate local agencies, many of which are bound by the sustainable use agreements described in paras 245-247, to do so in coordination with local residents, THs and THAs.
395. The project’s contributions to MP marketing have proven less durable. Many farmers and others participated in local markets and attended the regional and national events produced by the Ministry of Trade with encouragement of the project. Many of those who were interviewed during the field mission indicated that, after the project ended, they scaled back their participation in MP trade, although they retain their membership in the TH Associations. They



also noted, however, that they were now aware of future market potential and keeping their eyes open for the possibility that another project would continue where the Ethiopia ABS CSUMP project had left off, and produce market results that would endure. Thus although the level of stakeholder ownership, interest and commitment to these project achievements is less pronounced, it appears sustainable.

396. With regard to ABS, there is every indication that the GOE intends to develop and fully implement a national ABS framework that addresses all matters included in the NP and provides the support necessary to ensure that holders of genetic resources and ATK within Ethiopia are able to negotiate and implement ABS contracts and other arrangements effectively. Although there is less indication that the project made significant contribution to the beneficiaries' ownership, interest and commitment to achievement of its ABS objectives, it seems clear that those objectives are supported by significant social or political factors at the national level (the level at which the project worked with regard to ABS).

#### Rating for Socio-political Sustainability

397. The project receives a rating of **highly likely** with regard to its socio-political sustainability.

#### 5.8.2 Financial Sustainability

398. With regard to its primary focus on MP conservation and sustainable use, the project is the epitome of post-project financial sustainability. It took the initial steps to produce the primary tools needed for a long term program of both conservation and sustainable use – mapping and demarcation of conservation areas, establishment and planting of field genebanks and nurseries, construction of genebank support facilities, etc., so that the local and national government would be left with tasks that they were financially able to undertake – ongoing operation and maintenance. As noted above, the GOE at all relevant levels has continued and maintained these facilities for nearly three years since the project ceased.

399. On the policy level, the project reported that local MP policies and by-laws were prepared. Financial sustainability of this kind of work is based on the extent to which the adopted policies and by-laws are enforced and whether relevant enforcement bodies recognize the value of such enforcement. Field interviews suggest that enforcement of MP policies and by-laws has been undertaken with positive results in at least some of the pilot sites. In other pilot sites, it is possible that concerned local residents may be able to call for more extensive implementation/enforcement of MP policies, by calling upon EBI's help and referring to the sustainable use agreements (see paras 245-247).

400. As discussed below, the THAs created with assistance from the project have proven to be financially sustainable, having continued to operate for the three post-project years on the basis of member dues.

401. With regard to the other marketing components of the project, the project's outputs were not completed to a degree that established a similar basis for ongoing work. Although a market strategy was developed many of the initial steps in that strategy involve studies, analyses and public awareness measures that represent relatively large initial investments, given that they require the assistance of marketing professionals. It will probably require another project or similar commitment of initial funding to bring the MP markets (local, regional and

national/international) to a state where the level of ongoing government and stakeholder investment in continuing and maintaining the market status is financially sustainable.

402. Finally, the project did not make notable progress in the establishment of ABS. Like the project designer, project staff viewed this as a relatively simple activity that it did not expect to require much attention. As a result, the ABS outputs were delayed until the government should finish its revision of the ABS decree, which has not happened. In the absence of that revised decree, as a concrete basis for ABS work, the project's ABS activities showed little result in progress.

403. While in country, several persons interviewed stated that they had heard that Ethiopia is participating in a new regional ABS project; however, none of them were able to give specific information, nor to identify persons that should be contacted to obtain more specific information.

#### Rating for Financial Sustainability

404. The project receives a rating of **likely** with regard to its financial sustainability.

#### 5.8.3 Institutional Sustainability

405. There are several very strong indications that the MP conservation and sustainable use results of this project will be sustainable from an institutional perspective. They are based on the institutional sustainability that has been demonstrated over the three years since the project closed.

406. As noted above, the field genebanks, nurseries and related facilities in the pilot sites have continued to be operated and maintained by government agencies, including through coordination with regional offices of EBI.

407. EBI has opened Biodiversity Centers (offices) in Goba (the BMNP pilot site), Bahir Dar (Zegie pilot site), Hawassa (for Kure pilot site) and in the Shashemene Botanical Garden office. It has opened similar centers in five other parts of the country, including the one in Assosa (for the Anbessa pilot site). These efforts clearly indicate the strength of governmental intentions to lay the foundation for institutionalized biodiversity conservation and sustainable use in the country.

408. Through these and other bodies, the government has created MP field genebank and nursery arrangements similar to those developed at the pilot sites in several other locations.

409. As noted above, the THAs have continued through the support of member dues, and although market participation is less avid than it was during the project, THA members continue to participate in markets, using the shades and equipment provided through the project.

410. Also noted above, local and regional officials are continuing to implement the MP policies and by-laws that were developed and adopted with the help of the project, and to abide by sustainable use agreements which call not only for such implementation, but also for collaboration with and participation by local residents (THs, farmers and others).

411. The institutional commitment to MP market development seems less clear, suggesting that another effort (by government and/or project support) will be necessary in order to achieve sufficient and sustainable outcomes with regard to market development.

412. It does not appear that the project had any noticeable and sustainable longer-term influence or effect on ABS development and implementation. As noted above, this is attributable to the project design which drastically underestimated the time needed to adopt and implement a national ABS framework, and the extent of preparation, negotiation time and level of uncertainty involved in the negotiation of ABS contracts, particularly in a country that is known to be actively in the process of revising its existing ABS legislative framework.

#### Rating for Institutional Sustainability

413. The project receives a rating of **highly likely** with regard to its institutional sustainability.

#### 5.8.4 Rating for Sustainability

414. Although the project's results relating to MP conservation and sustainable use have proven very sustainable, its market-related work is less sustainable, and its ABS work even less so.

415. That said, however, the direct project contribution to the achievement of MP conservation objectives and the intermediate states described in part 5.4.3 has been significant and has proven positive and durable.

416. Accordingly, applying the UNEP criteria weighting tool, the evaluation team rates its overall sustainability as **Likely**.

### 5.9 Other Factors and Processes Affecting Performance

417. The evaluation guidelines list six additional "factors affecting performance," noting that they are cross-cutting issues and that examination of them will be integrated with the evaluation criteria rating sections above. The following discussions include summaries of those factors and processes that have been discussed in earlier sections, along with more detailed information on those that were not directly addressed above.

#### 5.9.1 Preparation and Readiness

418. As noted in part 5.6.1, the project got off to a slow start, due to a range of relatively usual start-up challenges. In addition, as noted in parts 3.5, 5.5.2 and 5.7.3, the project's implementation faced numerous challenges such as lack of communication on budget problems, and inconsistent reporting – problems that might have been alleviated with more detailed and hands-on cooperation between the PMU, EA and UNEP. Some of these challenges might have been alleviated if addressed by some sort of in-service training or discussions at or before project commencement.

419. It is suggested that all of these issues could have been avoided, by designating a short "project-inception period" before the project's commencement date. During the project inception period, in addition to preparing more specific plans regarding the work of the PMU, the NPM and the most central officers of the PMU could be given the opportunity to work more

closely with the project's Task Manager and financial staff at UNEP. Among the issues that could be addressed are the following:

- Specific financial record-keeping requirements and advice on reconciling the GOE's budget lines and other records with those mandated by UNEP and the GEF;
- Careful discussion of the project document, with particular attention to ensuring that both parties share the same understanding of the outcomes and outputs, the nature of "activities" listed in the project document, the role/importance of the project time line, and a that they agree on how the indicators and targets should be understood, measured, documented and reported;
- Direct discussion about what the NPM should do when/if he determines that some particular output, activity or other factor cannot be performed by the project, so that the project's performance will, in the end, satisfy the donor's/implementing agency's needs and expectations;
- The importance of assessing and recording the "baseline" situation at the beginning of the project, and determining how changes in baseline conditions can be evaluated as the project undertakes its work;
- Specific guidance on the role and operation of the various components of project management (PSC, PSCCs, PTAC), including, if desired, help with the convening of the first meeting;
- Etc.

420. During the project inception period, advertisements for staff positions and other initial purchasing might be commenced, so that the first months of the project could be more productive at initiating project activities.

#### Rating for Preparation and Readiness

421. The project receives a rating of **moderately unsatisfactory** with regard to the preparation and readiness factor.

#### 5.9.2 Quality of Project Management and Supervision

422. The project included both great successes and great deficiencies in the area of management and supervision. At the project sites, the PSCCs appear to have been well established, active and intensely participatory. In most cases, the PSCCs included both governmental stakeholders (woreda and kebele levels) and local residents (healers, farmers, etc.) This high level of participation contributed to the overall success of the project by giving members of the community a sense of ownership – a feeling that they had a voice in project decisions.

423. By contrast, the PSC was not reviewed positively by some of the PSC members interviewed. They noted that the membership/attendance varied so greatly between meetings that there was no continuity of discussion. Members said that the meetings constituted little more than a presentation by project staff regarding what the project had done in the past year and its proposed workplan for the year to come. One member described a PSC termination meeting (not described in the documents provided to the team) as "not a meeting at all, they just sat me in a room with two project staff members."

424. It appears that PSC meetings (if we count the meeting in which a UNEP representative “just sat in a room with two project staff members,”) there were at least 5 PSC meetings. The records are somewhat incomplete regarding when or where each was held or of who attended.

425. The project document assigned the following responsibilities to the PSC:

- overseeing the project implementation,
- assessing feasibility of the business plan,
- supervising implementation and tracking the achievement of outcomes,
- reviewing project quarterly progress reports,
- providing directions,
- ensuring that deliverables are produced as agreed,
- ensuring best value for the project’s money,
- keeping the project scope under control,
- resolving disputes,
- approving annual review reports and recommendations for the next year,
- reviewing “combined delivery reports (CDRs)” prior to their certification by EBI, and
- reviewing and approving project terminal report

The minutes of the 4<sup>th</sup> meeting indicate that some general discussion of some of these matters occurred, but do not suggest that any financial matters or quarterly reports were discussed. Many of the instructions from the PSC that were noted in those minutes were not ultimately followed by the project.

426. The membership of the PSC was, as noted, somewhat fluid – members attended as representatives of their agency or organization, and may only have represented it in one meeting. The project document indicated that PSC membership was to be comprised of three categories representing the various interests of stakeholders: the “project owners” (EBI, UNEP), beneficiaries and suppliers. The “beneficiaries” category, as listed in the project document included representatives of the following:

- From MoA, the Natural Resources and Extension Service Directorates,
- From the MoH, the Ethiopian Health and Nutrition Research Institute and the Food, Medicine and Health Care Administration and Control Authority
- From Regional States representatives of the Southern Nations and Nationalities and Peoples, Oromia, Amhara and Benshangul-Gumuz;
- From the Ministry of Trade,
- From the National Herbarium, Addis Ababa University, Bahir-Dar University, Awassa University, Robe University, the Ethiopian Institute of Agricultural Research;
- From the private sector
- From traditional healers associations, and
- From NGOs.

Although not able to fully determine who participated in the PSC, due to the lack of documentation, the evaluation team was able to confirm a clear attempt to include all of the above categories with the exception of the last two. There was no indication of participation by rural residents or NGOs.

427. The PTAC did not have meetings, apart from the fact that many of them were members of the PSC and/or one or more PSCCs. Members of the PTAC generally shared their expertise through the PSC and PSCC meetings, although in a few cases particular members indicated that they had been contacted individually.

428. In addition to other inquiries into gender questions (addressed in part 5.9.4), the evaluation team attempted to inquire into gender representation in the various project management committees. Although relatively few women were included on the few lists provided regarding attendance at the PSC meetings, and women who participated in the PSCCs noted that they were a decided minority, no woman interviewed in this evaluation indicated that she felt in any way excluded or that her participation was not fully recognized and accepted.

429. Neither PSC nor the PSCC members interviewed indicated that they had any awareness of or voice in the project's financial decisions.

430. In general, effective convening and use of project oversight bodies is difficult for many projects. This is an area in which UNEP could share its experiences and advice during the project inception period regarding how best to utilize these bodies, and how proper records of their meetings should be kept and why is important.

#### Rating for Quality of Project Management and Supervision

431. The project receives a rating of **moderately satisfactory** with regard to the factor "quality of project management and supervision".

#### 5.9.3 Stakeholder Participation and Cooperation

432. As referenced above in connection with particular outcomes, outputs and activities (see e.g., part 3.3, and paras 142, 240, 252, 296, 300, 302, 304 and 422). Particularly at the pilot-site level, stakeholder participation (both government stakeholders and local residents) has been exemplary and made a major contribution to the successes of the project and the communities' sense of ownership of the project's outcomes and achievements.

433. Although the evaluation team was able to obtain only one of the "sustainable use agreements" that were negotiated through the project (see paras 245 -247), that example suggests a basis on which governmental stakeholders, too, would feel a strong sense of ownership and responsibility.

#### Rating for Stakeholder Participation and Cooperation

434. The project receives a rating of **highly satisfactory** with regard to the "stakeholder participation and cooperation" factor.

#### 5.9.4 Responsiveness to Human Rights and Gender Equity

435. The project's initial commitment to address gender issues appears to have been given a short shrift for three reasons: First, apparently no gender biases or inequities could be found in the pilot sites with any connection to the MP sector. None of the women or rural residents who were interviewed for the evaluation could identify any way in which their own interests or

situation was different from those experienced by other groups with regard to the project's objectives, outputs and outcomes

436. Second, the project was, for most of its term, operating at or beyond the limits of its budget due to the unexpected construction costs, discussed in part 3,5, leading it to prefer not to spend additional time or funds on matters it considered less important or less needed.
437. Third, some other work – not done by or through the project – appears to have generally addressed the issues of gender in the biodiversity sector, in some of the pilot sites.
438. As a result, the project itself did not engage in substantive work on the gender issue.
439. With regard to gender participation in project activities, not all reports included a breakdown of participation by gender. As noted above, the project reported that “A total 794 farmers and 114 traditional healers were trained on the benefit of integration of medicinal plant production into farming system”. It is not clear whether this is the total number of participants in project capacity-building or limited to certain capacity building activities. This statistic was not broken down by gender. The evaluation team was able to find gender breakdowns for capacity building activities attended by a total of 485 individuals, indicating that 411 of them were male and 74 were female. None of the interviews during the field mission suggested or gave any indication that female participants were excluded, although no one indicated that any special effort had been made to include female participants.
440. With regard to the project's mention of a similar commitment to address the situation of “vulnerable groups,” interviews in the pilot sites noted concerns related to youths who, for example, harvest forest products indiscriminately, in hopes of selling them to supplement their lifestyles (see para 251). Although these issues were discussed in the PSCCs and there was significant agreement that this situation clearly needed to be addressed, the project did not take or propose action or studies on the potential for MPs to become part of the solution.
441. Although these issues were discussed in the field mission interviews, none of these young people were willing/available to speak to the evaluation team.

#### Rating for Responsiveness to Human Rights and Gender Equity

442. The project receives a rating of **satisfactory** with regard to the “responsiveness to human rights and gender equity” factor.

#### 5.9.5 Country Ownership and Driven-ness

443. In many ways, this project may be considered excessively country-driven. For example, the project provided assistance to a genebank some 400 miles outside of the Kure pilot site, (Wendo Genet (alt. “Wondo-Genet”) field genebank), paying daily labour and farm tools, in connection with the task of fencing it with “mesh wire to safeguard the field Genebank from Animal pests.” While clearly related to the overall objective of the project, work in Wendo Genet was clearly not included in the project document. Similarly, as noted above, the PMU's reports announced many unilateral decisions to drop activity on specific outputs and outcomes. These decisions were not pre-approved with UNEP, the wording in some of the annual reports suggests that they were undertaken after consultation with EBI and/or the Ministry.

444. As noted in part 5.1.3, above, the project's design was decidedly relevant to the GOE's declared priorities, which have, if anything, strengthened over the years since the design was prepared.

#### Rating for Country Ownership and Driven-ness

445. The project receives a rating of **highly satisfactory** with regard to the "country ownership and driven-ness" factor.

#### 5.9.6 Documentation, Communication and Public Awareness

446. The project was relatively inattentive to the importance and value of preserving a record of its activities. As far as the evaluation team has been able to discover, relatively few outputs are documented in any meaningful way, and records of project management and operations have been generally unavailable. This might also be explainable if records have been archived, however, few persons interviewed referred to any record kept whether of substantive work or of management activities and statistics. Thus although the project's results continue relevant to government priorities, they may not be available to those who need them.

447. In-country interviews suggest that many project studies and other materials, although completed, were not generally circulated or used.

448. It was difficult to locate and contact most project staff, PSC members, PTAC members and PSCC members due to the passage of three years since their last contact with the project, and due to the fact that lists of these participants were not always available. To fill the gaps in the evaluation team's knowledge, efforts were made to identify persons in relevant government (and other) offices who might provide information on how the project and its activities affected them or their institutions, however, it was generally difficult to find persons, even in agencies whose mandate is closely related to the project's work, who knew of the project or who were familiar with relevant changes during or following the project. This may suggest that communication and awareness beyond direct project participants was not a major emphasis of the project, however, it may also be a factor of the difficulty in finding persons in those offices who had been in place as early as 2012.

449. By contrast, interviews of local residents and officials who participated in the project's PM conservation/sustainable-use training, awareness and capacity-building activities indicated that they remain aware of and committed to project objectives and outcomes, even three or more years after their last contact with the project.

450. The evaluation team was not made aware of particular public awareness activities of the project that extended beyond the pilot sites and project partners.

#### Rating for Documentation, Communication and Public Awareness

451. Although these post-project awareness elements are not positive, the evaluation team recognises this as a relatively common problem for most projects. Accordingly, the project receives a rating of **moderately satisfactory** with regard to the "documentation, communication and public awareness" factor.



### 5.9.7 Rating for Factors and Processes Affecting Performance

452. Although it performed excellently in many aspects of stakeholder participation, and was strongly country-driven, challenges relating to readiness, vulnerable groups and communication, as well as the breakdown in management and communication between the implementing and executing agencies were not addressed. Applying the UNEP criteria Weighting Tool, suggest that the rating under this criterion should be **Satisfactory**.

## 6. Conclusions and Recommendations

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### 6.1 Overall Conclusions

453. Viewed in the context of the RTOC at evaluation, it is clear that the substantive work of the project took major and sustainable steps toward achievement of its overall goal (“Improved in-situ conservation of medicinal plants biodiversity resources secures biodiversity values, ensures food security and sustains human well-being”). It was particularly effective in its work on ex-situ conservation of MPs – both the physical conservation and inspiring stakeholder participation, awareness and building capacity and a sense of ownership at the pilot-site level.

454. Its substantive contributions to the achievement of its market-development outcomes and its ABS outcomes were significantly less; however it made notable contributions to the initial stages of achievement of the former at pilot-site level. Given the available time, the project’s stated outcomes with regard to these two areas were significantly overstated, and full achievement within the scope of the project may not have been possible. Additionally, it appears that these outcomes were perceived by many project participants to be secondary to the primary work on MP conservation.

455. As a result of this imbalance of commitment to outcomes, the project was rated moderately satisfactory with regard to its overall effectiveness, having been rated at a moderately satisfactory level with regard to delivery of outputs and achievement of outcomes. This rating reflects the fact that while some outputs and outcomes were achieved with great success, others were apparently ignored, without any formal agreement to drop them from the project.

456. The project was rated likely to be sustainable and to have a sustained impact. This rating is particularly strong given that the field mission of this evaluation occurred nearly three years after the final closure of the project, and found strong and active stakeholder ownership of, and commitment to, continuation and extension of the project’s achievements in MP conservation and sustainable use. In the context of the project’s market development and ABS focuses, however, the extent of progress achieved by the project did not appear to enable the stakeholders and beneficiaries to reach the tipping point at which project-created benefits outweigh the costs of continuing through the various steps needed to achieve these outcomes.

457. The project was undertaken in a favourable external context.

458. The project was highly satisfactory in its “strategic relevance,” but moderately unsatisfactory in regard to the “quality of project design.” Not having been corrected or

mitigated through cooperation between the PMU/Executing agency and the Task Manager/UNEP, the design flaws in the project pervaded every aspect of project implementation.

459. The project's ratings for "efficiency", "monitoring and reporting" and "financial management" were all rated moderately unsatisfactory. These ratings reflect the pervasiveness of design problems, as well as an unmet challenge regarding the need to establish a collaborative relationship among the responsible entities, as mentioned above.
460. Under the "factors" criterion, the project was rated highly satisfactory with regard to the factors of participation and country ownership/driven-ness. It was rated moderately unsatisfactory with regard to preparation and readiness and only moderately satisfactory in terms of project management and the factor of "communication and public awareness".
461. No gender issues were discerned by the evaluation. It was clear that the project made a satisfactory effort to address human rights issues, including discussions of the special concerns of women and vulnerable groups (see para. 251).
462. UNEP's evaluation guidelines provide a mechanism (the "Weightings Table for Evaluation Criteria Ratings") for automatic calculation of the criteria ratings, and for the manner in which they should be weighted in determining the overall project rating. Applying that mechanism, this project's overall rating is **Moderately Satisfactory**.
463. Table 8 provides a complete breakdown of the ratings of each criterion and sub-criterion of this evaluation.

## **6.1 Responses to "Key Strategic Questions"**

464. In its initial description, the Project Document characterized the project's overall philosophy as follows: "The guiding principle of the project is that while conservation of environmental resources is necessary to secure livelihoods and well being of all, the safest conservation is to ensure that people dependent on particular resources obtain better livelihoods from conservation than they would from degrading the resources."
465. Guided by this approach, the project design called for key measures for in-situ and ex-situ conservation of MPs, which were to be inexorably linked to key measures to improve the capacity of local THs, farmers and others to sustainably grow, utilize, process and sell MPs.
466. In the terms of reference for this TE, the evaluation team is asked to answer five specific "Key Strategic Questions," whose answers provide overall conclusions regarding the project's effectiveness and sustainability. These questions are posed below, along with the evaluation team's responses.

