

**Validated Terminal Review of the UNEP-GEF Project  
'Global Support for the Ratification and Entry into Force of  
the Nagoya Protocol on Access and Benefit Sharing' (ABS)  
(GEF ID 5172)  
2013 – 2022**



**UNEP Ecosystems Division**

**Validation date: April 2024**



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This report has been prepared by an external consultant as part of a Terminal Review, which is a management-led process to assess performance at the project's operational completion. The UNEP Evaluation Office provides templates and tools to support the review process and provides a formal assessment of the quality of the Review report, which is provided within this report's annexed material. In addition, the Evaluation Office formally validates the report by ensuring that the performance judgments made are consistent with evidence presented in the Review report and in-line with the performance standards set out for independent evaluations. As such the project performance ratings presented in the Review report may be adjusted by the Evaluation Office. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Programme Senior Management.

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## ACKNOWLEDGEMENTS

This Terminal Review report was prepared for UNEP by Moses A. Masiga, as an external consultant.

The reviewer would like to express his gratitude to all persons met and who contributed to this terminal review, as listed in Annex II.

The reviewer would like to thank the project team, particularly Ms Jane Nimpamya Gubare, the Task Manager (UNEP Ecosystem Division) and Mr. Emmanuel Adonsou the Programme Officer, Access, and Benefit Sharing (ABS) Multilateral Environmental Agreements (MEAs) Collaboration Unit Environmental Conventions and Policy Branch, UNEP Law Division, and. Sincere appreciation is also extended to the Terminal Review Coordinator Ms. Aska Ochiel (UNEP Ecosystem Division) and the Evaluation Manager, Ms. Janet Wildish. The reviewer would also like to thank Nagoya Protocol/ ABS Focal Point Persons for Lesotho, Malawi, Sierra Leone, Uganda, Bosnia and Herzegovina and Eswatini for their contributions during the data interviews, and the country teams for Angola, Belarus, Burkina Faso, Cote d'Ivoire, Djibouti, Guinea Bissau, Kazakhstan, Kyrgyzstan, Mauritania, Niger, Nigeria, Sierra Leone, Togo, Uganda, and Zimbabwe for the information collated and used in the Terminal Review (TR).

The terminal review consultant hopes that the findings, conclusions, and recommendations will inform the design of future related projects in the same context. and continuous improvement of similar projects in other countries and regions.

## BRIEF EXTERNAL CONSULTANT(S) BIOGRAPHY

Mr. Masiga Moses has over 20 years' experience in conducting baseline, mid and end-term evaluations for programmes in Climate Change (CC), environment, agriculture, socio-economic strengthening, public finance management, private/public partnerships, and capacity. Moses is also an experienced agricultural and environmental economist with a wealth of experience in natural capital accounting, ecosystem service valuation, development of strategic plans, climate finance, National State of Environmental Report, Water Resources and Environmental Assessments, and agricultural extension, among others. Mr Masiga has had the opportunity of providing technical support to the World Bank, the African Development Bank (AfDB), the United Nations Environment Programme (UNEP), the United Nations Development Programme (UNDP), the United Nations Industrial Development Organisation (UNIDO), the UN Food and Agriculture Organisation (FAO), the United States Agency for International Development (USAID), the World Wide Fund for Nature, the International Union for the Conservation of Nature (IUCN), GIZ, and for Departments and Agencies of Government in Uganda, Kenya, Rwanda, Sudan, South Sudan, Lesotho, and Ethiopia. Moses has also worked under various teams for work in Italy, Slovakia, Germany, and Peru. He holds a master's degree in Agricultural Economics, a master's degree Specialisation in Environmental Economics and Policy, and a Master of Finance (Economic Policy).

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Moses Masiga – Reviewer

## ABOUT THE REVIEW

**Joint Review:** No

**Report Language(s):** English.

**Review Type:** Terminal Review

**Brief Description:** This report is a Terminal Review of a UNEP/GEF – Global Support for the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing (ABS). The project was implemented between March 2013 and December 2022. The overall objective of the project was to support 20 Global Environment Facility (GEF) eligible countries to carry out activities leading to ratification or accession to the Nagoya Protocol. By applying a multi-country approach, the Project explored commonalities between countries and promoted regional cooperation and the learning and exchange of processes leading to ratification or accession of the Nagoya Protocol. The terminal review (TR) sought 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 TR has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, and the relevant agencies of the project participating countries.

**Key words:** Awareness creation, Ratification, Accession, Entry into force, Mutually Agreed Terms, Prior Informed Consent, Genetic Resources, Traditional Knowledge, Access and Benefit Sharing, Utilisation, Small Scale Funding Agreements, Country Ownership. <sup>1</sup>

**Primary data collection period:** December 2023-January 2024

**Field mission dates:** N/A

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<sup>1</sup> This data is used to aid the internet search of this report on the Evaluation Office of UNEP Website

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## LIST OF ACRONYMS

ABS	Access and Benefit Sharing from Utilisation of the genetic resources and associated traditional knowledge.
CBD	Convention on Biological Diversity
DELC	Division of Environmental Laws and Conventions/ Law Division
DEPI	Division of Environmental Policy Implementation/ Ecosystem Division
EA	Executing Agency
EOU	Evaluation Office of UNEP
GEF	Global Environmental Facility
IA	Implementation Agency
IMIS	Integrated Management Information System
KII	Key Informant Interviews
MAT	Mutually Agreed Terms
NGO	Non-Governmental Organisation
NPIF	Nagoya Protocol Implementation Fund
PIR	Project Implementation Report
PM	Project Manager
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)
ROA	Regional Office for Africa
ROAP	Regional Office for Asia and the Pacific
ROLAC	Regional Office for Latin America and the Caribbean
ROWA	Regional Office for West Asia
SDG	Sustainable Development Goals
SSFA	Small Scale Funding Agreement
TM	Task Manager
ToC	Theory of Change
ToR	Terms of Reference
TR	Terminal Review
UNEP	United Nations Environment Programme

## PROJECT IDENTIFICATION TABLE

**Table 1. Project Identification Table**

UNEP PIMS ID:	GEF Agency Project ID	0935	
DONOR (GEF/GCF etc) ID:	GEF Project ID	5172	
Implementing Partners	Law Division /United Nations Environment Programme The 20 countries' Ministries in charge of CBD policy and implementation in collaboration with UNEP Division of Environmental Convention and Law (UNEP DELC)		
Relevant SDG(s):	SDG15.6.1 Number of countries that have adopted legislative, administrative and policy frameworks to ensure fair and equitable sharing of benefits.  SDG 17.14.1. Number of countries with mechanisms in place to enhance policy coherence of sustainable Development.		
Sub-programme:	Environmental governance foundational	Expected Accomplishment(s):	Number of international legal agreements or instruments advanced or developed with UNEP support to address emerging or internationally agreed environmental goals)
UNEP approval date:	1 October 2012	Programme of Work Output(s):	Environmental governance foundational sub-programme Nature action sub-programme
<i>Expected start date:</i>	8 March 2013	<i>Actual start date:</i>	8 May 2013
<i>Planned completion date:</i>	February 2015	<i>Actual operational completion date:</i>	31 Dec 2022
<i>Planned project budget at approval:</i>	US\$1,000,000	<i>Actual total expenditures reported as of 30 October 2022</i>	US\$980,000
<i>Planned Environment Fund allocation:</i>	N/A	<i>Actual Environment Fund expenditures reported as of [date]:</i>	N/A
<i>Planned Extra-Budgetary Financing:</i>	N/A	<i>Secured Extra-Budgetary Financing:</i>	N/A
		<i>Actual Extra-Budgetary Financing expenditures reported as of [date]:</i>	N/A
<i>First disbursement:</i>	26 March 2013	<i>Planned date of financial closure:</i>	N/A
<i>No. of formal project revisions:</i>	3	<i>Date of last approved project revision:</i>	N/A
<i>No. of Steering Committee meetings:</i>	1	<i>Date of last/next Steering Committee meeting:</i>	Last: 18 March 2015      Next: N/A
<i>Mid-term Review/ Evaluation (planned date):</i>	N/A	<i>Mid-term Review/ Evaluation (actual date):</i>	N/A
<i>Terminal Review (planned date):</i>	26 March 2013	<i>Terminal Review (actual date):</i>	1 December 2023
Coverage - Country(ies):	Angola, Belarus, Bosnia and Herzegovina, Burkina Faso, Cote d'Ivoire, Djibouti, Guinea Bissau, Kazakhstan, Kyrgyzstan, Lesotho, Liberia, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Swaziland, Togo, Uganda, and Zimbabwe	Coverage - Region(s):	Africa, Asia Pacific, Europe
Dates of previous project phases:	N/A	Status of future project phases:	N/A

## EXECUTIVE SUMMARY

### Project background

1. This is the Terminal Review (TR) of the project for Global Support for the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing (ABS) (GEF ID – 5172). The Project started on 9 May 2013 and the technical completion date was 31 December 2022. The project objective was to assist 20 countries ratify or accede the Nagoya Protocol on Access and Benefit Sharing. Whereas the expected outcome was legal and regulatory frameworks, and administrative procedures established that enable access to genetic resources and benefit sharing in accordance with the CBD's third objective on access and benefit-sharing for the 20 target countries.
2. The three components of the project were to: (i) Rapid capacity needs assessment in the participating countries to identify institutions, policies, laws, and regulations relevant for the countries in ratifying to the Nagoya Protocol; (ii) Stakeholder engagement aimed at raising awareness and sharing of information among key stakeholder groups (particularly policymakers) of the opportunities and implications that result from ratification of Nagoya Protocol; and (iii) Monitoring and Evaluation concentrated on results-based management to ensure that the project is timely and efficiently implemented and delivers the project objectives in compliance with the GEF rules and procedures.
3. The project was executed through 20 Ministries in charge of CBD policy and implementation of the 20 targeted countries in collaboration with UNEP Law Division. The project was based on a grant of US\$ 1 million from the Nagoya Protocol Implementation Fund (NPIF). The Fund supports, among others, existing opportunities leading to ABS agreements with involvement of the private sectors. The direct core indicator towards the implementation of ABS is the number of direct beneficiaries (countries, institutions, persons) disaggregated by gender as co-benefit of GEF investment. The project indirectly contributes to core indicators 1 (Terrestrial protected areas created or under improved management for conservation and sustainable use), 2 (Marine protected areas created or under improved management for conservation and sustainable use), and 4 (Area of landscapes under improved practices excluding protected areas).

### This Review

4. The TR was undertaken between December 2023 and January 2024 using a mixed methodology entailing desk reviews, consultative meetings, and key informant interviews. The TR found that the project was satisfactory.

### Key findings

5. **The strategic relevance of the project was highly satisfactory.** The project's Programme of Work (POW) and Strategic Priorities were aligned to UNEP's Programme of Work (PoW) 2012-2013 and 2014-2015. BD4: Mainstreaming Biodiversity Conservation and Sustainable Use in Production Landscapes and Sector. The project was highly aligned with GEF's strategic priorities particularly the NPIF. The project also shows strong global, regional, sub-regional and national priorities given that the implementation relied on multi-country and regional cooperation. The project shows strong complementarity with implementation of the CBD and other related treaties such as the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and the Convention on the International Trade in Endangered Species of flora and fauna (CITES), among others.
6. **The quality of project design was satisfactory.** The highest satisfaction was for partnerships and sustainability/ replication and catalytic effects. Moderate dissatisfaction was observed with project preparation, risk identification and social safeguards, and identified project design weakness/gaps.



7. **The nature of external context was moderately favourable.** Socio-political factors, climatic conditions, and epidemic disease outbreaks affect future implementation of the Nagoya Protocol and ABS. However, the institutional capacity built, and the policy and legal framework enhanced would moderate the impact of the external context.
8. **Effectiveness was rated as highly satisfactory.** Whereas availability of outputs were only moderately satisfactory given that only four countries were able to ratify the Nagoya Protocol in line with the project timeline with delays occurring on ratification and awareness creation, the project outcomes were highly satisfactory with 19 out of 20 project countries ratifying or acceding the Protocol and the likelihood of impact was highly likely because the ratification was achieved through country owned policy and legal documents, awareness creation and institutional capacity building.
9. **Financial management was rated as moderately satisfactory.** The final project financial analysis spreadsheet indicated a 2 percent variance between the project budget and the actual expenditure. Adherence to UNEP's financial policies and procedures was moderately satisfactory. There were divergences between the initial disbursement and when the countries received funds. Some of these divergences were related to the external context and preparedness of the countries. However, there were efforts for the UNEP team to adhere. The financial information was also moderately satisfactory. The countries made commitments to provide financial reports; however, given the numerous project delays and revisions to the Small-Scale Financing Agreements (SSFAs) done bilaterally between UNEP and the individual countries, uniform financial information could not be achieved. Only eight out of 20 countries submitted co-finance reports despite considerable evidence in the interviews and the country reports of co-financing. The communication between the finance and the project management staff was also rated as moderately satisfactory. The financial reports are not aligned to project components despite the evidence of financial information provided and the financial reporting captured in the PIR reports.
10. **Efficiency was rated as unsatisfactory.** The efficiency looked at the cost effectiveness and timeliness of the project. The project was not implemented in a timely manner, it was extended from a close date of May 2015 to a close date of December 2022. The project delays were justified by awareness creation needs, delayed ratification and slow response from some countries. However, the project remained within the project budget despite several changes to the SSFA documents of the different countries. Moreover, the countries were willing to request for project extensions to ensure delivery of project outcomes with no-cost extensions, with the exception of Djibouti, Sierra Leone and Zimbabwe which received additional funds for awareness creation workshops for key decision makers..
11. **Monitoring and reporting were moderately unsatisfactory.** The monitoring design and budgeting and project reporting were moderately satisfactory with limitations on aggregating the reporting from the different countries and absence of focus on gender issues. There logical framework proposed a budget for monitoring; however, a lot of the expectation on monitoring was placed on co-financing. Monitoring project implementation was satisfactory as evidence from the PIR reports.
12. **Sustainability was moderately likely.** The socio-political sustainability was moderately likely. The risks from socio-political factors are present because implementation of the Protocol relies on commitment of the Government and supporting institutions in the country. On the other hand, financial sustainability is highly likely due to the prospects for generating income from commercial and non-commercial ABS activities. Institutional sustainability showed a high likelihood given the project focus on building institutional capacity of the participating countries.

13. **Factors affecting performance was rated as satisfactory.** Preparation and readiness were moderately satisfactory, the quality of project management and supervision was satisfactory, stakeholder participation and cooperation were satisfactory, environmental, and social safeguards were rated as unsatisfactory, country ownership and drivenness was highly satisfactory while communication and public awareness was satisfactory.

## Conclusions

14. Strategic relevance and effectiveness were highly satisfactory. The strategic relevance is addressed in UNEP's POW, a priority of the CBD conference of parties with a specialised fund established by the GEF Council.
15. The quality of project design was satisfactory with the highest rating observed in the partnerships and sustainability.
16. Strategic relevance, intended results, the logical framework and monitoring were satisfactory. The least satisfaction on project design quality was in risk identification and safeguards and project preparation.
17. Effectiveness was rated highly based on the high likelihood of impacts and high satisfaction with outcomes even though the outputs were moderately satisfactory. Financial management was moderately satisfactory for adherence to financial policies and procedures, completeness of financial information, and communication between the financial team and the project manager.
18. The efficiency was unsatisfactory with several delays and extensions to the project although cost-effectiveness was quite strong.
19. Monitoring and reporting were moderately satisfactory with limitations on aggregating the reporting and an implicit requirement for co-financing for country partners to achieve the monitoring requirements.
20. Sustainability was moderately likely largely due to socio-political factors being critical to sustainability despite high satisfaction with financial and institutional sustainability.
21. The factors affecting project performance were satisfactory.

## Lessons Learned

22. Lesson 1: The Terminal Review found that the strong results observed in the effective score (project outputs, outcomes, and likely impact) were linked to the expressed strategic relevance of the Nagoya Protocol on ABS. This was evident from the CEO Endorsement document, country reports, TR interviews, and the PIRs.
23. Lesson 2: Importance of flexibility of project design and the nature of external context is critical to the success of the project although it undermined efficiency of project performance.
24. Lesson 3: In multi-country projects where the external context plays a significant role in project performance, uniform reporting and delivery of outputs was achieved.
25. Lesson 4: There is a need to align financial reporting templates with the delivery of project outcomes to enable the project manager to align project performance with financial expenditure for individual project components, and across the whole project.

## Recommendations

26. Recommendation 1: The projects should encourage regular, annual, steering committee meeting to support technical and administrative decisions undertaken by the project.

27. Recommendation 2: Aligning financial reporting with project components and outcomes is critical for effective tracking of expenditures according to project outputs and outcomes.
28. Recommendation 3: As part of alignment with the core indicator on number of direct beneficiaries (countries, institutions, and persons) disaggregated by gender, it would be helpful to establish a national benchmark for beneficiaries by their gender categories in the country reports and the PIR reports.

### Validation

The report has been subject to an independent validation exercise performed by UNEP's Evaluation Office. The performance ratings for the project, set out in the Conclusions and Recommendations section, have been adjusted as a result. The overall project performance is validated at the **Satisfactory** level. Moreover, the Evaluation Office has found the overall quality of the report to be **Moderately Satisfactory** (see Annex IX).

## I. INTRODUCTION

29. This is the Terminal Review (TR) report for the project for “Global Support for the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing (ABS)” (GEF ID – 5172). The TR was conducted to assess the overall achievements of the project, the challenges faced and engage with project counterparts to overcome the issues. The review aims to: provide evidence of results to meet accountability requirements; promote operational improvement, learning and knowledge sharing through results and lessons learned; and inform evidence-based decision making. The TR was conducted between December 2023 and January 2024.
30. The Project objective is to assist 20 countries ratify the Nagoya Protocol on Access and Benefit Sharing. Meanwhile the project outcome was legal and regulatory frameworks, and administrative procedures established to enable access to genetic resources and benefit sharing in accordance with the CBD's third objective on access and benefit-sharing for the 30 target countries. The project was implemented between May 2013 and December 2022.
31. Three project components and their associated outputs are highlighted as follows: Component 1: Rapid capacity needs assessment in the participating countries to identify institutions, policies, laws, and regulations relevant for the countries in ratifying to the Nagoya Protocol. The component was composed of four outputs; the scoping study in which opportunities and gaps were identified, and timelines and plans for the legislative processes in the various participating countries that would eventually lead to the ratification of the Nagoya Protocol established. The gaps identified in the scoping study were to be filled by investing some of the resources of country-specific projects submitted to the GEF after the entry into force of the Nagoya Protocol. The needs assessment was expected to help focus the design of future projects. Component 2: Stakeholder engagement aimed at raising awareness and sharing of information among key stakeholder groups (particularly policymakers) of the opportunities and implications that result from ratification of Nagoya Protocol. The two outputs are identification of key stakeholder groups involved in planning for NP implementation and countries ratify or accede to the NP. The activities include developing a strategy for outreach and information sharing, awareness raising campaigns through the mass media, mobilizing of policymakers and opinion makers in support of ratification. Component 3: Monitoring and Evaluation has one output on results-based management to ensure that the project is timely and efficiently implemented and delivers the project objectives in compliance with the GEF rules and procedures.
32. The TR was conducted as an ex-post participatory evaluation relying on a review of secondary data in the project reports, online, telephone and email interviews with the project implementing team, the project stakeholders, and key informants. The standard UNEP review process was followed. The inception report phase proceeded the planning and initiation. After accent from the GEF Task Manager, the consultant proceeded to data collection starting with review of secondary data provided by the project followed by the primary stakeholder focus group discussions and key informant meetings held through online meetings. The TR report was first presented as a draft to the evaluation manager, and subsequently to the UNEP Evaluation Office after responding to the feedback from the evaluation manager. The final TR was reviewed, updated, and validated by the UNEP Evaluation Office. and the first draft report preparation and reviews as provided in the TORs.

**Table 2: Project components, outcomes, and outputs**

Project Component	Expected Outcomes	Expected Outputs
<b><i>Project Objective: To assist 20 countries, ratify the Nagoya Protocol on Access and Benefit Sharing</i></b>		
1. Rapid Capacity Needs Assessment	1.1. Institutional, policy, legal and regulatory frameworks properly evaluated to allow decision-makers to take informed decisions on the implication of acceding and implementing the Nagoya Protocol. Scoping study and timeline for policy makers to evaluate implications of ratification of Nagoya Protocol completed in <sup>2</sup> 25 of the 30 participating countries.	1.1.1 Identification of institutions, policies, laws, and regulations relevant to ratification to the Nagoya Protocol. 1.1.2. Analysis of institutional and legal frameworks considering the provisions of the Nagoya Protocol to identify gaps and opportunities if becoming parties of the protocol. 1.1.3 Timeline and Strategic plan for the development, amendment, or harmonization of the existing legal framework to comply with the Nagoya Protocol.
2. Stakeholder Engagement	2.1 Key stakeholder groups (particularly policy makers) are fully aware of the implications and opportunities that result from acceding to the Nagoya Protocol.	2.1.1. Map of key stakeholder groups and strategy for ABS outreach and information sharing. 2.1.2. Policy makers and key stakeholders briefed on the results of the rapid needs assessment.
	2.2 Countries accede to the Nagoya Draft ratification document for submission to the appropriate legislative body in 25 of the 30 participating countries.	2.2.1. National ratification procedures and timeline established allowing for stakeholder input. 2.2.2. Drafting of legal documents acceding to the Nagoya Protocol and submission to appropriate legislature body for approval.
3. Monitoring & Evaluation (M&E)	Project implementation facilitated regarding results-based management	3.1.1 Project monitoring system operating, providing systematic information on progress in achieving project outcome and output targets. 3.1.2 Indicator framework developed for identified key challenge areas of Nagoya Protocol implementation. 3.1.3 Final evaluation conducted.