### **6.1.1 Effectiveness of the Policy and Institutional Frameworks relating to MP Conservation**

467. In this area, the specific questions asked in the TE TORs were "To what extent have the policy and institutional frameworks supported by the project ensured a sustainable conservation and utilization of medicinal plants in the project's target areas?" And "How

effective have the legislative and policy options been in strengthening national systems on conservation of medicinal plants biodiversity?"

468. The project's policy and implementation work in the pilot sites affected the long-term prospects for the sustainable conservation and utilization of medicinal plants in the project's target areas, due to a combination of results: the development and adoption of policies and by-laws, and more particularly its support to the development and implementation of "sustainable use agreements" (agreements between EBI, the relevant local agency and the pilot site communities relating to maintenance of the results of the project, including especially the rights and obligations of local government and the local agencies with regard to the cultivation and use of MPs).

469. At the national level, however, legislation and policy relating to the conservation of MP biodiversity appear not to have been affected in the longer term by the project, which appears not to have worked on these issues at the federal level. This mismatch between design and implementation appears to have been resolved appropriately, however, as there is no indication in the design documents or in other Ethiopian biodiversity policy and legislation, why any specific work on such policy or law would be needed or beneficial in Ethiopia.

### 6.1.2 Barriers to the ABS

470. The TE TORs specific questions under this heading were "To what extent have the project's activities addressed the barriers to the ABS in medicinal plant resources and associated traditional knowledge?" and "To what extent did removing those barriers contribute towards sustainable use of medicinal plants and livelihood/income improvements in target areas?"

471. Unfortunately, the project made little progress with regard to the ABS issues and actions discussed in the project document. Although it commissioned a study in support of the federal government's work in revising its ABS legislation, that study did not address the matters mentioned in the relevant project output. Beyond that, the country was not ready for most of the ABS related activities called for in the project design, and the project did not address them, although reports mistakenly indicated that some of these activities had been commenced.

472. The project coordinated with an international aid project which offered to hold an ABS workshop in Ethiopia, however that cooperation and participation in that workshop were not reported in detail in any project report or other document. The evaluation team contacted the international project that presented the workshop and confirmed that it was held.

473. Some pilot-site interviews indicate that the PSIUs made some limited level of progress in convincing THs to share the basic identification of particular species that they use medicinally, based on concerns that species that are unprotected might become extinct. These disclosures were made despite the fact that ABS trainers, both within and outside the project have emphasized to THs that they must preserve the secrets of their traditional medicines. The PSIUs' experiences in this connection are not documented in any record provided to the evaluation team.

### 6.1.3 Demonstration of Market Value to Local Communities

474. The specific question asked in the TE TORs was “Is there evidence that the project’s activities sufficiently demonstrated market value to local communities such that the same activities were adopted by farming communities outside the four pilot areas, i.e. was the project catalytic in nature and not only self-sustaining but expanding with no further GEF support?”
475. Unfortunately, the project’s work on market development did not reach the stage of providing such evidence. As a result, some of the persons who were convinced to grow MPs for market have since decided not to do so.
476. While selling in one-time regional and national market meetings yielded some profit for THs and other sellers whose participation was supported or assisted by the project, the yields were small enough that it is not clear whether the amounts received would have compensated those participants, if they had been forced to bear the travel costs and the loss of a day’s work at home.
477. There are many indications that further efforts – implementation of the MP marketing strategy produced by the project – could yield positive results with regard to the size of local and other markets and could be catalytic in inspiring market and THA development in other communities. Such further efforts, however, would require additional project funding or other up-front investment.

### 6.1.4 Contribution to “Conservation/Biodiversity of Other Genetic Resources”

478. The specific question asked in the TE TORs was “To what extent, if any, have the project activities and outcomes contributed to the conservation/biodiversity of other genetic resources?” While this question is not entirely pellucid, the evaluation team has chosen to answer it as follows:
479. The project staff at the pilot sites made a point of emphasizing the integrated nature of in-situ and ex-situ conservation, in terms of the ability to effectively conserve MPs. They also emphasized that in-situ conservation is not species-specific, but must by its nature involve the protection of the entire ecosystem – the protection of the forests. These messages were well received and persist in the minds and approaches of project participants.
480. In addition, the PSIUs helped mobilize local residents in the pilot sites to participate in conservation activities and programs undertaken by other projects.
481. The management plans developed by the projects were designed to integrate MP considerations with more general concerns relating to forest and ecosystem management.
482. Apart from the above, the evaluation team did not identify any project activities that were focused on other conservation or on types of biodiversity other than MPs.

### 6.1.5 Contribution to the MP Capacity of Regional Biodiversity Centres

483. The specific questions asked in the TE TORs were “Under the institutional sustainability section, to what extent and how were the biodiversity centres that were established in the four pilot areas equipped to ensure that the conservation and sustainable use of medicinal plants

does not end when the project ends?” and “Are there any particular lessons learned and recommendations that could be applied to potential follow on programming to build on the work of this project in establishing these centres?”

484. The evaluation team did not delve into the establishment of the EBI regional biodiversity centres, except to the extent of their relationship with the project. In that context, the biodiversity centres are participants in the sustainable use agreements, and heirs to the relationships that developed between the PSIUs and the range of local and regional governmental bodies and academic institutions with whom the project worked.

485. Although the evaluation team could not meet with staff of all of the centres established near project pilot sites, those current Centre staff members interviewed by the team were well aware of the project results and knew many of the participants. It is not clear whether, how and to what extent the lessons learned by the project have been preserved for the future.

## 6.2 Other Conclusions of this Evaluation

486. In the course of this TE, the evaluation team has noted additional conclusions beyond the above responses. These are stated briefly below:

487. Although there were many defects in the project design, it excellently expressed and clarified the links between national efforts on conservation and the efforts to secure local livelihood opportunities. In implementation, some parts of this linkage were strongly supported, and others were simply too premature to be addressed.

488. The project also emphasized and built-in a a decentralized participatory process, empowering the local community to derive benefits from the commercial use of medicinal plants biodiversity. The PSIUs demonstrated a strong commitment to this approach, which appears to have been highly effective, particularly with regard to the communities’ sense of “ownership” of the commitment to both in-situ and ex-situ conservation.

489. Although it stated some intention to support and compliment national efforts on conservation and sustainable use through a decentralized process, many of its outputs call for centralized process as well, in contexts in which federal or national-level action cannot become relevant enough to inspire action for some time to come.

490. In general, there appears to be strong indication that the development of Ethiopia’s MP industries and products will provide additional incentives for conservation and sustainable use, however, these incentives could not be developed through the project. This was less due to the deficiency of project performance than to a failure of design, which assumed an unreasonably short time for the achievement of market development outcomes and for the implementation of the as-yet-unadopted national ABS Framework.

**TABLE 8. EVALUATION RATINGS TABLE**

Evaluation criteria	Rating justification	Rating
Strategic Relevance		<b>HS</b>

Alignment to MTS and POW	Alignment with MTS (2010-2013) thematic priorities Ecosystem Management," "Resource Efficiency" and "Environmental Governance." Alignment with POW (2010-2011) subprogrammes 3 (Ecosystem management); 4 (Environmental governance); and 6 (Resource efficiency and sustainable consumption)	S
Alignment to UNEP/GEF/Donor or strategic priorities	Clear alignment to UNEP most MTS/GEF/Donor strategic priorities	S
Relevance to regional, sub-regional and national issues and needs	Highly relevant to national priorities	HS
Complementarity with existing interventions	The project demonstrated strong complementarity with predecessor project and other GEF projects in the pilot areas. PMU apparently collaborated with other relevant projects.	HS
Quality of Project Design	Generally weak project design, although basic conceptual interlinkage of conservation and market components was clear and appropriate. Design structure weaknesses were unresolved and remained as a cause of or contributor to many other project challenges.	<b>MU</b>
Nature of External Context	Project not noticeably affected by political issues in the country. In implementation, it experienced some challenges due to unpredictable weather (drought) and resulting unexpectedly high levels of inflation, between submission of ProDoc and inception of project implementation.	<b>F</b>
Effectiveness		<b>MS</b>
Availability of outputs	Completion of outputs (including field gene banks, nurseries, THAs, market assistance, reports and training) was mixed, with the most completion and great success in the component focused on the development of conservation facilities, programmes and capacity at pilot sites. Outputs related to market development were partially completed (local elements only) and most ABS indicators were not achieved at all.	MS
Achievement of project outcomes	The project made excellent contribution to the achievement of outcomes related to physical conservation of MPs and protection against unsustainable harvesting from the wild. It made fewer, but equally valuable first steps toward achievement of the market-focused outcomes at the pilot site level. Its contribution to progress with regard to the country's ABS framework and the implementation of ABS were not significant enough to register.	MS
Likelihood of impact	In the areas in which it made focused efforts and achieved direct outcomes (support to pilot-site conservation and sustainable use), the project is well on the way to attainment of intermediate states. The assumptions for the change to intermediate states hold; and most of the drivers to support transition to intermediate states are in place.	L
Financial Management		<b>MU</b>

Completeness of project financial information	Available project financial information is relatively incomplete.	MU
Communication between finance and project management staff	The evaluation identified numerous insufficiently addressed problems with regard to communication and coordination between finance and project management	MU
Efficiency	Despite significant initial delays, the project moved forward, making effective use of previous projects, current projects and governmental units, as well as learning lessons from previous project work.	<b>MU</b>
Monitoring and Reporting		<b>MU</b>
Monitoring design and budgeting	Many aspects of monitoring design and budgeting were deficient as a result of design challenges. No apparent effort made to clarify these matters through revision by or discussion between the IA and EA.	MU
Monitoring of project implementation	Lack of externally set targets and SMART indicators resulted in PMU selection of its own reporting criteria, leading to ineffective monitoring during project implementation. Delayed MTR was too late in project term to provide useful opportunity to adjust.	MU
Project reporting	Inaccurate and unfocused reporting exacerbated apparently weak communication among PMU, EA and IA and further limited needed interaction	MU
Sustainability		<b>L</b>
Socio-political sustainability	The GOE demonstrates a heightened commitment to MP management elements of the project, and a clear recognition of the link between those elements and the market-development and ABS elements.	HL
Financial sustainability	Ecosystem management elements of the project made sufficient progress that the financial commitments necessary for continuation are well within the capability and commitment of relevant agencies. Some project committees, as well as THAs (whose establishment the project-supported) continue to operate as CSOs financed by member dues.	L
Institutional sustainability	EBI has broadened its reach by opening various regional offices within the country. It remains committed to the achievement of project outcomes and progress to intermediate states and upward.	HL
Factors Affecting Performance		<b>S</b>
Preparation and readiness	Project experienced significant delays at inception that should have been expected.	MU
Quality of project management and supervision	Project structures at the pilot-site level (PSCCs and PSIUs) were generally effective. National level structures (PSC and PTAC and their relationship to the PMU and IA representatives) raised some negative comments during evaluation evidence gathering, evidencing a possible need for initial training or assistance with regard to this aspect of project oversight.	MS

Stakeholder participation and cooperation	Strong positive indications of stakeholder participation, particularly at the pilot-site level.	HS
Responsiveness to human rights and gender equity	Project (and evaluation team) investigated the possible existence of concerns relating to gender equity that might have necessitated further project action, finding none. PSCCs noted challenges to youth with regard to the project's issues, but had not ability or mandate to act in this area. No apparent human rights issues.	S
Country ownership and driven-ness	Strongly country-driven, country-owned and country-supported.	HS
Communication and public awareness	Project outputs, reports and awareness efforts received limited circulation, and are no longer available 3 years following project closure.	MS
<b>Overall Rating</b>		<b>MS</b>

### 6.3 Lessons Learned and Recommendations

491. The challenges and weaknesses encountered in this project have prompted enumeration of numerous lessons learned and recommendations.

#### 6.3.1 Lessons Learned

492. This project provides a range of lessons for all levels of project operations from the design/design-approval, through management, to evaluation.

493. Table 9 presents a summary of key findings of this TE and lessons learned.

**TABLE 9. SUMMARY OF LESSONS LEARNED AND USEFUL CONTEXT**

Lessons Learned 1:	Careful review of project documents is essential <u>at all levels of the approval process and at the inception of project implementation.</u>
Context in which the lesson was learned	Project design problems were a key factors underlying many of the addressed and unaddressed challenges obstructing successful implementation of the Ethiopia ABS CSUMP project. Weaknesses in the project design (see lessons learned 2 and 4) affected performance, including by filling the project with an unrealistic number and type of outcomes and expected outputs and activities, which were expressed in a manner that made them inappropriate as guidance, targets or indicators. The optimal time for addressing these challenges would have been proposal review, when they could have been eliminated (but see also Lesson 3).
Contexts in which lesson may be useful	<ul style="list-style-type: none"> <li>• Initial design and review processes.</li> <li>• Inception phase (Lesson 3)</li> </ul>
Lessons Learned 2:	Project design and implementation must be based on reasonable expectations and understanding regarding external and internal prerequisites of project



	<p>activities. In other words, the project documentation needs to clearly state (and project management needs to clearly understand) which project components can only be undertaken when certain external factors are present (e.g., new legislation can only be implemented, after that legislation has been finalized and enacted) or when internal prerequisite steps have been completed.</p>
Context in which the lesson was learned	<p>The design of the Ethiopia ABS CSUMP project mandated the preparation of reports, negotiations, analyses or legislative translations which would be, at minimum, less valuable, but potentially impossible, if undertaken before their respective prerequisites – external (situational developments, such as legislative action) or internal (project activities or outputs) which must exist in order to make the output meaningful. Completion of such activities/outputs without their prerequisite (to meet project time limitations) appears to have curtailed or eliminated the value that the work would otherwise have. Project design can have a major influence on these matters, so long as it is not based on erroneous assumptions about the nature of issues in specialized areas (e.g., market development and legislative processes), and if it creates an efficient, planned, step-by-step process.</p> <p>This project demonstrated the importance of proposal review, and that it looks for realistic discussions of internal/external prerequisites and justifications for approving a project component, outcome or output that is dependent on the occurrence of such a prerequisite. This lesson can best be applied during the design phase review mentioned in Lesson 1, if possible, and at least during the inception phase mentioned in Lesson 3, this problem should be addressed.</p>
Contexts in which lesson may be useful	Project design, design-phase review (in Lesson 1), inception phase (Lesson 3).
Lesson Learned 3	<p>The implementation planning for a multi-year project needed to recognize and establish an “inception phase” prior to commencement of the project, during which critical issues and factors that could (if not addressed) cause delays in the commencement of the project, or later create serious problems implementation or project management should be addressed.</p>
Context in which the lesson was learned	<p>Early challenges facing Ethiopia ABS CSUMP project implementation, although not unexpected were not recognized in the project’s implementation planning. Among these challenges, the project experienced hiring problems, physical set-up delays, and delays arising due to inability to obtain clear information and templates on UNEP’s financial requirements, which then needed to be reconciled with those of the executing agency.</p> <p>In the course of urgently addressing these delays, the Project Management Unit did not have an opportunity to receive direct introduction to (Implementing Agency working in cooperation with the Project Management Unit and Executing Agency to explain and help set up mechanisms for improving overall project performance on) other elements of project implementation. Among the issues the project could have benefitted from inception-phase help in understanding the following:</p> <ul style="list-style-type: none"> <li>• how to organize convene and utilize the Project Steering Committee and Project Technical Advisory Committee, and what actions to take in the event that revision of project budget, Prodoc and/or Log/Frame appear necessary</li> <li>• How to address changes of situation or expectations arising after project implementation has commenced (i.e., what to do when the Project Management Unit / Executing Agency wish to change to or delete items included in the project Log/Frame and/or to reallocate budgeted funds);</li> </ul>

	<ul style="list-style-type: none"> <li>• How to avoid the need for the Project Management Unit to unilaterally and tacitly select new indicators to report against, due to inappropriateness and un-SMARTness of indicators contained in project documents as designed;</li> <li>• How to address these matters in a way that avoids the need to report negative situations in Project Implementation Reports, while maximizing mutual awareness of these problems at a time and in a way that would enable/encourage collaborative discussions to resolve them;</li> </ul> <p>It is important for those preparing to take responsibility for execution and implementation of an approved project to make an effort as early as possible to consider these potential challenges, and provide a plan for contingencies of the types mentioned above. All of the above are areas in which “inception-phase” preparation and advice would have been yielded beneficial results during implementation.</p>
Contexts in which lesson may be useful	Work at this stage both ensures that the project will proceed on track and builds a collaborative approach involving the Project Management Unit, Executing Agency and Implementing Agency.
Lesson Learned 4	Project work in areas of special professional expertise should receive advice from a range of professionals in each such area, to ensure that decisions and planning (including the planning of activities, review of credentials and analysis of inputs) are not undertaken in a way that undermines their effectiveness.
Context in which the lesson was learned	While there were valid conceptual reason for extending the initial draft (which focused only on in-situ and ex-situ conservation and sustainable use of MP biodiversity) to include commercial use of those resources (market development and ABS), that decision added complexity, necessitating specialized professional assistance from those who are aware of the difficulties. The design and implementation of the Ethiopia ABS CSUMP project, necessitated professional inputs into all three pillars at all levels from planning through implementation. It is not effective to obtain “token” expertise – that is, to engage or work with a single professional in planning/implementing the relevant area and assume that his/her viewpoint is universal and appropriate. Planning and oversight require multiple perspectives. The Project Steering Committee and Project Technical Advisory Committee, although intended to provide a broad range of views on all these areas, were generally limited in terms of market and ABS professionals.
Contexts in which lesson may be useful	<ul style="list-style-type: none"> <li>• Projects preparing to address a range of specialized areas of professional work.</li> <li>• The development and use of project bodies such as the Project Steering Committee and Project Technical Advisory Committee to ensure that they include experts who can be expected to represent an appropriately broad range of perspectives.</li> <li>• IA assistance (e.g., UNEP has or has access to experts capable of providing advice and guidance to a National Project Manager who is seeking to achieve project outcomes beyond his/her area of expertise).</li> </ul>
Lesson Learned 5	Open, clear and complete communication between the Project Management Unit, Executing Agency and Implementing Agency is essential to avoid turning collaborative attitudes – that all three have maximum project success as their goal – into controversy.
Context in which the lesson was learned	More than three years into the 4-year term of the Ethiopia ABS CSUMP project, UNEP’s financial staff and Task Manager appear to have first become aware of major challenges and overspends, reportedly caused by external physical and financial factors (drought and rapid inflation) that occurred in the months between submission of the final proposal documents and commencement of project implementation (that is, more than three years earlier). The Project Management Unit had been aware of these factors from the commencement of

	<p>the project and the Project Management Unit and Executing Agency had unilaterally adjusted project activities and shifted budget to address it – but without discussing these matters with the IA or formally amending project documents. While some part of this problem is attributable to a lack of open, clear and complete communication by the Project Management Unit and Executing Agency setting out the situation; it is also true that closer attention to the project by the Implementing Agency may have brought the matter to a head earlier when more complete resolutions could have been agreed and acted upon. Specifically, the project reports made indirect allusions to changes and mentioned particular work done, without pointing out where such work was not done by the project. Comparison of reports and information from those submitted early in project operations shows inconsistencies with later reports, which nonetheless reported expenditures that significantly exceeded budgets and workplans. The IA did not raise questions until approximately the 37th month of the 48-month project.</p>
Contexts in which lesson may be useful	Reporting and review/discussion of reports.
Lesson Learned 6	A project should develop a communications plan that ensures that project studies, analyses, guidelines, tools, training materials, etc. will be used and available broadly, both during and after the project.
Context in which the lesson was learned	Although it appears that many surveys, analyses, and other documents and materials that were reported to have prepared on project topics were not prepared by the Ethiopia ABS CSUMP project, it is clear that some that were prepared had ceased to be available by the time of the TE, and/or had not been circulated (even among project stakeholders and beneficiaries) during the project term.
Contexts in which lesson may be useful	Implementation and planning by the project.
Lesson Learned 7	Project handoffs from one UNEP Task Manager to another should use care to make sure that key facts and concerns are properly raised and successor Task Managers are aware of them. It is particularly important in this context to ensure that project records are carefully kept and preserved in usable form and formats.
Context in which the lesson was learned	<p>Over its term, this project had three successive UNEP Task Managers, only one of whom was interviewed during the evaluation, with a second (not interviewed due to an oversight in Nairobi) providing comments on the draft TE. The incompleteness and detail of project handovers may have negatively affected key issues such as financial oversight and monitoring/reporting. Beyond (and possibly as a result of) that management challenge, this TE of the Ethiopia ABS CSUMP project was generally hampered by the lack of records in several areas:</p> <ul style="list-style-type: none"> <li>• Copies of reports, analyses and other documents and physical outputs (while some were made available to the TE, many were stated to exist, but no copy could be found);</li> <li>• Lack of formal, properly labeled and titled, financial reports documenting, for example, finally agreed budget revision, final total project expenditures, final value of cofinancing contributed, etc.;</li> <li>• Lack of detail concerning the contributions of other projects and governmental units to particular project outputs and activities;</li> <li>• Lack of complete records of the operation of project bodies (e.g., Project Steering Committee and Project Technical Advisory Committee and Project Site Coordination Committees); and</li> </ul>

	<ul style="list-style-type: none"> <li>Lack of complete records of project workshops, training events and other capacity-building activities.</li> </ul> <p>While it is clear that the project documents had been archived before this evaluation began, and may have been difficult to access, the sheer volume of documents provided to the evaluation team by UNEP and the fact that none of the above could be found in that enormous number of documents suggest that those records were not maintained in any formal way.</p>
Contexts in which lesson may be useful	Guidance on handoffs of project oversight responsibility from a departing UNEP Task Manager to his/her successor, and the development of organization- and project-wide operational approach to record-keeping and archiving.
Lesson Learned 8	UNEP as the implementing agency needs to ensure that project designs include a sound and well-understood monitoring and evaluation plan, and that this plan is appropriately implemented. Monitoring and evaluation is most useful and possible when conducted in a timely way, in accordance with a well-made and well-understood monitoring/evaluation plan
Context in which the lesson was learned	<p>The Ethiopia ABS CSUMP project is an object lesson in the need for active monitoring and evaluation, and the need to clarify monitoring responsibilities as early as possible in the project's implementation.</p> <p>The project's only apparent monitoring plan was the paragraphs in the ProDoc containing this heading. It seems apparent that these paragraphs were never read by anyone, as they still bracketed phrases asking the developer to insert project-specific language in the template.</p> <p>During operations, project reports indicated that the Project Management Unit or Executing Agency may not have understand the ProDoc's monitoring mandate, assuming it was calling on the project to ensure that local residents in the pilot-sites were trained in forest monitoring.</p> <p>The Mid-term Evaluation Report was commenced 7 months before the planned end of the project – well beyond the middle of the project term. Although the MTR made 12 specific recommendations regarding how the project could, with a no-cost 6-month extension, reorient itself to finish more of its planned outputs and activities, only two of those recommendations were acted upon in the months between circulation of the Mid-term Evaluation Report and closure of the project.</p> <p>Similarly, this terminal evaluation was commenced more than 2 years after the termination of the project as extended and owing to various negotiations over financial issues and other scheduling problems and unexpected illnesses and other challenges, it is being finalized more than three years after the project closed.</p>
Contexts in which lesson may be useful	All projects.