<sup>2</sup> Revised to 5/6 of 20 countries, i.e. 17 countries out of 20 countries.

## II. REVIEW METHODS

33. The TR was conducted through a participatory approach comprising stakeholder interviews and discussions, and follow-up conversations to understand the secondary data and reports reviewed. There were regular email exchanges with contacted country teams to enhance use of the information in the report. The consultant maintained regular communication with the UNEP Task Manager and the Project Management team and shared information on the materials used for the desk review, and the national stakeholders contacted for the primary data collection. After discussions of the inception report, the Consultant received regular input, on request, during the data collection, analysis and drafting of the TR report from the UNEP Task Manager and the Project Management Team.
34. The TR was undertaken using mixed methods entailing desk reviews, consultative meetings, and key informant interviews. The sampling frame for data collection was 20 countries where the project was implemented. Purposive sampling considered three categories of countries. Category one includes countries that has the longest delayed to meet project target timeline (by five years or more), Category two countries that delayed meeting the project target timeline by two to three years, and Category three countries that were able to meet the project timeline. Both category three countries Bosnia- and Herzegovina and Nigeria were contacted with response received from Bosnia and Herzegovina. The category two countries contacted were Sierra Leone, Eswatini, and Liberia, where Sierra Leone and Eswatini responded to the request for interviews, and under Category three Uganda, Malawi, and Lesotho were contacted and all three responded to the interview. Six of the 14 countries targeted for the interviews responded to the requests for interviews the six countries were Bosnia and Herzegovina, Sierra Leone, Malawi, Eswatini, Lesotho and Uganda, under three categories of countries that ratified the protocol within the project timeline, those that missed the project timeline by three to five years and those that missed the timeline by more than 5 years.
35. Both quantitative and qualitative data were accessed and used in the TR. The quantitative data included physical milestones of activities conducted, financial records and quantified documents such as number of management documents tallied against project extensions. The qualitative information comprised level of acknowledgement of progress achieved on awareness creation, and capacity building within the project countries and whether project actions were carried out. The consultant received considerable secondary data from the GEF Task Manager, the UNEP GEF-Biodiversity and Land Degradation Unit, the UNEP Law Division team, and the stakeholders from the project countries, among others.
36. The terminal review was based on the nine evaluation criteria in the Terminal Review (TR) Guidance and was addressed through a set of questions that were answered by the institutions and persons contacted as outlined in Annex II, and through desk review of project reports.
- a) Desk review of key documents**
37. The Terminal Review was informed by a review of the CEO Approval Document, project budget and financial reports, the UNEP GEF Project Implementation Reports (PIRs), and all other information provided by the GEF Task Manager and the UNEP Law Division and GEF-Biodiversity and Land Degradation Unit, among others.

### **b) Consultative meetings**

38. Individual and group consultative meetings were conducted with the UNEP Task Manager, the UNEP finance team, and the project management team. These meetings aimed at gaining concurrency on approach and methodology, key stakeholders to engage in the interviews, obtaining key documents, contacts for respondents and seeking clarifications. These consultations were virtual, conducted via Zoom, WhatsApp, email, and telephone.

**c) Key Informant Interviews (KIIs)**

39. The KIIs were conducted through online key informant discussions (Microsoft Teams, or) at least one round of online key informant discussions was held by the Reviewer with the key target stakeholders, there were follow up discussions with six contact country KIIs and the Task Manager and Project Management Team at UNEP Law Division. Fourteen target country stakeholders were invited to respond to interview questions directly through an online discussion with six responding (Malawi, Lesotho, Eswatini, Sierra Leone, Uganda, and . The target stakeholders were Nagoya Protocol Focal Points (NFP) for the participating countries alongside the CBD NFPs. In many cases, the office holders for the Nagoya Protocol NFP at the time of the project had left and been replaced. However, records were available, in a few cases the officers met participated in the implementation of the project, e.g. in Sierra Leone, Uganda, and Eswatini. The additional participants in the meetings were documented and included in the list of primary data sources.

40. Online discussions were also held with the Project Management Team at UNEP-law division formerly DEL and the Task Manager from UNEP Biodiversity Division. The Task Manager and the Project Management Team also provided additional guidance and support to collate documents and contacts with the country teams.

**d) Validation**

41. A validation will be held by the UNEP Evaluation Team once the TR report and Preliminary Findings Note have been submitted. Feedback from the validation workshop and comments on the draft report will inform finalisation of the report and compilation of Response to Stakeholder Comments.

**e) Analysing Findings and Key Terminal Review Principles**

42. The review findings and judgments were based on sound evidence documented in the review report. The data and information collated from the implementing agency and executing agency were triangulated while protecting anonymity. The reviewer examined baseline conditions while comparing the difference between what had happened with the project and what would have happened without the project. Where adequate information on baseline conditions, trends or counterfactuals was lacking, simplified assumptions were considered to enable the Reviewer to make informed judgments about project performance. The UNEP Standard Scoring Tool was used to score the quality of the project design, and the UNEP Evaluation Criteria and the Weighted Ratings Table were used to score the project performance.

**f) Ethical considerations**

43. During data collection, the reviewer ensured that confidentiality was maintained throughout the exercise. Consent was also obtained from the participants before any interview started. Discussions and interviews were stored in password-protected laptops, and the analysis of responses was not linked to respondents' names.

**g) Limitations of the terminal review**

44. As much as the online interviews allow for reaching out to stakeholders at their convenience, where the internet connections were poor as in the case of Lesotho, the

interviews were disrupted by poor and hanging internet. The challenge of poor hearing in online discussions was addressed through email exchanges and support notes.

45. The online conversations for Bosnia-Herzegovina showcased the need to conduct institutional analysis and share the information in advance to enable the consultant to fully comprehend the description. This gap was addressed through sharing of discussion noted and corrections and multiple email exchanges.
46. The multiple languages of French, Portuguese and English would have been a challenge however, the consultant was able to conduct a purposive sample that met the language capacity. In addition, the secondary data provided has accompanying English translations in many cases, and compiled PIR reports by the Project Management team in a single language, English, that helped to overcome the language limitations.
47. The TR timeline of December/January also meant that there was no time to organise any physical meetings to countries. However, the large number of countries and the need for fairness, cost-effectiveness, and objectiveness also meant that the reviewer needed to apply the same approach to the country respondents therefore the online meetings were most feasible.



### III. THE PROJECT

#### A. Context

48. The Convention on Biological Diversity (CBD) requires that its Parties create conditions to facilitate appropriate access to genetic resources for environmentally sound uses. The CBD also requires Parties to develop and implement legislative, administrative or policy measures with the aim of sharing, in a fair and equitable way, the benefits arising from the use of genetic resources, and associated indigenous and local community knowledge, with the providers of such resources and knowledge. Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ABS) is based on mutually agreed terms (MAT) and is subject to prior informed consent (PIC). To this end, the Nagoya Protocol on ABS, the legally binding instrument, was adopted at the 10<sup>th</sup> Meeting of the Conference of Parties to the CBD in October 2010. The Nagoya Protocol entered into force on 12 October 2014, 90 days after the deposit of the fiftieth instrument of ratification.
49. Analyses of the Third National Reports to the Convention on Biological Diversity indicated, as elaborated in the terms of reference (TORs), that high or medium level priority for ABS was awarded by 98 countries, out of 129. UNEP selected 30 participating countries, based on submission of the formal letter of endorsement, and capacity to ratify the Nagoya Protocol after completion of the scoping study and awareness raising activities. All countries participating in the project are Parties to the CBD and expressed strong intent of ratifying the Nagoya Protocol.
50. According to the GEF Council Document (GEF/C.40/11/Rev.1 of May 26, 2011), the Nagoya Protocol Implementation Fund was created, initially to focus its support on, assisting signatory Parties and those in the process of signing the Nagoya Protocol, and that intend to ratify the Protocol to accelerate the ratification and implementation of the Protocol.
51. The NPIF calls for “supporting Parties in reviewing their own capacities and needs on ABS with a focus on the provisions of existing national policies, laws, and regulations and to strengthen the enabling environment at national level through the development of appropriate policy and institutional measures to promote the fair and equitable sharing of benefits arising from the utilization of genetic resources, including by appropriate access to genetic resources”.
52. The Global Support for the Ratification and Entry into Force of the Nagoya Protocol on ABS project supported 20 GEF eligible countries to carry out activities leading to ratification or accession to the Nagoya Protocol. Initially, the project was designed for 30 countries; however, the number reduced to 20 countries. The countries in the Pacific region and Central Africa (COMIFAC) were moved to respective medium sized projects (MSPs) in agreement with the GEF Secretariat while Egypt opted to use own Government funding for early ratification of the Protocol.
53. The project was executed through 20 Ministries in charge of CBD policy and implementation in collaboration with UNEP Law Division. The project was worth US\$ 1 million from the NPIF. The Fund supports, among others, existing opportunities leading to ABS agreements with involvement of the private sectors. The direct core indicator towards the implementation of ABS is the number of direct beneficiaries (countries, institutions, persons) disaggregated by gender as co-benefit of GEF investment. The project indirectly contributes to core indicators 1 (Terrestrial protected areas created or under improved management for conservation and sustainable use), 2 (Marine protected areas created or under improved management for conservation and sustainable use), and 4 (Area of landscapes under improved practices excluding protected areas). Implementation of the

Project started in May 2013 with an inception workshop held in Addis Ababa, Ethiopia from 7th to 10th May 2013.

## **B. Objectives and components**

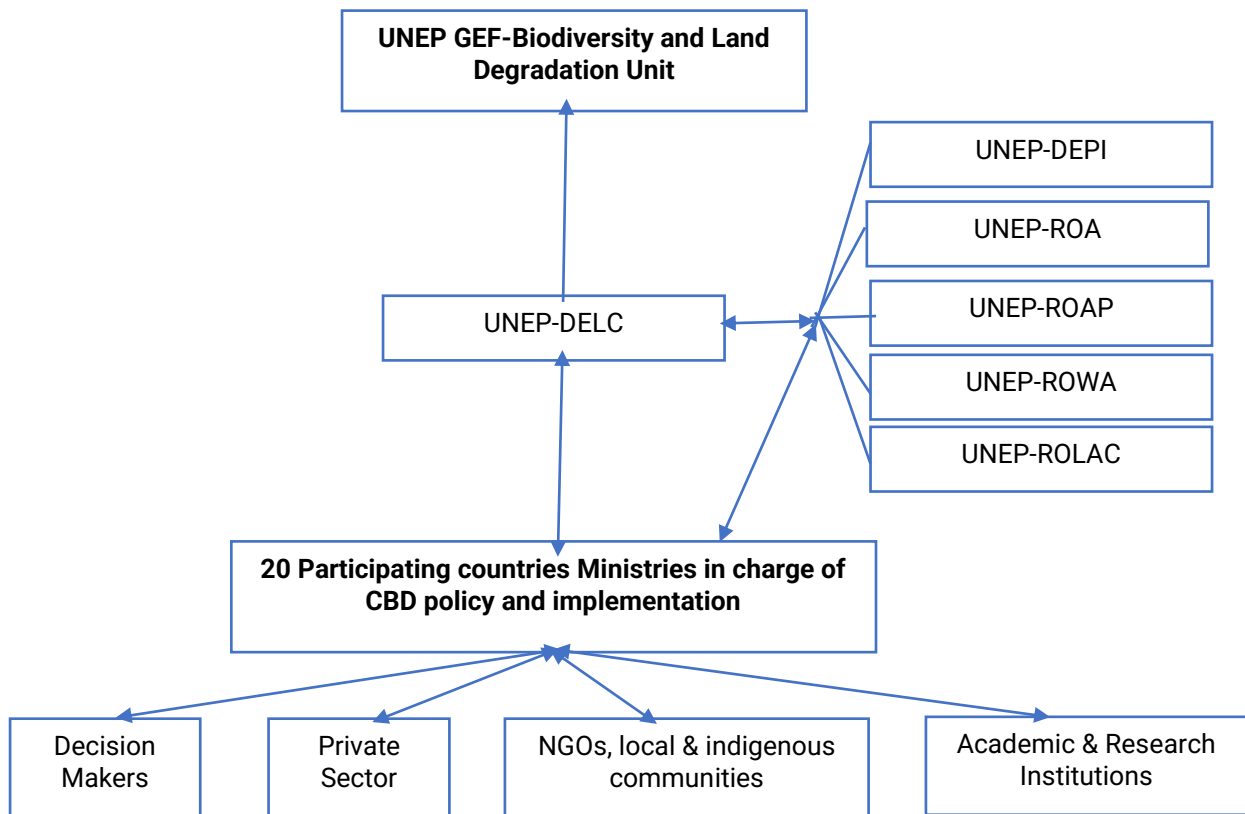
54. The objective of the project is to assist 20 countries ratify the Nagoya Protocol on Access and Benefit Sharing. Establishment of legal and regulatory frameworks, and administrative procedures that enable access to genetic resources and benefit sharing in accordance with the CBD's third objective on access and benefit-sharing for the 20 target countries was the expected outcome.
55. The three components of the project were to: (i) Rapid capacity needs assessment in the participating countries to identify institutions, policies, laws, and regulations relevant for the countries in ratifying to the Nagoya Protocol; (ii) Stakeholder engagement aimed at raising awareness and sharing of information among key stakeholder groups (particularly policymakers) of the opportunities and implications that result from ratification of Nagoya Protocol; and (iii) Monitoring and Evaluation concentrated on results-based management to ensure that the project is timely and efficiently implemented and delivers the project objectives in compliance with the GEF rules and procedures.
56. By applying a multi-country approach, the Project sought to explore commonalities between countries and to continue the promotion of regional cooperation and the learning and exchange of processes leading to ratification or accession of the Protocol.

## **C. Stakeholders**

57. The project was designed and implementation through collaboration of all key stakeholder groups in each of the countries that are relevant to issues of access to genetic resources and benefit sharing. These key groups constitute: 1) Decision-Makers: National politicians, legislators, as well as national focal points and national competent authorities of the Nagoya Protocol on ABS. These stakeholders had a direct role in facilitating the ratification of the Protocol by their countries and in reaching out to other stakeholder groups in both policy development and implementation; 2) Private sector: A core target group for awareness-raising, capacity development and knowledge exchange – so as to enable the public and the private sector to engage in partnerships and agreements on ABS; 3) NGOs, local and indigenous communities: Expected to be involved in the national consensus building processes for both policy processes and the development of broad-based partnerships for implementation, as well as awareness raising and training activities; and 4) Academic and Research Institutions: Expected to share their know-how and capacities in networking and linking with the other stakeholders to increase collaboration and be involved in national consensus building processes on the accelerated entry into force of the Protocol on ABS as well as the preparations for its implementation.
58. As the CBD is a UNEP-administered Convention, it largely draws support for ABS legal and policy issues at global and regional levels through UNEP's Division of Environmental Law and Conventions (DELIC). While UNEP- Division of Environmental Policy Implementation (DEPI) maintained its role as implementing agency with oversight functions, UNEP-DELIC supported the coordination and executing functions in the proposed project and thus provided expertise needed to ensure quick implementation and the linkage to regional and international expert networks. UNEP DELIC staff specialized in ABS issues, legal and political ramifications, as well as the international processes around CBD and the Nagoya Protocol. UNEP has staff in the Regional Office for Africa (ROA), Regional Office for Asia and Pacific (ROAP), Regional Office for West Asia (ROWA), Regional Office for Latin America and Caribbean (ROLAC) and within the GEF Unit in Division of Environmental Policy Implementation (DEPI) who work on ABS related topics and projects.

## D. Project implementation structure and partners

59. The project implementation structure proposed was developed based on the discussion provided in the CEO Approval document. The structure was based on the project design that responds to implementation of the initial financing proposed as part of the NPIF created as part of the decision GEF/C.40/11/Rev.1 of May 26, 2011.



**Figure 1: Organigram of the Project with key project key stakeholders**

60. UNEP DELC as the project executing agency, already assists many national partners and governments through its expertise in environmental law and policy to develop and implement ABS policies and to harmonize national processes for the implementation of CBD provisions on ABS. The UNEP DELC deploys MEA Focal Points who are based in the UNEP Regional Offices for Africa (ROA), Asia and the Pacific (ROAP), West Asia (ROWA) and Latin America and Caribbean (LAC) to support its work. Furthermore, UNEP has staff in the Regional Office for Africa (ROA), Regional Office for Asia and Pacific (ROAP), Regional Office for West Asia (ROWA), Regional Office for Latin America and Caribbean (ROLAC) and within its GEF Unit in DEPI who work on ABS related topics and projects.

61. At the national level, the participating country ministries coordinate and lead the implementation actions of the core national stakeholders. The stakeholders include decision makers (National politicians, legislators, national focal points, and national competent authorities of the Nagoya Protocol on ABS), private sector, NGOs, local and indigenous communities, and academic and Research Institutions.

## E. Changes in design during implementation

62. Initially, the Project was designed to assist thirty countries in the early ratification or accession to the Nagoya Protocol. However, some countries in the Pacific region and Central African Forests Commission (COMIFAC) were transferred to their respective

MSPs as agreed by GEF Secretariat. The number of project targeted countries reduced to 20. Additional partner countries were sought, but despite initial interest, most opted out in the process. In addition, Egypt opted to use its own government funding for the early ratification of the Nagoya Protocol; however, Egypt greatly benefitted from the inception workshop which was held in May 2013 and have been assisted with legal and policy advisory services through the Project.

63. The project has three extensions. The first Internal Cooperation Agreement (ICA) between the funding Division UNEP DEPI (Division of Environmental Policy Implementation) and the implementing Division UNEP-DELC (Division of Environmental Law and Conventions) was signed on 8<sup>th</sup> March 2013 valid until 31 Aug 2015. The second one was signed on 16 Dec 2016 valid until 31 Dec 2017. Another one was signed on 29<sup>th</sup> June 2018 valid until 31 Dec 2020. The project continued with operational activities closed on 31 December 2023, the Financial Operations were closed on 31 Dec 2023 while the Terminal review was planned for December and January 2024.
64. The first, second and third extensions to the project were made due to the delayed start resulted in only 5 countries ratifying the Protocol by 30<sup>th</sup> June 2014. Some of the participating countries faced challenges, such as lack of capacity in drafting legal and policy frameworks, elections and changes in government and political unrest inadvertently delayed implementation in some countries. Two of the participating countries from West Africa (Sierra Leone and Liberia) were affected by the Ebola outbreak and this significantly stalled many of the awareness raising and stakeholder engagement activities, due to restrictions on public gatherings to stop the spread of the deadly disease.
65. The project was also extended to allow the last three participating countries to complete the ratification or accession process. By June 2017, Seventeen out of twenty participating countries (85%) had ratified the Nagoya Protocol including Angola; Belarus; Burkina Faso; Cote d'Ivoire; Djibouti; Guinea Bissau, Kazakhstan; Kyrgyzstan; Lesotho; Liberia; Malawi; Mauritania; Niger; Sierra Leone; Swaziland, Togo, and Uganda. Zimbabwe signed the Protocol in September 2017 and ratified in November 2017, making it 18 out of 20 countries.
66. The project was extended in June 2018 to 31 December 2020 to assist Nigeria and Bosnia and Herzegovina to ratify and/or accede to the Protocol and finalise awareness raising activities for Liberia and Sierra Leone since both countries closed the Small-Scale Funding Agreements as they had completed the ratification/accession process.
67. In June 2020, the project was further extended from to 31st 2021 and later extended to 31 December 2022. The extension was made to allow the two remaining countries Nigeria and Bosnia and-Herzegovina to ratify or accede to the Nagoya Protocol.
68. There were three revisions made to reallocate of funds in budget lines. The first revision was made in April 2014, the second in May 2015, and the third in 2021. All three revisions were re-allocations in the budget. The first revision was implemented based on recommendations from the changes in the design of project and affected workshops and country SSFAs. In 2015 there were requests approved for additional funds from Djibouti, Zimbabwe, and Sierra Leone to support additional awareness creation activities.

## **F. Project financing**

69. The overall project budget was US\$ 1,625,000, comprising US\$ 1,000,000 (62%) from GEF and USD 625,000 (28%) from co-financing. The total expenditure for GEF funds was within budget (98%), the remaining 2% was not disbursed to the Executing Agency, it remained at UNEP to cover the TR.

**Table 2: Budget at design and expenditure by components**

Components	Estimated cost at design		Final budget revisions		Actual cost/ Expenditure	
	GEF Funds	Co-finance	GEF Funds	Co-finance	GEF Funds	Co-finance
Component 1: Rapid Capacity Needs Assessment	750,000	375,000	150,368.58	375,000	150,368.58	375,000
Component 2: Stakeholder engagement	155,000	175,000	648,209.45	175,000	648,209.45	175,000
Component 3: Monitoring and Evaluation (M&E)	40,000	50,000	161,406.41	50,000	161,406.41	50,000
Project Management costs	55,000	27,500	20,000	27,500	20,000	27,500
<b>Total</b>	<b>1,000,000</b>	<b>625,000</b>	<b>1,000,000</b>	<b>625,000</b>	<b>979,984.44</b>	<b>625,000</b>

70. The total GEF financing was US\$ 1,000,000. The total disbursement as of 30 June 2022 was US\$ 980,000. The expected financial close date was 31 December 2023. The variance between the between old budget and actual expenditures was approximately US\$ 20,000. The variance comprises added expenditures on the project assistant, legal support to countries, and workshops equivalent to US\$ 97,837 and reduced expenditure on international travel, SSFAs for countries, technical support to countries, steering committee meetings, and publication and knowledge management equivalent to US\$ 113,835 as savings.

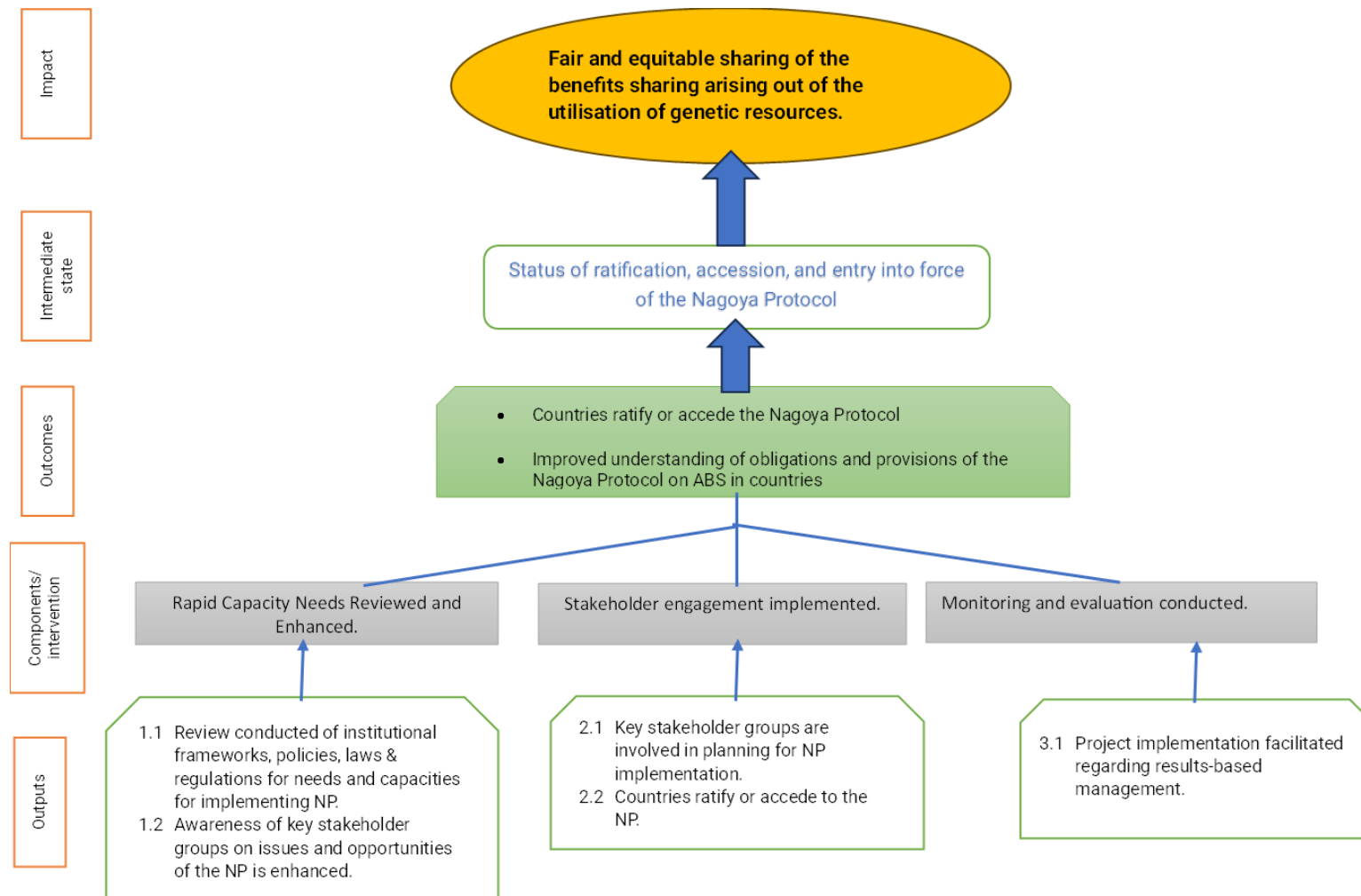
**Table 3: Final expenditure statement for the project**

UNEP Budget Line	Budgets		Cumulative Expenditures	Variance between old budget and actual expenditures
	Budget as per latest approved revision	Proposed final budget revision		
<b>Project Personnel</b>				
Communication Strategy	38,500.00	38,600.00	38,600.00	-100.00
Legal Expert	10,000.00	10,000.00	10,000.00	0.00
Institutional/Policy	0.00	0.00	0.00	0.00
Project assistant	68,487.92	101,768.58	101,768.58	-33,280.66
International travel	10,000.00	0.00	0.00	10,000.00
SSFAs with countries	669,847.13	598,728.75	598,728.75	71,118.38
Legal support to Countries	10,000.00	43,500.00	43,500.00	-33,500.00
Technical support to countries	10,000.00	5,980.70	5,980.70	4,019.30
Workshops	148,164.95	179,121.70	179,121.70	-30,956.75
Inception WS Pacific	0.00	0.00	0.00	0.00
Steering committee meetings	5,000.00	2,300.27	2,284.71	2,715.29
Publications and KM	10,000.00	0.00	0.00	10,000.00
External Evaluation (final)	20,000.00	20,000.00	0.00	20,000.00
<b>Grand total</b>	<b>1,000,000.00</b>	<b>1,000,000.00</b>	<b>979,984.44</b>	<b>20,015.56</b>

71. The project design indicated co-financing of US\$ 627,000. That amount was for 30 Partner countries. In the Final Project Implementation Report, the expected co-financing was indicated as US\$ 200,000, (US\$ 10,000 per country). The actual co-finance realised was 152,127 equivalents to 76% of the expected amount as of 30th June 2022. However, only eight countries submitted co-finance reports. The countries that submitted co-finance reports are Belarus, Guinea Bissau, Togo, Cote d'Ivoire, Uganda, Swaziland, Burkina Faso, and Kazakhstan.

#### IV. THEORY OF CHANGE AT REVIEW

72. The Theory of Change (TOC) has been constructed from the logical framework for the project and the information available on the project outcomes, intermediate state, outputs, and impacts. The project components are reflected in grey, the outcomes in green and the impact in beige/orange colour. The Figure 2 also highlights the outputs and the intermediate state with a green outline. The outputs are realised from at least 12 project activities spread over the three components of the projects. The outputs aggregate into the project interventions grouped as project components. The project components led to the realisation of outcomes and subsequently the intermediate state observed, and the impact envisaged by the CBD and the Nagoya Protocol.
73. The two project outcomes are increased understanding of the of the provisions and obligations for the Nagoya Protocol on ABS and ratification and accession to the protocol. The intermediate state as the result is the status of ratification, accession, and entry into force of the Nagoya Protocol in the 20 participating countries of the project.
74. As outlines in the introductory section, the impact of the project is in terms of how the countries and the conference of parties (COP) to the CBD implement the third objective of the convention on access and benefit sharing from utilisation of genetic resources and the associated traditional knowledge.
75. The Nagoya Protocol provides the means for all Parties to the CBD to have fair and equitable access to the benefits whether as research outputs, or revenues associated with the genetic resources or the associated traditional knowledge, among others, through either commercial or non-commercial channels. The countries need to achieve the intermediate state of institutional, policy, legal or regulatory frameworks, awareness among key stakeholder groups, acceding to the Protocol, and providing information on the tangible results of progress made towards ratification and implementation.



**Figure 2: Theory of Change (TOC) for project for Global support for ratification and entry into force of the Nagoya Protocol on access and benefit sharing and associated traditional knowledge**

## V. REVIEW FINDINGS

### A. Strategic Relevance

#### **Alignment to UNEP's UNEP Medium Term Strategy<sup>3</sup> (MTS), Programme of Work (POW) and Strategic Priorities**

76. Support to countries in assessing their opportunities and gaps in addressing issues of Access and Benefit Sharing and adhering to the requirements under the Nagoya Protocol was aligned to UNEP's Programme of Work (PoW) 2012-2013 and 2014-2015. BD4: Mainstreaming Biodiversity Conservation and Sustainable Use in Production Landscapes/Seascapes and Sector.

#### **Alignment to Donor/GEF/Partners Strategic Priorities**

77. This project is in line with Objective 4 of the Biodiversity Focal Area Strategy for GEF-5: "Build Capacity on Access to Genetic Resources and Benefit Sharing (ABS)". This project is also in line with the objective of the NPIF, as stated in the GEF Council Document "Outstanding issues related to the Nagoya Protocol Implementation Fund" (GEF/C.40/11/Rev.1 of May 26, 2011). The project contributed to the primary objective of the NPIF which is to facilitate the early entry into force and create enabling conditions at national and regional levels for implementation of the Protocol.

78. Key activity areas to be funded through the NPIF include: (a) Support Parties in reviewing their own capacities and needs on ABS and to strengthen the enabling environment with a focus on the provisions of existing national policies, laws, and regulations; (b) Support Parties to implement national and regional projects to promote technology transfer on mutually agreed terms, private sector engagement, and projects targeting investments in the conservation and sustainable use of genetic resources; (c) Support Parties to build capacity as appropriate with the aim of ensuring that traditional knowledge associated with genetic resources held by indigenous and local communities is accessed; (d) Support Parties to undertake activities to increase public awareness on needs and opportunities of the Nagoya Protocol; and (e) Support Parties to further the knowledge and scientific base for the implementation of the Nagoya Protocol.

#### **Relevance to Global, Regional, Sub-regional and National Priorities**

79. The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity (CBD) signed in October 2010 significantly advanced the CBD's third objective on the fair and equitable sharing of benefits arising from the utilisation of genetic resources. The Protocol provides greater legal certainty and transparency for both the providers and the users of genetic resources as well as specific obligations to support compliance with domestic legislation or regulatory requirements of the Party providing genetic resources and contractual obligations reflected in mutually agreed terms (MAT).

80. According to the Second National Reports to the Convention on Biological Diversity, 81 countries, out of 93, attached high level or medium level priorities to access and benefit-sharing. Based on the analysis of the Third National Reports, high or medium level priorities have been awarded by 98 countries, out of 129, to access and benefit sharing. Furthermore, at least 58 countries are in the process of developing or have adopted access

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<sup>3</sup> UNEP's Medium-Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>.



and benefit-sharing measures, and measures from 39 countries are included in the database of the CBD. A study of 109 National Biodiversity Strategies and Action Plans (NBSAPs) showed that more than 50 percent of them included access and benefit sharing measures and/or objectives.

81. Article 33 (1) of the Nagoya Protocol on Access and Benefit-sharing states that: 'This Protocol shall enter into force on the ninetieth day after the date of deposit of the fiftieth instrument of ratification, acceptance, approval or accession by States or regional economic integration organizations that are Parties to the Convention [on Biological Diversity]' Pursuant, therefore, to Article 33(1) as quoted above, the Nagoya Protocol to the Convention on Biological Diversity entered into force on 12 October 2014. The project contributed to target proposed under Article 33 for the Protocol to enter into force, as nine (9) of the 20 project countries acceded and ratified the Protocol by the time it entered into force on 12 October 2014. The project contributed to the (92) countries that were able to submit ratification instruments prior to the Protocol coming into force.

### **Complementarity with Existing Interventions/Coherence**

82. This project enhanced the capacity of the legislative bodies of the 20 participating countries by providing key pieces of information to take informed decision on ratification. By implementing the project, the participating countries were able to overcome a key barrier (ratification) that would then allow countries later to establish the policy and legal frameworks necessary to regulate this issue, similar biodiversity and environmental related issues, and incentives for private sector agreements.
83. The project had strong complementary with the country National Biodiversity Strategies and Action Plans (NBSAPs). The project also enhanced performance reporting in the fifth and sixth National Reports to comprehensively address actions on the third objective of the CBD.

<b>Rating for Strategic Relevance:</b>	<b>Highly Satisfactory</b>
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### **B. Quality of Project Design**

84. The reviewer assessed the quality of project design based on 13 criteria, the results of which are summarised in Table 2. The project design was assessed to be satisfactory with a weighted score based on the evaluation criteria, of 4.52.
85. High levels of satisfaction with the project design were from partnerships and sustainability/replication and catalytic effects. The description of the operating context, strategic relevance, the logical framework, and monitoring, and intended results and causality were satisfactory. The lack of a stand-alone Theory of Change (TOC) may have contributed to a lower rating; however, the logical framework was clear. Similarly, whereas the financial planning is quite simple, it was moderately satisfactory given the commitments of co-financing from the countries and commitments from the executive division and the implementing entity. The sustainability of the project was to be derived from the institutional capacity established in the 20 participating countries and the continued commitment from GEF to support other countries to ratify or accede to the Nagoya Protocol under the NPIF, and other instruments of the CBD. The lowest rating for the project was from risk identification and social safeguards, project preparation, and identified project design weaknesses and gaps. There were divergences in the governance systems of the participating countries that were not articulated in the project design. The additional requests for awareness creation and capacity for designing legal documents for ratification may have been understated although the low capacity in some countries was leveraged by the strong capacity at UNEP and some of the countries in the project.

**Table 3: Overall Project Design Quality Score**

	SECTION	Rating (1-6)	Weighting	Total (Rating x Weighting)
A	Operating Context	5	0.4	2
B	Project Preparation	3	1.2	3.6
C	Strategic Relevance	5	0.8	4
D	Intended Results and Causality	5	1.6	8
E	Logical Framework and Monitoring	5	0.8	4
F	Governance & supervision arrangements	4	0.4	1.6
G	Partnerships	6	0.8	4.8
H	Learning, Communication and Outreach	4	0.4	1.6
I	Financial Planning/ Budgeting	4	0.4	1.6
J	Efficiency	4	0.8	3.2
K	Risk Identification and Social Safeguards	3	0.8	2.4
L	Sustainability/ replication and catalytic effects	6	1.2	6
M	Identified project design weakness/ gaps	3	0.4	1.2
			Total Score:(10)	4.52

\*(Sum Totals divided by 10)

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

**Rating for Project Design: Satisfactory**

### C. Nature of the External Context

86. There were delays in implementing the project in some countries occasioned by elections and changes in government, and political unrest. Nonetheless, the countries weather through the political conditions.
87. There were heavy rains and floods in some of the participating countries. As a result, a state of emergency was declared Bosnia and Herzegovina and all official travel and UN-organized events had to be cancelled, which delayed some of the awareness creation activities.
88. Two of the participating countries from West Africa were affected by the Ebola outbreak (Sierra Leone and Liberia) between March and May 2014. The Ebola outbreak significantly stalled many of the awareness raising and stakeholder engagement activities, due to restrictions on public gatherings to stop the spread of the deadly disease. In May 2014, to allow the challenged countries to complete their activities, the Project has been extended to 30 April 2016.
89. The nature of external context was affected by political stability concerns, climatic events, and a disease outbreak, which affected the socioeconomic conditions on ground, three of the four conditions were unfavourable leading to moderate favourability of the external context.
90. The structure of Government in Bosnia and Herzegovina comprises a central government and a federal government that includes the Federation of Bosnia and Herzegovina, the Republic of Srpska, and a third unit Brcko District. The central government has limited powers a many of the decision-making powers exist the federal level. The government structure creates a political context consideration that creates part of the external context of the project.

**Rating for Nature of the external context: Moderately Favourable**

## D. Effectiveness

91. Overall effectiveness of the project was rated as highly satisfactory. The availability of outputs was moderately satisfactory largely to the delays in delivery of outputs. The outcomes were highly satisfactory at the end of the project while the project impacts are satisfactory as 19 out of the 20 countries have instruments to implement ABS as envisioned in the Convention on Biological Diversity (CBD) and the Nagoya Protocol. Only Bosnia and Herzegovina was not able to accede to the Protocol in time for the close of the project.
92. The achievement of impacts was also rated as highly likely. The ratification or accession creates the conditions for entry into force of the Nagoya Protocol on ABS. In addition, the legal/ regulatory and institutional reforms achieved, the awareness creation and institutional capacity built enhanced the potential for access and fair and equitable sharing of benefit from utilisation of genetic resources and traditional knowledge.

<b>Effectiveness</b>	<b>Highly Satisfactory</b>	<b>5.78</b>
<i>Availability of outputs</i>	Moderately Satisfactory	4
<i>Achievement of project outcomes</i>	Highly Satisfactory	6
<i>Likelihood of impact</i>	Highly Likely	6

### Availability of Outputs

93. The effectiveness based on the availability of outputs was assessed as moderately satisfactory. Whereas at the end of the project the outputs delivery were satisfactory, the outputs were not available for more than 80% of the intended beneficiaries and users in by the mid-term review of the project for output one (Review is conducted of institutional frameworks, policies, laws, and regulations with regard to needs and capacities implementing the NP) and output 2 (The awareness of key stakeholder groups on the issues and opportunities of the NP is enhanced).
94. Outputs 3 and 4 were satisfactory as they were largely delivered on time. While the delays in the implementation of the indicator framework developed for identified key challenge areas of NP implementation and the mid-term and final evaluation led to only moderate satisfaction of these outputs despite the higher performance on the other activities (See Table 4).

**Table 4: Ratings for effectiveness for availability of outputs**

No	Output	Activities	Score (2014)	Score (2022)	Rating
1	<b>Review is conducted of institutional frameworks, policies, laws, and regulations with regard to needs and capacities implementing the NP</b>	Activity 1: Identification of institutions, policies, laws and regulations relevant to the ratification and implementation of the Nagoya Protocol	79%	95%	Moderately Satisfactory
		Activity 2: Review of gaps and opportunities in existing policy and regulatory frameworks to accommodate ABS instruments	70%	95%	
		Activity 3: Strategic plan for amendments to policies and legal frameworks	40%	95%	
		Activity 4: Harmonization of already existing ABS legislation	25%	95%	
2	<b>The awareness of key stakeholder groups on the issues</b>	Activity 5: Map of key stakeholder groups	60%	95%	Moderately Satisfactory
		Activity 6: Needs assessment of stakeholder groups	75%	95%	
		Activity 7: Strategy for ABS outreach and information	20%	95%	

No	Output	Activities	Score (2014)	Score (2022)	Rating
	<i>and opportunities of the NP is enhanced</i>				
3	<b>Key stakeholder groups are involved in the planning for NP implementation</b>	Activity 8: National NP workshop with key stakeholder groups (govt. entities, private sector, the scientific community, Civil Society Organizations and Indigenous and IPO- where applicable)	95%	100%	Satisfactory
		Activity 9: Engagement of key stakeholder groups (such as indigenous and local communities) in the development of ABS policies and implementation measures	90%	100%	
		Activity 10: Initiation of multi-stakeholder partnerships and PPP for the NP implementation	40%	95%	
4	<b>Countries ratify or accede to NP</b>	Activity 11: Establishment of national ratification procedures allowing stakeholder input	80%	95%	Satisfactory
		Activity 12: Initiation of ratification process	60%	85%	
<b>Score</b>					
5	<b>Project implementation facilitated with regard to results-based management</b>	Activity 13: Project monitoring system operating, providing systematic information on progress in achieving Project outcome and output targets	90%	95%	Moderately Satisfactory
		Activity 14: Indicator framework developed for identified key challenge areas of NP implementation	30%	90%	
		Activity 15: Mid-term and final evaluation conducted	50%	90%	
<b>Aggregate rating</b>					<b>Moderately Satisfactory</b>

One of the unplanned outputs of the project was the production of a “Guide to the Ratification and Accession to the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization.” The guidebook was produced in 2018 to provide references and describe strategies and techniques for good practice on ratification of the Protocol. It was designed as a tool for all stakeholders, including indigenous peoples, women and youth, interested in the ratification of the Nagoya Protocol and the conservation and sustainable use of genetic resources.

### Achievement of Project Outcomes

95. The attainment of project outcomes was highly satisfactory (Table 5). All the set outcome indicators were achieved by 2022. Even if delays occurred, the outcomes were only expected at the end of the project. Even where 100% achievement did not occur for the acceding and ratification of the Protocol, the outcome indicator target was 15 at least 15 countries which was exceeded as 19 countries were able to accede and ratify the NP.

**Table 5: Ratings for effectiveness for achievement of project outcomes**

No	Outcomes	Indicators	Score (2022)	Rating
1	Institutional, policy, legal and regulatory frameworks properly evaluated to allow decision-makers to take informed decisions on the implication of acceding and implementing the Nagoya Protocol.	1.1 Recommendations for legal and policy amendments	At least 15 reviews and strategic plans for development/amendments	Highly satisfactory
		1.2 Number of entities reached	At least 4 stakeholder’s groups per country refer to NP/ABS (policy bodies, NGO, private sector)	
		1.3 Number of entities providing input to national ABS policy	At least 4 entities/country provide input	
2	Key stakeholder groups particularly policy makers are fully aware of the implications and opportunities that result	2.1 Stakeholder workshops conducted	At least 1 workshop per country	Highly satisfactory
		2.2 Number of entities providing inputs to NP/ABS policy	At least 3 entities /country	

No	Outcomes	Indicators	Score (2022)	Rating
	from acceding to the Nagoya Protocol	2.3 Number of cooperation agreements	At least 2 cooperation agreements/country	
3	Countries ratify/accede to the Nagoya Protocol.	3.1 NP ratification or accession	At least 15 countries accede or ratify the NP	Highly satisfactory
4	Project implementation facilitated regarding results-based management.	4.1 Monitoring & Evaluation (M&E) system operational	All countries comply with M&E procedures	Highly satisfactory
<b>Aggregate rating</b>				<b>Highly Satisfactory</b>

### Achievement of Likelihood of Impact

96. The likelihood of impact from the perspective of the project is Highly Likely (Table 6) As long as, the countries accede and ratify the Protocol, they are in position to implement the targets of the Protocol. Therefore, the countries will be able to implement the third objective of the CBD and contribute to achievement of ABS to genetic resources, the associated traditional knowledge and digital sequence information.