### 6.3.2 Recommendations

494. Table 10 includes a set of recommendations emerging from this TE.

**TABLE 10. RECOMMENDATIONS**

Recommendation 1:	UNEP and GOE should discuss the way forward in completing the delivery of critical but uncompleted outputs calling for (i) a "Catalogue/compendium propagation cultivation methods of selected MPs" (Output 1.2.3), (ii) "Guidelines for sustainable harvesting of priority species of MPs" (Output 1.2.5), (iii) "Extension packages developed to support law/policy/institutional
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	measures for MP conservation and sustainable use" (Output 2.1.5) and (iv) "National extension programmes promoting MP conservation and sustainable use" (Output 4.1.2), which are still potentially important and should be completed as originally described.
Context of the recommendation	<p>The project's work on these four separate output items was clearly intended to encompass more than the five extension brochures and one list of 69 MPs, their production capacity and market statistics that were provided to the evaluation team. The compilation of these documents as originally described for a broader range of MPs could be of inestimable use in achieving the "overall outcomes" and "intermediate states" listed in the RTOC. Based on discussions in the field mission, it appears that much of the significant knowledge gleaned from project in-situ conservation work is still retained by persons working in the pilot areas.</p> <p>This work could be joined with broader dissemination of the student documents and the Project's other research results relevant to MP conservation.</p>
Responsible Agency	UNEP to communicate this recommendation to the EBI, Ministry of Agriculture
Timeline	4 months from date of evaluation
Recommendation 2:	UNEP and GOE should consider further work on the project-identified, but unaddressed, challenges in the pilot sites relating to the forest destruction caused by youth ,engaging in unsustainable harvesting, and the need for alternative livelihood research.
Context of the recommendation	<p>Two outputs of the project may be relevant to this recommendation, neither of which was addressed by project implementation.</p> <ul style="list-style-type: none"> <li>✓ Output 1.3.3 called for four alternative livelihood options to be studied, prepared and implemented.</li> <li>✓ Output 1.3.1 called for the promotion of equity "on behalf of gender and other vulnerable groups"</li> </ul> <p>While no project activity undertaken fulfilled either of these, members of PSCCs reported that their discussions of these points focused on the needs of youth to find more sustainable ways to increase their spending money, instead of illegally harvesting forest produce.</p>
Responsible Agency	UNEP to communicate this recommendation to the EBI, Ministry of Agriculture
Timeline	4 months from date of evaluation
Recommendation 3:	Consider building a new project on advancing the gains that the Ethiopia ABS CSUMP project made in MP markets and market development.
Context of the recommendation	<p>Although, at closure, the project was far from achieving its market-development outcome "Local MP sellers and healers assisted to sustainably expand their markets, including through the establishment and/or expansion of value chains and creation of relationships with national and international markets"), it had successfully completed a number of outputs and activities that constitute important steps in this process. Specifically, it completed a market-development plan, enabled the establishment of 12 THAs, provided physical and capacity-oriented support to local market activities and generally retains the goodwill of many THs and MP growers in the pilot areas. Communication with representatives of industrial and entrepreneurial entities at national level suggest that there is still interest there, as well.</p> <p>The benefits of a well written marketing plan will fade with the passage of time; however, the socio-political environments of the pilot communities remain receptive to the overall plan of market development. While the costs of implementation of this plan may be beyond the expected budgets of the relevant local and national agencies, the maintenance of any progress made will almost certainly be self sustaining.</p>
Responsible Agency	UNEP to communicate this recommendation to the EBI, Ministry of Agriculture possibly in conjunction with the GEF, or other donors.

Timeline	One year from date of TE report
Recommendation 4:	UNEP should call on project Executing Agencies to inquire into the reports that the project had undertaken work at the pilot sites on the “facilitation of access to credits by cooperatives” and find new project or governmental support to complete that effort, particularly if indeed some measures had been undertaken during the project operations that were later dropped or left incomplete.
Context of the recommendation	Various project reports (and statements made to stakeholders and beneficiaries at the local level) state that work was ongoing on the “facilitation of access to credits by MP cooperatives.” Final reports and the field interviews disclosed that, although many at two sites (Kure and Anbessa) had been expecting it, none of the local participants who participated in the project had obtained such access or knew of others who had. If these activities have even begun, the prospects for their application to sustainable marketing of MPs are potentially of great value. As such, these activities should be undertaken or completed by the GOE or by a supported project.
Responsible Agency	UNEP, to communicate this recommendation to the Project Executing Agencies and GOE
Timeline	One year from date of TE report
Recommendation 5:	UNEP/GEF should amend its approach or template for project processes to include a planned “inception period” or at minimum a specific programmatic guideline regarding processes to ensure that all partners are in agreement on project design factors (components, outcomes, outputs, activities, targets and indicators) and meta-management processes, including reporting, monitoring and evaluation (see Lessons Learned 1 through 3 and 7).
Context of the recommendation	The lack of a consistent understanding on the sometimes vague and inappropriate elements of project design and reporting, as well as the fact that the PMU, EA and IA had apparently come to no clear agreement on the processes for revising project components and budgets presented a serious challenge that was unaddressed within this project.
Responsible Agency	UNEP
Timeline	One year from date of TE report
Recommendation 6:	UNEP staff should consider adopting a more hands-on approach in providing assistance with project design— one which provides the proponents with a detailed critique of the documentation of an approved project, and mandates revisions to make that project document a more appropriate road map for those implementing and executing the project.
Context of the recommendation	In the absence of such a process, the Ethiopia ABS CSUMP project encountered many situations in which project performance and reporting were inappropriate, and project activities ineffective in contributing to the desired outcomes.
Responsible Agency	UNEP
Timeline	One year from date of TE report
Recommendation 7:	It is recommended that outstanding financial controversies between UNEP and the Executing Agency (EBI) should be finally closed as soon as possible.
Context of the recommendation	As noted in para 317, supra, certain financial issues between the PMU and UNEP regarding some of the closing records of the project, which remain open as of the date of this TE.
Responsible Agency	UNEP
Timeline	One year from date of TE report
Recommendation 8:	UNEP GEF Task Managers should ensure that project reporting is adequately reviewed to correct any inconsistencies and at least one supervision mission per year is organized to verify project progress.
Context of the recommendation	The project regularly provided quarterly reports, “Annual Reports,” and PIRs, and a Terminal Report. In many instances, however, these reports were incomplete,

	<p>sometimes inconsistent and much of the information contained in the PIRs and other reports was directly contradicted, or not confirmed by, information gathered by the Evaluation Team. These inconsistencies were not apparently questioned by the Task Manager reviewing them, or if questioned, no response to those questions was received and filed. It is clear from review of the Task-Manager checklists in PIR reports that project reports were not closely scrutinized to ensure that they addressed the issues of concern that had been noted in earlier reports. The handoffs between the project's three successive Task Managers may have contributed to the disorganized and incomplete record of these reports and to the lack of a systematic analysis of their shortcomings at the time of their submission.</p>
Responsible Agency	UNEP
Timeline	One year from date of TE report

## TERMS OF REFERENCE

### Terminal Evaluation of the UN Environment/Global Environment Facility project “Capacity Building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants”

## Section 1: PROJECT BACKGROUND AND OVERVIEW

### 1. Project General Information

Table 1. Project summary

<b>GEF Project ID:</b>	4091		
<b>Implementing Agency:</b>	UNEP	<b>Executing Agency:</b>	Ethiopian Biodiversity Institute (EBI)
<b>Sub-programme:</b>	Ecosystem Management	<b>Expected Accomplishment(s):</b>	POW 2012-13, SP 3, EA (c)
<b>UN Environment approval date:</b>	<b>24 April 2012</b>	<b>Programme of Work Output(s):</b>	POW 2012-13, SP 3, EA (c), Outputs 1 & 4
<b>GEF approval date:</b>	24 April 2012	<b>Project type:</b>	FSP
<b>GEF Operational Programme #:</b>	Unknown	<b>Focal Area(s):</b>	Biodiversity
		<b>GEF Strategic Priority:</b>	BD1
<b>Expected start date:</b>	June 2012	<b>Actual start date:</b>	22 November 2012
<b>Planned completion date:</b>	May 2016	<b>Actual completion date:</b>	November 2016
<b>Planned project budget at approval:</b>	\$4,872,000	<b>Actual total expenditures reported as of 30/06/18:</b>	\$3,388,086
<b>GEF grant allocation:</b>	\$2,047,000	<b>GEF grant expenditures reported as of 30/06/18:</b>	\$1,975,586
<b>Project Preparation Grant - GEF financing:</b>	\$110,988.75	<b>Project Preparation Grant - co-financing:</b>	\$190,000



<b>Expected Medium-Size Project/Full-Size Project co-financing:</b>	\$2,500,000	<b>Secured Medium-Size Project/Full-Size Project co-financing:</b>	\$1,412,500	
<b>First disbursement:</b>	25th September 2012	<b>Date of financial closure:</b>	To be confirmed	
<b>No. of revisions:</b>	None	<b>Date of last revision:</b>	N/A	
<b>No. of Steering Committee meetings:</b>	To be confirmed	<b>Date of last/next Steering Committee meeting:</b>	<b>Last:</b> 06 Feb 2015 <sup>51</sup>	<b>Next:</b> N/A
<b>Mid-term Review/ Evaluation (planned date):</b>	September 2015	<b>Mid-term Review/ Evaluation (actual date):</b>	October 2015 – April 2016	
<b>Terminal Evaluation (planned date):</b>	To be confirmed	<b>Terminal Evaluation (actual date):</b>	December 2018 – December 2019	
<b>Coverage - Country(ies):</b>	Ethiopia	<b>Coverage - Region(s):</b>	National	
<b>Dates of previous project phases:</b>	GEF-UNDP and World Bank project on Conservation and Sustainable Use of Medicinal Plants in Ethiopia (dates unknown)	<b>Status of future project phases:</b>	TBD	

## 2. Project rationale

1. According to the project's CEO Endorsement Request, Ethiopia is believed to be home to over 6,500 species of higher plants with up to 12% endemic species; and hence is one of the six plant biodiversity rich countries of Africa. Recent biodiversity assessments have shown that Ethiopia has a significant portion of two of the world's 34 biodiversity rich hotspots, i.e. the Eastern Afromontane Biodiversity Hotspot and the Horn of Africa Biodiversity Hotspot (see Conservation International Biodiversity Hotspots, at [www.biodiversityhotspots.org](http://www.biodiversityhotspots.org)). The labeling of an area as a hotspot - high species richness but with significant loss of habitat area - highlights the regions as priorities for the world's conservation efforts.

2. Despite habitat pressures, Ethiopian floral diversity remains high, containing close to 1,000 identified medicinal plant species and many others not yet identified and formally described. Ethiopian medicinal plants are found primarily in the south and south-western parts of the country. In and around the Bale Mountains National Park, for example, is a medicinal plant hotspot with 337 identified medicinal plant species of which 24 are endemic. The species comprised of 283 used as human medicine, 47 used as livestock medicine and

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<sup>51</sup> This is the last Steering Committee meeting as per documentation made available to the Evaluation Manager at the time of drafting the TOR.

76 species used for both humans and livestock by community of healers, harvesters, traders and other users. However, plant supplies are declining throughout the country.

3. Ethiopia's medicinal plants biodiversity is highly threatened by environmental degradation, which poses a serious challenge to the development potential of the country. The key challenges are land degradation, deforestation, alien invasive species, habitat conversion, human encroachment and the consequent loss of wild gene pools. The root causes driving medicinal plants' biodiversity loss include high population growth and changing population dynamics, high reliance on natural resources for economic development compounded by low level of economic development and changes in consumption patterns and the globalization of agricultural markets without adequate protection of medicinal plants.

4. While a relatively complex distribution system and a healing practice have developed in Ethiopia, the trade in medicinal plants is still very much under-developed relative to other agricultural products yet has increasing demand and diminishing supply. For instance, in Ethiopia, about 70% of the human population and 90% of the livestock population are dependent on traditional medicine. 48 million consumers use some 56,000 tons of medicinal plants per annum, with consumers obtaining their plant material from healers, traders and by direct harvesting. Importantly, the consumption is based on largely wild plant stocks. Some 87% or 49,000 tons are harvested from wild stocks, with only 13% or 7,000 tons being cultivated. In 2005, trade in raw medicinal plants was valued at Ethiopian Birr (ETB) 423 million per annum (42% of the expenditure on modern medicines), and the traditional medicine trade value was estimated as ETB 2 billion with some 346,000 income-earning opportunities associated with the trade.

5. Given the great biodiversity of Ethiopia, the export success of coffee and the rapid growth in international demand for herbal medicines, there is real potential for Ethiopia to develop and export herbal medicines in volumes. The growing recognition of the importance of medicinal plants in meeting local and global healthcare needs provides an important opportunity for conservationists, traditional medicine proponents, local communities and others to work together to develop mutually supportive measures to problems associated with forest loss and biodiversity erosion.

6. Ethiopia has played an important role in negotiating the Convention on Biological Diversity (CBD) and the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA). The country has also developed an articulate National Biodiversity Strategy and Action Plan (NBSAP) and as part of the Global Plan of Action some recommendations were made on the conservation and sustainable utilization of plant genetic resources. These agreements and national action plan all place substantial emphasis on in situ conservation as a major strategy for medicinal plants biodiversity management.

7. These policy and legislative frameworks however do not articulate strategies specific to the conservation and sustainable use of medicinal plants in general and the mainstreaming of medicinal plants biodiversity into policies, strategies and plans in other sectors that impact the conservation and sustainable use of medicinal plants. This is compounded by insufficient awareness at policy, scientific and community levels on mainstreaming of medicinal plants into production systems. Their management and long-term security should be ensured through a clear institutional arrangement, with clear conservation objectives and mandates. Such areas should provide additional incomes for the communities concerned, wherever possible, in order to increase the economic value and therefore contribute to development needs. The long-term solution to the genetic erosion of medicinal plants in Ethiopia is to mainstream its conservation into farming and production systems through strategies that simultaneously promote livelihood option and biodiversity conservation.

8. Sustained and coordinated efforts are needed to transform currently unsustainable practices of medicinal plant "mining" from wild sources to more ecologically sustainable, socially acceptable, and economically equitable production and utilization systems premixed on a good national regime on Access and Benefit Sharing (ABS). Therefore, creating the appropriate regulatory and policy environment to ensure sustainable use based on ABS measures thereby contributing to a major objective of the CBD is essential.

### 3. Project objectives and components

9. The goal of the “Capacity Building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants” project, as defined in the CEO Endorsement Request and Project Information Reports, is to safeguard Ethiopia’s medicinal plants biodiversity. However, the Project Document described the goal as “Improved in situ conservation of medicinal plants biodiversity resources secures biodiversity values, ensures food security and sustains human well-being”. The objective is to ensure conservation and sustainable use of biological diversity and associated traditional knowledge through conservation and sustainable use of medicinal plants and the effective implementation of a revised national access and benefit sharing (ABS) regime. This was to be achieved through four components and seven outcomes that focused on strengthening existing efforts in conserving medicinal plants, particularly endemic species and those under threat, and associated traditional knowledge in and around four pilot sites: Bale Mountains National Park (Bale Zone, Oromia Region); Zegei Peninsula forest (Bahr Dar City Administration, Amhara Regional State); Anbessa Forest (Bambasi Woreda, Benshangul-Gumuz Regional State); and Kure Protected Natural Forest (Debub Omo Zone, SNNPR).

10. Component 1 focused on the in-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites by improving the conservation status of threatened medicinal plant species; ensuring sustainable use of medicinal plants; and providing new and diversified livelihoods opportunities for local communities in the project sites. Studies identified gaps in policies and institutional mandates, which were compromising the sustainable use of medicinal plants biodiversity. The project provided funding to formulate recommendations in a participatory process and to lobby for the adoption of those recommendations. In addition, the project was to create awareness and also increase the capacity of the institutions responsible for the management and conservation of medicinal plants to provide traditional healers/farmers/communities and land users skills and knowledge to increase food production while conserving medicinal plants. The project also aimed to convert unsustainable medicinal plants use in four pilot sites to sustainable levels through a participatory process where communities enter into joint medicinal plants sustainable use agreements with the in-situ management.

11. Component 2 was to develop the enabling policy and institutional framework for in situ and ex situ conservation of medicinal plants biodiversity and carry out review of existing policy, law and legislation for medicinal plants; strengthen ABS capacity; and raise awareness about ABS issues. The project was to assist in the preparation of policy/law to ensure that medicinal plants are conserved effectively for the future and that where medicinal plants are taken from the wild, they are taken on a basis that is sustainable. The policy was to include identifying which of the protected areas and/or forests are most important for medicinal plants, targets and techniques for recording and monitoring medicinal plants in protected areas and/or forests, techniques and procedures for collection of medicinal plants within protected areas and/or forests, a legal mechanism to ensure that benefits reach local people, training of stakeholders about medicinal plants including their uses, and public education about medicinal plants in protected areas and/or forests. The project was to also make a concerted effort to build ABS capacity and raise awareness about ABS issues at a variety of levels: from assisting with analyzing agreements, developing negotiating and legal drafting skills, and permit database management, through to improving awareness amongst the research community about the importance of prior informed consent.

12. Component 3 was to develop markets for medicinal plants and biodiversity friendly products by increasing markets by at least 50% through expansion of value-chains and national and international markets that promote farmer uptake of medicinal plants conservation imperatives. The project was to initiate a program to promote local use and marketing of ecosystem specific medicinal plants via home and community herbal gardens. The project was to adopt the strategy proposed for successful marketing and commercialization of underutilized plant species provided by the International Food Policy Research Institute (IFPRI): expansion of demand, improved efficiency of production, and special marketing channels and supply control mechanisms. The project was also to assist in organizing local producer societies in four pilot sites and link them to markets and credits.

13. Component 4 was to build capacity through strengthening national and institutional frameworks for the wider application of ABS measures in Ethiopia and for the conservation and sustainable use of medicinal

plants biodiversity. The national framework was intended to provide a coordinated approach to plant conservation in Ethiopia, and to consist of broad strategies and outline supporting goals and actions to guide efforts for implementing a national medicinal plant conservation strategy at national, regional, zonal, district and local levels. It was also envisaged to forge partnerships with industry, government, academia, tribes and environmental organizations to facilitate sustainable use and conservation of medicinal plants. The project was also to provide information on the threat and impacts of invasive alien plants to the native flora, fauna, and natural ecosystems of the country; facilitate the implementation of restoration programs; strengthen local government to enforce policies and improve conservation of medicinal plants biodiversity at the district/woreda and locality/kebele levels; promote the effectiveness of local institutions in the management of in situ gene banks; facilitate the use of certification as a tool that supports long-term successful and sustainable marketing of medicinal plants and link resources and expertise in developing a coordinated national approach to plant conservation.

Table 2. Summary of project components, outcomes and outputs

Component	Outcomes	Outputs
<p>1. In-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites</p>	<p>1.1: Conservation status of threatened medicinal plant species improved within the pilot areas covering 200,000 ha.</p> <p>1.2: Ensuring sustainable use of medicinal plants</p>	<p>1.1.1: General management plan for in situ</p> <p>1.1.2: A GIS-based, spatial population density map of endemic and threatened medicinal plant species with high economic and social values for 4 pilot sites prepared</p> <p>1.1.3: Levels of (i) "from the wild" collection, (ii) on farm propagation, and (iii) local market demand for medicinal plants conducted</p> <p>1.1.4: Field gene banks: Three new field gene banks for medicinal plants established</p> <p>1.1.5: Awareness of the importance of medicinal plants</p> <p>1.1.6: Pilot study on ecosystem services as an additional revenue stream for local communities</p> <p>1.1.7: M&amp;E for assessing conservation status of medicinal plants at community level</p> <p>1.2.1: Sustainable use for priority threatened medicinal plants drawn up, agreed and being implemented by community management committees</p> <p>1.2.2: An ex situ nursery and stocking programme developed for medicinal plants to establish "feedstock" supplies</p> <p>1.2.3: A catalogue or compendium of propagation and cultivation methods of selected medicinal plants developed</p>

	<p>1.3: Livelihood opportunities based on natural resources and biodiversity</p>	<p>1.2.4: 1200 new home gardens established, supplied with medicinal plants and linked to market opportunities in the pilot sites</p> <p>1.2.5: Guidelines for sustainable harvesting of priority species in the 4 in situ sites prepared based on internationally agreed standards</p> <p>1.3.1: Ensuring equity across gender and vulnerable groups in the management of and benefit from natural resources and biodiversity</p> <p>1.3.2: Prevention and mitigation of climate change effects</p>
<p>2. Enabling policy and institutional framework for in situ and ex situ conservation of medicinal plants biodiversity</p>	<p>2.1: Enhanced implementation of revised national Access and Benefit Sharing (ABS) regime</p> <p>2.2: Increased revenue flows to local communities and businesses arising from ABS</p>	<p>2.1.1: Medicinal plants biodiversity policies revised and medicinal plants conservation and institutional arrangement for their implementation strengthened</p> <p>2.1.2: Local institutions have medicinal plants bylaws and regulations in 4 pilot areas</p> <p>2.1.3: Review of existing ABS regulations and recommendations for revision based on the experience of the pilot studies and in the light of the negotiations of the International Regime (post-COP 10)</p> <p>2.1.4: Administrative system for handling ABS contract negotiations strengthened at central government, and piloted at district (woreda) and local community level</p> <p>2.1.5: Extension packages for conservation and sustainable use</p> <p>2.2.1: Increased revenue flows to local communities and businesses arising from ABS</p>

3. Markets for medicinal plants Biodiversity friendly products promote farmer uptake of medicinal plants biodiversity conservation imperatives	3.1: Markets for medicinal plants friendly products increased by at least 50% through expansion of value chains and national and international markets	3.1.1: Small group trade associations, representing the trade from local levels right up to federal level established  3.1.2: Business and financial capacity  3.1.3: Certification systems/ processes, verification and monitoring compliance
4. Capacity building for wider application of ABS measures in Ethiopia	4.1: A strengthened national institutional framework for conservation and sustainable use of medicinal plants	4.1.1: Local government strengthened to enforce policies and improve conservation of medicinal plants biodiversity at the district/woreda and locality/kebele levels in 4 zones  4.1.2: National extension programme promote medicinal plants conservation and sustainable use  4.1.3: Local communities (farmers, THs, elderly, youth, and women) enhanced and provide support to integrating medicinal plants into farming systems  4.1.4: Effectiveness of local institutions in management of in situ conservation sites  4.1.5: Certification process

#### 4. Executing Arrangements

14. The GEF implementing agency for the project is UN Environment. The project is executed by the Ethiopian Biodiversity Institute (EBI)<sup>52</sup> under guidance of the Ministry of Finance and Economic Development (MoFED). EBI is the lead technical institution responsible for the conservation and sustainable utilization of Ethiopia's biodiversity resources, including medicinal plants biodiversity. EBI was first established in 1976 as the Plant Genetic Resources Centre of Ethiopia (PGRC/E) with the objective of promoting the collection, evaluation, conservation and use of crop germplasm in Ethiopia, East Africa and adjacent regions. In 1998, PGRC/E developed into the Institute of Biodiversity Conservation and Research (IBCR), expanding its mandate to ensuring the conservation of the country's biodiversity resource as a whole. EBI, as re-constituted by Proclamation No 381 of 2004, has the objective to ensure the proper conservation and sustainable utilization of the county's biodiversity resources. Ever since its establishment as PGRC/E, EBI has been collecting, characterizing and cataloguing crop germplasm. To date, EBI has in its long- term storage facility over 62,000 accessions of more than 101 crops and related species. EBI, as the project's executing agency, has overall responsibility for the project involving all the major stakeholder institutions.

15. Project Steering Committee (PSC): The PSC was to be comprised of three categories of membership, representing the various interests of stakeholders as the Executive (project owners), beneficiaries and suppliers. The PSC takes responsibility for the project's feasibility, business plan and achievement of outcomes. Therefore, the PSC is the highest decision-making organ of the project and guides and oversees the project. The PSC is housed within EBI and chaired by the Director General of the EBI who is responsible for supervising project implementation, guiding project activities through technical backstopping and for contracting staff where necessary. UNEP cochairs the PSC. As per the ProDoc, the PSC was to comprise of EBI, UNEP, MoA - Natural Resources and Extension Service Directorates, Ministry of Health (MoH) - Ethiopian

<sup>52</sup> The executing agency named in the ProDoc is the Institute of Biodiversity Conservation (IBC), but in 2013, the IBC changed its name to EBI.

Health and Nutrition Research Institute (EHNRI) and Food, Medicine and Health Care Administration and Control Authority (FMHACA), Regional States (Southern Nations and Nationalities and Peoples [SNNP], Oromia, Amhara and Benshangul-Gumuz), Ministry of Trade (MoT), National Herbarium (ETH) - Addis Ababa University, Bahir-Dar University, Awassa University, Robe University, Ethiopian Institute of Agricultural Research (EIAR), Traditional Healers Association (THA), Private Sector and NGOs. The PSC was to ensure the project's scope aligns with the requirements of the stakeholder groups, and to represent stakeholder interests in project deliberations. The PSC was to also guarantee effort and expenditure are appropriate to stakeholder expectations. The PSC members were to meet at least once a year.

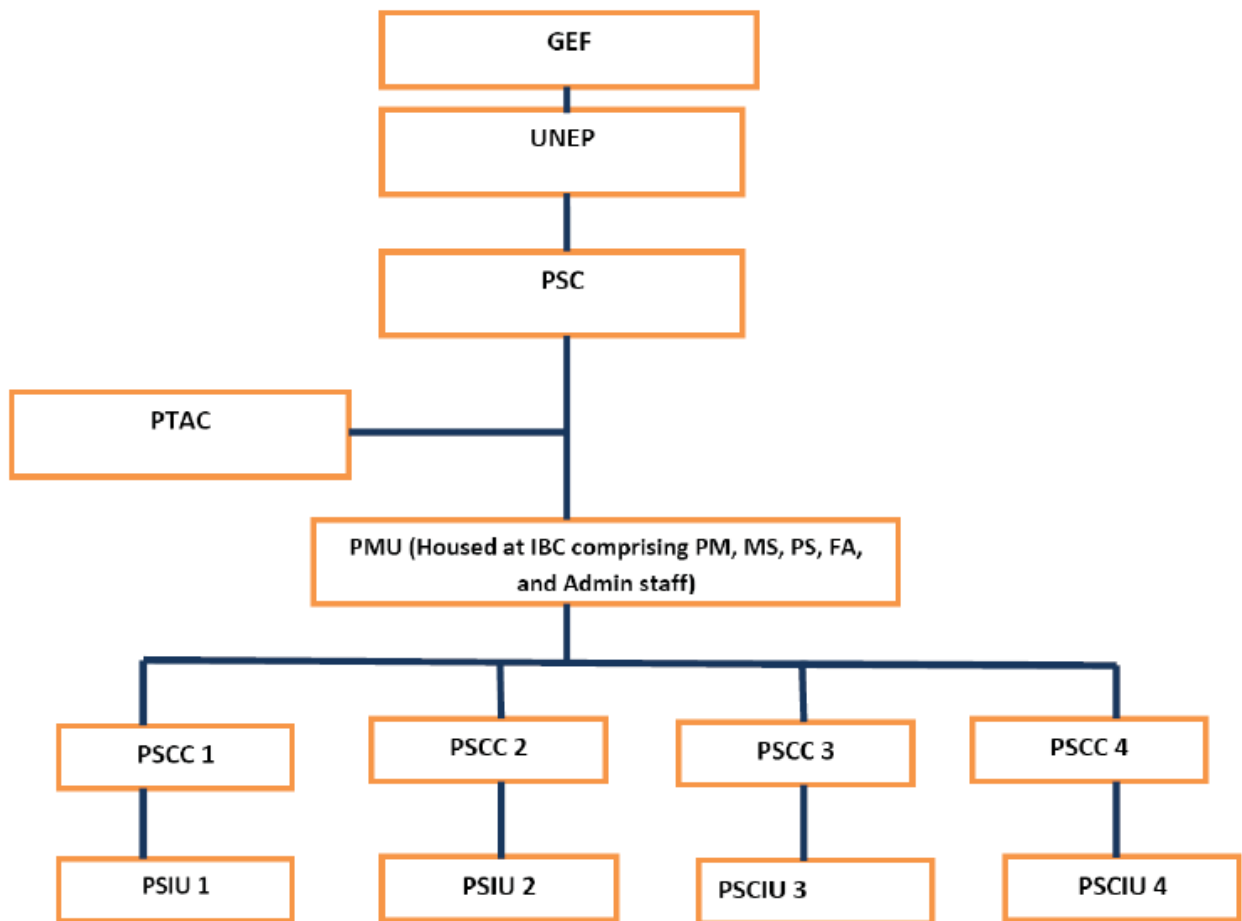
16. Project Technical Advisory Committee (PTAC): A PTAC was to be established to provide technical and methodological expertise to the project at national, state and local level. The PTAC was to consist of a representative from the National Herbarium (ETH) - Addis Ababa University, Bahir-Dar University, Awassa University, Robe University, Ethiopian Institute of Agricultural Research (EIAR), Ethiopian Health and Nutrition Research Institute (EHNRI) and Food, Medicine and Health Care Administration and Control Authority (FMHACA), and the Private Sector. The PTC was to advise the Project Management Unit on implementation problems that emerge and ensure the technical soundness of the project outputs.

17. Project Management Unit (PMU): The PMU was to provide overall leadership, management and technical guidance to ensure the achievement of project objectives and delivery of project outputs across the four pilot sites in close consultation with the site level project management units, stakeholders and partners. The PMU was to provide functional expertise in the project administrative process and work with users to ensure the project meets business needs. The PMU was to be located EBI and responsible for day-to-day oversight and coordination of implementation of project activities including supervision of activities contracted to consultants. The PMU was to consist of a National Project Manager (NPM), Market Specialist, Policy Specialist and support staff (financial officer, Project assistant/secretary and a driver/messenger). The NPM was to be the head of the PMU, report to the Director General of the EBI, maintain liaison with UNEP, and be responsible for national level outcomes as well as support to the site level project activities.

18. Project Site Implementation Unit (PSIU): The project was to have four pilot sites at Bale Zone of Oromia, Benshangul Gumuz (Anbesa Forest), South Omo (Kure Protected National Forest) in SNNP and the Amhara (Zegei Plateau Forest). Activities at each site were to be coordinated by a Project Site Implementation Unit (PSIU) consisting of a Project Site Officer (PSO), Project Site Policy and Marketing Associates and support staff (project administration officer/secretary and driver/messenger). The PSIU was to be under the guidance of the NPM and with technical back up from the Market and Policy Specialists at the PMU based at EBI.

19. Project Site Coordination Committee (PSCC): At each of the four project sites, there was to also be a Project Site Coordination Committee (PSCC) consisting of all project stakeholder institutions. The PSCC was to be responsible for forging linkages between sectors, guiding and coordinating the delivery of site activities, and ensuring that the project is delivered on time, to budget and to the required quality standard (within agreed specifications). The PSCC was to also ensure that the project is effectively resourced and manage relationships with a wide range of groups maintaining a co-operative, motivated and successful team. The PSCC was to meet at least once every quarter to review work plans, review progress, discuss implementation barriers, agree on ways of addressing conservation barriers, forge linkages, harmonize activities, exchange information and experiences, provide guidance for implementation and make financial decisions. The PSCC was to be comprised of representatives from district/woreda administration, agricultural office, environmental protection desk, office of land administration, Women's Association, Traditional Healers Association, cooperatives/farmers, CSOs, NGOs, private sector, elders and the youth. The PSCC was to be chaired by the Head of the district/woreda of the area where the landscapes are situated. The salaried Project Site Officers (PSO) were to support the operations of the PSCC by running day-to-day affairs of the project, ensuring development of joint work plans, receiving funds, delivering activities according to work plans, preparing reports and accounting for their funds in a timely manner.

20. The institutional framework for the project implementation, covering all components of the project as described above, is illustrated in the following chart (as depicted in Annex 10 of the original ProDoc).



**GEF** –Global Environment Facility; **UNEP**-United Nations Environment Programme; **PSC**- Project Steering Committee

**PTAC**- Project Technical Advisory Committee

**PMU** - Project management Unit (comprising PM=Project manager; MS=Marketing specialist, PS=Policy specialist, FA=Finance Assistants)

**TA** - Technical Advisor

**PSCC** - Project Site Coordination committee

**PSIU** - Project Site Implementation Unit (comprising PSO=Project site officer, PSP/PSM Project site policy and Marketing Associates and support staff (project administration officer /secretary and driver/messenger)

## 5. Project Cost and Financing

21. The GEF funding for the project was 2,047,000 USD. Table 3 describes the planned budget by component and Table 4 summarizes the project co-financing as per the project design documentation. Note that reporting of the project expenditures was not done by component.



**Table 3. Planned Budget by Outcome/Output<sup>53</sup>**

<b>Component/sub-component/output (All figures as USD)</b>	<b>GEF Financing</b>	<b>Co-Financing</b>	<b>Estimated total cost at design</b>
Component 1	516,600	700,000	1,216,600
Component 2	274,500	230,000	504,500
Component 3	238,900	300,000	538,900
Component 4	713,000	870,000	1,583,000
Project M&E	107,000	150,000	257,000
Project Management	197,000	250,000	447,000
<b>TOTAL PROJECT COSTS</b>	<b>2,047,000</b>	<b>2,500,000</b>	<b>4,547,000</b>

**Table 4: Co-financing Table**

<b>Co financing (Type/Source)</b>	<b>UN Environment own Financing (US\$1,000)</b>		<b>Government (US\$1,000)</b>		<b>Other* (US\$1,000)</b>		<b>Total (US\$1,000)</b>		<b>Total Disbursed (US\$1,000)</b>
	<b>Planned</b>	<b>Actual</b>	<b>Planned</b>	<b>Actual</b>	<b>Planned</b>	<b>Actual</b>	<b>Planned</b>	<b>Actual</b>	
- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support			2,500	1,412.50					
- Other (*) -									
<b>Totals</b>			2,500	1,412.50					

\* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

<sup>53</sup> From the CEO Endorsement Document – 03/05/2012

## 6. Implementation Issues

22. Lack of interest in or support of the project, market failure, and ABS policy implementation issues were mentioned as a high-level risks to the project implementation in the CEO Endorsement. The PIRs available to the evaluation manager don't identify any major implementation issues. Some staff turnover and some changes in the context in Ethiopia occurred, namely unforeseen restrictions on traditional medicine, but were not reported to have had much of an effect on the project's timeline or anticipated outcomes. However, due to staff turnover, particularly of the Task Manager, some project documentation is missing.

23. The Mid-term Review (MTR) of the project was conducted from October 2015 to April 2016. The review's dimensions were mainly rated 'Highly Satisfactory' or 'Satisfactory' indicating that the project was on track despite the challenges faced with regards to staff changes in the pilot sites, the restrictions on traditional medicine which affects the activities of traditional healers, late start of mostly market related activities and late disbursement of funds. The report also noted that the project's results have not been as effective on the policy and marketing components, in particular linking cooperatives with the private sector and the failure to finalise the medicinal plant review document and use the recommendation of the ABS gap analysis study. Some other delays due to the transition to Umoja and the high cost of the construction of the field gene bank offices were reported but also did not have too much of an effect on the project's timeline or anticipated outcomes.

## **Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION**

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### 7. Key Evaluation principles

24. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

25. The "Why?" Question. As this is a terminal evaluation and a follow-up project is a possibility, particular attention should be given to learning from the experience. Therefore, the "Why?" question should be at the front of the consultants' minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultants need 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 was as it was. This should provide the basis for the lessons that can be drawn from the project.

26. Baselines and counterfactuals. In attempting to attribute any outcomes and impacts to the project intervention, 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, trends and counterfactuals in relation to the intended project outcomes and impacts. It 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, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

27. Communicating evaluation results. A key aim of the evaluation is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all

of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

## 8. Objective of the Evaluation

28. In line with the UN Environment Evaluation Policy<sup>54</sup> and the UN Environment Programme Manual<sup>55</sup>, the Terminal Evaluation (TE) is undertaken at completion 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 operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and EBI. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation [especially for the second phase of the project, if applicable].

## 9. Key Strategic Questions

29. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the strategic questions listed below. These are questions of interest to UN Environment and to which the project is believed to be able to make a substantive contribution:

- (a) To what extent have the policy and institutional frameworks supported by the project ensured a sustainable conservation and utilization of medicinal plants in the project's target areas? How effective have the legislative and policy options been in strengthening national systems on conservation of medicinal plants biodiversity?
- (b) To what extent have the project's activities addressed the barriers to the ABS in medicinal plant resources and associated traditional knowledge? To what extent did removing those barriers contribute towards sustainable use of medicinal plants and livelihood/income improvements in target areas?
- (c) Is there evidence that the project's activities sufficiently demonstrated market value to local communities such that the same activities were adopted by farming communities outside the four pilot areas, i.e. was the project catalytic in nature and not only self-sustaining but expanding with no further GEF support?
- (d) To what extent, if any, have the project activities and outcomes contributed to the conservation/biodiversity of other genetic resources?
- (e) Under the institutional sustainability section, to what extent and how were the biodiversity centres that were established in the four pilot areas equipped to ensure that the conservation and sustainable use of medicinal plants does not end when the project ends? Are there any particular lessons learned and recommendations that could be applied to potential follow on programming to build on the work of this project in establishing these centres?

## 10. Evaluation Criteria

30. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

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<sup>54</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPevaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>55</sup> [http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf) . This manual is under revision.

## A. Strategic Relevance

31. The evaluation will assess, in line with the OECD/DAC definition of relevance, 'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'. The evaluation will include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. Alignment to the UN Environment Medium Term Strategy<sup>56</sup> (MTS) and Programme of Work (POW)

32. The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. Alignment to UN Environment / Donor/GEF Strategic Priorities

33. Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>57</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

iii. Relevance to Regional, Sub-regional and National Environmental Priorities

34. The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the country, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

iv. Complementarity with Existing Interventions

35. An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UN Environment's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

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<sup>56</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

<sup>57</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

## B. Quality of Project Design

36. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established ([www.unep.org/evaluation](http://www.unep.org/evaluation)). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

## C. Nature of External Context

37. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

## D. Effectiveness

### i. Delivery of Outputs

38. The evaluation will assess the project's success in producing the programmed outputs (products, capital goods and services resulting from the intervention) and achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The delivery of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision<sup>58</sup>

### ii. Achievement of Direct Outcomes

39. The achievement of direct outcomes (short and medium-term effects of the intervention's outputs; a change of behaviour resulting from the use/application of outputs, which is not under the direct control of the intervention's direct actors) is assessed as performance against the direct outcomes as defined in the reconstructed<sup>59</sup> Theory of Change. These are the first-level outcomes expected to be achieved as an

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<sup>58</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

<sup>59</sup> UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design

immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the direct outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

### iii. Likelihood of Impact

40. Based on the articulation of longer-term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

41. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>60</sup>

42. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>61</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

43. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals<sup>62</sup> and/or the high-level results prioritised by the funding partner.

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

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and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

<sup>60</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses>

<sup>61</sup> Scaling up refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. Replication refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

<sup>62</sup> A list of relevant SDGs is available on the EO website [www.unep.org/evaluation](http://www.unep.org/evaluation)

- Communication and public awareness

## **E. Financial Management**

44. Financial management will be assessed under two themes: completeness of financial information and communication between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The evaluation will verify the application of proper financial management standards and adherence to UN Environment's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

## **F. Efficiency**

45. In keeping with the OECD/DAC definition of efficiency the evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focusing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

46. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UN Environment's environmental footprint.

47. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

## G. Monitoring and Reporting

48. The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

### i. Monitoring Design and Budgeting

49. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>63</sup> indicators towards the delivery of the projects outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

### ii. Monitoring of Project Implementation

50. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

### iii. Project Reporting

51. UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The evaluation will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g disaggregated indicators and data)

## H. Sustainability

52. Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

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<sup>63</sup> SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.



### **i. Socio-political Sustainability**

53. The evaluation will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

### **ii. Financial Sustainability**

54. Some direct outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

### **iii. Institutional Sustainability**

55. The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

## **I. Factors and Processes Affecting Project Performance**

(These factors are rated in the ratings table, but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above)

### **i. Preparation and Readiness**

56. This criterion focuses on the inception or mobilisation stage of the project (ie. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is included in the template for the assessment of Project Design Quality).

### **ii. Quality of Project Management and Supervision**

57. In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically

for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UN Environment.

58. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

### **iii. Stakeholder Participation and Cooperation**

59. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UN Environment. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

### **iv. Responsiveness to Human Rights and Gender Equity**

60. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

61. In particular the evaluation will consider 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.

### **v. Country Ownership and Driven-ness**

62. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to direct outcomes or b) moving forward from direct outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs of interest of all gendered and marginalised groups.

### **vi. Communication and Public Awareness**

63. The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

### **Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES**

64. The Terminal Evaluation 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 as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

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

(a) A **desk review** of:

- Relevant background documentation, such as the UNEP Medium-term Strategies and 2012-2017 Programmes of Works, the United Nations Development Assistance Framework for Ethiopia (UNDAF), and Ethiopian national biodiversity strategies and plans;
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget, legal agreements and revisions with partners, co-financing agreements, GEF Secretariat Reviews, etc.;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: Management Plan for in-situ conservation of medicinal plants biodiversity; GIS based special population density map of endemic and threatened medicinal plant species; documentation of levels of "from the wild" collection, on farm propagation and local market demand; documentation of the state of priority of threatened medicinal plants in the four pilot sites; catalogue or compendium of propagation cultivation methods of selected medicinal plants; etc.
- Mid-Term Review of the project;
- Evaluations/reviews of similar projects.

(b) **Interviews** (individual or in group) with:

- UN Environment Task Manager (TM);
- Project management team;
- UN Environment Fund Management Officer (FMO);
- Sub-Programme Coordinator;
- UN Environment GEF Portfolio Manager for Biodiversity and Land Degradation;
- Project Steering Committee (PSC) members;
- Project Technical Advisory Committee (PTAC) members;
- Project Site level implementation team;
- Project Site Coordination Committee (PSCC) members;

- Project partners, including key stakeholders at MoA, MoH, MoT, MoWE, MoST, MoTC, EPA, Universities, research institutions, traditional healers, farming communities, and regional bureaus and states;
  - Relevant resource persons.
- (c) **Surveys** (to be defined in the inception phase)
- (d) **Field visits** to Addis Ababa, Ethiopia and selected pilot sites (identified during evaluation inception phase)
- (e) **Other data collection tools**

## 11. Evaluation Deliverables and Review Procedures

66. The evaluation team will prepare:

- Inception Report: (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- Approved Field Mission Plan: containing a detailed preliminary schedule of the evaluation field mission to Ethiopia and Nairobi that includes sites to be visited and stakeholder meetings/interviews.
- Preliminary Findings Note: typically in the form of a powerpoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings.
- Draft and Final Evaluation Report: (see links in Annex 1) containing an executive summary that can act as a standalone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
- Evaluation Bulletin: a 2-page summary of key evaluation findings for wider dissemination through the EOU website.