**Table 6: Ratings for effectiveness for likelihood of impacts**

No	Impact	Score	Rating
1	Fair and equitable sharing of the benefits sharing arising out of the utilisation of genetic resources	Nineteen out of twenty participating countries (95%) have ratified the Nagoya Protocol and able to implement ABS as envision in the Convention.	Highly Likely

**Rating for Effectiveness: Highly Satisfactory**

## E. Financial Management

### Adherence to UNEP's Financial Policies and Procedures

97. The GEF Allocation for the project was US\$ 1,000,000. Initially, the project was planned for a 24-month duration, with an intended completion of February 2015 and an intended start in February 2013. The first disbursement from the GEF executing agency (UNEP) to the project partners was made on the 26<sup>th</sup> of March 2013. By June 2014, the disbursement was US\$ 947,732.62 and the actual expenditure was US\$ 668,111.2. The actual expenditures entered the Integrated Management Information System (IMIS).

98. Whereas the intended completion was February 2015, several no-cost extensions were made from 2015 to 2022. After the first delays in completion of the project and subsequent delays from 2016, to 2017, 2018, 2019, 2020, 2021 and 2022, three revisions were made through reallocation of funds in budget lines. The first revision was made, to the CEO endorsement, in April 2014, the second revision was made in May 2015, and the third revision was made in March 2021.

99. The first disbursement for the project was made on 26<sup>th</sup> March 2013. But due to external context (highlighted in Section C) many countries were not able to start implementation until the second half of 2014. By 30 June 2014, US\$ 947,732.62 nearly 95 percent of all project funds were disbursed suggesting timely approval and disbursement of funds. There were revisions in the budget and additional disbursements made for Ebola affected countries like Sierra Leone, and efforts to enhance awareness and delivery in the countries that had delays in ratification. However, the disbursements were timely.

100. The second condition that was largely met in financial adherence was expenditure was within the approved annual budget or timely revision. The financial reporting from the countries suggests that this condition was met. There was at least engagement between the partner countries and UNEP on the utilisation of funds. Where annual reports were not achieved the observations were addressed in the PIR and consolidated final reports of the project countries.

101. On the other hand, there was limited evidence of timely submission of regular expenditure reports (six monthly and annual) was achieved as regular revisions to the implementation timeline occurred. Only five out of 20 countries were within the timeline for implementation of project target by June 2014. The final reporting was largely aligned with achievement of project outputs.

102. Regular revisions were made between the old budget and new budget to address the conditions under which the different countries implemented the project. The variance between old budget to actual expenditures and variance between proposed budget revision to actual expenditures was only 2% at US\$ 20,015.56 to US\$ 979,978.44 (Table 7). There is evidence of regular analysis of actual expenditure, and the expenditure is within the approved annual budget (or timely revision submitted/ approved. There PIR reports showed that some of the implementing partners did not submit timely regular expenditure reports and the timely approval and disbursement of cash advances to partners was not achieved. Adherence to UNEP's financial policies and procedures was rated as moderately satisfactory.

**Table 1: Expenditure by Outcome/Output**

Component	Estimated cost at design (\$)		Actual cost/ expenditure (\$)		Expenditure ratio (actual/planned)	
	GEF Funds	Co-financing	GEF Funds	Co-financing	GEF Funds	Co-financing
Component 1: Rapid Capacity Needs Assessment	750,000	375,000	924,984.44	522,500	92%	90
Component 2: Stakeholder Engagement	155,000	175,000				
Component 3: Monitoring & Evaluation (M&E)	40,000	50,000				
Project management Cost	<b>55,000</b>	<b>27,500</b>	<b>55,000</b>	<b>55,000</b>	<b>6%</b>	<b>2%</b>
<b>Totals</b>	<b>1,000,000</b>	<b>627,500</b>	<b>979,984.44</b>	<b>577,500</b>	<b>98%</b>	<b>92%</b>

### Completeness of Financial Information

103. High level project budget as well as high level project budget by funding source for secured and unsecured funds was achieved. The funds were drawn from the NPIF facility of GEF. The CEO Endorsement Form included a section of project financing and budget. Both GEF funds and co-financing were analysed by component and the major sources and type of co-finance raised were clearly indicated. Both GEF funds and co-financing were further broken-down by component and activity/ UNEP budget line. The subsequent changes in actual co-financing and revisions in financial allocations are captured in the amendments to the SSFA documents. The consultant was able to examine the amendments in the SSFA agreements with indication that legal agreement was reached for the financial revisions made.

104. The disbursement of funds was acknowledged, and financial reports were produced by the partner countries and the PIR reports. However, the consultant was not able to secure the disbursement documents from the funding source to UNEP. The project provided some relevant legal documents, including Internal Cooperation Agreement and no-cost

extensions to the agreements between the UNEP Ecosystem Division (the Implementing Agency) and the Law Division (the Executing Division) between but not all relevant documents were in place. The legal documents such as the no cost-extension are acknowledged in the final PIR report (2022).

105. A detailed project budget and the project expenditure sheet was provided updated up to 31 December 2022. The proof of delivery of in-kind support was provided by nine countries out of the 20 countries. The nine countries are Belarus, Guinea Bissau, Togo, Cote d'Ivoire, Uganda, Swaziland, Burkina Faso, and Kazakhstan. Therefore, this condition was only partially satisfied as 11 countries did not provide co-finance reports.
106. A summary of annual expenditure reports (2011 to 2020) analysed by year and by activity was provided to the consultant. The expenditure represents the final approved financial report from UNEP. The expenditure report was revisions made to the budget, the variance between expenditure and the revised budget, and based on how the information on disbursement and expenditures were managed in the IMIS and UMOJA financial management systems.
107. The first Internal Cooperation Agreement (ICA) between the funding Division UNEP DEPI (Division of Environmental Policy Implementation) and the implementing Division UNEP-DELIC (Division of Environmental Law and Conventions) was signed on 8 March 2013 valid until 31 Aug 2015. The second one was signed on 16 Dec 2026 valid until 31 Dec 2017. Another one was signed on 29 June 2018 valid until 31 Dec 2020. The project continued with operational activities closed on 31 December 2023, the Financial Operations were closed on 31 Dec 2023 while the Terminal review was planned for December and January 2024. The extension up to January was expected to be confirmed with a new ICA.
108. The completeness of the financial information was moderately satisfactory. Since the project was internally executed by UNEP the signed financial reports provided were considered adequate.

**Table 9: Completeness of project financial information**

Financial management components:		Rating	Evidence/ Comments
<b>Completeness of project financial information - Unsatisfactory</b>			
Provision of key documents to the reviewer (based on the responses to A-H below) -			
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	The design document had a detailed section of project financing and budget. Both GEF funds and co-financing are analysed by component. The major sources and type of co-finance raised are clearly indicated. Both GEF funds and co-financing are further broken down by component and by activity/budget line.
B.	Revisions to the budget	Partial	The project was delayed on six occasions with three no-cost extensions and with budget revisions approved three times by UNEP in 2014, 2015 and 2021. However, the revisions for the other delays and extensions were not included.
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Partial	Some relevant legal documents were provided, while some of these documents are missing. Signed copies of amendment 1 <sup>st</sup> (no-cost extension) made in April 2014, May 2015 and March 2021 discussed in the final PIR report.
D.	Proof of fund transfers	Partial	Proof of funds transfer, from UNEP to the implementing partners included in the financial budget and expenditure revisions and analysis report.
E.	Proof of co-financing (cash and in-kind)	Partial	The co-financing was confirmed in the 2014 PIR report and proof provided by the implementing country partners.

Financial management components:		Rating	Evidence/ Comments
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	A summary of expenditure report analysed by year and by activity was provided. The expenditure report shows analysis under IMIS from 2013-2015 and under UMOJA system from 2015 to 2022.

### Communication between Finance and Project Management Staff

109. The engagement with the project manager indicated a strong awareness of the current financial status of the project. The financial status was reflected in the financial status reports, SSFA amendments, and the PIRs.
110. By 30 June 2014, 95 percent of the disbursements had been made. Whereas these disbursements were aligned with SSFAs that had been signed, they did not reflect the good quality financial and technical progress reports.
111. There was evidence of regular/ frequent contact between the project manager and the financial management officer. The financial results are generally well reflected in the SSFA amendment reports and the PIR reports. However, the inability to monitor progress component by component of the project limits the capacity of the project manager to use financial reporting.
112. The project manager and financial management officer were considerably proactive in raising and resolving financial issues. There is strong evidence particularly in the amendments of the SSFA agreements that there was proactive engagement to ensure that financial resources matched the revisions in the implementation timeline.
113. The information in the PIR reports, financial reports, and updates on the SSFA agreements are aligned. This was an indication that most of the narrative and financial reports are reviewed by both the finance and project staff members prior to submission. There are several PIR reports that has very little financial information.
114. There is evidence that good communication between financial and project management staff members positively affected project implementation. The good communication is evident within budget, no extensions, more outputs than planned. However, there were long periods when the Task Manager received limited information on the status of the project largely due to the limited activity.

**Table 10: Communication between finance and project management staff**

1. Communication between finance and project management staff – Moderately Satisfactory		
Project Manager and/or Task Manager's level of awareness of the project's financial status.	S	Based on engagement with the UNEP Law Division and the Task Manager as well as the PIR reports and SSFA amendments there was evidence of clear awareness of the project's financial status.
Fund Management Officer's knowledge of project progress/status when disbursements are done.	US	The disbursements made did not match the technical and financial reporting, although the expectation was that the largest portion of the project was to be advanced to the countries to perform activities.
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.	MS	The PIR and SSFA reports suggest satisfactory communication. However, the financial reporting limits comparison of financial reports and the target performance on individual project components.



<b>1. Communication between finance and project management staff – Moderately Satisfactory</b>		
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.	MS	The financial reports were reviewed by the Task Manager and during implementation. The changes in Task manager during implementation between 2017 and 2018 affected flow of financial information as the scale of implementation was slow since most countries has attained their target. After 2016 when more than 85 % of the countries had acceded the project reporting reduced.
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the review process	S	There was strong responsiveness from the project manager and task manager regarding financial information.
<b>Overall rating</b>	<b>Moderately satisfactory</b>	

**Rating for Financial Management: Moderately Satisfactory**

## F. Efficiency

115. The efficiency review assessed the extent to which the project delivered maximum results from the given resources. The two measures of efficiency are cost-effectiveness and timeliness of project execution.

116. The project timeliness was undermined by several extensions made. As outlined in Table 10, the first extension was justified by the external conditions on ground that affected the ability of the country partners to implement. Where the conditions were favourable 85% of the country partners were able to accede and ratify the Nagoya Protocol. At least two of the five extensions made were not fully justified since the major targets of the project had been achieved, including the need to build capacity for the remaining countries. Whereas the ratification of the Protocol is critical for all participating countries the additional extensions severe undermined the satisfactoriness of the project. The timeliness of the project was unsatisfactory.

**Table 10: Project extensions and reasons for the extensions made**

<b>Period of project extensions</b>	<b>Description of extension</b>	<b>Reasons for extension</b>
In May 2014	Project was extended to 30 April 2016	<ul style="list-style-type: none"> <li>• Lack of capacity in drafting legal and policy frameworks.</li> <li>• Elections and changes in government and political unrest</li> <li>• Declaration of a state of emergency in one country, on 15 May 2014, due to heavy rainfall and flooding thus all official travel and UN-organized events had to be cancelled.</li> <li>• Two participating countries from West Africa were affected by the Ebola outbreak and this significantly stalled many of the awareness raising and stakeholder engagement activities</li> </ul>
June 2016	Project has been extended to June 2018	<ul style="list-style-type: none"> <li>• To allow the remaining three participating countries to complete the ratification or accession process.</li> </ul>
June 2018	The project was extended for a third time in June 2018 to 31 December 2020.	<ul style="list-style-type: none"> <li>• To enable Nigeria and Bosnia and Herzegovina to accede to the Nagoya Protocol as well as awareness raising activities for Liberia and Sierra Leone since both countries closed the Small-Scale</li> </ul>

Period of project extensions	Description of extension	Reasons for extension
		Funding Agreements as they have completed the ratification/accession process.
In June 2020	the project was further extended from to 31st 2021	<ul style="list-style-type: none"> <li>The extension was made to allow the two remaining countries Nigeria and Bosnia and Herzegovina to accede to the Nagoya Protocol</li> </ul>
In June 2021	a final extension was made to the project. The project was extended to 31 <sup>st</sup> December 2022.	<ul style="list-style-type: none"> <li>The extension was made to enable Nigeria and Bosnia and Herzegovina to complete ratification and accede to the Nagoya Protocol.</li> </ul>

117. Nearly 70% of the project budget was allocated to component 1 - Rapid capacity needs assessment in the participating countries to identify institutions, policies, laws, and regulations relevant for the ratification of the Nagoya Protocol, followed by component 2 on stakeholder engagement at 20%. Component 3 on monitoring and evaluation and the project management costs are 6% and 5% (Table 11).

**Table 11: Distribution of project budget by component**

Component	GEF funds (\$)	CO-financing (\$)	Total (\$)	Distribution of budget
Component 1: Rapid Capacity Needs Assessment	750,000	375,000	1,125,000	69%
Component 2: Stakeholder Engagement	155,000	175,000	330,000	20%
Component 3: Monitoring & Evaluation (M&E)	40,000	50,000	90,000	6%
Project management Cost	<b>55,000</b>	<b>27,500</b>	82,500	5%
<b>Totals</b>	1,000,000	<b>627,500</b>	1,627,500	100%

118. The budget and expenditures based on percentage allocation was nearly matched. Even with the three revisions made in the reallocation of funds in budget lines through a budget revision. The expenditures were matched with the budget. Despite the extensions made to the project, there were no additional costs added to the project. The project was able to operate within the existing roles, mechanisms, or institutions. the cost-effectiveness of the project was moderately unsatisfactory largely due to the no cost extensions.

**Table 12: Derived cost effectiveness comparing budget allocation and expenditure.**

Activity	Budget	Budget % allocation	Expenditure Dec 31 2022	Expenditure % allocation	Expenditure as % of budget
Communication Strategy	38,600	3.86%	38,600	3.94%	3.86%
Legal Expert	10,000	1.00%	10,000	1.02%	1.00%
Institutional/Policy	-	0.00%	-	0.00%	0.00%
Project assistant	101,769	10.18%	101,769	10.38%	10.18%
International travel	-	0.00%	-	0.00%	0.00%
SSFAs with countries	598,729	59.87%	598,729	61.10%	59.87%
Legal support to Countries	43,500	4.35%	43,500	4.44%	4.35%
Technical support to countries	5,981	0.60%	5,981	0.61%	0.60%
Workshops (Inception Addis Ababa, capacity building workshops and other technical support and training as needed)	179,122	17.91%	179,122	18.28%	17.91%
Inception WS Pacific	-	0.00%	-	0.00%	0.00%

Activity	Budget	Budget % allocation	Expenditure Dec 31 2022	Expenditure % allocation	Expenditure as % of budget
Steering committee meetings	2,300	0.23%	2,285	0.23%	0.23%
Publications and KM	-	0.00%	-	0.00%	0.00%
External Evaluation (final)	20,000	2.00%	-	0.00%	0.00%
Total	1,000,000	100.00%	979,984	100.00%	98.00%

119. The assessment of cost-effectiveness would have improved if the expenditures had been reported based on the project components; however, this information was not available. Therefore, a combination of cost-effectiveness and timeliness as observed in the evidence available indicates that the effectiveness of the project was unsatisfactory despite the fair resilience observed in the project's financial management.

**Rating for Efficiency: Unsatisfactory**

## G. Monitoring and Reporting

### Monitoring Design and Budgeting

120. The logical framework captured the implementation logic for the project, but the theory of change was not developed. The outcome indicators for the project are improved understanding of obligations and other provisions of the NP on ABS in 20 countries and the countries acceding and ratifying the Nagoya Protocol. The log-frame also highlights the project outputs and activities, the independently verifiable indicators comprising the indicator, baseline and target, and the methods of verification and assumptions.

121. The logical framework was well developed and comprehensively supported description of the type of data to be collected and the methods of verification. The project has a dedicated budget for monitoring and evaluation. However, the monitoring and evaluation system was not disaggregated by relevant stakeholder groups nor was it specific on gender indicators. Gender was acknowledged in the CEO Endorsement document as a part of key stakeholders like local and indigenous communities, civil society, including women groups, and the private sector, to benefit from the proper use of genetic resources and the sharing of benefits. The persons responsible for monitoring and evaluation were indicated.

122. The monitoring design and budgeting was **moderately satisfactory**, with limitations in the disaggregation of relevant stakeholder groups and gender specific indicators, and the organisation of expenditure report. The baseline information was also limited.

### Monitoring of Project Implementation

123. Generally, the project received all the progress reports from the participating countries in 2015, 2016, 2017, 2018, 2019, 2020, 2021, and 2022, and only 15 of progress reports for 2014. The monitoring plan is based on description provided in the logical framework and the results have been described in the PIR reports. The baseline status was indicated, and the project implementation data, as well as detailed data for the indicators, which was analysed and included in the PIR reports that were produced in June 2014, 2015, 2016, 2017, 2018, 2019, 2020, 2021 and 2022.

124. The PIR reports were shared with the partner countries. Only two stakeholder meetings, the inception meeting in March 2013 and the Steering Committee meeting in March 2015 were documented. The monitoring of project implementation was **Satisfactory**. This is

because the description of the methods and tools for the monitoring and evaluation was incomplete.

## Project Reporting

125. The progress report for the project was substantial. There are some missing sections on the legal documents on the extensions and revisions to the budget made for the different years beyond the three acknowledged in final PIR report. The progress updates shared by countries and feedback documented in the PIR reports suggests regular communication between UNEP and the project teams.
126. The data was not specifically disaggregated by vulnerable groups including gender; however, gender was highlighted within the stakeholder description, and it was likely implicitly included. There is considerable consistency particularly in the annual PIR reports.
127. The project was implemented at high level decision-making level in Government. The legal documents drafted were directed at an existing legal and policy framework. The ratification documents include the vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policymaking and implementation for biodiversity conservation. The ratification of the protocol is an indication that this condition was achieved.
128. The project report was **moderately satisfactory** based on important data gaps on financial records, legal documents on extensions and the lack of specific disaggregation of the results for gender.

**Rating for Monitoring and Reporting: Moderately satisfactory**

## H. Sustainability

129. Sustainability is the probability of project outcomes being maintained and developed after the close of the intervention. It is assessed against three sub-criteria: socio-political sustainability; financial sustainability; and institutional sustainability.

### Socio-political Sustainability

130. Socio-political sustainability scored the extent to which social or political factors support the continuation and further development of project outcomes. The project was subject to a variety of political influences that may jeopardize realisation of project objectives. During implementation there were disruptions from elections, political stability, epidemic diseases (Ebola), among others. In nearly all the countries, ratification of the protocol involved endorsement from sub-national and traditional leaders, the endorsement of the legislature or parliament, and executive or cabinet.
131. The experiences of delay engagement with the decision-making structure of national and sub-national Government in Bosnia and Herzegovina, and the need for engagement with Chiefs in Sierra Leone, Lesotho, Eswatini, and Malawi shows the importance of the sociopolitical. Changes in the social political structure are likely to have a significant impact on the implementation of the Protocol.
132. On the other hand, the 95% accession and ratification achieved was largely due interest, ownership and concrete steps taken by the country partners to make the necessary legal and policy reforms needed. The countries showed further commitment with co-financing that led to the ratification of the Protocol in the countries. The socio-political factors are critical to the success of the project. The continued implementation of the outcomes of the project is also dependent on this continued commitment. However, given the

successes achieved during implementation, the sociopolitical sustainability is rates as **Moderately likely**.

### **Financial Sustainability**

133. The financial sustainability provided a rating on the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. The project was designed to enable countries, which become party to the Nagoya Protocol, to access both monetary and non-monetary benefits arising from genetic resources including, among others, fees, royalties, licenses, intellectual property rights, or product development, access to knowledge, capacity development or benefits arising from food security or improved livelihoods. Not only would the need for additional resources reduce due to the potential for beneficial commercial and non-commercial impacts, but the expected new income streams provide an exit strategy for the project beneficiaries.
134. The key stakeholders include local and indigenous communities, civil society, including women groups, and the private sector, who benefit from the proper use of genetic resources and the sharing of benefits. Because the Nagoya Protocol covers most of the genetic resources that biodiversity has to offer, a valuation of the economic benefits of becoming a party of the protocol are difficult to estimate at the national or global levels.
135. The project **highly likely** to be financially sustainable. The analyses for access and ratification documents at the country level are expected to include the financing of implementation of the Nagoya Protocol before it can be included into the national policy framework., and the willingness by the country governments and institutions to include the Protocol in their plans and budgets.

### **Institutional Sustainability**

136. Institutional sustainability indicates the extent to which the sustainability of the project outcomes is dependent on issues relating to institutional frameworks and governance. Institutional capacity building was a key component of the project. The project aims to ensure that country parties have the capacity to develop or amend national. policies, legislation, and regulations in line with the Nagoya Protocol provisions. The first output
137. The project implemented capacity needs assessment, awareness creation, stakeholder engagement, enhance capacity for drafting legal documents, and development of a communication strategy on ABS. The capacity enhancement was a major outcome that was reported in the project implementation reports. Several of the major project delays were allowed to ensure that the institutional capacity in the partner countries was achieved. At the end of the project, it was expected that institutional capacity for all countries had been enhanced while the 19 countries that acceded and ratified the Protocol has achieved a **high likelihood** of institutional sustainability.
138. The technical capacity of individuals who support implementation of the Protocol was enhanced. The participating country partners indicated a higher technical capacity to implement the protocol in line with the reporting included in the PIRs.