67. Review of the draft evaluation report. The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

68. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

69. The Evaluation Manager will prepare a quality assessment of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

70. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six monthly basis.

## **12. The Evaluation Consultant**

71. For this evaluation, the evaluation team will consist of a Team Leader and one Supporting Consultant who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager Martina Bennett, in consultation with the UN Environment Task Manager Jane Nimpamy, Fund Management Officer Pooja Bhimjani, and the Coordinator of the Ecosystem Management Sub-programme Marieta Sakalian. The consultants will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for her/his visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

72. The Team Leader will be hired for 6 months spread over the periods 15 December 2018 to 31 January 2019 and 01 August 2019 to 31 December 2019 and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 10 years of technical / evaluation experience, including of evaluating large national programmes and using a Theory of Change approach; a broad understanding of Access and Benefit Sharing and Biodiversity Conservation and Sustainable Use; excellent writing skills in English; and, where possible, knowledge of the UN system, specifically of the work of UN Environment.

73. The Supporting Consultant will be hired for 6 months spread over the periods 15 December 2018 to 31 January 2019 and 01 August 2019 to 31 December 2019 and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 7 years of technical/monitoring/evaluation experience; a broad understanding of the Ethiopian biodiversity context and ABS policies; proficiency in Amharic is required, along with excellent writing skills in English and, where possible, knowledge of the UN system, specifically of the work of UN Environment. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation consultants.

74. The Team Leader will be responsible, in close consultation with the Evaluation Office of UN Environment, for overall management of the evaluation and timely delivery of its outputs, described above in Section 11 Evaluation Deliverables, above. The Supporting Consultant will make substantive and high-quality contributions to the evaluation process and outputs, and be in charge of providing country context, assisting in site visit logistics, and interpreting during interviews with local community stakeholders. Both consultants will ensure that all evaluation criteria and questions are adequately covered. Detailed roles and responsibilities related to data collection and analysis and reporting will be agreed upon within the Team and specified in the Inception Report.

75. Specifically, Evaluation Team members will undertake the following:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);

- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- conduct an evaluation mission to Ethiopia, visit the selected project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress and engage the Project/Task Manager in discussions on emerging findings throughout the evaluation process.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection; and
- prepare a 2-page summary of the key evaluation findings and lessons;

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

### 13. Schedule of the evaluation

76. The table below presents the tentative schedule for the evaluation.

**Table 5. Tentative schedule for the evaluation**

Milestone	Tentative Dates
Inception Phase and Desk Review	December 15 <sup>th</sup> – January 20 <sup>th</sup>

Inception Report (first submission)	January 21 <sup>st</sup>
Inception report (final submission)	January 31 <sup>st</sup>
Evaluation interviews (Skype) and Mission preparations	August 1 <sup>st</sup> - 24 <sup>th</sup>
Submission of Field Mission Plan	August 9 <sup>th</sup>
Evaluation Mission – Addis Ababa and pilot site visits	August 25 <sup>th</sup> – September 10 <sup>th</sup>
Powerpoint/presentation on preliminary findings and recommendations	September 25 <sup>th</sup>
Draft report to Evaluation Manager (and Peer Reviewer)	October 9 <sup>th</sup>
Draft Report shared with UN Environment Task Manager and team	November 4 <sup>th</sup>
Draft Report shared with wider group of stakeholders	November 25 <sup>th</sup>
Final Report	December 16 <sup>th</sup>
Final Report shared with all respondents	December 20 <sup>th</sup>

#### 14. Contractual Arrangements

77. Evaluation Consultants will be selected and recruited by the Evaluation Office of UN Environment under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UN Environment/UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their 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 the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

78. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

79. Schedule of Payment for the Evaluation Team Leader:

Deliverable	Percentage Payment
Approved Inception Report ( <i>as per annex document 7</i> )	30%
Approved Field Mission Plan	15%
Approved Draft Main Evaluation Report ( <i>as per annex document 13</i> )	15%
Approved Final Main Evaluation Report	40%

80. Schedule of Payment for the Support Consultant:

Deliverable	Percentage Payment
Approved Inception Report ( <i>as per annex document 7</i> )	30%
Approved Draft Main Evaluation Report ( <i>as per annex document 13</i> )	30%
Approved Final Main Evaluation Report	40%

81. Fees only contracts: Air tickets will be purchased by UN Environment and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

82. The consultants may be provided with access to UN Environment's Programme Information Management System (PIMS) and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

83. In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UN Environment Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UN Environment's quality standards.

84. If the consultant(s) fail to submit a satisfactory final product to UN Environment in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.



## Persons contacted

	Contact name	Contact Position & Organization	Connection to project
<b>Nairobi</b>			
1.	Martina Bennett	Evaluation Manager- UNEP Nairobi	UNEP Evaluation Manager
2.	Jane Nimpamy	Task Manager- UNEP Nairobi	Task Manager
3.	Pooja Bhimjani	FMO- UNEP Nairobi	FMO
4.	Johan Robinson	Portfolio Manager- UNEP Nairobi	Head GEF Biodiversity and Land Degradation Portfolio Unit
<b>Addis Ababa</b>			
5.	Tesfaye Awas	Ethiopia Biodiversity Institute (EBI) staff and Project Manager (PM)	Project Manager (head of Project Management Unit (PMU))
6.	Melesse Mario	EBI Director General- Current	Top decision maker- EBI
7.	Ashenafi Ayenew	EBI ABS Directorate- Director	Member of Project Steering Committee (PSC)
8.	Motuma Didita	EBI Forest and Rangeland Directorate -Expert	Member of PSC
9.	Tamirat Bekele	National Herbarium Addis Ababa University	Member of PSC
10.	Gemedo Dale	EBI ex-Director General	Chair of the PSC
11.	Fasil Kibebew	Consultant	Project developer
12.	Asfaw Debela	Ministry of Health- Ethiopian Health and Nutrition Research Institute (EHNRI)	Member of PSC
13.	Merga Habtamu	EBI, Ex-Project Finance Officer	Finance Officer (staff of the PMU)
14.	Wordy Hashim	GEF focal person- Commission of Environment, Forest and Climate Change (CoEFCC)	
15.	Fantahun Gezie-	Focal person for the GEF Projects -CoEFCC	

	Contact name	Contact Position & Organization	Connection to project
16.	Ketema Nanecha	EBI, Ex- Project marketing officer	Market Specialist (member of the PMU)
17.	Mohammed Osuman	Ministry of Finance and Economic Development – Director of Multilateral Cooperation Directorate (UN Agencies, CRGE Facility and Regional Economic Cooperation)	Staff Representative on the PSC
18.	Mr. Radietu Denu,	EBI, ex- Project Policy specialist	Policy Specialist (member of the PMU)
19.	Mr. Kahsay Gebretensay	Ethiopian Wildlife Conservation Authority (EWCA)	Member of the PSC
20.	Ms. Seble Samuel	Ministry of Health (MoH) – Ethiopia Food, Medicine and Health Care Administration and Control Authority (EFMHACA)	Member of the PSC
21.	Mr. Fekade Wondmagegn,	Ministry of Agriculture (MoA), Extension Service Directorate-Expert	Member of the PSC
22.	Mr. Esayas Lemma	Ministry of Agriculture, Director of Crop Development Directorate	Member of the PSC
23.	Dr. Mitsilal Kifleyesus-Matschie	Owner of Ecological Products of Ethiopia (ECOPIA) / Private company of traditional medicine	Private partner
24.	Mrs. Tadelech Taddese	Owner of Ariti Herbal Products/ Private company of traditional medicine	Private partner
<b>Zegie Pilot site</b>			
25.	Ediget Merawi	EBI Bahir Dar Biodiversity Centre Director	Custodian of project results in Zegie site
26.	Atena Abebe	Zegie Kebele administrator	Project Site Coordination Committee (PSCC)
27.	Beza Leadamu-	Zegie Traditional healer (TH)	Member of Zegie PSCC

	Contact name	Contact Position & Organization	Connection to project
28.	Ayalew Wonde	Bahir Dar University staff	Project Technical Advisory Committee (PTAC) & PSCC
29.	Tigist Deribew	Bahir Dar City Administration Agriculture office- expert	Member of PSCC /Zegie
30.	Muluneh Guade	Amhara Regional State Bureau of Health, Department of Licensing Traditional Healers and Pharmacists, Officer	
31.	Habtam Tesfaye	Bahir Dar City Administration Cooperative Development Office, officer	
32.	Melisachew Mengistu	Team Leader of Millennium Park Greening in Bahir Dar City (Environment Office)	Project training beneficiary
33.	Amelmal Wubetu	Beneficiary woman /Zegie	Farmer/Zegie
34.	Girmaw Alebachew	Beneficiary farmer of Moringa plant/Zegie	Farmer/Zegie
35.	Getachew Gebeyehu	Bahir Dar Agriculture Office- staff	Retired (former Project focal person and coordinator of Zegie Biodiversity center)
36.	Taddese Adgo	Lake Tana Biosphere Reserve Project Coordinator (NABU Project)	Share one ecosystem with the project site- Zegie
<b>Kure Pilot site</b>			
37.	Getu Wolde	EBI, Project Coordinator – Kure site	Coordinator of Kure Pilot site and PSCC
38.	Manyalew Geleta	South Ari Woreda Agriculture office, officer	Project focal person and member of the PSCC
39.	Netsanet Chali	EBI-Kure field gene bank focal person	Keeper - Kure Medicinal Plants Field Gene Bank
40.	Mereneh Tamiru	Agriculture office head-Kure	Kure PSCC member
41.	Tariku Tesfaye	Cooperative office head-Kure site	Kure site PSCC member

	Contact name	Contact Position & Organization	Connection to project
42.	Zewditu Deo	Beneficiary-Traditional healers' association (THA) member of Kure Kebele	Traditional healer/farmer
43.	Bekele Deisa	Chairperson of Kayisa THA/PSCC	Traditional healer/farmer
44.	Shocha Kassa	Vice chairperson of Kayisa THA/PSCC	Traditional healer/farmer
45.	Seisi Kayisa	Arkisha Kebele THA /PSCC	Traditional healer/farmer
<b>BMNP Pilot site</b>			
46.	Nugusu Girma	EBI Goba Biodiversity Center Director	Custodian of project results
47.	Tegene Regassa	Goba Medicinal Plant Field Gene Bank coordinator	Custodian
48.	Asegid Teshome	Bale/Goba Woreda Agriculture office, Officer	Project focal person / PSCC
49.	Masresha Nigatu	Goba/Bale Cooperative office, Officer	Participant in trainings
50.	Oumar Sanii	Environment and Natural Resources department- Head (Goba)	Participant in trainings /PSCC member
51.	Ejara Asefa	EBI, Ex-project Marketing Officer of Bale MNP site	Project site level Market Specialist
52.	Mohammed Hussien	Member of traditional healers' association of Dinsho woreda/PSCC	Traditional healer/farmer
53.	Hassen Seid	Chair Person Traditional healers' association of Dinsho woreda -Bale	PSCC and Traditional healer/farmer
54.	Shamil Kedir	Bale Mountains National Park (BMNP) Chief Warden	Partner/share the same ecosystem
55.	Mohamed Kedir	Bale Mountains National Park (BMNP) Warden	Partner/share the same ecosystem
56.	Terefe Erdaye	EBI, Ex-project Policy Officer of Bale MNP site	Site level Policy Specialist
57.	Mezemir Girma	Shashemene Botanical Garden Director	

### Annex III. Non-Financial Documents Consulted

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(limited to project output documents and other documents actually read)

#### **Project output documents provided for review:**

- Amhara Regional State Health Bureau, Traditional Healers (Healing) Administration and Control Directive, February 2014, Bahir Dar, Ethiopia
- Balemi, Kebu (PhD candidate). (undated). Medicinal Plants in and Around the Kure Forest, Southern Ethiopia (Report submitted to Capacity Building for Access and Benefit Sharing and Conservation and sustainable Use of Medicinal Plants Project, Ethiopian Biodiversity Institute (EBI) Addis Ababa)
- BMNP, Bale Mountains National Park (BMNP) General Management Plan for Ten Years (2017-2027)
- Community bylaws: Zegie Kebele, Yiganda Kebele
- EBI, Medicinal Plants Marketing Strategy, Ethiopia ABS CSUMP Project, EBI/UNEP/GEF, June 2015
- EBI, Project Implementation Report on Markets for medicinal plants biodiversity friendly products promote farmer uptake of medicinal plants biodiversity conservation imperatives, Ethiopia ABS CSUMP Project, August, 2015
- EBI, Knowledge and Community Right in relation to Nagoya Protocol, Ethiopia ABS CSUMP project, August 2015, Addis Ababa, Ethiopia
- EBI, Translations- Nagoya Protocol Translated in Amharic and Afan Oromo versions
- EBI/UNEP/GEF(no other author listed), Analysis of policy, laws, regulations, legal and Institutional Framework for Conservation and Sustainable use of Medicinal Plants in Ethiopia. Ethiopia ABS CSUMP Project, January 2015
- Ethiopia ABS CSUMP Project, Extension package/manual on propagation, harvesting and management of Moringa plant (*Moringa stenopetala*)
- Ethiopia ABS CSUMP Project Extension package/manual on propagation, harvesting and management of Gizewa plant (*Withania somnifera*)
- Ethiopia ABS CSUMP Project Extension package/manual on propagation, harvesting and management of Ensilal plant (*Foeniculum vulgare*)
- Ethiopia ABS CSUMP Project (no other author listed). Jan 2015. "Analysis of policy, laws, regulations, legal and institutional framework for conservation and sustainable use of medicinal plants in Ethiopia."
- Ethiopia ABS CSUMP Project (no other author listed), August 2015. "Legal gaps in Proclamation No 482/2006 Ethiopia Access to Genetic Resource and Community Knowledge and Community Right in relation to Nagoya Protocol"
- Tamene, Yohannes, 25 August 2015. Progress Report for PhD Research entitled "Study on Plant Diversity and Carbon Stock Analysis along Environmental Gradients: The Case of Gerjeda and Anbessa Forests in Western Ethiopia."
- "Sustainable Use Agreement document of Medicinal Plant Conservation and Sustainable Use Between Harena BullukWoreda pastoralist development office and Sodu-welmel Community," dated January, 2014
- Wassie, Abiyot Berhanu (PhD candidate). February-September 2014. Medicinal Plants in and Around the Zegie Forest, Northwest Ethiopia (Report submitted to Capacity Building for

### **Other documents reviewed**

- Ayenew, Ashenafi, Director, Genetic Resources Access and Benefit Sharing Directorate, 4 March 2016, Letter to United Nations Environment Program, Division of Environmental Policy Implementation, Subject" Confirmation of handing-over of project activities
- Bali Strategic Plan for Technology Support and Capacity Building, UNEP/GC.23/6/add, 21-25 February 2005, available at: <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>
- CEO Endorsement Letter (Letter dated 24 April 2012 from Monique Barbut, GEF CEO and Chairperson to Ms Maryam Niamir-Fuller, GEF Executive Coordinator, UNEP)
- CEO Endorsement Request and Approval (Letter dated 23 March 2012 from Monique Barbut, GEF CEO and Chairperson to GEF Council members)
- Convention on Biological Diversity, September 2005, Ethiopia's 4th National Report
- Didita, Motuma, Director Forest and Rangeland Plant Biodiversity Directorate, 1 March 2016, Letter to United Nations Environment Program, Division of Environmental Policy Implementation, Subject" Confirmation of handing-over of project activities
- EBI, "Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants Project", Addis Ababa, September 2014
- EBI, "Capacity Building for Access and Benefit-sharing Conservation and Sustainable Use of Medicinal Plants - 2016 Annual WorkPlan" (PowerPoints)
- EBI: Minute of the 3<sup>rd</sup> Steering committee meeting, 06 February 2015
- Ethiopia ABS CSUMP FSP Project Document (Prodoc), labeled "final" and dated 21 February 2012, with some appendices and annexes (as well as numerous amendments and revisions)
- Ethiopia ABS CSUMP Project, Minutes of Project appraisal meeting, 22 November 2012
- Ethiopia ABS CSUMP Project, Program of the First Steering Committee Meeting, 22 November 2012
- Ethiopia ABS CSUMP Project, Inception Workshop agenda 23-24 Nov 2012
- Ethiopia ABS CSUMP Project, 12 months annual work plan/ January 1, 2013—December 30, 2013
- Ethiopia ABS CSUMP Project: 2013 Annual Report&4Q13exp rpt")
- Ethiopia ABS CSUMP, 2013 Annual Report (December 2013)
- Ethiopia ABS CSUMP Project, 2014 Annual Report (December 2014)
- Ethiopia ABS CSUMP Project, 2014 Annual Work plan, January – December 2014
- Ethiopia ABS CSUMP Project, 2015 Annual Report (October 2015) (Nine months)
- Ethiopia ABS CSUMP Project, 2015 Annual WorkPlan
- Ethiopia ABS CSUMP Project, 2015 Annual National Report (December 2015)
- Ethiopia ABS CSUMP Project, revised 2015 Annual Work plan, September 2015
- Ethiopia ABS CSUMP Project, 2016 Annual Work plan, January – August 2016 (8 Months)
- Ethiopia ABS CSUMP Project, 2016 Annual Plan (Power point), 13 October 2015
- Ethiopia ABS CSUMP Project, 2016 Annual WorkPlan
- Ethiopia ABS CSUMP Project Exit Strategy (Power point), 13 October 2015
- Ethiopia ABS CSUMP Project, 2013 Annual Report, Addis Ababa, December 2013
- Ethiopia ABS CSUMP Project: 2015 Annual National Report
- Ethiopia ABS CSUMP Project, Terminal Report (undated)
- Ethiopia ABS CSUMP Project, List of Site level Project Staff
- Ethiopia Ministry of Finance and Economic Development (MoFED), The Growth and Transformation Plan (GTP) 2010/11-2014/15, September 2010

Global Environment Facility (GEF), Scientific and Technical Advisory Panel, "STAP Scientific and Technical screening of the Project Identification Form (PIF)" Date of screening: May 11, 2010 [online at [https://www.thegef.org/sites/default/files/project\\_documents/4091-2010-05-12-114030-STAPReviewAgency\\_0.pdf](https://www.thegef.org/sites/default/files/project_documents/4091-2010-05-12-114030-STAPReviewAgency_0.pdf)]

GEF Secretariat Review [Checklist], undated

GEF Secretariat Review For Full/Medium-Sized Projects, dated 24 April 2012

Government of Ethiopia (GOE), National Biodiversity Strategy and Action Plan, Institute of Biodiversity Conservation, Addis Ababa, December 2005;

GOE, Proclamation N0147/1998 A Proclamation to Provide for the Establishment of Cooperatives Societies

GOE, Council of Ministers Regulation No 169/2009: Access to Genetic Resources and Community Knowledge and Community Rights

GOE, Directorate Institute of Biodiversity Conservation, Genetic Resources Transfer and Regulation, October 2012

GOE, Proclamation N0753/2012, A Proclamation to Provide for the Ratification of the Nagoya Protocol on Access to Genetic Resources and Fair and Equitable Sharing of Benefits from their Utilization

GOE, Proclamation No. 482/2006: A Proclamation to Provide for Access To Genetic Resources and Community Knowledge And Community Right

GOE, Proclamation No. 649/2009, The Ethiopian Procurement

A Guide to Access to Genetic Resources and Community Knowledge and Benefit Sharing in Ethiopia

Marcelin Tonye Mahop, April 2016, "Mid-term Review Report: Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants (Ethiopia ABS CSUMP) Project No: GFL-5060-2715-4C56".

Marcelin Tonye Mahop, Dec 2015, "Inception Report for the Mid-term Review of the Project: Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants (Ethiopia ABS CSUMP) Project No: GFL-5060-2715-4C56".

PIF – FTP Submission, date 28 April 2010 (as well as numerous amendments and revisions)

PIF Review Response, undated

PPG Prodoc (undated)

PPG Request form

UNEP GEF, 2013, PIR Fiscal Year 13, (1 July 2012 to 30 June 2013)

UNEP GEF, 2014, PIR Fiscal Year 2014 (1 July 2013 to 30 June 2014)

UNEP GEF, 2015 PIR Fiscal Year 15 (1 July 2014 to 30 June 2015)

UNEP/Institute of Biodiversity Conservation, Project cooperation Agreement, dated and signed 7/8/2012 and 14/7/2012, respectively.