**Rating for Sustainability: Moderately Likely**

## **I. Factors Affecting Performance and Cross-Cutting Issues**

### **Preparation and Readiness**

139. Project implementation started in May 2013 with an inception workshop in Addis Ababa, Ethiopia from 7 to 10 May 2013. There were several project design revisions such as reducing the project countries from 30 to 20. Some countries in the Pacific region and

Central African Forests Commission (COMIFAC) were transferred to their respective MSPs as agreed by GEF Secretariat. Egypt opted to use its own government funding for the early ratification of the Nagoya Protocol. Instead, Egypt requested and received provision of legal, policy and technical advice for the early ratification and implementation of the Nagoya Protocol.

140. The project was implemented through Small-Scale Funding Agreements. The Funding Agreements ranged between US\$ 20,000 (Guinea Bissau) and US\$ 50,000 (Sierra Leone and Zimbabwe). Whereas an annual costed work plan was proposed in the CEO endorsement documents, the nature of the SSFA indicates that matched work plans for the different implementing partners were unlikely to be met. Instead, annual financial reporting was more appropriate way of evaluating commitments made in the project budget and expenditure.
141. A comprehensive Environmental, Social and Economic (ESE) safeguards system was not considered since the project was focused on high level policy and regulations capacity at the national level. The implementation of the Nagoya Protocol is based on existing environmental management compliance system at national level.
142. The signing of legal documents was generally done in a timely manner. The evidence was provided by the SSFA agreements and the Internal Cooperation Agreements (ICAs). There were two occasions where gaps may have occurred in the ICA between the UNEP Ecosystem Division (IA) and the Law Division (the EA). and the period after 31st December 2020 was not covered by an ICA.
143. Staff mobilisation was conducted in a timely manner. The project relied on staff capacities already available at the UNEP Ecosystem Division, the UNEP Law Division, and the Partner countries. Similarly, adequate, and appropriate governance mechanisms are documented in the PIR reports. The staff information is also collaborated in the financial management reports.
144. All the necessary measures were made to implement the recommendations of the project review committee (PRC). The revisions from the PRC are documented in the first (2014) and second (2015) PIR reports.
145. The project was approved on 8 March 2013 and actual implementation started on 8 May 2013 based on the 2014 PIR report. The changes made to the project design based on the recommendations of the PRC strengthened implementation. The preparation and readiness were satisfactory.
146. The project was approved on 1st October 2012, while the first disbursement was made on 26 March 2013. The first disbursement was made within the first six months of project approval. Although given the difficulties countries had in establishing project structures at the beginning including Bank Accounts and signatories, many countries indicated that they received the funds later than expected which may have also resulted into the delays.
147. The preparation and readiness were **moderately satisfactory**. The lack of harmonised financial reporting and a stable steering committee affected the performance. By design a harmonised procurement plan and financial reporting as well as ESE reporting were unlikely to be accomplished based on type of project implemented.

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

148. A steering committee was established with representation from all the key project stakeholders; the funders, the executive agency and implementing institution, and the project partner countries. Only one Steering Committee meeting was held in Kigali, Rwanda on 18th March 2015. At least three stakeholder meetings were held in Addis Ababa Ethiopia, the inception workshop. This was followed by a second stakeholder workshop in Kampala, June 9-13, 2014, and a Knowledge Sharing Workshop Djibouti in

August 2016 to assist the participating countries that had not yet ratified or acceded to the Nagoya Protocol. Ideally, steering committee meeting would have been held more regularly to support implementation of project activities.

149. The working relationship between the project manager (PM) / task manager (TM) and project partners was constructive and effective. There were a few lapses for example, some of the delays to ratify for the Nigeria and Bosnia and Herzegovina seem to have been associated with slower institutional and administrative processes within the counties. Despite efforts such as the Knowledge Sharing Workshop Djibouti in August 2016. Nonetheless, the Governments of both countries continued to indicate a willingness to ratify with Nigeria eventually achieving ratification and accession in 2022 while Bosnia and Herzegovina has not yet ratified the Protocol.
150. The staff capacity was aligned with the project requirements. The project turnover was very limited and staff effectiveness was quite high given the quick response to accede and ratify the Protocol for 85% of the countries. The Task Manager for the project left in 2017 and was replaced with a new Task Manager. The project manager, in the UNEP-Law Division, left the project in 2016 and was replaced by a new project manager. Several countries changed their National Focal Points for the Nagoya Protocol; however, the target towards ratification or accession was either on track or had already been achieved.
151. An excellent amount of regular and constructive information exchange between project team, PM/TM and UNEP staff took place. The implementation agency (IA) or executing agency (EA) provided excellent leadership towards achieving the planned outcomes.
152. There was strong responsiveness to execution challenges or contextual changes. There was adequate management response to the need to revise the financial reports, management of funds, implementation, and accountability.
153. The PIR indicated a fair frequency and relevance of advice provided by the PM/TM to deal with known problems, risks, or challenges. The quality of project management and supervision was **satisfactory**.

### **Stakeholders Participation and Cooperation**

154. The project began with a needs assessment that also included a stakeholder analysis. The needs and stakeholder analysis were conducted by the individual countries. The CEO endorsement document also included a section on the stakeholder analysis that built on country consultations and review of NBSAP and the National Reports of Countries.
155. The project dedicated considerable efforts to awareness creation and stakeholder ownership of the proposed ABS provisions in the Nagoya Protocol. By design, the project was based on ensuring that the decision-makers within the respective country including sub-national leaders (chiefs, federal governments, and local governments), the national legislature, and the executive usually including cabinet and the President.
156. The success of the project relied on strong consultation and communication with stakeholder groups during the life of the project. Strong support was given to collaboration and collective action between stakeholder groups during the life of the project.
157. There were opportunities for collaborative and collective action to develop legal documents, knowledge products, and create awareness. There were also capacity building opportunities for the core ABS implementing countries.
158. There were no specific linkages to poverty alleviation or impact on economic livelihoods have been considered and addressed in the project very well to assess and mitigate negative effects on sustainability of livelihoods, equity of opportunities and the protection

of human rights for populations directly or indirectly affected by the project, have been made.

159. The positive effects on equity are demonstrated. The project's stakeholder's participation and cooperation were **Satisfactory**.

### **Responsiveness to Human Rights and Gender Equality**

160. There was limited inclusion of human rights considerations in project implementation, interpretation of results and project expenditure. Human rights were not specifically addressed both in the project design and implementation.

161. The Nagoya Protocol recognises the vital role that women play in access and benefit-sharing. The Protocol affirms the need for the full participation of women at all levels of policymaking and implementation for biodiversity conservation. The legal documents for ratification and access were required to meet both the Nagoya Protocol and national regulations on gender. Even though gender was direct consideration of the project.

162. There consideration of human rights and gender considerations were considered **Moderately Unsatisfactory**.

### **Environmental and Social Safeguards**

163. Environmental and social safeguards were not a core consideration for the project. The project was designed to support high-level policy and legislative reforms through development of ratification documents, awareness creation, and capacity enhancement for the regulators and the legislative authorities. The Nagoya Protocol ratification and entry into force relies on an implied strong regulatory framework of environmental and social safeguards.

164. The environmental and social safeguards were rated as **Unsatisfactory**.

### **Country Ownership and Drivenness.**

165. The country ministries in charge of biodiversity and the ministries and departments in charge of policies and legislation or regulations were essential for moving from project outputs to outcomes. The leadership of the ministries allowed for a comprehensive country owned and country driven process.

166. The implementation of the project relied on the participation of national agencies to develop information, education, and communication (IEC) materials, awareness creation among the national actors, and commitment from stakeholders who support ABS activities. These stakeholders include traditional healers, chiefs, local leadership, local governments, federal governments, and national government decision-makers.

167. The roles of the ministries in charge of biodiversity, policies and legislation included strategic guidance, advocating for the needed reforms in the baseline policies and legislation, accepting and disseminating results of the capacity needs assessment, and providing of co-finance through in-kind contributions and making provisions for inclusion of the project outcomes in the institution's budget and other resource mobilisation. **Highly satisfactory**.

### **Communication and Public Awareness**

168. There was considerable investment made in awareness creation among the key stakeholders. The awareness creation made was documented in the PIR reports and collaborated by the interviews with stakeholders from the participating countries.

169. A "Guide to the Ratification and Accession to the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization"



was produced as part of the project. The aim of the Guidebook is to present all relevant information to help stakeholders to enhance activities for scaling up the ratification of the Nagoya Protocol, improving implementation of access and benefit-sharing projects and mitigating challenges in future ratification and implementation processes.

170. The communication was well targeted as it was built of a needs assessment and stakeholder analysis where the key stakeholders were identified and targeted with the information needed to support acceding and ratifying the protocol. The stakeholders subsequently made direct contributions to the development of the necessary instruments, and advocacy within government to support acceding and ratification at national level.
171. The key stakeholders were involved in providing critical feedback, monitoring the progress of the project, mobilising resources to support implementation of the Nagoya Protocol, and ensuring that the ABS activities were fully funded.
172. The country partners were encouraged to develop communication strategies for the Nagoya Protocol as it was key to success of ratification. The communication strategy was adapted from UNEP and the participating countries individually adapted it to their national communication strategies. **Satisfactory.**

**Rating for Factors Affecting Performance and Cross-Cutting Issues: Satisfactory**

## VI. CONCLUSIONS AND RECOMMENDATIONS

### A. Conclusions

173. **The strategic relevance of the project was highly satisfactory.** The project's Programme of Work (POW) and Strategic Priorities were aligned to UNEP's Programme of Work (PoW) 2012-2013 and 2014-2015. BD4: Mainstreaming Biodiversity Conservation and Sustainable Use in Production Landscapes and Sector. The project was highly aligned with GEF's strategic priorities particularly the NPIF. The project also shows strong global, regional, sub-regional and national priorities given that the implementation relied on multi-country and regional cooperation. The project shows strong complementarity with implementation of the CBD and other related treaties such as the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and the Convention on the International Trade in Endangered Species of flora and fauna (CITES), among others.
174. **The quality of project design was satisfactory.** The highest satisfaction was for partnerships and sustainability/ replication and catalytic effects. Moderate dissatisfaction was observed with project preparation, risk identification and social safeguards, and identified project design weakness/gaps.
175. **The nature of external context was moderately favourable.** Socio-political factors, climatic conditions, and an epidemic disease outbreak affect future implementation of the Nagoya Protocol and ABS. However, the institutional capacity built, and the policy and legal framework enhanced would moderate the impact of the external context.
176. **Effectiveness was rated as highly satisfactory.** Whereas availability of outputs were only moderately satisfactory given that only four countries were able to ratify the Nagoya Protocol in line with the project timeline with delays occurring on ratification and awareness creation, the project outcomes were highly satisfactory with 19 out of 20 project countries ratifying the Protocol and the likelihood of impact was highly likely because the ratification was achieved through country owned policy and legal documents, awareness creation and institutional capacity building.
177. **Financial management was rated as moderately satisfactory.** At the end of the project the variance between the project budget and the actual expenditure was only 2 percent. Adherence to UNEP's financial policies and procedures was moderately satisfactory. There were divergences between the initial disbursement and when the countries received funds. Some of these divergences were related to the external context and preparedness of the countries. However, there were efforts for the UNEP team to adhere. The financial information was also moderately satisfactory. The countries made commitments to provide financial reports; however, given the numerous project delays and revisions to the SSFAs done bilaterally between UNEP and the individual countries uniform financial information could not be achieved. Only eight out of 20 countries submitted co-finance reports despite considerable evidence of co-financing. The communication between the finance and the project management staff was also rated as moderately satisfactory. The financial reports are not aligned to project components despite the evidence of financial information provided and the financial reporting captured in the PIR reports.
178. **Efficiency was rated as unsatisfactory.** The efficiency looked at the cost effectiveness and timeliness of the project. The project was not implemented in a timely manner, it was extended from a close date of May 2015 to a close date of December 2022. The project delays were justified by awareness creation needs, delayed ratification and slow response from some countries. However, the project remained within the project budget despite several changes to the SSFA documents of the different countries. Moreover, the countries were willing to request for project extensions to ensure delivery of project outcomes with no-cost extensions and reasonable increases in the budget.

179. **Monitoring and reporting were moderately unsatisfactory.** The monitoring design and budgeting and project reporting were moderately satisfactory with limitations on aggregating the reporting from the different countries and absence of focus on gender issues. The logical framework proposed a budget for monitoring; however, a lot of the expectation on monitoring was placed on co-financing. Monitoring project implementation was satisfactory as evidence from the PIR reports.
180. **Sustainability was moderately likely.** The socio-political sustainability was moderately likely. The risks from socio-political factors are present because implementation of the Protocol relies on commitment of the Government and supporting institutions in the country. On the other hand, financial sustainability is highly likely due to the prospects for generating income from commercial and non-commercial ABS activities. Institutional sustainability showed a high likelihood given the project focus on building institutional capacity of the participating countries.
181. **Factors affecting performance was rated as satisfactory.** Preparation and readiness were moderately satisfactory, the quality of project management and supervision was satisfactory, stakeholder participation and cooperation were satisfactory, environmental, and social safeguards were rated as unsatisfactory, country ownership and drivenness was highly satisfactory while communication and public awareness was satisfactory.

## **B. Summary of project findings and ratings**

182. The table below provides a summary of the ratings and finding discussed in Section V (Table 13). Strategic relevance and effectiveness were highly satisfactory. The strategic relevance is addressed in UNEP's POW, a priority of the CBD conference of parties with a specialised fund established by the GEF Council. The quality of project design was satisfactory with the highest rating observed in the partnerships and sustainability. Strategic relevance, intended results, the logical framework and monitoring were satisfactory. The least satisfaction on project design quality was in risk identification and safeguards and project preparation. Effectiveness was rated highly based on the high likelihood of impacts and high satisfaction with outcomes even though the outputs were moderately satisfactory. Financial management was moderately satisfactory for adherence to financial policies and procedures, completeness of financial information, and communication between the financial team and the project manager. The efficiency was unsatisfactory with several delays and extensions to the project although cost-effectiveness was quite strong. Monitoring and reporting were moderately satisfactory with limitations on aggregating the reporting and an implicit requirement for co-financing for country partners to achieve the monitoring requirements. Sustainability was moderately likely largely due to socio-political factors being critical to sustainability despite high satisfaction with financial and institutional sustainability. The factors affecting project performance were satisfactory.

### **UNEP Evaluation Office Validation of Performance Ratings:**

The UNEP Evaluation Office formally quality assesses (see Annex XXX) management led Terminal Review reports and validates the performance ratings therein by ensuring that the performance judgments made are consistent with evidence presented in the Review report and in-line with the performance standards set out for independent evaluations.

The Evaluation Office assesses a Terminal Review report in the same way as it assesses the initial draft of a Terminal Evaluation report. It applies the following assumptions in its validation process:

- That what is being assessed is the contents of the report and the extent to which it makes a consistent and justifiable case for the performance ratings it records.
- That the consultant has, within the report, presented all the evidence that was made available to them.
- That the Review has been based on a robust Theory of Change, reconstructed where necessary, which reflects UNEP's definitions at all levels of results.
- That the project team and key stakeholders have already reviewed a draft version of the report and provided substantive comments and made factual corrections to the Review Consultant, who has responded to them. The Evaluation Office assumes, therefore, that it has received the Final (revised) version of the report.

In this instance the Evaluation Office assesses the Quality of the Terminal Review Report as '**Moderately Satisfactory**' and validates the overall project performance rating at the '**Satisfactory**' level.

**Table 4: Summary of project findings and ratings<sup>4</sup>**

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)*	EOU Validated Rating
<b>Strategic Relevance</b>	<b>Highly Satisfactory</b>	5.58	<b>Rating validated</b> <i>For Enabling Activities projects, only two sub-categories for Strategic Relevance are assessed</i>	<b>6</b>
1. Alignment to UNEP MTS, POW and strategic priorities	Highly Satisfactory. The project's Programme of Work (POW) and Strategic Priorities were aligned to UNEP's Programme of Work (PoW) 2012-2013 and 2014-2015. BD4: Mainstreaming Biodiversity Conservation and Sustainable Use in Production Landscapes and Sector.	6	Rating validated	<b>6</b>
2. Alignment to Donor/Partner strategic priorities	Highly Satisfactory. The project is aligned to donor strategic priorities, particularly the GEF NPIF.	6		
3. Relevance to global, regional, sub-regional and national environmental priorities	Highly Satisfactory. The project also shows strong global, regional, sub-regional and national priorities given that the implementation relied on multi-country and regional cooperation.	6		
4. Complementarity with relevant existing interventions/coherence	Satisfactory. The project shows strong complementarity with implementation of the CBD and other related treaties.	5	Rating validated	<b>5</b>
<b>Quality of Project Design</b>	<b>Satisfactory.</b> The highest satisfaction was for partnerships and sustainability/ replication and catalytic effects. Moderate dissatisfaction was observed with project preparation, risk identification and social safeguards, and identified project design weakness/gaps.	5	<i>(For Enabling Activities projects, Quality of Project Design is not assessed)</i>	<b>N/A</b>

<sup>4</sup> Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated, also on a six-point scale, from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU).

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)*	EOU Validated Rating
<b>Nature of External Context</b>	<b>Moderately Favourable.</b> Socio-political factors, climatic conditions, and an epidemic disease outbreak affect future implementation of the Nagoya Protocol and ABS. However, the institutional capacity built, and the policy and legal framework enhanced would moderate the impact of the external context.	3	<i>(For Enabling Activities projects, Nature of External Context is not assessed)</i>	<b>N/A</b>
<b>Effectiveness</b>	<b>Highly Satisfactory.</b>	5.78	<b>Rating adjusted based on the average scores of the three sub-categories.</b>	<b>5</b>
1. Availability of outputs	Moderately Satisfactory. Whereas availability of outputs was only moderately satisfactory given that only four countries were able to ratify the Nagoya Protocol in line with the project timeline with delays occurring on ratification and awareness creation,	4	Rating validated but with reservations.  The quality and utility is implied in the fact that 19 of the countries ratified the Protocol. Also, the Evaluation Office notes that at least two of the outcomes are actually formulated at the output level, so the performance ratings for outputs should be consistent with the rating for outcome level performance.	<b>5</b>
2. Achievement of project outcomes	Highly Satisfactory. the project outcomes were highly satisfactory with 19 out of 20 project countries ratifying the Protocol and	6	The rating (HS) is not sufficiently justified. While 19 out of 20 countries were able to accede and ratify the Nagoya Protocol, the assessment does not provide an in-depth analysis of the extent to which the expected Outcome ( <i>establishment of legal and regulatory frameworks, and administrative procedures that enable access to genetic resources and benefit sharing for the 20 target countries</i> ) was achieved. There is no discussion on the project's actual contribution, credible association and/or attribution to the expected Outcome. There is also no mention of gender dimensions or marginalised groups.  The Evaluation Office validates this rating at the level of 'Satisfactory'.	<b>5</b>

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)*	EOU Validated Rating
3. Likelihood of impact	Highly Likely. Project has a high likelihood of impact because the ratification was achieved through country owned policy and legal documents, awareness creation and institutional capacity building.	6	The rating (HL) is not sufficiently justified. It is assumed that the ratification of the NP by 19 out of 20 countries will necessarily result in Impact achievement. There is no evidence-based analysis on the extent to which the intended Impact ( <i>fair and equitable sharing of the benefits sharing arising out of the utilisation of genetic resources</i> ) is likely to be achieved. The causal pathways from Outcomes to Intermediate State and through to Impact are not discussed. There is no mention of the role/status of Drivers and Assumptions, and neither is there any mention of any unintended effects of the intervention. The Evaluation Office validates this rating at the level of 'Moderately Likely'.	4
<b>Financial Management</b>	<b>Moderately Unsatisfactory.</b>	3.33	<b>Rating adjusted based on the justification below.</b> <i>For Enabling Activities projects, Financial Management is assessed as a single performance criterion)</i>	<b>4</b>
1. Adherence to UNEP's financial policies and procedures	Moderately Satisfactory. Adherence to UNEP's financial policies and procedures was moderately satisfactory. There were divergences between the initial disbursement and when the countries received funds. Some of these divergences were related to the external context and preparedness of the countries. However, there were efforts for the UNEP team to adhere.	4	While we appreciate the lack of co-finance information is disappointing, it is however a systemic weakness within UNEP so the Evaluation Office has normalised the rating and adjusted the level to Moderately Satisfactory.	4
2. Completeness of project financial information	Unsatisfactory. The co-finance information was provided by 40% of the countries, the SSFA provide information on the revisions made to the budget; however, there is no evidence of regular financial reporting although final reports were provided.	2		

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)*	EOU Validated Rating
3. Communication between finance and project management staff	Moderately Satisfactory. The financial reports were synthesised and included in PIR updates. However, they were not used to indicate progress on project outcomes.	4		
<b>Efficiency</b>	<b>Unsatisfactory.</b> The project was not implemented in a timely manner even though the expenditures matched the budget, the numerous delays, and repeated revisions of the SSFA reduced the efficiency of the project.	2	Rating adjusted based on the following.  The no cost extensions are justified because of delays in two countries in progressing with the project plans. However, the end result is still a much longer project life than was originally designed and approved, leading to additional costs to UNEP. Overall this does represent additional costs to UNEP, but the delays were in individual countries and the causes beyond the control of the project.	<b>3</b>
<b>Monitoring and Reporting</b>	<b>Satisfactory.</b>	4.33	<b>Rating adjusted based on the average scores of the two sub-categories.</b> <i>For Enabling Activities projects, Monitoring and Reporting is assessed against two sub-categories)</i>	<b>5</b>
1. Monitoring design and budgeting	Moderately Satisfactory. Monitoring included in the logical framework; however, limitations in the disaggregation of relevant stakeholder groups and gender specific indicators, and the organisation of expenditure report were observed.	4		<b>N/A</b>



Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)*	EOU Validated Rating
2. Monitoring of project implementation	Satisfactory. The PIR reports provided monitoring reporting information. The reports show that in some years some countries did not provide reports.	5	The rating is validated but with reservations.  It is not sufficiently supported by a well-reasoned, complete and evidence-based assessment. Focus has been placed on the quantity of reports and meetings held. It is not clear whether monitoring data was used to track the achievement of results and/or to what extent it supported adaptive management during project implementation. Para 152 states that "...there was strong responsiveness to execution challenges or contextual changes. There was adequate management response to the need to revise the financial reports, management of funds, implementation, and accountability" - however, we cannot know if this is attributed to the monitoring system.	5
3. Project reporting	Moderately Satisfactory. Project reporting was fairly strong but nonetheless limited by important data gaps on financial records, legal documents on extensions and the lack of specific disaggregation of the results for gender.	4	Rating validated.	4
<b>Sustainability</b>	<b>Moderately Likely.</b>	4.00	<b>Rating adjusted based on the average scores of the two sub-categories.</b> <i>For Enabling Activities projects, Sustainability is assessed against two sub-categories)</i>	5
1. Socio-political sustainability	Moderately Likely. Socio-political stability is key to the success of implementation of the Nagoya Protocol. However, if countries strengthen their institutional capacity, they can leverage on it even where socio-political stability is relatively low.	4	The Evaluation Office validates the rating of these two dimensions of sustainability at the level of 'Moderately Likely' because the socio-political situation will limit the potential effect of financial resources.	4
2. Financial sustainability	Highly Likely. The Nagoya Protocol/ ABS implementation leads to increased income through the commercial and no-commercial activities.	6		

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)*	EOU Validated Rating
3. Institutional sustainability	Highly Likely. The institutional established as part of the Protocol are anchored into national laws and receive considerable capacity building.	6	Rating validated	6
<b>Factors Affecting Performance</b>	<b>Satisfactory.</b>	4.56	<b>Rating validated</b> <i>(For Enabling Activities projects, Preparation and Readiness is not assessed)</i>	<b>5</b>
1. Preparation and readiness	Moderately Satisfactory. Preparation through CEO endorsement, inception workshops and engagement were strong. They were only limited by lack of harmonised financial reporting and a stable steering committee affected the performance.	4		<b>N/A</b>
2. Quality of project management and supervision	Satisfactory. The PIR indicated fair frequency and relevance of advice provided by the PM/TM to deal with known problems, risks, or challenges.	5.00	Rating validated	<b>5</b>
2.1 UNEP/Implementing Agency:	<i>Satisfactory.</i>	5	Rating validated	<b>5</b>
2.2 Partners/Executing Agency:	<i>Satisfactory.</i>	5	Rating validated	<b>5</b>
3. Stakeholders' participation and cooperation	Satisfactory.	5	Rating validated	<b>5</b>
4. Responsiveness to human rights and gender equality	Moderately Satisfactory.	4	The findings presented in the report (e.g. under the sections 'G. Monitoring and reporting', and 'VI.C. Lessons learned') indicate that considerations for gender equity and human rights were suboptimal.  The Evaluation Office validates this rating at the level of 'Moderately Unsatisfactory'.	<b>3</b>

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)*	EOU Validated Rating
5. Environmental and social safeguards	Unsatisfactory. The Nagoya Protocol ratification and entry into force relies on an implied strong regulatory framework of environmental and social safeguards.	2	A comprehensive Environmental, Social and Economic (ESE) safeguards screening was not considered during project design and implementation, however, the implementation of the Nagoya Protocol is based on existing environmental management compliance systems at national level.  The Evaluation Office validates this rating at the level of 'Moderately Satisfactory' (a higher rating would have been achieved if the project had stronger performance in gender equity and considerations for marginalised/vulnerable groups)	4
6. Country ownership and driven-ness	Highly Satisfactory. By design the project relies on strong country ownership and drivenness, which was evident in the SSFAs, the ratification achieved and implementation of project.	6	Rating validated	6
7. Communication and public awareness	Satisfactory. The communication strategy was adapted from UNEP and the participating countries individually adapted it to their national communication strategies	5	The evidence presented implies a strong effort by the team towards communication and public awareness. Para 168 states "... <i>There was considerable investment made in awareness creation among the key stakeholders. The awareness creation made was documented in the PIR reports and collaborated by the interviews with stakeholders from the participating countries.</i> " The Evaluation Office validates this rating at the level of 'Highly Satisfactory'	6
<b>Overall Project Performance Rating</b>	<b>Satisfactory.</b>	4.75	<b>The overall rating has been reached using a simple average of all the ratings above, following the Evaluation Office approach for the assessment of GEF Enabling Activities</b>	<b>5 (Satisfactory)</b>

\*The Evaluation Office has followed the format used for Terminal Review of GEF Enabling Activities

**Table 14: Weightings Table for Review Criteria Ratings**

<b>Evaluation criteria</b>	<b>Rating</b>	<b>Score</b>	<b>Weight</b>	<b>Weighted Score</b>
<b>Strategic Relevance</b> (select the ratings for sub-categories)	<b>Highly Satisfactory</b>	<b>5.58</b>	<b>6</b>	<b>0.3</b>
<i>Alignment to UNEP's MTS, POW and strategic priorities</i>	Highly Satisfactory	6	0.5	
<i>Alignment to Donor/Partner strategic priorities</i>	Highly Satisfactory	6	0.5	
<i>Relevance to regional, sub-regional and national issues and needs</i>	Highly Satisfactory	6	2.5	
<i>Complementarity with existing interventions</i>	Satisfactory	5	2.5	
<b>Quality of Project Design</b>	<b>Satisfactory</b>	<b>5</b>	<b>4</b>	<b>0.2</b>
<b>Nature of External Context</b>	<b>Moderately Favourable</b>	<b>3</b>		
<b>Effectiveness</b> (select the ratings for sub-categories)	<b>Highly Satisfactory</b>	<b>5.78</b>	<b>45</b>	<b>2.6</b>
<i>Availability of outputs</i>	Moderately Satisfactory	4	5	
<i>Achievement of project outcomes</i>	Highly Satisfactory	6	30	
<i>Likelihood of impact</i>	Highly Likely	6	10	
<b>Financial Management</b> (select the ratings for sub-categories)	<b>Moderately Unsatisfactory</b>	<b>3.33</b>	<b>5</b>	<b>0.2</b>
<i>Adherence to UNEP's policies and procedures</i>	Moderately Satisfactory	4		
<i>Completeness of project financial information</i>	Unsatisfactory	2		
<i>Communication between finance and project management staff</i>	Moderately Satisfactory	4		
<b>Efficiency</b>	<b>Unsatisfactory</b>	<b>2</b>	<b>10</b>	<b>0.2</b>
<b>Monitoring and Reporting</b> (select the ratings for sub-categories)	<b>Satisfactory</b>	<b>4.33</b>	<b>5</b>	<b>0.2</b>
<i>Monitoring design and budgeting</i>	Moderately Satisfactory	4		
<i>Monitoring of project implementation</i>	Satisfactory	5		
<i>Project reporting</i>	Moderately Satisfactory	4		
<b>Sustainability</b> (select the ratings for sub-categories)	<b>Moderately Likely</b>	<b>4.00</b>	<b>20</b>	<b>0.8</b>
<i>Socio-political sustainability</i>	Moderately Likely	4		
<i>Financial sustainability</i>	Highly Likely	6		
<i>Institutional sustainability</i>	Highly Likely	6		
<b>Factors Affecting Performance</b> (select the ratings for sub-categories)	<b>Satisfactory</b>	<b>4.56</b>	<b>5</b>	<b>0.2</b>
<i>Preparation and readiness</i>	Moderately Satisfactory	4		
<b>Quality of project management and supervision</b>	<b>Satisfactory</b>	<b>5.00</b>		
<i>UNEP/Implementing Agency: (select the ratings for sub-categories)</i>	<b>Satisfactory</b>	<b>5</b>		
<i>Partner/Executing Agency: (select the ratings for sub-categories)</i>	<b>Satisfactory</b>	<b>5</b>		
<i>Stakeholder participation and cooperation</i>	Satisfactory	5		
<i>Responsiveness to human rights and gender equity</i>	Moderately Satisfactory	4		
<i>Environmental and social safeguards</i>	Unsatisfactory	2		
<i>Country ownership and driven-ness</i>	Highly Satisfactory	6		
<i>Communication and public awareness</i>	Satisfactory	5		
			<b>100</b>	<b>4.75</b>
				<b>Satisfactory</b>

### C. Lessons learned

<b>Lesson Learned #1:</b>	<b>The importance of strategic relevance of the project to the attainment of effectiveness in implementation.</b>
<b>Context/comment:</b>	Even where the project relies considerably on co-financing and country commitments, the strategic relevance of the project was high. Implementation of ABS affects issues critical to the countries such as food security, wildlife management, and sovereignty over genetic resources and traditional knowledge.
<b>Lesson Learned #2:</b>	<b>Importance of flexibility of project design and the nature of external context is critical to the success of the project although it undermined efficiency of project performance.</b>
<b>Context/comment:</b>	The project management team realised in the first two years; the importance of accommodating country needs and country context for awareness creation to allow decision makers embrace the Nagoya Protocol. The flexibility of the project management affected timeliness and cost-effectiveness; however, it ensured a better performance in the other criteria.
<b>Lesson Learned #3:</b>	<b>In multi-country projects where the external context plays a significant role in project performance, uniform financial reporting and delivery of outputs cannot be achieved. It more important to ensure that the different country partners achieve their outputs are achieved in a timely manner in line with the project agreement</b>
<b>Context/comment:</b>	The reviewer observed the challenges in reporting and maintaining the set targets for countries where more time was needed to create awareness for decision makers. On a few occasions Nigeria and Bosnia and Herzegovina were non-responsive as their ratification processes delayed. Yet the commitment from the country partners seemed strong.
<b>Lesson Learned #4:</b>	<b>There is a need to align financial reporting with the delivery of project outcomes.</b>
<b>Context/comment:</b>	One of the criteria rated is the communication between the project management and the finance team. One of the ways of enhancing the effectiveness of this communication is allow the management team to score the project components against the disbursement and expenditure. Currently, this does not exist.

<b>Lesson Learned #5:</b>	<b>Addressing gender and human rights, environmental and social safeguards and other factors affecting performance in high-level policy projects may be supported with benchmarking of the country condition, i.e. the level of satisfaction.</b>
<b>Context/comment:</b>	In a high-level policy project, many of the factors affecting performance of the project are already set in country law and regulations. Nonetheless, the baseline information may need to benchmark these to support performance rating.

## D. Recommendations

<b>Recommendation #1:</b>	<b>Strengthen the role of strategic relevance, effectiveness, sustainability in the implementation of the project.</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	The Global Support Project for ratification of the Nagoya Protocol required strong country commitment from the partner institutions and the Governments. Where competing interests existed the implementation of the project was delayed. The project design period through the CEO endorsement and Project document needs to predict challenges on these three core factors and include interventions to strengthen them during implementation.
<b>Priority Level:</b>	High
<b>Type of Recommendation</b>	Critical
<b>Responsibility:</b>	Donors, implementing entity, partner countries
<b>Proposed implementation time-frame:</b>	Medium-term phase of project design and implementation.

183. Cross-reference(s) to rationale and supporting discussions:

- Section [V. A. Strategic Relevance, B. Project Design, and D. Effectiveness](#)

<b>Recommendation #2:</b>	<b>Regular steering committee meetings need to be conducted at least once annually.</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	Only one steering committee meeting was reported. The project was unique as countries that completed activities early did not need to continue participating in project activities.
<b>Priority Level:</b>	High
<b>Type of Recommendation</b>	Critical

<b>Responsibility:</b>	The Implementing Entity and the Executing Division
<b>Proposed implementation time-frame:</b>	One steering committee should be held annual.

184. Cross-reference(s) to rationale and supporting discussions:

- Section **V, F. Efficiency**

<b>Recommendation #3:</b>	<b>Aligning financial reporting with project components and outcomes is critical to the success of reporting project outputs and outcomes.</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	The assessment of cost-effectiveness is slightly constrained by the inability to match the disbursements and expenditures with percentage attainment of the components of the project. Instead, it is considered for percentage progress for the entire project. This aids discretionary functions of the project but it also means it is difficult to know how funds may have been moved from one component to another to improve performance of the project.
<b>Priority Level:</b>	Moderate
<b>Type of Recommendation</b>	Critical
<b>Responsibility:</b>	UNEP, GEF
<b>Proposed implementation time-frame:</b>	Proposed linked to a medium-term POW timeline

185. Cross-reference(s) to rationale and supporting discussions:

- Section **V, E. Financial Management, F. Efficiency, and G. Monitoring and Reporting**

<b>Recommendation #3:</b>	<b>Enhance and improve reporting on co-financing and estimation of co-financing by project countries.</b>
<b>Challenge/problem to be addressed by the recommendation:</b>	Only eight out of 20 countries reported their co-financing contribute despite the numerous efforts made to develop communication strategies, create awareness, and develop documents for the legislature, executive and legal documents of ratification. More countries need to be encouraged to report co-financing and to make accurate estimates of this co-financing. This will be important for the sustainability of the project if the on-going financing opportunities and options are acknowledged and included in a future financing strategy.
<b>Priority Level:</b>	High

<b>Type of Recommendation</b>	Critical
<b>Responsibility:</b>	Partner countries with support from the executing division
<b>Proposed implementation time-frame:</b>	Proposed linked to a medium-term POW timeline

186. Cross-reference(s) to rationale and supporting discussions:

- Section **V, H. Sustainability (Financial Sustainability)**



## ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

**Table 5: Response to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate**

Page Ref	Stakeholder comment	Reviewer Response
vii	Could we consider number of participating countries which have contributed to Entry into Force of the NP instead of "project time line"	In the both the short-term and long-term, the effectiveness was rated as highly satisfactory. Nonetheless, the timeliness of attaining targets is an important consideration. Even where the timeliness was not kept, the effectiveness was leveraged in the other assessment criteria thus the high rating.
viii	The implementation of such project can differ from one country to another, country context and legislative body are different from one to another.	The lessons learned from the differences in country context were used to reflect on improvements that can be made at project design.
Page 4	Why were 14 Key Informant Interviews Used instead of 20.	The performance of the countries was grouped and sample of used. The countries which ratified early has relatively strong similar factors, while the countries that delayed has many unique factors to consider that influenced the review outcomes.

## ANNEX II. PEOPLE CONSULTED DURING THE REVIEW

**Table 6: People consulted during the Review.**

Organisation	Name	Position	Gender
UNEP – Ecosystem Division	Ms. Jane Nimpamyia	Task Manager	Female
UNEP – Law Division	Mr. Emmanuel Adonsou	Programme Manager	Male
Bosnia Herzegovina	Ms. Adla Kahric	Assistant to BiH NFP UNCBD	Female
Lesotho – Ministry of Defence National Security and Environment (MDNSE), Department of Environment	Ms. Mamasheane Motabotabo	Senior Environment Officer, Nagoya Protocol NFP	Female
	Ms. Qongqong Hoohlo	Director Department of Environment, NFP CBD	Female
	Mr Bataung Mokhele	Environment Officer	Male
	Ms. Rorisang Thamae	Assistant Environment Officer	Female
Sierra Leone - Environment Protection Agency	Ms. Lovetta Yatta Juanah	Director, Programme Development and Performance, NFP Nagoya Protocol	Female
	Mr. Joseph S Turay	CBD NFP	Male
Eswatini - Ministry of Tourism and Environmental Affairs	Mr. Sipho Matsebula	Eswatini Environmental Authority	Male
	Ms. Kangeziwe Mabuza	Principal Secretary Ministry of Tourism and Environmental Affairs	Female
Malawi, Ministry of Natural Resources and Climate Change	Ms. Martha Mphatso Kalembe	Principal Environmental Officer (Biodiversity), Environmental Affairs Department	Female
Uganda – National Environment Management Authority	Ms. Anne Nakafeero	Principal Officer Biodiversity	Female
	Mr. Francis Sabino Ogwal	Senior Manager (Planning and Coordination), NFP CBD, Nagoya Protocol	Male

## ANNEX III. REVIEW FRAMEWORK/MATRIX

Evaluation Criteria	Review Questions/Issues to be addressed	Main data sources & methods
<b>Strategic Relevance</b> <b>The extent to which the activity is suited to priorities/policies of target groups, recipient, and donor</b>	<ul style="list-style-type: none"> <li>• Is project aligned with UNEP MTS, POW and GEF Strategic Priorities?</li> <li>• Is project aligned to Donor/GEF/NPIF/Partner Strategic Priorities?</li> <li>• Are the interventions relevant to Global, Regional, Sub-regional and National Environmental Priorities (for the 20 participating countries) and UNEP/GEF mandate?</li> <li>• Are there linkages (collaboration/ complementarity/redundancy) with other GEF interventions and non-GEF initiatives in the target countries?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of MTS, POW; GEF programming directions; UNEP documents; CEO Approval Request.</li> <li>• Review of ABS priorities and strategies, environmental, social, and economic development policies and plans Interviews and consultations.</li> </ul>
<b>Effectiveness</b> <b>Assess effectiveness across three sub-criteria: availability of outputs; achievement of outcomes; and likelihood of impacts.</b>	<ul style="list-style-type: none"> <li>• Is the delivery of outputs on track?</li> <li>• Is the quality of outputs to the expected level?</li> <li>• Any formal modifications or revisions made during project implementation to be considered part of the project design?</li> <li>• To what extent were the outputs owned and useful to the intended beneficiaries?</li> <li>• What was the timeliness of the outputs (outputs that are most important to achieve the outcomes)?</li> <li>• What are the reasons for the successes or shortcomings of the project in delivering the programmed outputs and the expected quality?</li> <li>• What were the unprogrammed outputs achieved for the beneficiaries of the project?</li> <li>• To what extent did the intermediate state of the project contribute to the project outcomes?</li> <li>• What is the evidence that the outcomes are contributing towards GEF results framework, i.e. increasing the number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment?</li> <li>• Has the implementation of the project contributed towards conservation and use of biodiversity in protected areas and landscapes outside protected areas?</li> <li>• Did the assumptions made, and drivers identified in the reconstructed theory of change hold?</li> <li>• What is the likelihood of the project to make a substantive contribution to the long-lasting changes in biodiversity conservation and sustainable use (and ABS) in the target countries?</li> <li>• What were the unintended positive and their causal linkages to the intended impacts (describe)?</li> <li>• To what extent has the project a catalytic role or promoted the implementation of ABS?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of project progress reports</li> <li>• Review of PIRs</li> <li>• Interviews and cFonsultations with Country Ministries and Institutions responsible for ABS and the Nagoya Protocol.</li> <li>• Key informant interviews/ discussions and consultations with the Project Team, and the UNEP DELC and GEF Biodiversity and Land Unit (of the Biodiversity and Ecosystem Services Branch).</li> </ul>
<b>Financial Management</b> <b>Adherence to UNEP's financial policies and procedures and completeness of financial information and communication.</b>	<ul style="list-style-type: none"> <li>• Is pace of execution in line with expenditure?</li> <li>• Is the rate of spending consistent with proposed work plans and delivery of output? If not, what are the reasons for divergence and mitigation actions taken?</li> <li>• Has any reallocation of funds/adaptive management been the relevant and adequately justified?</li> <li>• Have financial reporting and/or auditing requirements been met (adherence to UNEP financial policies, procedures)?</li> <li>• Was the financial expenditure reported in line with the project components?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of PIRs, financial reports, budget revisions</li> <li>• Key informant interviews/ discussions and consultations with the Project Management Team</li> </ul>

Evaluation Criteria	Review Questions/Issues to be addressed	Main data sources & methods
<b>Efficiency Cost-effectiveness and timeliness</b>	<ul style="list-style-type: none"> <li>• Have interventions achieved results in a cost-effective manner?</li> <li>• Where planned activities delivered in line with expected timeframes? If not, were the reasons for delays sufficiently documented, justified and their implications managed?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of progress reports, financial reports, relevant correspondence</li> <li>• Key informant interviews/ discussions and consultations</li> </ul>
<b>Monitoring design</b>	<ul style="list-style-type: none"> <li>• Did the Monitoring Plan facilitate timely tracking of results and progress?</li> <li>• Is there a clear division of monitoring responsibilities?</li> <li>• Were project indicators consistent, useful, relevant, SMART?</li> <li>• Were potential changes made to project logical narrative, results framework and indicators justified and documented?</li> <li>• Are baseline data and indicators available?</li> <li>• Are activities and outputs recorded and assessed against targets and indicators?</li> <li>• Did the Project Steering Committee provide strategic and technical guidance and were these recorded?</li> <li>• Were any necessary corrective actions proposed and adopted in a timely manner?</li> <li>• Were adaptive management mechanisms in place and used to expedite implementation?</li> <li>• What is the performance at the project's mid-point against Core Indicator Targets?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of CEO Approval Document, Logical Narrative, Results Framework, Monitoring Plans, Annual Work Plans, targets, and indicators</li> <li>• Steering Committee Minutes</li> <li>• Review of PIRs, financial reports, budget revisions</li> <li>• Key informant interviews/ discussions and consultations.</li> </ul>
<b>Project reporting</b>	<ul style="list-style-type: none"> <li>• Does project reporting follow good practice procedure?</li> <li>• Does reporting comply with CEO Approval Document requirements and schedule?</li> <li>• Are key issues of project implementation clearly presented in reports to facilitate adaptive management? (including problems encountered, lessons learnt)</li> </ul>	<ul style="list-style-type: none"> <li>• Review of progress reports and financial reports</li> <li>• Interviews and consultations.</li> </ul>
<b>Sustainability Socio-political, financial, and institutional sustainability</b>	<ul style="list-style-type: none"> <li>• What is the extent to which social or political factors support the continuation and further development of project outcomes?</li> <li>• What is the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forward?</li> <li>• What is the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained?</li> <li>• What is the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance?</li> <li>• Are the institutional achievements strong enough and sufficiently mainstreamed to continue to deliver benefits after project closure?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of EPA and Montenegro conservation and development policies, strategies, and plans (1, 4, 7, 10-12, 20-22).</li> <li>• Interviews and consultations.</li> </ul>
<b>Factors and Processes Affecting Project Performance</b>		
<b>Preparation and Readiness</b>	<ul style="list-style-type: none"> <li>• Were challenges to or constraints in project design identified during initial project stages? If so, how were these addressed?</li> <li>• Are any changes to project design through adaptive management responses justified and documented?</li> <li>• How were stakeholder groups engaged in the project implementation?</li> <li>• Was a capacity analysis of local partners carried out?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of project design documents, results framework and budget.</li> <li>• Review of relevant correspondence and recording of any required approvals.</li> <li>• Interviews and consultations.</li> </ul>
<b>Quality of Project Implementation and Execution</b>	<ul style="list-style-type: none"> <li>• Did UNEP and executing organizations provided the expected leadership (technical and managerial support) to project stakeholders?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of relevant correspondence and recording of any required approvals.</li> <li>• Interviews and consultations.</li> </ul>