UNEP/Institute of Biodiversity Conservation, Small Scale Funding Agreement, dated and signed 15/7/2010 and 30/6/2010, respectively

The World Bank, December 21, 2007, Report No: ICR0000508, "Implementation Completion and Results Report, Credit No. 3461, GEF Grant No. 27833 on a Credit in the Amount of SDR 2.0 Million (US\$ 2.6 Million Equivalent) and a Global Environmental Facility Grant in the Amount of US\$ 1.89 Million to the Federal Democratic Republic of Ethiopia for Conservation and Sustainable Use of Medicinal Plants", [online at <https://www.thegef.org/project/conservation-and-sustainable-use-medicinal-plants-0.>]

The World Bank, Project Brief, Project Number ET GE-35147/ET-PE-52315, Project Name: Ethiopia: Conservation and Sustainable Use of Medicinal Plants [Online as "project Document for WP Pt.1" at <https://www.thegef.org/project/conservation-and-sustainable-use-medicinal-plants-0.>]





## Annex IV. List of Financial Documents Reviewed

(Presents the documents used or intensely reviewed. Owing to a mid evaluation change in the way we managed documents, some may have been omitted. Many untitled, undated documents omitted from this list. Titles as shown in the document or electronic name)

Title/ description (title from face of document, if available, next from doc name, otherwise description)	Covers
2nd (typo for 1st) Q fin reports, Cum Proj Exp Rep & 2016 2nd Q	DT: R10/Aug/2016
4 months work plan/ 01 /January 2016 – 30/April 2016	1/Jan/2016-30/Apr/2016
2014 3d Quarter Report and 4th Quarter Advance	3&4Q29\2014
2015 National Annual Report [[by target and activity]]	DT Dec 2015
2016 Second Quarter Finance Report, Cumulative Project Expenditure Report and Second Quarter Advance Request, dated 10 August 2016	2Q2016
2016 Work Plan	Year 2016
Annex 11 Quarterly Expenditure Statement (US\$) July – Sept 2014	3Q 2014
Annex 11 Quarterly Expenditure Statement (US\$) April -June 2015	2Q 2015
Annex 11 Quarterly Expenditure Statement	Jan-Mar 2016
Auditors Report	1/Jan/'15-30/Jun/'16
Annex 1: Project Document: Appendix 1 – Reconciliation Between GEF Activity Based Budget and UNEP Budget Line (GEF Funds only)	Initial
APPENDIX 1 - Reconciliation Between GEF Activity Based Budget and UNEP Budget Line (GEF Funds Only US\$)	Dated 7/1/2012
Appendix 1 - Reconciliation Between GEF Activity Based Budget and UNEP budget line (GEF Funds Only US\$)" (dropbox doc name "Rev_1_4C56_Ethiopia Budget for 2012, 2013 and 2014_2")	2013-2014
APPENDIX 2 - Reconciliation Between GEF BUDGET and Co-Finance Budget (Total GEF & Co-Finance US\$)	undated
Auditors Rept	9/1/12 - 12/31/12
Audit Reprt [sic] And Audited Financial Statements	9/1/2012-12/31/2012
Audit Reprt [sic] And Audited Financial Statements	Year 2013
Audit Reprt [sic] And Audited Financial Statements	Year 2014
Audited Balance sheet and St. of Inc & Exp	1/Jan2015 - 30/Jun/2016
Annual Work Plan -Period: /January1, 2013 to December 30, 2013/	Year 2013
(Auditors) Mgt Letter	9/1/12 - 12/31/14
(Auditors) Mgt Letter	9/1/12 - 12/31/14
Audit Reprt [sic] And Audited Financial Statements	Year 2014
[Breakdown by year]	undated, but w/ EBI seal
[Breakdown by year] Reconciliation Between GEF Activity-based Bud ..and UNEP	undated
Cash Advance Statement (multi funding Annex 7B	Jan 16 - Mar 16
Communiication - top fr Moh. Sessay	DT: ??/12/2014

Communiication - top fr Moh. Sessay	DT: ??/16/2014
Communiication - top fr Moh. Sessay	DT:1/23/2014
Communiication - top fr Moh. Sessay	DT:4/23/2014
Communiication - top fr Moh. Sessay	DT:8/6/2014
Communication (Moh Sessay)	11/12/2014
Communiication - top fr Moh. Sessay	DT:1/24/2015
Communiication - top fr Tesf	DT: 22/04/2016
Communiication - top fr Wilfred Kihanya	Dt:21/01/16
Detailed Expenditures Report	1/1/16 - 6/30/16
Ethiopian Biodiversity Institute Capacity Building for Access and Benefit sharing and Conservation and Sustainable Use of Medicinal Plants Project ((Ethiopia ABS CSUMP), Management Letter for the period from September 1, 2012 to December 31, 2014	9/1/2012-12/31/2014
Ethiopian Biodiversity Institute Capacity Building for Access and Benefit sharing and Conservation and Sustainable Use of Medicinal Plants Project In Ethiopia, 2016 Work plan, January – April 2016	1/1/2016 – 4/30/2016
[Financial] Report [2014 4Q], [revised] Budget [for 2015] and advance request [for 1Q 2015]	Sept – Dec 2014
Funds Transfer Remittance Notice	Dt: 27/Sep/12
Funds Transfer Remittance Notice	Dt:18/Nov/2014
Funds Transfer Remittance Notice	Dt:28/Apr/2014
Funds Transfer Remittance Notice	Dt:17/Dec/2013
Funds Transfer Remittance Notice	Dt:8/Jul/2013
Funds Transfer Remittance Notice	Dt:15/Aug/2014
Funds Transfer Remittance Notice	Dt:12/Mar/15
Handwritten: "Final Budget to be used by EA and IA	Aug-12
Independent Auditors' Report of the Ethiopian Biodiversity Institute (Institute of Biodiversity Conservation)- Capacity Building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants Project (Ethiopia ABS CSUMP)	Sept 1–Dec 31, 2012
Independent Auditors' Report on the Financial Statement of UNEP supported and Ethiopian Biodiversity Institute Implemented Project for Capacity Building for Access and Benefit Sharing and Conservation and Sustainable Use of Medical (sic) Plants in Ethiopia, Project No GFL-5060-2715+4C56	1 January 2015- 30 June 2016
Institute of Biodiversity Conservation - Capacity Building for Access and Benefit Sharing and Conservation and Sustainable Use of Medical Plants (Ethiopia ABS CSUMP) Notes forming part of the Financial Statement for the Period January 1, 2015 to June 30, 2016	January 1, 2015 - June 30, 2016
Letter Ersin to Tesfaye – doc name "Feedback to Ethiopia Revisions"	26 April 2016
Letter draft, undated and unsigned (apparently from UNEP) Heading "Analysis of the Reconciled Budget for the Ethiopia ABS project	Undated, but apparently in early 2016
[Linux doc]	4Q14
[Linux doc]	2&3Q 2014
List of obligations	1Q14

List of obligations	as of 04 2014
List of obligations	undated, mentions 4Q13
Quarter Report and Advance Request	1Q2014
Quarter Report and Advance Request	2nd Q 2014
Quarter Report and Advance Request	3rd Q 2014
Quarterly Expenditure Statement (US\$)	2013
Reconciliation Between GEF Activity Based Budget and UNEP Budget Line (GEF Funds Only US\$)	Dated 2016
Remittance Adv 18/Sep/2013	18-Sep-13
Report, Revised Budget and Advance Request	4th Q 2014
Subj: Confirmation of handing-over project activities	DT:1/Mar/2016
SUBJ Ethiopia ABS CSUMP Payment	"due date: 09/07/13
Summary Of Budget Reallocations During The Project Duration To Date" (doc name "Final Version of Budget Reconciliation as of July 2015 ETHIOPIA GFL-5060-2715-4C56")	(undated, apparently July 2015)
Untitled document bearing the stamp of EBI – laying out the annual spending for the project y year. Apparently this is an expenditure plan (although the columns are headed "Actual 2013," "Actual 2014," etc. because it reports "project ending August 2016"	Unknown
Unattributed Doc titled "Analysis of the reconciled budget for Ethiopia ABS project"	Undated
Undated doc name "Ethiopia budget revision	
UNEP DGEF Executed Projects SUMMARY	as of 15/8/12
Work Plan - Nat'l plan (by Activity)	Year 2013

## Annex V. Terminal Evaluation Field Mission Itinerary

Date	Activity	People contacted
August 21-22	Travel to Nairobi	Tomme
August 23	Tomme: Meetings at UNEP Nairobi	Tomme, relevant UNEP Staff
August 24	Evaluation planning meeting in Addis Ababa	Tomme, Shewaye and Tesfaye
August 25	Travel to Bahir Dar (Zegie pilot site)	Tomme and Shewaye
	Interview: Dir, EBI Biodiversity Ctr, Bahir Dar	Mr. Ediget Merawi, EBI Bahir Dar director
August 26	Discussions with members of Project Site Coordination Committee (PSCC) Visit Zegie Pilot site (Field Gene bank, nursery, forest, home garden and Office)	Mr. Atena Abebe Zegie Kebele, PSCC administrator/chair Mr. Ediget Merawi, Director EBI Bahir Dar Biodiversity centre
	Interviews: PSCC and PTAC members: Bahir Dar Univ. and Bahir Dar Agriculture office	Dr. Ayalew Wonde (Bahir Dar university) Mrs. Tigist Deribew (Agriculture office)
August 27	Interviews: PSCC members from health, cooperative and environment offices	Mr. Muluneh Guade (Health) Mr. Habtamu Tesfaye (Coop) Mr. Melisachew Mengistu (Environment)
	Interviews: Zegie site THs Community members of the forest conservation association	Mr. Beza Leadamu-Traditional healer Mrs. Amelmal Wubetu Mr. Girmaw Alebachew
	Visit local market in Zegie and discussed with women selling and buying MPs	Women selling and buying MPs
August 28	Interview: NABU project coordinator	Mr. Taddese Adgo (NABU coordinator)
	Interview: ex-focal person from Agriculture office/1 <sup>st</sup> manager, Bahir Dar Biodiversity Ctr	Mr. Getachew Gebeyehu
	Travel from Bahir Dar to Addis Ababa	Tomme and Shewaye
August 29	Travel from Addis to Jinka (Kure pilot site)	Tomme and Shewaye
	Interviews: ex-coordinator/former agriculture office focal person (Kure) Kure field gene bank coordinator	Mr. Manyalew Geleta Mr. Getu Wolde Mr. Netsanet Chali
August 30	Visited Kure Pilot Site (13 Km from the new administrative center) Interviewed THA members of Kure, Kayisa and Arkisha kebeles (villages)	Mr. Getu Wolde - (Project coordinator) Mr. Manyalew Geleta Ms. Zewditu Deo, Mr. Bekele Deisa Mr. Shocha Kassa Mr. Seisi Kayisa
	Interview: PSCC coordinator	Mereneh Tamiru (Agriculture office)

<b>Date</b>	<b>Activity</b>	<b>People contacted</b>
August 31st	Visited traditional market for MPs Discussions with THs and MP sellers Interview: PSCC member	MP traders in the local markets Mr. Tariku Tesfaye (Cooperative office head-PSCC)
September 1	Travel from Jinka to Addis Ababa	Tomme and Shewaye
September 2	Interviews: EBI staff and PSC members	Dr. Tesfaye Awas, PMU Dr. Melesse Mario/EBI Director General Mr. Ashenafi Ayenew/EBI ABS Directorate Mr. Motuma Didita/EBI Forest and Rangeland Directorate Mr. Merga Habtamu, Ex- Finance Officer
September 3	Interviews: GEF focal persons at the Commission of Environment, Forest and Climate Change PSC and PTAC members Project designer	Mr. Wordy Hashim Mr. Fantahun Gezie- Dr. Gemedo Dale (EBI ex-DG/PSC Chair) Dr. Tamirat (Nat'l Herbarium), PSC, PTAC Dr. Fasil Kibebew (project designer)
September 4	Travel from Addis to BMNP Pilot site	Tomme and Shewaye
	Interviews: EBI Goba Biodiversity center director Visited Goba medicinal plants field gene bank	Mr. Nugusu Girma, Director, Biodiversity center Mr. Tegene Regassa, coordinator of Goba Medicinal Plant Field Gene Bank Mr. Asegid Teshome (PSCC)
September 5	Visit Dinsho Woreda pilot site/ BMNP	Mr. Shamil Kedir, BMNP chief warden Mr. Mohamed Kedir, BMNP warden
	Visit MP marketing sheds	Mr. Hasen Said, Chair Person THA Mr. Mohamed Husien, member of THA
	Interview: sellers local market in Robe (Bale)	Sellers of medicinal plants and products
	Focus group discussion with Bale PSCC members	Mrs. Masresha Nigatu Mr. Oumar Sanii Mr. Ejara Asefa- project marketing officer Mr. Asegid Teshome (PSCC)
September 6	Visit Bale Mountains National Park forests Discussion with former Project staff member	Mr. Ejatra Asefa- Project marketing officer Nigusu Girma - Director Goba Biodiversity center Mr. Terefe Erdaye (project policy officer) Meda Wolabu University
September 7	Travel from Goba to Shashemene-Hawassa	Tomme and Shewaye
	Visit Shashemene Botanic garden	Botanical garden Staff and coordinator, Mr. Mezemir Girma
September 8	Travel from Hawassa to Addis Ababa	Tomme and Shewaye
September 9	Interviews: members of the PSC and PTAC	Mr. Mohammed Ousuman (Director, Directorate of UN Agencies, CRGE Facility;

Date	Activity	People contacted
		Regional Economic Cooperation-Ministry of Finance & Economic Development) Dr. Asfaw Debela (Ministry of Health-Ethiopian Health and Nutrition Research Inst.)
	Interview: project staff	Ketema Nanecha (Market officer)
September 10	Closing discussions; team	Tomme and Shewaye
	Departure from Ethiopia	Tomme

## Annex VI. Components, Outcomes and Outputs

Component, Outcome, Output	Completion of output
<b>Component 1: In-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites</b>	
<b>Outcome 1.1: Threatened MP species are protected by the implementation of management measures, so that the species loss situation is improved within the pilot areas.</b>	
Output 1.1.1 Management plans for in situ and ex-situ conservation of MPs adopted and implementation commenced at pilot sites	Partially completed (3 out of 4 plans were adopted).
Output 1.1.2 GIS based spatial population density map of endemic and threatened MP species	This was addressed a limited way in student research, but not collated or widely shared by the project.
Output 1.1.3 Levels of 'from the wild' collection, on farm propagation and local market demand documented	Addressed in the student papers, but not collated or widely shared by the project.
Output 1.1.4 MP Field gene banks established	Completed.
Output 1.1.5 Awareness raised at local, national and international level of the role of MP-friendly products in promoting conservation and community welfare	Partially completed at the local level. The team was unable to confirm activities relating to the national/international aspects of this output.
<b>Outcome 1.2: Measures in place at the site level help farmers with cultivation skills and physical capacity, ensuring that their use of MPs is sustainable.</b>	
Output 1.2.1 State of priority threatened MPs in the four pilot sites documented	Completed in student papers, but apparently not collated or used in subsequent project activities.
Output 1.2.2 Feedstock supplies for home gardens, replication and field gene banks established	Completed.
Output 1.2.3 Catalogue/compendium propagation cultivation methods of selected MPs	A list of medicinal plants and particular market factors was produced. (To some extent this was reported as overlapping with (i.e., satisfied by the same activity/output) as Outputs 1.25 and 2.1.5 and 4.1.2.)
Output 1.2.4 Home gardens in all four pilot sites supplied with MPs	Completed. Reported as overlapping with Output 4.1.3.

Component, Outcome, Output	Completion of output
<b>Component 1: In-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites</b>	
Output 1.2.5 Guidelines for sustainable harvesting of priority species of MPs.	Reported as an overlapping provision with Outputs 1.2.3, 2.1.5 and 4.1.2.
Output 1.2.6: <sup>64</sup> Four sustainable use agreements relative to the cultivation and use of MPs facilitated and negotiated	Reportedly completed. One sustainable use agreement provided for review.
<b>Outcome 1.3. Using equitable approaches, new livelihood opportunities based on MPs are developed and implemented</b>	
Output 1.3.1 Equity across gender and vulnerable groups in management of and benefit from MPs	Not addressed by any specific project activity, although project reports suggest that the PSU knew of a more general examination of gender issues in at least one project site. No known or discerned gender inequity.
Output 1.3.2 Four alternative livelihood options studied and prepared, and implemented at the pilot sites by end of project	Not addressed by any specific project activity
<b>Component 2: Enabling policy and institutional framework for in situ and ex situ conservation of MPs</b>	
<b>Outcome 2.1 "Policy, law and institutional frameworks (including ABS) relevant to MPs revised and strengthened"</b>	
Output 2.1.1 "Review of existing ABS regulations and recommendations for revision based on experiences of pilot studies and negotiations of the International Regime (post-COP 10)"	Completed, although the document prepared was a standard gap analysis, rather than recommendations based on experiences of pilot studies."
Output 2.1.2 "Revised MP policies are recommended and medicinal plants conservation plans and institutional arrangement for their implementation formulated"	Completed at pilot level.
Output 2.1.3 "Local institutions in the four pilot sites enabled and encouraged to put MP bylaws and regulations in place and implement them"	Completed.
Output 2.1.4 "Administrative systems for handling ABS contract negotiations piloted at central government and at district and local community level"	Not completed.
Output 2.1.5 "Extension packages developed to support law/policy/institutional measures for MP conservation and sustainable use"	Partly completed (four extension brochures, 2 translated into local languages). Reported as overlapping with Outputs 1.2.3, 1.2.5 and 4.1.2
<b>Outcome 2.2: "Increasing markets for MP friendly products through the expansion of contract-based export trade, value-chains and national and international markets that will promote farmer uptake of MP management. is a recognised objective of government frameworks on MPs."</b>	

<sup>64</sup> This output was derived from other project design documents or annual plans, in light of the fact that the project was the moving force behind the negotiation and execution of these potentially valuable agreements. See RTOC.

Component, Outcome, Output	Completion of output
<b>Component 1: In-situ and ex-situ conservation and sustainable use of medicinal plants in selected conservation and production sites</b>	
[No output listed] TE considers the project's support to achievement of the "Objectively verifiable indicator" for outcome 2.2 ("Eight ABS agreements in place covering 8 different medicinal plant species at the end of the project")	Not achieved.
<b>Component 3 ("Markets for MP-friendly products promote farmer uptake of MP-conservation imperatives")</b>	
Outcome 3.1: "Local MP sellers and healers assisted to sustainably expand their markets, including through the establishment and/or expansion of value chains and creation of relationships with national and international markets."	
Output 3.1.1 "Small group trade associations established at local and federal level"	Mostly completed (Some THAs still not formally registered, and no work undertaken at federal level).
Output 3.1.2 "Local residents assisted to develop business and financial capacity at a level that brings in the private sector in place to produce MP-friendly products and services in the pilot sites"	Not completed (although the project reported activities in this area, the team was unable to confirm any of them).
Output 3.1.3 Certification systems, processes, verification and monitoring compliance	Not completed (possibly impossible in the time available).
<b>Component 4 ("Capacity building for measures in support of conservation/ sustainable use of MPs, including management, wider application of ABS measures; and participation in trade in MPs and their derivatives.")</b>	
Outcome 4.1: Strengthened institutional frameworks proposed for a coordinated approach to on-the-ground implementation of plans and other measures for the conservation and sustainable use of MPs	
Output 4.1.1 Activities, measures and capacity-building to strengthen local government and enforcement of policies for conservation and sustainable use of MP levels of the four pilot site	Completed.
Output 4.1.2 National extension programmes promoting MP conservation and sustainable use"	Reported as overlapping with 2.1.5, but none of the project's extension work was national in scope.
Output 4.1.3 Local communities (farmers, THs, elderly, youth and women) assisted to integrate MPs into farming systems	Completed. Reported as overlapping with Output 1.2.4



## Annex VII. Assessment of Project Design Quality (Revised PDQ)

[Note: 'Section Rating' (see below for ratings) refers to the question: *In the project design documents, how satisfactorily is the criterion addressed?* Satisfactoriness refers to both the completeness and quality of the content. The section ratings are aggregated and weighted, below, to determine an overall rating for the Quality of Project Design.]

A.	<b>Nature of the External Context (note – this scale is reversed: 1= Highly favourable and 6=Highly unfavourable)</b>		<b>YES/NO</b>	<b>Section Rating:</b>
1	Does the project document identify any unusually challenging operational factors that are likely to negatively affect project performance?	i) Ongoing/high likelihood of conflict?	No	<b>2</b>
		ii) Ongoing/high likelihood of natural disaster?	No	
		iii) Ongoing/high likelihood of change in national government?	No	
B.	<b>Project Preparation</b>		<b>YES/NO</b>	<b>Section Rating:</b>
2	Does the project document entail a clear and adequate problem analysis?		Partly	<b>3</b>
3	Does the project document entail a clear and adequate situation analysis?		Partly	
4	Does the project document include a clear and adequate stakeholder analysis, including gender/minority groupings?		Partly	
5	<i>If yes to Q4:</i> Does the project document describe stakeholder consultation during project design process?		No	
6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development?	i) Sustainable development	Yes	
		ii) Gender	No	
		iii) Indigenous peoples	N/R	
C	<b>Strategic Relevance</b>		<b>YES/NO</b>	<b>Section Rating:</b>
7	Is the project document clear in terms of its alignment and relevance to:	i) UNEP MTS and PoW	Partly	<b>6</b>
		ii) UNEP /GEF/Donor strategic priorities	Yes	

		iii) Regional, sub-regional and national envt'l priorities?	Yes	
		iv. Complementarity with other interventions	Partly	
<b>D</b>	<b>Intended Results and Causality</b>		<b>YES/NO</b>	<b>Section Rating:</b>
8	Is there a clearly presented Theory of Change? <i>[Note: Not yet required when project was designed/submitted]</i>		No	2
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the logframe or the TOC?		Partly	
10	Are impact drivers and assumptions clearly described for each key causal pathway?		No	
11	Are the roles of key actors and stakeholders, including gendered/minority groups, clearly described for each key causal pathway?		Partly	
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?		No	
<b>E</b>	<b>Logical Framework and Monitoring</b>		<b>YES/NO</b>	<b>Section Rating:</b>
13	Does the logical framework ...	i) Capture the key elements of the Theory of Change/ intervention logic for the project?	N/A	1
		ii) Have 'SMART' indicators for outputs?	Partly	
		iii) Have 'SMART' indicators for outcomes?	No	
		iv) Reflect the project's scope of work and ambitions?	Partly	
14	Is there baseline information in relation to key performance indicators?		Some	
15	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		Some	
16	Are the milestones in the monitoring plan appropriate/sufficient to track and foster progress outputs and outcomes?		n/a	

17	Have responsibilities for monitoring activities been made clear?	No	
18	Has a budget been allocated for monitoring project progress?	Yes	
19	Is the workplan clear, adequate and realistic? (e.g., Adequate time between capacity building and take up etc)	No	
<b>F</b>	<b>Governance and Supervision Arrangements</b>	<b>YES/NO</b>	<b>Section Rating:</b>
20	Is the project governance and supervision model comprehensive, clear and appropriate?	Yes	4
21	Are roles and responsibilities within UNEP clearly defined?	Unclear	
<b>G</b>	<b>Partnerships</b>	<b>YES/NO</b>	<b>Section Rating:</b>
22	Have the capacities of partners been adequately assessed?	No	4
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?	No	
<b>H</b>	<b>Learning, Communication and Outreach</b>	<b>YES/NO</b>	<b>Section Rating:</b>
24	Does the project have a clear and adequate knowledge management approach?	Partly	4
25	Has the project identified appropriate methods for communication with key stakeholders?	Yes	
26	Are plans in place for dissemination of results and lesson sharing at the end of the project?	No	
<b>I</b>	<b>Financial Planning / Budgeting</b>	<b>YES/NO</b>	<b>Section Rating:</b>
27	Are the budgets / financial planning adequate at design stage? (coherence of the budget, do figures add up etc.)	No	4
28	Is the resource mobilization strategy reasonable/realistic?	Yes	
<b>J</b>	<b>Efficiency</b>	<b>YES/NO</b>	<b>Section Rating:</b>
29	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	No	4