Evaluation Criteria	Review Questions/Issues to be addressed	Main data sources & methods
	<ul style="list-style-type: none"> <li>• Did executing organisation adopt risk management strategies, problem-solving approaches, and adaptive management?</li> <li>• What was the impact of no-cost extension (if any e.g. number of project staff)?</li> </ul>	
<b>Stakeholders' participation and cooperation</b>	<ul style="list-style-type: none"> <li>• Were communications among project partners effective?</li> <li>• Were any formal communication protocols applied?</li> <li>• Were project outputs and learning experiences shared?</li> <li>• Was technical expertise shared and were co-implementing teams mentored?</li> <li>• What has been the progress, challenges, and outcomes regarding engagement of stakeholders in the project/program?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of relevant correspondence and recording of any required approvals.</li> <li>• Undertaking interviews and consultations.</li> </ul>
<b>Responsiveness to Human Rights and Gender Equity</b>	<ul style="list-style-type: none"> <li>• Were gender-related challenges adequately addressed in project implementation?</li> <li>• Were other potentially marginalised groups adequately engaged?</li> <li>• Were the impacts of potential inequalities related to investments and natural resource management on women, youth and indigenous people assessed and responded to?</li> <li>• Was gender mainstreaming an explicit requirement in the project implementation, studies, consulting work and training?</li> <li>• Were the gender-disaggregated targets set and were gender-disaggregated indicators used?</li> <li>• What has been the progress, challenges, and outcomes regarding gender-responsive measures and any intermediate gender result areas?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of project policies and practices relevant to potentially excluded groups.</li> <li>• Review of potential gender-related challenges met by the project.</li> <li>• Interviews and consultations.</li> </ul>
<b>Environmental and Social safeguards</b>	<ul style="list-style-type: none"> <li>• What has been the experience at the project's mid-point against the Safeguards Plan submitted at CEO Approval? What measures have been taken to address identified risks in PIRs?</li> <li>• What has been the experience at the project's mid-point against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and any measures taken to address identified risks assessed.</li> </ul>	<ul style="list-style-type: none"> <li>• Review of Safeguards Plan</li> <li>• Review of PIRs</li> </ul>
<b>Country ownership and drivenness</b>	<ul style="list-style-type: none"> <li>• Have mechanisms for the engagement of local communities been appropriate and effective?</li> <li>• Have mechanisms for the engagement of government agencies, civil society and the private sector been appropriate and effective?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of relevant correspondence and recording of any required approvals.</li> <li>• Interviews and consultations.</li> </ul>
<b>Communication and public awareness</b>	<ul style="list-style-type: none"> <li>• Is there a public information/ awareness strategy aimed to disseminate project results and learning?</li> <li>• Is the public awareness strategy targeting the correct audiences and is the content relevant to the project's goals?</li> <li>• What has been the progress, challenges, and outcomes regarding the implementation of the project's Knowledge Management Approach, including: Knowledge and Learning Deliverables</li> </ul>	<ul style="list-style-type: none"> <li>• Review of communication strategies and materials (5).</li> <li>• Interviews and consultations.</li> </ul>

## ANNEX IV. KEY DOCUMENTS CONSULTED

### Project planning and reporting documents

- REQUEST FOR CEO APPROVAL - Global support for the ratification and entry into force of the Nagoya Protocol on Access and Benefit Sharing Project. Submission date 2012-09-27.
- Small-Scale Funding Agreements and SSFA amendments for Angola, Belarus, Bosnia and Herzegovina, Burkina Faso, Cote d'Ivoire, Djibouti, Eswatini, Guinea Bissau, Lesotho, Liberia, Kazakhstan, Kyrgyzstan, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Uganda, Zimbabwe.
- PIR reports 2014, 2015, 2016, 2017, 2018, 2019, 2020, 2021, and 2022.
- Global Nagoya GEF ID 5172 – Final budget revision, Final expenditure and IMIS-UMOJA analysis

### Project outputs – Overall

- Inception meeting reports Angola, Belarus, Bosnia and Herzegovina, Burkina Faso, Cote d'Ivoire, Djibouti, Eswatini, Guinea Bissau, Lesotho, Liberia, Kazakhstan, Kyrgyzstan, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Uganda, Zimbabwe.
- National Workshop Reports - Angola, Belarus, Bosnia and Herzegovina, Burkina Faso, Cote d'Ivoire, Djibouti, Eswatini, Guinea Bissau, Lesotho, Liberia, Kazakhstan, Kyrgyzstan, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Uganda, Zimbabwe.
- Final financing reports - Angola, Belarus, Bosnia and Herzegovina, Burkina Faso, Cote d'Ivoire, Djibouti, Eswatini, Guinea Bissau, Lesotho, Liberia, Kazakhstan, Kyrgyzstan, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Uganda, Zimbabwe.

### Reference documents (GEF Review documents)

- [00c\\_Documents needed for Terminal Reviews.docx](#)
- [00d\\_TR Main TR Report\\_Template FOR USE BY CONSULTANT.docx](#)
- [00e\\_TR Quality Assess of Review Report\\_Template FOR USE BY UNEP.docx](#)
- [01\\_TOR Terminal Review\\_All Funders.docx](#)
- [02\\_TR Review Criteria Ratings\\_Table.doc](#)
- [03\\_TR Criterion Rating Descriptions\\_Matrix.docx](#)
- [04\\_TR Weighted Ratings\\_Table.xlsx](#)
- [05\\_TR Inception Report\\_Guidance Note.doc](#)
- [06\\_TR Main Review Report\\_Guidance Note.docx](#)
- [07\\_TR TOC Reformulation Justification\\_Template.docx](#)
- [08\\_TR Quality of Project Design Assessment\\_Template.docx](#)
- [08a\\_TR Quality of Project Design Assessment\\_Template.xlsx](#)
- [09\\_TR Stakeholder Analysis\\_Guidance Note.doc](#)
- [10\\_TR Review Methodology\\_Guidance Note.docx](#)
- [11\\_TR Addressing Gender\\_Guidance Note.docx](#)
- [12\\_TR Safeguards Assessment\\_Template.docx](#)
- [13\\_TR Use of Theory of Change in Reviews\\_Guidance Note.docx](#)
- [14\\_TR Financial Tables.docx](#)
- [15\\_TR Likelihood of Impact\\_Flow Chart.xlsm](#)
- [15a\\_TR Likelihood of Impact\\_Flow Chart TEST CASE.xlsm](#)
- [16\\_TR Recommendations Quality\\_Guidance Note.docx](#)
- [16a\\_TR Presenting Recs and LL\\_Template.docx](#)
- [17\\_TR Recommendation Impl Plan\\_Template.docx](#)

## ANNEX V. BRIEF CV OF THE REVIEWER

### Name

<b>Profession</b>	Natural Resource/Climate Economist and Project Monitoring and Evaluation Specialist
<b>Nationality</b>	Ugandan
<b>Country experience</b>	<ul style="list-style-type: none"> <li>• Europe: Germany, Italy, Slovak Republic</li> <li>• Africa: Rwanda, Lesotho, South Sudan, Sudan, Ethiopia, Kenya</li> <li>• Americas: Peru</li> </ul>
<b>Education</b>	<ul style="list-style-type: none"> <li>• MSc. Finance (Economic Policy) - London University, School of Oriental and African Studies (SOAS), Centre for Financial Management Studies (CEFIMS);</li> <li>• MSc. Degree in Agricultural Economics - Makerere University, Kampala</li> <li>• Collaborative Regional Masters Specialisation Programme in Environmental Economics and Policy (non-degree) - Centre for Environmental Economics and Policy in Africa (CEEPA), University of Pretoria, South Africa</li> </ul>

### Short biography

I am a natural resources economist and project monitoring and evaluation specialist with over 20 years' experience in the areas of agriculture, environment and natural resources management, wildlife management, climate change, public financial management, and capacity building. My work experience extends to institutions such as the World Bank, the African Development Bank (AfDB), the United Nations Environment Programme (UNEP), the UN Food and Agriculture Organisation (FAO), the United Nations Development Programme (UNDP), the United Nations Industrial Development Organisation (UNIDO), the United States Agency for International Development (USAID), Eco-agriculture Partners, World Wide Fund for Nature (WWF), the International Union for the Conservation of Nature (IUCN), the Ministry of Finance, Planning and Economic Development (MoFPED), the Ministry of Water and Environment (MWE), and the National Environment Management Authority (NEMA), the Rwanda Environment Management Authority (REMA) in Rwanda, among others.

My core experiences include in development of the project document and the CEO endorsement as part of the design for the project to Integration of Natural Capital Accounting into Lesotho's Policy and Decision Making for Sustainable Development. The project was approved for funding under GEF7. I supported project identification and baseline studies for a GEF request submitted by UNIDO on behalf of the Government of Sudan for project to enhance climate change resilience for the oil seed sector of Sudan. I was a consultant for the mid-term evaluation of the climate change resilience into banana value chain in southwestern Uganda. Elaborated methodology, data collection process and adapting evaluation approaches for UNIDO. Conducted a participatory virtual district adaptation monitoring and evaluation meetings. Co-authored the mid-term evaluation report with an international consultant. Between 2021 and 2022, I supported the Public Expenditure and Financial Analysis (PEFA) evaluation for Uganda with a specific focus on baseline Climate PEFA assessment for the country. In 2021, I was the lead consultant for the development of a Monitoring and Evaluation framework as a consultant with the National Environment Management Authority (NEMA) in Uganda, 2021. Similarly in 2023, I was lead consultant for the mid-term evaluation of the Green Livelihoods Alliance (GLA)'s Forests for a Just Future programme in Uganda. As a consultant for the GIZ Natures Programme in Uganda, I was the lead consultant for the midterm review of Uganda Green Growth Development Strategy (UGGDS) implemented by the NatureS Project of GIZ in Uganda, 2020. I have conducted over 30 similar assignments in Kenya, Uganda, Rwanda, South Sudan, Sudan, Ethiopia and participated as a team member in related assignments in Germany, and Slovakia, among others.

Key specialties and capabilities cover:

Project monitoring and evaluation, and natural resources economic and project feasibility studies and project design in the areas of climate change programming, biodiversity, agriculture, natural resources and ecosystem services, design of training programmes particularly in the aforementioned areas. I have worked a visiting lecturer on environmental economics and policy for a master's level Programme in Environmental Management for the last three years.

## Selected assignments and experiences

### Independent reviews/evaluations:

Period	Employing organisation, your title/ position. Contact position of references	Country	Summary of activities performed relevant to the assignment
<b>MONITORING AND EVALUATION AND RELATED WORK</b>			
May 2023 – July 2023	Consultant for ENR Africa Centre  Client: Ecological Trends Alliance  Contact: Michael Opige (Executive Director) Email: Michael.opige@gmail.com	Uganda	<ul style="list-style-type: none"> <li>Mid-Term Review for the 'Forests for a Just Future' programme of the Green Livelihoods Alliance (GLA) in Uganda.</li> <li>Elaborated methodology, data collection process and adapting evaluation approaches. Conducted a participatory physical key informant meeting.</li> <li>Outputs: <ul style="list-style-type: none"> <li>Recommendations on areas of intervention in the project/ programme implementation in Uganda.</li> </ul> </li> </ul>
February - August 2014	United Nations Development Programme (UNDP)  Position: Evaluation Consultant  Contact: Mr. Paul Nteza Project Manager UNDP Ecosystem Based Adaptation Project Email: pnteza@hotmail.com	Uganda	<p><b>Undertake a mid-term evaluation of the UNDP/IUCN Ecosystem Based Adaptation (EBA) Project in the Mt. Elgon Ecosystem.</b></p> <ul style="list-style-type: none"> <li>Elaborated methodology, data collection process and adapting evaluation approaches.</li> <li>Conducted a participatory physical key informant meeting and administered questionnaires for 180 project beneficiaries and at least 120 non-project beneficiaries (the control).</li> <li>Conducted cost-benefit analyses to establish viability of the technologies and practices proposed under the EBA, to develop scenarios for how EBA could influence climate change adaptation in the landscape and build capacity building materials for implementation of EBA.</li> </ul> <p><i>Outcome:</i></p> <ul style="list-style-type: none"> <li>Evaluation of the viability of the project options</li> <li>Alignment of the project interventions with the project targets and percentage of the project target achieved.</li> <li>Proposals on new outputs, and outcomes added to the project implementation document.</li> </ul>
August 2022 to May 2023	Ministry of Finance Planning and Economic Development  Consultant: National PFM Climate Expert  Contacts: Michael Okwakol Assistant Commissioner, Office of the Accountant General Email: Michael.okwakol@finance.go.ug	Uganda	<p>Conducted an evaluation of the Public Expenditure and Financial Accountability (PEFA) system for Uganda. The specific subcomponent of focus is the PEFA Climate.</p> <ul style="list-style-type: none"> <li>Reviewed the Public Finance Management System of Uganda to assess the level of mainstreaming of climate change.</li> <li>Assess capacity to mobilise, manage and report on climate finance.</li> <li>Assessed the impact of climate finance to economic performance.</li> </ul> <p><i>Output:</i></p> <ul style="list-style-type: none"> <li>An evaluation report</li> </ul>
October 2021 to October 2022	National Environment Management Authority (NEMA)  Position: Consultant Development of the Monitoring, Evaluation Accountability and Learning (MEAL).  <b>Contacts:</b> National Environment Management Authority (NEMA) – Uganda. Contact. Francis Ogwal – Management Biodiversity and Rangelands Management - <a href="mailto:francis.ogwal@nema.go.ug">francis.ogwal@nema.go.ug</a> ;	Uganda	<ul style="list-style-type: none"> <li>Elaborated methodology, data collection process and adapting evaluation approaches.</li> <li>Conducted a participatory physical key informant meetings and stakeholder checklists.</li> <li>Task team lead for a national technical committee to review the inputs into development of the theory of change, logical framework, results framework, performance monitoring/ management plan, data types and collection and analysis and use of the data.</li> <li>Produced MEAL Report and presented it for review in technical committees in the Ministry of Water and Environment, National Stakeholders and NEMA.</li> <li>Support capacity building training on the use of the MEAL in Uganda.</li> </ul>



Period	Employing organisation, your title/ position. Contact position of references	Country	Summary of activities performed relevant to the assignment
			<p><i>Output:</i></p> <ul style="list-style-type: none"> <li>A Monitoring, Evaluation, Accountability and Learning (MEAL) Report.</li> </ul>
February to June 2018	<p>Consultant for ENR Africa Centre</p> <p>Client: United Nations Industrial Development Organisation (UNIDO);</p> <p>Contact: y.lokko@unido.org</p>	Sudan	<ul style="list-style-type: none"> <li>Baseline Consultancy for Project Information Form (PIF) for project to support edible oil seed producers and their communities build resilience to climate change (CC) and contribute to income and food security through climate smart production practices and livelihood diversification for increased food and income security.</li> </ul> <p><i>Outputs:</i></p> <ul style="list-style-type: none"> <li>Recommendations on areas of intervention in the value chain</li> <li>Project proposal submitted to the Global Environment Facility (GEF) for funding.</li> </ul>
January 2023 – April 2023	<p><b>Organisation:</b> United Nations Environment Programme. Position: International Consultant</p> <p>Reference: Ms. Jane Nimpamya UNEP/GEF Email: <a href="mailto:jane.nimpamya@un.org">jane.nimpamya@un.org</a></p>	Lesotho	<ul style="list-style-type: none"> <li>Supporting development of Project Preparation Grant on Mainstreaming of Natural Capital Accounting into Country Systems.</li> <li>Building Local Capacity on Natural Capital Accounting</li> <li>Working with a team of National Consultants and the Ministry of Tourism, Environment and Conservation (MTEC) to compile and submit the PPG Proposal for GEF financing, Under GEF 7.</li> </ul>
November 2020 to February 2021	<p>Ministry of Water and Environment (MWE) of Uganda</p> <p>Lead consultant - Feasibility Analysis for Safe Water for a Healthy Productive Population by 2030 (SWAHP 2030) project</p> <p>Ms. Lillian Idrakua, Commissioner, Water Quality Management Department, MWE - <a href="mailto:lillian.idrakua@mwe.go.ug">lillian.idrakua@mwe.go.ug</a></p>	Uganda	<ul style="list-style-type: none"> <li>The pre-feasibility and feasibility studies cover nine modules described in the Public Investment Manual for Project Preparation and Appraisal namely: (i) Demand /Market module, (ii) Technical/engineering module (iii) Environmental safety module, (iv) Human resources, and administrative module (v) Institutional (social, political) module (vi) Financial module (vii) Economic module (viii) Uncertainty/risk analysis module and (ix) Distributional module.</li> </ul> <p><i>Outcome:</i> Project adopted by the Development Committee and included in the Project Investment Plan for FY 2021/22</p>
September 2021 – March 2022	<p><b>Organisation:</b> African Development Bank Position: Consultant – Climate Change Economist</p> <p>Reference: Ms. Milenge Uwella, Davinah Principal Programme Coordinator, African Development Bank Group</p> <p>Email: <a href="mailto:d.milenge-uwella@afdb.org">d.milenge-uwella@afdb.org</a></p>	Uganda	<ul style="list-style-type: none"> <li>Conducted three feasibility studies and strategic environment assessment for the “Individual consultant to undertake feasibility studies and design the “Integrated Climate Resilient Approaches for Sustainable Land Management (SLM) in selected catchments of Kyoga and Upper Nile Water Management Zones” Project in Uganda”.</li> <li>The three feasibility studies – Technical, climate rationale and economic and financial feasibility were completed.</li> <li>Developed a financing strategy based on developing carbon price based on the Plan Vivo Standard.</li> <li>The financing strategy included in the economic and financial feasibility study.</li> <li>The proposal was adopted by the AfDB for discussions and development of project with joint AfDB and Green Climate Fund (GCF) funding.</li> </ul>
October 2018 to January 2019	<p>Ministry of Water and Environment (MWE) of Uganda</p> <p>Environmental Economist - Sustainable Water Resources Management for the Inner Murchison Bay project.</p> <p>Ms. Lillian Idrakua, Commissioner, Water Quality Management Department, MWE - <a href="mailto:lillian.idrakua@mwe.go.ug">lillian.idrakua@mwe.go.ug</a></p>	Uganda	<ul style="list-style-type: none"> <li>The pre-feasibility and feasibility studies cover nine modules described in the Public Investment Manual for Project Preparation and Appraisal</li> <li>This study used the development committee guidelines for the project appraisal of public investment plan (PIP) projects. Conducted demand /market analysis, technical analysis, the environmental analysis, the financial and economic analysis, the uncertainty/ risk analysis.</li> </ul> <p><b>Outcome:</b> Project adopted by the Development Committee and included in the Project Investment Plan for FY 2019/20.</p>
July 2018 to June 2020	<p><b>Organisation:</b> World Bank Group</p> <p><b>Position:</b> Short Term Consultant – System of Environmental Economic Accounting (SEEA) Specialist</p> <p><b>Reference: Ross Hughes</b> Senior Natural Resources Management Specialist</p>	Uganda	<ul style="list-style-type: none"> <li>World Bank/ Wealth Accounting and Valuation of Ecosystem Services (WAVES) - Natural Capital Accounting (NCA) Project</li> <li>Support the development of environmental economic accounts for the forests, wetlands, and land resources in Uganda.</li> <li>Provide technical backstopping to the Government of Uganda agencies implementing the project including, the Ministry of Finance, Planning and Economic Development</li> </ul>