30	Does the project design 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?	Yes	
31	Does the project document refer to any value for money strategies?	Yes	
32	Has the project been extended beyond its original end date?	Yes	
<b>K</b>	<b>Risk identification and Social Safeguards</b>	<b>YES/NO</b>	<b>Section Rating:</b>
33	Are risks appropriately identified in both the TOC/logic framework and the risk table?	No	4
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? ( <i>consider unintended impacts</i> )	N/R	
35	Does the project have adequate mechanisms to reduce its negative environmental foot-print?	N/R	
<b>L</b>	<b>Sustainability / Replication and Catalytic Effects</b>	<b>YES/NO</b>	<b>Section Rating:</b>
36	Was there a credible sustainability strategy at design stage?	Partly	4
37	Does the project design include an appropriate exit strategy?	No	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action?	Partly	
39	Did the design address socio-political, financial, institutional and environmental sustainability issues?	Yes	
<b>M</b>	<b>Identified Project Design Weaknesses/Gaps</b>	<b>YES/NO</b>	<b>Section Rating:</b>
40	Were recommendations made by the PRC adopted in the final project design that were not addressed?	No	3
41	Were there any critical issues not flagged by PRC?	Yes	
<b>N</b>	<b>Gender Marker Score</b>	<b>SCORE</b>	<b>No rating.</b>

**CALCULATING THE OVERALL PROJECT DESIGN QUALITY SCORE**

	<b>SECTION</b>	<b>RATING (1-6)</b>	<b>WEIGHTING</b>	<b>TOTAL (Rating x Weighting)</b>
A	Nature of External Context	2	0.4	0.08
B	Project Preparation	3	1.2	0.36
C	Strategic Relevance	6	0.8	0.48
D	Intended Results and Causality	2	1.6	0.32
E	Logical Framework and Monitoring	1	0.8	0.08
F	Governance and Supervision Arrangements	4	0.4	0.16
G	Partnerships	4	0.8	0.32
H	Learning, Communication and Outreach	4	0.4	0.16
I	Financial Planning / Budgeting	4	0.4	0.16
J	Efficiency	4	0.8	0.32
K	Risk identification and Social Safeguards	4	0.8	0.32
L	Sustainability / Replication and Catalytic Effects	4	1.2	0.48
M	Identified Project Design Weaknesses/Gaps	3	0.4	0.12
<b>TOTAL SCORE (Sum Totals)</b>				<b>3.36.</b>

**RATING: Moderately Unsatisfactory**

**Ratings**

1 (Highly Unsatisfactory)	< 1.83	4 (Moderately Satisfactory)	>=3.5 <=4.33
2 (Unsatisfactory)	>= 1.83 < 2.66	5 (Satisfactory)	>4.33 <= 5.16
3 (Moderately Unsatisfactory)	>=2.66 <3.5	6 (Highly Satisfactory)	> 5.16

## Annex VIII. CVs of Consultants

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### Tomme Rosanne Young

E-mail: [Tomme.Young@gmail.com](mailto:Tomme.Young@gmail.com)

Attorney with more than two decades hands-on experience in varying capacities: as consultant and institutional advisor to governments, UN bodies and international agencies; as assistant professor in accredited law schools; as lecturer to professional groups and national government bodies; as private lawyer (independent and in law firms); as in-house counsel; as negotiator and diplomatic advisor; as legislative advisor and framework designer to national governments; as expert witness; program/project evaluator and as free-lance author. Specialization in international environmental law and policy, as well as legislative and institutional development in developing and transitional countries, with particular emphasis conservation, natural resources, environmental and commercial needs, as well as land-use and land tenure issues. Commended for development of innovative legal solutions to complex problems. Internationally acknowledged expertise in the concept of "access and benefit-sharing" under the UN Convention on Biological Diversity and its Nagoya Protocol. Author of over 100 books, articles, chapters and white papers. Team developer and consensus builder. Teacher and trainer at undergraduate, graduate, post-graduate and professional/diplomatic levels. Developer of education and training tools, both conventional and electronic. Frequent speaker before national parliaments; international negotiations; professional and academic seminars and workshops; public events; college/university gatherings and, on one extraordinary occasion, a group of unexpectedly well-informed and challenging middle- and high-school students.

### PROFESSIONAL EXPERIENCE

#### Consulting Expert in Policy and Law

1990-1999, and April 2006 to present

President, manager, senior advisor and consultant on policy, legislation, institutions and implementation at domestic and international levels, emphasizing land tenure in conservation and natural resource issues, including especially with regard to forestry, fisheries, geological resources, conservation, invasive species, marine and fresh water law and management, access and benefit-sharing, resettlement of permitted and non-permitted residents and users, commercial use of all types of natural resources, assistance with a range of national and international negotiations, legislative drafting and practical implementation of law/policy objectives and commitments. Advisor to negotiation of (private, public-private and inter-governmental) agreements and ventures, as well as consultant on legislation, contracts, policy and government institutions. Learning tool development targeting government employees, lawyers and others. All of the above activities have given particular awareness to the needs of permitting, certification, incentives, energy, trade, and regulatory compliance.

Recent clients include the UNEP; Fridtjof Nansen Institute; the Worldwide Fund for Nature (WWF); the governments of Canada, Japan, Germany, China and Colombia; the UN Economic Commission for Europe (UNECE), the Organization of American States; the UN Food and Agriculture Organization (FAO); the World Bank; the Convention on Biological Diversity, the Global Environmental Facility; Bioversity International; the Forest Stewardship Council; the UN Convention to Combat Desertification; the International Development Law Organization; the International Development Law Organization (IDLO) and the International Union for the Conservation of Nature (IUCN.)

Consultancies have centred primarily on providing assistance to countries East Africa, Southern Africa and Asia, but have also included work in Central Europe, Central Asia, Oceania and the Caribbean.

**Associate, Fridtjof Nansen Institute**

July 2012 to present

Associate in legal expert research and writing. Primary assignment: writing a detailed legal analysis of contract law as applied to private and public/private contracts for Access and Benefit-sharing (ABS) under the Convention on Biological Diversity (CBD) and its Nagoya Protocol. The book, tentatively entitled *Successful Drafting of Functional ABS Contracts*, is nearing completion, and additional work in conservation/commercial legislation is in planning stages.

**Chair, IUCN SSC/WCEL Global Specialist Group on Access to Genetic Resources and Benefit-sharing (ABS) and Related Issues**

2012-present

Formed a new specialist group at the joint request of two IUCN Commission chairs. Group current includes 60 members from 42 countries, has coordinated input into several international negotiating meetings, COPs, Committees and Expert Groups. Plans include offering a range of services and advice, as well as the development of closed and open online discussion forums and databases.

**External Evaluator, Global Environment Facility – Independent Evaluation Office, Evaluation of the GEF ABS Program**

April –November 2017

Conducted a “a quality at entry” analysis to assess the relevance, ex-ante quality of monitoring and evaluation, and the design aspects of GEF projects on access and benefits sharing (ABS) funded under the Nagoya Protocol Implementation Fund (NPIF), as well as all previous and ongoing projects with relevant components on ABS (including non-NPIF funded projects).

**Member, Editorial Board, *Yearbook of International Environmental Law*, Oxford University Press**

June 2017-present

**Chair, IUCN SSC Working Group on the Development of a Code of Conduct for the SSC**

Jan 2016 –May 2016

Tapped to head the 14-person global working group, following a decision taken at the 2015 meeting of SSC Specialist Group Chairs that any Code of Conduct to be imposed on the SSC should be written and approved by that Commission, rather than imposed by some other body.

**Advisor to IUCN Commission Chairs in the Development of an All-commissions Code of Conduct**

May 2016 until completed

Based on the success of the nearly completed SSC Code of Conduct development process, tapped as the advisor and legal expert, to spearhead the expansion of the proposal into an All-commissions Code of Conduct.

**Legal Advisor, Californians for Green Nuclear Power**

July 2015 – present

Providing volunteer advice and legal research on the relationship between nuclear power and climate change; as well as assisting with the development of legal documents (charter and bylaws) and analysis of the application of Federal Tax exemptions for charitable contributions to the organization, and the possibility that the group could obtain formal certification as a registered charity.

**President, Board of Directors, Father Bede House of Prayer, Incorporated** 2014-present

Agreed to serve on the Board of Directors of a non-denominational charity focused on the development of a new facility to house and feed homeless people who are dying, as well as a meditation center and counselling center for the grieving and dying. Commencement of our major capital campaign began this year, after I donated my legal services to the drafting and filing of formative documents (articles of incorporation, bylaws) and all relevant documentation to become a registered charity.

**Member, International Expert Panel for an FOCC Clause** 2015-present

Selected to serve on a global expert panel focusing on development of legal and practical options in response to a request from the Governing Body of the International Treaty on Plant Genetic resources, calling for the development of appropriate clauses for the fixed or variable expiration of the Standard Material Transfer Agreement, which had been negotiated in 2006 and which has been discovered to have some non-functional aspects.

**Environmental Policy and Law (Journal), IOS Press, the Netherlands**

Editor October 2007 to present

Substantive, editorial and operational responsibility for a five-issues/year globally-focused professional journal of international and national developments/analysis in the fields of environmental policy and law, including a staff of 4-6 report-writers, liaison with publisher and liaison with founder's organization, which provides layout services.

**Reuters/Thompson (Thompson/West) Publishing, Minnesota**

Expert and Key author on Environmental and Energy Regulatory Law 1988-Present

Co-Author of treatise: Machlin & Young *Managing Environmental Risk in Real Estate and Business Transactions* (loose-leaf 1988) – addressing the environmental and regulatory practices most relevant to American corporate operations.. Regularly update this treatise.

Designated expert on environmental commercial, financial and regulatory operations in publisher's expert panel.

Selected in 2009, to be a contributing author for *ALR International*, covering German, Spanish, Portuguese and EU decisions applying international treaties.

**Freelance Editing and Legal Consulting, Independent contractor** 2010 to present

Services as freelance editor and/or writer, serving private publishers and publications funded by the government AID programs of several European countries, as well as individual consulting projects under contract with UN Agencies and Statutory Bodies.

**UN Food and Agriculture Organisation (FAO), External Strategic Evaluation, Team Leader**

December 2007-March 2009

Led a team of five international experts, and 12-person advisory group in an external evaluation of FAO's work in implementing its "strategy B-1" on the development, financing and implementation of international instruments as tools to achieve FAO's mandate of promoting and enabling the development and effectiveness of the agricultural sector (including forests, fisheries, agriculture and food) to contribute to food security and planetary well-being.

**UNEP/UNECE Caspian Environmental Program, Independent consultant** 2007

Advised on marine invasive species law, regulations and institutions..



**World Bank, Consultant**

2005

Coordinated, researched and prepared several publications and presentations on legal measures to enable governmental control, management and eradication of invasive species.

**The ABS Project – An Exploration of Genetic Resources, Law, and Equity, Project Manager**

April 2003-June 2007

(Project designed and commenced while serving as Senior Legal Officer at IUCN, continued following departure from IUCN.) Design and implementation of a € 900 000 project to address the legal and policy issues relevant to rationalization and implementation of the evolving global concept of legal and sovereign rights in “genetic resources” (and related traditional knowledge) through a blend of laws and instruments addressing conservation, agriculture, technology, commerce and (intellectual and other) property issues. In addition to all administrative and oversight responsibilities, personal contribution included production of 5 workshops; advice and support to national legislative work in eight countries; authorship of four COP/INF documents, 2 pamphlets, one full book and co-authorship of two others. Responsible for, *inter alia*, management and production of 7 books, 5 pamphlets, 7 workshops, 9 side-events, 8 externally published articles, a website, and two CD-roms.

**Global Environment Facility, Biosafety Evaluation Team of International Experts**

Team Member

March – November 2005

“Legal” member of a seven-person International Expert Team evaluating UNEP-GEF’s work in 143 countries on national implementation of the Cartagena Protocol. Included in-depth evaluation in 17 countries, document-evaluation of another 63 and legislative advice. (Appointed while at IUCN – accepted with permission.)

**IUCN (International Union for the Conservation of Nature) Environmental Law Centre, Bonn, Germany**

Senior Legal Officer and Assistant General Counsel

December 1999 to April 2006

Substantive legal officer, in a union of governments and non-government organizations dedicated to responsible conservation and environmental protection.

Global focal point for environmental law/policy on various issues, producing advice, books, and reports.

Assisted countries with national legislative development and related projects on species/wildlife; forests; invasive species, marine and fresh water law and management, pollution control; hazardous waste management; land tenure, valuation and resettlement; biosafety; species protection; marine activities and conservation; trade; ecosystem protection; sustainable use; intellectual property rights and equity, through specific projects (15 national and 8 global/regional) on law, policy and implementation. Delegate or head of delegation at over 20 international diplomatic meetings and negotiations.

Drafted and negotiated commercial agreements, donations, and other agreements between IUCN and numerous multinational companies.

**University of San Francisco, School of Law**

Associate professor of law

School years 1990-1 and 1991-2

Taught international environmental law and domestic (US) environmental law; later taught in the university’s legal assistant program.

**MERIT Enterprises, San Francisco, California**

March 1991 to November 1999

President and Consultant

Founded and administered a business which provided professional services and technical advice, *inter alia*, within the US, as well as in developing countries and countries in transition to market economy. Successful contracts/projects in 16

countries. Developed commercial and institutional mechanisms to address environmental regulatory, financial, compliance and logistical needs and implementation through domestic and bi-lateral negotiation. Primary areas of work: land use and land tenure; wildlife/species legislation; forestry; fisheries; protected areas; access and benefit-sharing.

**Morrison & Foerster, San Francisco, California, Attorney**

**1988 to 1991**

Legal advice, litigation and legislative representation of government, private, grass-roots, and not-for-profit organizations on development, energy & environmental and finance issues:

- Regulatory practice, including air, water, wastes (hazardous and non-hazardous), energy and coastal and other zoning
- Negotiation of environmental aspects of corporate/commercial transactions, including financing;
- Negotiation, submission and argument of permit, license, and intellectual property applications;
- Defense in regulatory violation matters, from citation through appeal;
- Development of domestic legislation and administrative documents: energy, licensing and IPRs;
- Development of guidance documents and internal protocols for corporate environmental compliance;
- Representation of diverse clients in hazardous waste litigation and administrative process;
- Development of mortgage lending principles that reflected new changes in lender liability, and new ventures in commercial / industrial /energy production operations;
- Advising clients on conservation, permitting and wildlife trade issues potentially impacting their commercial intentions; and
- Defense, negotiation, arbitration and mediation of damage claims and processes.

**Orrick, Herrington & Sutcliffe, San Francisco, California, Attorney**

**1985 to 1988**

Commercial transactions; administrative legal processes; legislative proposals; environmental litigation and appeals; and intensive research and concept development in emerging fields of energy law, institutions and finance. Activities as described above. Focus on advice to entities involved in commercial, investment, natural resources and land use activities. Emphasis on cleanup, energy / co-generation project finance, technical joint ventures and other specialized programs.

**Buchman, Kass, Morgan & Miller, Oakland, California, Attorney**

**1981 to 1985**

Representation and negotiations in transactional and commercial law, land transactions, land-use planning; as well as private and governmental negotiations relating to coastal management, water rights, agriculture, business, finance, capital development, transactions and tax issues.

**County Health Department, San Luis Obispo, California**

Director, Early and Periodic Screening, Diagnosis and Treatment Program

**1977 to 1978**

Establishment and management of a federally mandated health care program for disadvantaged children.

## **EDUCATION**

***Juris Doctor,***

Hastings College of the Law, UCSF, San Francisco, California USA, top 15%

**1981**

**BA, Political Science,**

University of Southern California, Los Angeles, California, USA (minor: chemical engineering), honours 1977

**OTHER PROFESSIONAL AFFILIATIONS**

<b>Member, IUCN World Commission on Environmental Law</b>	2006-present
<b>Member, IUCN Species Survival Commission</b>	2006-present
<b>Member, International Association of Prosecutors Committee on Wildlife Crime</b>	2005
<b>Admission to the Bar</b>	
State of California	1981
Federal districts in California	1981
Ninth Circuit, Federal Court of Appeals	1985
<b>International Association for Impact Assessment, membership</b>	1990 to present
<b>Bay Area Legal Services Committee, legal service provider</b>	1985 to 1997
<b>ABA International Law Section, International Environmental Law Committee, member and subcommittee chair</b>	1986 to 1996
<b>San Francisco Bar Association, Pro-bono Legal Services Panel</b>	1986 to 1994

**OTHER PUBLIC/ACADEMIC EXPERIENCE**

**Public Appearances** Throughout my professional career

Testified as expert before global, national and state/provincial legislative bodies, courts, and other official forums. Expert witness in courts and depositions. Frequent speaker in conferences and other venues.

**Seminars, symposia and workshops** 1988 to Present

Featured speaker, primary educator, and/or producer of over 75 seminars, symposiums and workshops in 15 countries, to varied non-legal audiences including national parliamentarians, engineers, businesspersons, students at all levels and news media, in addition to more than 20 such gatherings for members of the legal profession.

**Continuing Education of the Bar**

Professional Trainer and Seminar Producer, 1986 to 1999

**International High-seas Task Force (World Commission on Protected Areas)**

Steering Committee 2003-present

**Intra-organizational internship/clerk programs; post-grad advisor** 1985-present

Languages: English – native speaker

Spanish –speaking and understanding (strong)

French, Portuguese and German – reading

Lists of Publications and Consultancies available on request.

## CURRICULUM VITAE

### 1. PERSONAL INFORMATION

Name	Shewaye Deribe Woldeyohannes (Mr.)
Sex	Male
Nationality	Ethiopian
Marital status	Married
Address	Email: <a href="mailto:shewawetland@gmail.com">shewawetland@gmail.com</a> , <a href="mailto:shewaderibe@yahoo.com">shewaderibe@yahoo.com</a> Mobile: +251-911- 33 04 19 City: Addis Ababa, Ethiopia

### 2. EDUCATION

#### 1.1 Formal University Education

Institution	Field of study	Attended From – To	Awarded
Addis Ababa University, Ethiopia	<i>Advanced Biology: Biodiversity (Advanced Plant Taxonomy, Survey of Angiosperm Families, Tropical Ecosystems), Plant Ecology (Advanced Plant Ecology, Natural Resource Management, and Global and Local Environmental topics)</i>	September 1998- June 2000	MSc Degree
Addis Ababa University, Ethiopia	General Biology (Courses taken include Biotic and Abiotic or Physical aspects of the environment/biosphere)	Sep 1980 - Jun 1984	BSc Degree

#### 1.2 SHORT TRAININGS

Training	Trainer	Date & Place
Environmental Diplomacy	HoAREC and Regional Environmental Diplomacy Institute - Africa University of Massachusetts Boston	Jan 13-15, 2016 Addis Ababa
Environmental Auditor Training Course for Ethiopian EPA	Aspects International-England	Oct 21-Nov 1, 2002 A A/Federal EPA

<b>Training</b>	<b>Trainer</b>	<b>Date &amp; Place</b>
Environmental Impact Assessment (EIA) in house/on job training	i. Federal Environmental Protection Authority (EPA) of Ethiopia	July 2006 EPA hall/ Addis Ababa
	ii. Hope University College (in 2015)	May 15-24, 2015 Addis Ababa,
Forest management training	South Korea Forest Research Institute (KFRI) KOICA Fellowship	<b>Jun 20, 2004 - Jul 2, 2004</b> Seoul/ South Korea
Invasive Alien Species Management training	i. IUCN South Africa	<b>Nov 7- 11, 2005</b> ; Maputo, Mozambique
	ii. IUCN East Africa	<b>Kenya Forest Research Institute (KFRI), 2004</b>
International Training of Trainers on Wetland Management	Wageningen University/ The Netherlands/ <u>Nuffic Fellowship</u>	08-26 June 2009/ Wageningen
Training of Trainers on Wetlands and Poverty Reduction	Wetlands International	27 <sup>th</sup> Nov. to 15 <sup>th</sup> Dec. 2006; Naivasha/ Kenya Wildlife Service
Regional Training on Climate Change Mitigation Mechanisms and Carbon Project Development (CDM,POA, REDD+)	Horn of Africa Regional Environment Center (HoAREC)	24 March-2 April 2014, Wondo Genet Forestry College
Gender mainstreaming into development projects	The Development Fund, Norwegian NGO	20-22/2013, Addis Ababa
Project Planning, Implementation, Monitoring and Evaluation	Ethiopian Management Institute (EMI)	12-30 March 2012/ AA
Participatory Rural Appraisal (PRA) and Project Cycle Management (Problem tree analysis and stakeholder analysis)	Non Timber Forest Products – Participatory Forest Management Research and Development project	20 November- 1 <sup>st</sup> December 2007 Masha/Sheka/ Ethiopia

<b>Training</b>	<b>Trainer</b>	<b>Date &amp; Place</b>
Training on Strategic Planning and Management	Ethiopian Management Institute	12 to 16 March 2007, AA
GIS for Watershed Management	Climate Resilience and Cooperatives in Ethiopia Project-EWNRA	2014
Training of Trainers on Environmental Advocacy and Lobbying	Sustainable Land Use Forum (SLUF)	25 to 29 June 2007, Addis Ababa
Integrated Project Design in Population, Health and Environment (PHE) for Project Planners and Managers	USAID /BALANCED Project from USA/	November 3-6, 2008, Adama / Ethiopia
Regional Training Workshop on National Adaptation Program of Action (NAPA) for Least Developed African Countries	National Meteorological Services Agency and LDC Expert Group (LEG) on Climate Change	25-27 June 2003 AA ECA hall
Enhancing the Potential for Clean Environment Mechanisms in Africa: Regional Conference on Legal and Financial Aspects of Clean Development Mechanism (CDM)	Swedish Energy Agency	7-10 Sep 2009, AA ECA hall
How can African agriculture adapt to climate change? Results and Conclusions for Ethiopia and beyond	Ethiopian Development Research Institute-EDRI and International Food Policy Research Institute-IFPRI	December 11-13, 2008; Adama
Ecological and Eco-physiological training on Alpine vegetation	Bayreuth University (Germany) Fellowship (part of the MSc study at AAU)	<b>July 17, 1999 - Aug 12, 1999</b>
Continual participation and learning on Environmental and Climate Change Forums	UNEP, MoARD, Oxfam America, Green Forum, Forum for Environment and others	Since 2001 (working as Senior Environmental Specialist at the ex EPA, current MoEFCC)

### 3. WORK EXPERIENCE

#### 3.1 Environmental Consultancy Service -Freelancer

- ✓ **Climate Change and Environment Advisor:** Embassy of Canada, Addis Ababa, Ethiopia (March 2017- June 30, 2018)
- ✓ **Regional Wetland Project Advisor:** for the Nile Basin Initiative (NBI) Wetlands Project: *'Biodiversity Conservation and Sustainable Utilisation of Ecosystem Services of Wetlands of Transboundary Relevance in the Nile Basin'* in the Nile countries. Four months consultancy service (March 2 –June 30, 2016) in Entebbe, Uganda.
- ✓ **Environmental Consultant:** Ecologist Dabus River Hydroelectric Power Dam Environmental Impact Assessment work for Mid-Day International Consulting Engineers (Current/2016/7)
- ✓ **Environmental Consultant:** Ecologist / Environmentalist for Fentale Geothermal Exploration Project Environmental Impact Assessment Study carried out by ZTS consulting firm in July 2012,
- ✓ **Environmental Consultant:** Ecologist for Environmental Impact Assessment of Obsolete Pesticides (OPs); Pesticide Africa Stock Pile Program –Ethiopia Project-in August 2010 with MTS Consulting Engineers Plc.,
- ✓ **Environmental Consultant:** Wetland Ecologist/specialist in Gebba Hydroelectric Power Dam Environmental Impact Assessment work done by Mid-Day International Consulting Engineers in January 2010,
- ✓ **Wetland technical advisor:** in Kafa Biosphere Reserve (KBR) – south west Ethiopia for the project funded by International Climate Initiative of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) to Nature and Biodiversity Conservation Union (NABU) for Kafa Biosphere Reserve development for ABEL Development and Protection Consulting plc.
- ✓ **Consultant Biodiversity:** Analysis of Local Agriculture and Flora regarding Climate Adaptive Crops in the Kafa Biosphere Reserve (KBR), SNNPR, Ethiopia; for The Nature and Biodiversity Conservation Union (NABU); Biodiversity under Climate Change: Community Based Conservation, Management and Development Concepts for the Wild Coffee Forests (June-Sep 2015),
- ✓ **Project Evaluation Consultant:** Conducted project terminal evaluation for three projects funded by the Critical Ecosystem Partnership Fund (CEPF), Eastern Afromontane Biodiversity Hotspot, and implemented in Sheka Forest Biosphere Reserve and its surroundings in February 2015 (Local partner: Ethiopian Wildlife and Natural History Society),

- ✓ **Environmental Consultant:** Environmental Advisor for CLIMATE CHANGE ADAPTATION TECHNOLOGIES AND PRACTICES (for school children) as input for Africa Adaptation Programme (AAP)-UNICEF, carried out by Swan Management Plc. in January 2011,
- ✓ **Environmental Consultant:** Wetland specialist for Lake Tana City Front Development plan developed by the Canadian Urban Development Institute in April 2012,
- ✓ **Curriculum Designer:** Wetland Management Specialist in Developing wetland curriculum for Ethiopian Universities at Horn of Africa Regional Environmental Center Addis Ababa University that has been undertaken by MetaMeta Plc (from the Netherlands) in August 2010,
- ✓ **Environmental Consultant:** Served as Ecologist for the development of Site Action Plans for the Conservation and Sustainable Use of Biodiversity of Lakes Hawassa and Ziway in the Rift Valley of Ethiopia for the Institute of Biodiversity Conservation (IBC) with (UNDP funded Project) in 2005,
- ✓ **Mentor:** Served as mentor for regional wetlands training in Uganda –Wetlands International – Wetlands and Poverty project in 2007 in Entebe, Uganda,
- ✓ Provide technical assistance and advice: in diverse areas of environmental management, EIA, Environmental audit, climate change trainings and community level watershed and wetland management project development and implementation since 2003.

**3.2 Federal Environmental Protection Authority (EPA) of Ethiopia  
(from July 2001- March 2007 in the Ecosystem management Department)**

**Position: Biodiversity Specialist and Team leader**

**Responsibilities/Accomplishment**

**Under the framework of Federal Environment Policy and Conservation Strategy of Ethiopia accomplished and/or contributed to the following major areas:**

- ✓ **Ecosystem based assessments/supervision and identification of management challenges and opportunities, and with possible solutions or management options for policy decisions,**



- ✓ **Scrutinizing Environmental and Social Impact Study documents of development projects (Safeguards) submitted to the EPA from Clients (Private investors, Road Authority, Electric Power Authority, etc.) in line with the provisions of the EIA proclamation and directives; this was done to safeguard the** environment and human health and well-being from unwanted impacts of development projects,
- ✓ **Supervision/audit of investment project implemented in high forests of southwest (Safeguard auditing),**
- ✓ Led taskforce for National Capacity Needs Self-Assessment for Environment Management (specifically for halting ecosystem degradation),
- ✓ Participated in the preparation of Manual for Woreda (District) Environmental Management Plans,
- ✓ Coordinated preparation of Lake ecosystem guideline; and Institutional and Legal Review for wetland management,
- ✓ Coordination of Country Cooperation Framework (CCF2) dry land management projects implementation; and Coordination of Development of Management plans in the basins of Cheffa (Borkena Valley) in the central highlands, and Lakes Abaya and Chamo in the southern Ethiopia,
- ✓ **Assessed the risks of Invasive Alien Species in the Rift Valley areas and contributed its management in collaboration with stakeholders,**
- ✓ **Provided technical support to regional government environmental organizations,**
- ✓ Prepared proactive environment management tools such as guidelines and educative articles,
- ✓ Contributed / answered queries or reports requested from the secretariats of Global Multilateral Environmental Conventions such as the UNCBD and the Millennium Ecosystem Assessment,
- ✓ Several other activities related to ecosystem management, biodiversity and bio-safety (risk assessment and management) in Ethiopia and abroad,

**3.3 Ethio Wetlands and Natural Resources Association (EWNRA): Environmental and Development NGO (since 2007 up to present)**

**Position: Program Director**

**Coordinate environmental and development projects focused on boosting resilience to climate change in agricultural and natural landscapes in Amhara, Oromia and SNNP regional states for more than 9 years.**

**Example of projects developed and implemented include:**

- i. Creation of Climate Adapted Villages (CAV): Integrated Steps For Climate Change Adaptation: Reducing Vulnerability at four Gotts of Hurumu Woreda (ISCCA-RVH),*
- ii. REDD+ Participatory Forest Management in South-West Ethiopia (REPAFMA-SW Ethiopia) project being implemented in Nono Sele woreda (Oromia region) and Mash/Sheka (SNNP region) south west Ethiopia*
- iii. Climate Resilience and Cooperatives in Ethiopia project in Amhara region,*
- iv. Rehabilitation of the Watershed of Gilgel Gibe I Hydro Power Reservoir at Nada Kala site-Oromia*
- v. Integrated Wetland-Watershed management projects*

#### **Responsibilities**

- ✓ **Coordinate development and implementation of projects that contribute to humans and the environment in sustainable manner. Supervise whether the projects are free from risks or impacts to humans, biodiversity and the physical environment (water, soil and air) all the way from project identification up to implementation,**
- ✓ **Monitor projects' technical performance and resource use efficacy and progress towards the sought goals, and take timely corrective measures,**
- ✓ **Develop project concept notes and proposals to solicit additional funding from donors for scaling up best practices and lessons of past achievements,**
- ✓ **Work to maintain partnership and networks with the existing partners and create more partners in the fields of climate change, forests and sustainable development,**
- ✓ **Work to increase institutional visibility at local and international forums,**
- ✓ **Build own and institutional capacity for continual improvement in service delivery,**
- ✓ **Check timely reporting, and undertake routine administrative and technical activities.**

#### 4. OTHER National and International PROFESSIONAL CONTRIBUTIONS

Place	Activity	Outputs	Time
<b>4.1 Presentations</b>			
<b>Aspen Institute, Washington DC</b> <a href="http://www.aspeninstitute.org/policy-work/global-health-development/what-ghd-will-do/idea/seven-billion">http://www.aspeninstitute.org/policy-work/global-health-development/what-ghd-will-do/idea/seven-billion</a>	Preparation of workable practices and ideas for the forum: <i>"7 Billion: Conversations that Matter"</i> : a roundtable series that brings together thought leaders and policymakers to explore inter-linkages between different development sectors and population/fertility rate/unmet need for family planning.	PowerPoint Presentation for diversified audiences including media on the challenges of <b>Population-Health-Environment-Livelihood in Ethiopia and Africa: ideas on possible solution for the prevailing environmental challenges: Water, Population growth, climate change, conflicts...</b> )	April 18, 2012
<b>Woodrow Wilson International Center for Scholars in Washington, D.C.</b>	Contribution to thoughts on emerging environmental challenges: "Pathways to Peace: Defining Community in the Age of Globalization," <i>Revitalizing Community Within and Across Boundaries</i>	Brief Note for panel audiences:  INTERWOVEN PROBLEMS NEED INTEGRATED SOLUTIONS: Water, resource sharing, conflicts, environmental degradation, climate change...	January 11 and 12, 2010
<b>TERI</b> (The Energy and Resource Institute of India) New Delhi, India	Deliberation for Delhi Sustainable Development Summit 2011: Tapping Local Initiatives and Tackling Global Inertia	<b>PowerPoint Presentation:</b> (Integrated Wetland-Watershed Management Experience for Climate Change Adaptation and Sustainable development)	3-5 Feb 2011
National Climate Change Forum and Oxfam America "Earth Day 2010" ECA hall,	Preparation of a PowerPoint Presentation for Climate Change forum	Experience shared: Grassroots experience on efforts contributing to Climate Change Adaptation and Mitigation	April 22, 2010

Place	Activity	Outputs	Time
Addis Ababa			
International Food Policy Research (IFPRI) and Ethiopian Development Research Institute (EDRI) organized workshop; Adama, Ethiopia	Preparation of a PowerPoint Presentation on Climate change and Food Security	Experience shared on:  Halting biodiversity loss in the face of climate change through integrated wetland-watershed management community projects in southwest Ethiopia	December 11-13, 2008
Nile Basin Development Forum 2008 Nile Basin Initiative KHARTOUM, SUDAN	Paper and PowerPoint on Nile Basin Water Issues: "Environment and Water Resources Management for Peace and Cooperation in the Nile Basin"	Experience shared on for stakeholders of the Nile on  Integrated Wetland-Watershed Management Experience from Community Projects	17-19 Nov 2008
<b>4.2 Educative documents produced/printed</b>			
Addis Ababa University, Addis Ababa	Research on Farmers' Knowledge on Crop Biodiversity management in Ethiopian highlands	Publication on: Management of Agro biodiversity in the Borkena Watershed, South Welo/ Ethiopia: Farmers Allocate Crops /Landraces to Farm Types (In: The Ethiopian Journal of Biological Sciences Vol.1, No.1, September 2002, Addis Ababa, Ethiopia)	September 2002
Federal EPA	Preparation of educative and/or informative article on halting the impacts of IAS on the environment, development and human health and well-being	Article dispatched on Invasive Alien Species (IAS) Management (Prepared in Amharic for awareness raising at local level) published in TEFETRO biannual magazine of the FEPA ,Year 5 No. 1/2 July 2006 (translation)	July 2006
Federal EPA	Preparation of educative and/or informative article on	Article dispatched on <i>Eco agriculture</i> -an Alternative	

Place	Activity	Outputs	Time
	environmentally friendly development options	Approach to Biodiversity Conservation, published in TEFETRO biannual magazine of the FEPA, Year 3 No.1 August 2004 (excerpted summary)	August 2004
Ethio Wetlands and Natural Resources Association (EWNRA)	Preparation of and Educative booklet to help combating soil erosion from agricultural landscapes to improve food production and water quality	Educative booklet shared to audiences on <i>Vetiver Grass: The Hedge Against Erosion</i> in Amharic to national users	2010-2011,  Addis Ababa
FAO Sustainable Land Management and EWNRA	Preparation of Zone level wetland environment protection tools (enhancing fresh Water, biodiversity, capacity for climate change adaptation and mitigation, and livelihood)	Kafa zone Wetland Management Strategy produced	2007,  Kafa zone, SNNPR
FAO Sustainable Land Management and EWNRA	Preparation of management plans to Enhance environmental sustainability and livelihood security	Community management plans for three wetlands and their catchments produced	2007,  Kafa zone, SNNPR
Proceedings of the National Stakeholders' Workshop on Wetlands of Ethiopia	Creating National Commitment for Wetland Policy and Strategy Development in Ethiopia	Wetlands and Management Aspects in Ethiopia: Situation Analysis produced	EWNRA, 2008
Proceedings of the Nile Basin Initiative (NBI)-2008	Paper presentation	Integrated Wetland-Watershed Management Experience From Community Projects	2008 Nile Basin Development Forum, Khartoum, Sudan
EWNRA	Preparation of materials for improved environmental understanding for better	Training materials,	Ongoing since 2007

Place	Activity	Outputs	Time
	management and informed decision making	Policy briefings, brochures and posters for advocacy and awareness creation dispatched	
<b>4.3 Contributions to International Environmental Endeavors</b>			
The Millennium Ecosystem Assessment	Contribution on the Ecosystem situation of Ethiopia	Verification for MEA production	2005
Convention on Biological Diversity	National Biodiversity report preparation	Ethiopia Biodiversity report to the UNCBD	2006

## 5. VOLUNTARY MEMBERSHIP AND CONTRIBUTIONS

- Focal person/Represent EWNRA at National Climate Change Forum /ECSNCC
- Nominated as technical committee member for National REDD taskforce in EPA (contributing since the period of R-PP development up to the current National REDD+ strategy development)
- Member of Biological Society of Ethiopia
- Member of Consortium for Integration of Population, Health and Environment in Ethiopia
- Served as Board member of MELCA (Movement for Ecological Living through Community Action)- Ethiopian NGO working to strengthen Cultural Biodiversity

## 6. SUMMARY OF EXPERTISE/SKILLS

- **Management of Environment /Ecosystem including preparation of ecosystem management plans and strategy**
- **Design and management of integrated projects (Livelihood, Food Security, Climate Change, Environment)**
- **Environmental Impact Assessment**
- **Environmental Auditing**
- **Project monitoring and evaluation**
- **Trainer/ Mentor/Presenter/Panelist on Environmental topics**
- **Strategic planning**
- **Advocacy and lobbying**
- **Facilitate multi stakeholder process**
- **Involve in various activities from field work at grassroots up to policy dialogue**
- **Integrated approach at watershed level (people-environment)**
- **Research (biodiversity/environment and indigenous people/knowledge interaction)**
- **Concept and practice in integrated approach: Population-Health-Environment (PHE) and Livelihood integration for sustainable future**

## 7. LANGUAGES

- English - Speak, Write, Read
- Amharic- Speak, Write, Read

## 8. REFERENCE

1. Dereje Agonafir Habtewold (Mr.)  
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World Bank, Ethiopia

I hereby confirm that the information given above is exact and true to the best of my knowledge.

Shewaye Deribe Woldeyohannes (Mr.)



Signature:

## Annex IX. Quality Assessment of the Evaluation Report

Evaluand Title:

Terminal Evaluation of the UN Environment/Global Environment Facility project "Ethiopia – Capacity building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants (Ethiopia ABS CSUMP)"

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
<b>Substantive Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary:</b></p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	Final report: The executive summary has been well written	5
<p><b>I. Introduction</b></p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature; results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	Final report: Most relevant background information is provided in a concise manner	5
<p><b>II. Evaluation Methods</b></p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their</p>	Final report: Evaluation methods have been well described and cover the main areas	5



<p>experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?</p>		
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>• Context: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• Results framework: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• Stakeholders: Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• Project implementation structure and partners: A description of the implementation structure with diagram and a list of key project partners</li> <li>• Changes in design during implementation: Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• Project financing: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p>Final report: The project background and context information has been well described</p>	<p>5</p>
<p><b>IV. Theory of Change</b></p> <p>The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>This section should include a description of how the TOC at Evaluation<sup>65</sup> was designed (who was involved etc.) and applied to the context of the project? Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as</p>	<p>Final report: The ToC has been well presented</p>	<p>5</p>

<sup>65</sup> During the Inception Phase of the evaluation process a TOC at Evaluation Inception is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the TOC at Evaluation.

<p>formulated in the TOC at Evaluation. The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</p>		
<p><b>V. Key Findings</b></p> <p><b>A. Strategic relevance:</b></p> <p>This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation<sup>66</sup>), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> <li>v. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW)</li> <li>vi. Alignment to Donor/GEF Strategic Priorities</li> <li>vii. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>viii. Complementarity with Existing Interventions</li> </ul>	<p>Final report: Relevance has been well assessed</p>	<p>5</p>
<p><b>B. Quality of Project Design</b></p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report: Quality of project design has been well assessed</p>	<p>6</p>
<p><b>C. Nature of the External Context</b></p> <p>For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval<sup>67</sup>), and how they affected performance, should be described.</p>	<p>Final report: Nature of the external context has been well described</p>	<p>5</p>
<p><b>D. Effectiveness</b></p> <p><b>(i) Outputs and Project Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Final report: Effectiveness has been well assessed</p>	<p>5</p>

<sup>66</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<sup>67</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	Final report: Likelihood of impact has been well assessed	5
<p><b>E. Financial Management</b></p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• Adherence to UNEP's financial policies and procedures</li> <li>• completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• communication between financial and project management staff</li> </ul>	Final report: The evaluation has not received all of the required information, and thus the assessment includes gaps.	4
<p><b>F. Efficiency</b></p> <p>To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>	Final report: Efficiency has been well discussed.	5
<p><b>G. Monitoring and Reporting</b></p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (including SMART results with measurable indicators, resources for MTE/R etc.)</li> <li>• Monitoring of project implementation (including use of monitoring data for adaptive management)</li> <li>• Project reporting (e.g. PIMS and donor reports)</li> </ul>	Final report: Monitoring and reporting has been well described.	5
<p><b>H. Sustainability</b></p> <p>How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability</li> </ul>	Final report: Sustainability has been well assessed	5

<p><b>I. Factors Affecting Performance</b></p> <p>These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>• Preparation and readiness</li> <li>• Quality of project management and supervision<sup>68</sup></li> <li>• Stakeholder participation and co-operation</li> <li>• Responsiveness to human rights and gender equity</li> <li>• Environmental and social safeguards</li> <li>• Country ownership and driven-ness</li> <li>• Communication and public awareness</li> </ul>	<p>Final report: Factors affecting performance have been well described throughout the report.</p>	<p>5</p>
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>i. Quality of the conclusions:</b> The key strategic questions should be clearly and succinctly addressed within the conclusions section.</p> <p>It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p>Final report: Conclusions are well drafted and the key questions have been answered to.</p>	<p>5</p>
<p><b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p>Final report: Lessons are based on evaluation findings and well formulated</p>	<p>5</p>
<p><b>iii) Quality and utility of the recommendations:</b></p> <p>To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given.</p> <p>Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p>	<p>Final report: recommendations are based on evaluation findings and well formulated</p>	<p>5</p>

<sup>68</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

<b>VII. Report Structure and Presentation Quality</b>		
<b>i) Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: The report follows EOU guidelines.	6
<b>ii) Quality of writing and formatting:</b> Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: Quality of writing and formatting is good.	6
<b>OVERALL REPORT QUALITY RATING</b>		<b>5.1 Satisfactory</b>

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. All questions with negative compliance must be explained further in the table below.

Evaluation Process Quality Criteria	Compliance	
	Yes	No
<b>Independence:</b>		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	<b>x</b>	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	<b>x</b>	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	<b>x</b>	
4. Was the evaluator contracted directly by the Evaluation Office?	<b>x</b>	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	<b>x</b>	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		<b>x</b>
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		
<b>Financial Management:</b>		
8. Was the evaluation budget approved at project design available for the evaluation?	<b>x</b>	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	<b>x</b>	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	<b>x</b>	
<b>Timeliness:</b>		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?		<b>x</b>

12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?		<b>x</b>
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	<b>x</b>	
<b>Project's engagement and support:</b>		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	<b>x</b>	
15. Did the project make available all required/requested documents?		<b>x</b>
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?		
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	<b>x</b>	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	<b>x</b>	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	x	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	<b>x</b>	
<b>Quality assurance:</b>		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	<b>x</b>	
22. Was the TOC in the inception report peer-reviewed?	<b>x</b>	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	<b>x</b>	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	<b>x</b>	
<b>Transparency:</b>		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	<b>x</b>	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	<b>x</b>	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	<b>x</b>	
28. Were stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	<b>x</b>	
29. Did the Evaluation Consultant(s) respond to all factual corrections and comments?	<b>x</b>	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	<b>x</b>	

**Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.**

<b>Process Criterion Number</b>	<b>Evaluation Office Comments</b>
<b>11</b>	<b><u>The project's completion was not brought to the attention of the Evaluation Office until 2<sup>nd</sup> July 2018 (via email from the Task Manager), nearly two years after the project had operationally completed.</u></b>

<u>12</u>	<u>The inception phase of the evaluation was completed in January 2019, but the field mission/data collection was postponed for six months, awaiting approval of new PCA and transfer of funds to the Executing Agency to support the evaluation. The evaluation was restarted on 1st August despite a lack of movement on the PCA. The field mission took place in Ethiopia from 25th August to 10th September 2019.</u>
<u>15</u>	<u>Not all requested information was made available, at least partly contributed to loss of organizational memory during the TM handovers.</u>