Period	Employing organisation, your title/ position. Contact position of references	Country	Summary of activities performed relevant to the assignment
	Environment, Natural Resources & Blue Economy World Bank, Ethiopia Country Office Email: rhughes@worldbank.org		(MoFPED), the Ministry of Water and Environment (MWE), the Uganda Bureau of Statistics and the National Planning Authority.
September 2021 – March 2022	<b>Organisation:</b> African Development Bank <b>Position:</b> Consultant – Climate Change Economist  <b>Reference: Ms. Milenge Uwella, Davinah</b> Principal Programme Coordinator, African Development Bank Group  Email: d.milenge-uwella@afdb.org	Uganda	<ul style="list-style-type: none"> <li>Conducted three feasibility studies and strategic environment assessment for the “Individual consultant to undertake feasibility studies and design the “Integrated Climate Resilient Approaches for Sustainable Land Management (SLM) in selected catchments of Kyoga and Upper Nile Water Management Zones” Project in Uganda”.</li> <li>The three feasibility studies – Technical, climate rationale and economic and financial feasibility were completed.</li> <li>Developed a financing strategy based on developing carbon price based on the Plan Vivo Standard.</li> <li>The financing strategy included in the economic and financial feasibility study.</li> <li>The proposal was adopted by the AfDB for discussions and development of project with joint AfDB and Green Climate Fund (GCF) funding.</li> </ul>
September 2022- to date	Organisation: GIZ in Uganda and the Ministry of Finance Planning and Economic Development, Consultant with Climatekos  Contacts: Rebecca Nabatanzi Sserwanga Programme Technical Advisor Global Climate Markets/ GIZ Uganda Email: Rebecca.nabatanzi@giz.de	Uganda	<p>Evaluation of Market Readiness for Innovative Green/ Climate Finance Instruments in Uganda.</p> <ul style="list-style-type: none"> <li>Develop strategy of the most feasible financing instruments for climate change in Uganda. Including green bonds, debt swaps, securities, and carbon markets, among others</li> <li>Assess feasibility of innovative financing instruments</li> <li>Develop at least two proposals for financing inline with the strategy.</li> </ul>
January to December 2011	Climate Change Agriculture and Food Security (CCAFS) initiative/ Eco-agriculture Partners  Lead consultant - Institutional Analysis and Capacity Building for Agricultural Landscape Carbon Projects in Africa (Uganda, Kenya, and Ethiopia). Work with Ministry of Environment, Forestry and Climate Change – Ethiopia, Ministry of Water and Environment (MWE)/ Climate Change Department (CCD) – Uganda, Ministry of Environment and Natural Resources - Climate Change Department (CCD)  Seth Shames Director Finance and Policy, sshames@ecoagriculture.org, sethshames@gmail.com	Uganda, Kenya, Ethiopia	<ul style="list-style-type: none"> <li>Institutional Analysis and Capacity Building for Agricultural Carbon Projects in Africa (Uganda, Kenya, and Ethiopia). Work with ECOTRUST, Vi-Agroforestry and Humbo Integrated Regeneration project in the three respective.</li> <li>Institutional Capacity Building for Climate Change Mitigation for Central Governments.</li> </ul> <p><i>Outcome:</i></p> <ul style="list-style-type: none"> <li>Initiated process for mainstreaming climate change mitigation in institutional processed at the national level.</li> </ul>
June 2016 June 2017	UNDP Uganda  Consultant/ Task Leader Development of the Uganda Green Growth Development Strategy (UGGDS)  Mr. Daniel Omodo Programme Analyst UNDP daniel.omodo@undp.org  Mr. Ronald Kaggwa Manager-Production, Trade, and Tourism Planning, National Planning Authority Uganda ronald.kaggwa@npa.go.ug	Uganda	<ul style="list-style-type: none"> <li>Development of a National Green Growth Development Strategy to implement the green economy strategy for Uganda as indicated in the National Constitution and the National Long-term Development Strategy (Vision 2040).</li> <li>Projection analysis, consensus building, lead authorship for UGGDS.</li> <li>Use of macroeconomic analysis to show the impact of a green economy on economic multipliers.</li> <li>Supported by a Technical Task Force made of up of stakeholders from Ministries, private sector and civil society.</li> </ul> <p><i>Outcomes:</i></p> <ul style="list-style-type: none"> <li>The UGGDS was endorsed by the Government and launched in December 2017.</li> <li>The UGGDS is under implementation including a Euros 200 million grant from the European Union</li> </ul>

Period	Employing organisation, your title/ position. Contact position of references	Country	Summary of activities performed relevant to the assignment
June to October 2021	GIZ Uganda, Consultant/ Team Leader  First Uganda Green Growth Development Report 2020  Lydia Ngonzi Project Manager NatuRes Project, GIZ Kampala lydia.ngonzi@giz.de	Uganda	<ul style="list-style-type: none"> <li>Development of indicators for assessing the progress of implementation of the UGGDS components on resource use efficiency and waste management</li> <li>Field and secondary data collection and collation, analysis of trends and authoring of green growth progress report and brief.</li> </ul> <p>Outcome:</p> <ul style="list-style-type: none"> <li>Final Draft Uganda Green Growth Development Report submitted</li> </ul>
August 2018 – May 2019	National Environment Management Authority of Uganda, Lead consultant: Sixth National Report to the Convention on Biological Diversity  Francis Ogwal – Manager Biodiversity and Rangelands Management francis.ogwal@nema.go.ug	Uganda	<ul style="list-style-type: none"> <li>The Sixth National Report (6NR) was submitted to the Convention on Biological Diversity (CBD) as part of Uganda's obligations to report on progress in implementation of the National Biodiversity Strategy and Action Plan (NBSAP). The 6NR will contribute to the Global Biodiversity Outlook and contributed to the development of the successive targets on Global Strategy for Biodiversity</li> </ul>
Feb- March 2009	United States Agency for International Development (USAID) - Kenya Natural Resource/ Socio-Economist Contact: <a href="mailto:ian.deshmukh@tetrattech.com">ian.deshmukh@tetrattech.com</a> Team Leader TetraTech, 159 Bank Street.Suite 300. Burlington, VT 05401.+1 (802) 495-0282	Kenya	<ul style="list-style-type: none"> <li>Natural Resources Economist for the assessment of the livelihood's opportunities in the Mau-Mara (Mara River Basin)</li> <li>Conducted field data analysis, collated, and reviewed reports conducted enterprise analysis and authored section report and supported final project design report.</li> </ul>
March to September 2017	United Nations Environment Programme Consultant - Development of National Biodiversity Strategy and Action Plan for the Republic of South Sudan  UNEP Programme Analysis South Sudan  Martin Dramani - martin.dramani@un.org	South Sudan	<ul style="list-style-type: none"> <li>Together with UNEP South Sudan organise and facilitate stakeholder workshops, develop workshop materials and author all chapters of the NBSAP South Sudan. Present the drafts to national stakeholders and integrate all comments from national and international technical teams.</li> </ul> <p>Outcome:</p> <ul style="list-style-type: none"> <li>First National Biodiversity Strategy and Action Plan (NBSAP) for South Sudan endorsed and submitted to the CBD secretariat</li> </ul>
	Rwanda Environment Management Programme (REMA) and the Ministry of Agriculture and Animal Resources (MINAGRI) Environmental Economist  Reference: Bob G. Nkulanga, <a href="mailto:bob.nkulanga@gmail.com">bob.nkulanga@gmail.com</a>	Rwanda	<ul style="list-style-type: none"> <li>Determining the feasibility and viability of the crop intensification with fertilisers. Whether the economic benefits outweighed the environmental and social impacts associated.</li> <li>Lead author for report, conducted the cost-benefit analysis, support primary data collection and collation of secondary data and presentation of draft reports.</li> </ul>
June 2020 to May 2022	Organisation: Ministry of Water Environment through WSS Services Ltd. Position: Consultant – Natural Resources Economist  Reference: Anthelem Iragena Senior Water Officer-MWE Email: <a href="mailto:aig732@gmail.com">aig732@gmail.com</a> Dr. Dennis Byamukama Director-WSS Services Ltd Email: <a href="mailto:byamukamad@yahoo.co.uk">byamukamad@yahoo.co.uk</a> ; <a href="mailto:byamukamad@gmail.com">byamukamad@gmail.com</a>	Uganda	<ul style="list-style-type: none"> <li>Evaluation of the Potential Impacts of Oil and Gas Development and Associated Activities on Water Resources and Developing an Integrated Water Resources Development and Management Plan for the Albertine Graben.</li> <li>Conducted the socioeconomic, policy analysis, and biodiversity and water resources economics analysis.</li> <li>Supported assessment of threats, pressures and impacts, cost-benefit analysis, and scenarios for projected interventions</li> <li>Developed the financing strategy for the integrated water resources development and management plan.</li> <li>Contributed to editing and finalisation of report, stakeholder engagement and validation.</li> </ul>

## ANNEX VI. REVIEW TORS (WITHOUT ANNEXES)

### TERMS OF REFERENCE

#### Terminal Review of the UNEP/GEF project “Global Support for the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing (ABS)” GEF Project ID - 5172

#### Section 1: PROJECT BACKGROUND AND OVERVIEW

##### E. Project General Information

**Table 1. Project summary**

<b>UNEP Sub-programme:</b>	Biennium 2022 – 2023 Environmental governance foundational sub-programme Nature action sub-programme	<b>UNEP Division/Branch:</b>	GEF Biodiversity and Land Degradation Unit, Ecosystems Division
<b>Expected Accomplishment(s):</b>	<p>INDICATORS (ii) Number of international legal agreements or instruments advanced or developed with UNEP support to address emerging or internationally agreed environmental goals)</p> <p>Direct Outcome: Nature action: 2.11 <i>Illegal and unsustainable use of biodiversity</i> decreases. Unit of Measure: Number of international legal agreements and instruments advanced or developed with UNEP support to address emerging or internationally agreed environmental goals</p> <p>Indicator (i): Number of national or subnational entities that, with UNEP support, adopt integrated approaches to address environmental and social issues and/or tools for valuing, monitoring and sustainably managing biodiversity. Direct Outcome: 2.7 <i>Natural assets are valued, monitored and sustainably managed.</i> Unit of Measure (a) Number of national or subnational entities that adopt or adapt economic, regulatory or</p>	<b>Programme of Work Output(s):</b>	PoW 2022-2023 Environmental governance foundational sub-programme Nature action sub-programme

	decision-support tools for valuing, monitoring and sustainably managing biodiversity		
<b>SDG(s) and indicator(s)</b>	SDG15.6.1 Number of countries that have adopted legislative, administrative and policy frameworks to ensure fair and equitable sharing of benefits. SDG 17.14.1. Number of countries with mechanisms in place to enhance policy coherence of sustainable Development.		
<b>GEF Core Indicator Targets (identify these for projects approved prior to GEF-7<sup>5</sup>)</b>	N/A		
<b>Dates of previous project phases:</b>	N/A	<b>Status of future project phases:</b>	N/A

**FROM THE PROJECT'S PIR REPORT (2020):**

<b>Project Title:</b>	Global Support for the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing (ABS)
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<b>Executing Agency:</b>	Law Division /United Nations Environment Programme
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<b>Project partners:</b>	Ministries and agencies in charge of policy and implementation of the Convention of Biological Diversity (CBD) from 20 participating countries.
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<b>Geographical Scope:</b>	Global, Africa, Asia Pacific, Europe
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<b>Participating Countries:</b>	Angola, Belarus, Bosnia and Herzegovina, Burkina Faso, Cote d'Ivoire, Djibouti, Guinea Bissau, Kazakhstan, Kyrgyzstan, Lesotho, Liberia, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Swaziland, Togo, Uganda and Zimbabwe
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<b>GEF project ID:</b>	5172	<b>IMIS number*<sup>6</sup>:</b>	SB000702-14AC0003
<b>Focal Area(s):</b>	Biodiversity	<b>GEF OP #:</b>	BD-4
<b>GEF Strategic Priority/Objective:</b>	BD-4	<b>GEF approval date*:</b>	1 October 2012
<b>UNEP approval date:</b>		<b>Date of first disbursement*:</b>	26 March 2013
<b>Actual start date<sup>7</sup>:</b>	12 May 2014	<b>Planned duration:</b>	24 months
<b>Intended completion date*:</b>	31 August 2015	<b>Actual or Expected completion date:</b>	
<b>Project Type:</b>	MSP	<b>GEF Allocation*:</b>	US\$ 1,000,000
<b>PPG GEF cost*:</b>		<b>PPG co-financing*:</b>	
<b>Expected MSP/FSP Co-financing*:</b>	US\$ 627,500	<b>Total Cost*:</b>	
<b>Mid-term Review/eval. (planned date):</b>	N/A	<b>Terminal Evaluation (planned date):</b>	30 June 2023
<b>Mid-term Review/eval. (actual date):</b>	N/A	<b>No. of revisions*:</b>	N/A
<b>Date of last Steering Committee meeting:</b>		<b>Date of last Revision*:</b>	N/A
<b>Disbursement as of 30 June 2022:</b>	US\$ 980,000	<b>Date of planned financial closure*:</b>	31 December 2023

<sup>5</sup> This does not apply to Enabling Activities

<sup>6</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>7</sup> Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

<b>Date of planned completion<sup>8*</sup>:</b>	31 December 2023	<b>Actual expenditures reported as of 30 June 2022<sup>9</sup>:</b>	US\$ 980,000
<b>Total co-financing realized as of 31 December [year]:</b>		<b>Actual expenditures entered in IMIS as of 31 December [year]*:</b>	
<b>Leveraged financing:<sup>10</sup></b>			

### Project Rationale and Results Framework

This Project supports 20 Global Environment Facility (GEF) eligible countries to carry out activities leading to ratification or accession to the Nagoya Protocol. By applying a multi-country approach, the Project seeks to explore commonalities between countries and to continue the promotion of regional cooperation and the learning and exchange of processes leading to ratification or accession of the Nagoya Protocol. The aims of the Project will be achieved through the following Project components:

**Component 1:** Rapid capacity needs assessment in the participating countries to identify institutions, policies, laws and regulations relevant for the ratification of the Nagoya Protocol.

**Component 2:** Stakeholder engagement for awareness raising and sharing of information among key stakeholder groups on the opportunities and implications that will result from Nagoya Protocol ratification.

**Component 3:** Monitoring and Evaluation for improved results-based management of the Project in-country.

**Executing agency and main government/other partners** Ministries and agencies in charge of policy and implementation of the Convention of Biological Diversity (CBD) from 20 participating countries and Law Division/UNEP

### F. Executing Arrangements

As the CBD is a UNEP-administered Convention, it largely draws support for ABS legal and policy issues at global and regional levels through UNEP's Division of Environmental Law and Conventions (DELIC). While UNEP-DEPI maintained its role as implementing agency with oversight functions, UNEP-DELIC assumed the coordinating and overall executing functions in the project, and provided expertise needed to ensure quick implementation and the linkage to regional and international expert networks.

As executing agency, UNEP-DELIC sub-contracted the respective national executing partner organizations for the implementation of the respective national activities, particularly with regard to the establishment and furthering of public-private partnerships. Whereas the improvement of scientific and technical knowledge as well as the enactment and amendment of ABS-relevant policies and legislation predominantly remain activities at the national level, DELIC assumed a coordinating and catalyzing responsibility through providing legal expertise, involving relevant projects and external contributors and in convening substantive workshops and fora for exchange of experiences and lessons learned, as required.

### G. Project Cost and Financing

GEF financing amount	US\$ 1,000,000
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<sup>8</sup> If there was a "Completion Revision" please use the date of the revision.

<sup>9</sup> Information to be provided by Executing Agency/Task Manager

<sup>10</sup> See above note on co-financing

Co-financing amount	US\$ 627,500
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Actual expenditures reported as of 30 June 2022 were US\$ 980,000.

Co-financing as stated in 2022 PIR: USD200,000, (\$ 10,000 Per country). The following countries have submitted the co-financing report: Belarus, Guinea Bissau, Togo, Cote d'Ivoire, Uganda, Swaziland, Burkina Faso, Kazakhstan. 152,127 USD and 76% (valid on 31-06-2022).

## **H. Implementation Issues**

So far, the project has supported 19 countries: Angola, Belarus, Burkina Faso; Cote d'Ivoire, Djibouti, Guinea Bissau, Kazakhstan, Kyrgyzstan, Lesotho, Liberia, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Swaziland, Togo, Uganda and Zimbabwe. The timeframe for getting the signature for the bill of ratification by the President of the Republic of Nigeria, was the biggest challenge faced by the project during this reporting period. Limited financial resources for awareness-raising and capacity-building on ABS at the national level. As for, Bosnia and Herzegovina (remaining participating country to ratify the Protocol) technical assistance and guidance required to establish a national technical team consisting of local legal experts to advise the bicameral legislative body of Bosnia and Herzegovina (House of Representatives and House of Peoples) to increase understanding and benefit of ABS and ensure political support for the ratification of the Protocol.

## Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

### I. Objective of the Review

In line with the UNEP Evaluation Policy<sup>11</sup> and the UNEP Programme Manual<sup>12</sup>, the Terminal Review (TR) is undertaken at operational 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 Review 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 Law Division /United Nations Environment Programme and the Ministries and agencies in charge of policy and implementation of the Convention of Biological Diversity (CBD) from 20 participating countries. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation, especially for future phases of the project, where applicable.

### J. Key Review principles

Review findings and judgements will be based on **sound evidence and analysis**, clearly documented in the Review 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.

**The “Why?” Question.** As this is a Terminal Review and similar interventions are envisaged for the future particular attention will be given to learning from the experience. Therefore, the “why?” question should be at the front of the consultant(s)’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultant(s) 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 (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

**Attribution, Contribution and Credible Association:** In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for reviews. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

**Communicating Review Results.** A key aim of the Review is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the review process and in the communication of review findings and key lessons. Clear and concise writing is required on all review deliverables. Draft and final versions of the main Review Report will be shared with key stakeholders by the Task Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant will plan with the Task Manager which audiences to target and the easiest and clearest way to communicate the key review findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of a review brief or interactive presentation.

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<sup>11</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>12</sup> <https://wecollaborate.unep.org>



## K. Key Strategic Questions

In addition to the review criteria outlined in Section 10 below, the Review will address the **strategic questions**<sup>13</sup> listed below (no more than 3 questions are recommended). These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TR:

Q1: To what extent has the Project advanced the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing (ABS) in the target countries and beyond?

Q2: What are the most successful examples enabled by the project and potential for their scaling-up?

Q3: What changes were made to adapt to the effects of COVID-19 and how they have influenced the project's performance?

Address the questions required for the GEF Portal in the appropriate parts of the report and provide a **summary of the findings in the Conclusions section of the report**:

- a) Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project's-completion against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided<sup>14</sup>).

- b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)*

- c) Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:  
What were the completed gender-responsive measures and, if applicable, actual gender result areas? *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)*

- d) Under Factors Affecting Performance/Environmental and Social Safeguards:  
What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this Review should be shared with the Task Manager for uploading in the GEF Portal)*

- e) Under Factors Affecting Performance/Communication and Public Awareness:  
What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

## L. Review Criteria

All review criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the review criteria. The set of review 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 availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management;

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<sup>13</sup> The strategic questions should not duplicate questions that will be addressed under the standard review criteria described in section 10.

<sup>14</sup> This does not apply to Enabling Activities

(F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance.

Annex 1 of these Terms of Reference provides a table with a list of various tools, templates and guidelines that can help Review Consultant(s) to follow a thorough review process that meets all of UNEP's needs.

### **A. Strategic Relevance**

The Review will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. The Review will 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. 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 UNEP's Medium-Term Strategy<sup>15</sup> (MTS), Programme of Work (POW) and Strategic Priorities**

The Review 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. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>16</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.

#### **ii. Alignment to Donor/GEF/Partner Strategic Priorities**

Donor strategic priorities will vary across interventions. The Review will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

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

The Review will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will also be considered. Examples may include: UN Development Assistance Frameworks (UNDAF) or, national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no-one behind.

#### **iv. Complementarity with Relevant Existing Interventions/Coherence<sup>17</sup>**

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization<sup>18</sup>, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same

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<sup>15</sup> UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

<sup>16</sup> <http://www.unep.fr/ozonaction/about/bsp.htm>

<sup>17</sup> This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

<sup>18</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.

country, sector or institution) that address similar needs of the same target groups. The Review 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 work within UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP'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

## **B. Quality of Project Design**

The quality of project design is assessed using an agreed template during the review inception phase. Ratings are attributed to identified criteria and an overall Project Design Quality rating is established. The complete Project Design Quality template should be annexed in the Review Inception Report. Later, the overall Project Design Quality rating<sup>19</sup> should be entered in the final review ratings table (as item B) in the Main Review Report and a summary of the project's strengths and weaknesses at design stage should be included within the body of the Main Review 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**

At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval<sup>20</sup>). This rating is entered in the final review 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 Review Consultant and Task Manager together. A justification for such an increase must be given.

## **D. Effectiveness**

### **i. Availability of Outputs<sup>21</sup>**

The Review will assess the project's success in producing the programmed outputs and making them available to the intended beneficiaries as well as its success in 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 Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability 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 provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly

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<sup>19</sup> In some instances, based on data collected during the review process, the assessment of the project's design quality may change from Inception Report to Main Review Report.

<sup>20</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. From March 2020 this should include the effects of COVID-19.

<sup>21</sup> Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019).

explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs available and meeting expected quality standards.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision<sup>22</sup>

### **ii. Achievement of Project Outcomes<sup>23</sup>**

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed<sup>24</sup> Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes is necessary to allow for an assessment of performance. The Review should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project 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**

Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the Review 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-lasting impacts. The Evaluation Office's approach to the use of TOC in project reviews is outlined in a guidance note and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project 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.

The Review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

The Review will consider the extent to which the project has played a catalytic role<sup>25</sup> or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a

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<sup>22</sup> For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as Implementing Agency.

<sup>23</sup> Outcomes are the use (*i.e. uptake, adoption, application*) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

<sup>24</sup> UNEP staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during a review will depend on the quality of this initial TOC, the time that has lapsed between project design 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 review.

<sup>25</sup> The terms catalytic effect, scaling up and replication are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. Catalytic effect is associated with triggering additional actions that are not directly funded by the project

demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long lasting impact.

Ultimately UNEP 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-lasting or broad-based changes. However, the Review will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals, and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

*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
- Communication and public awareness

### **E. Financial Management**

Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The Review 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/component level and will be compared with the approved budget. The Review will verify the application of proper financial management standards and adherence to UNEP'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. The Review will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The Review will assess the level of communication between the Project 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.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision

### **F. Efficiency**

Under the efficiency criterion the Review 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 Review 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 Review 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.

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*– these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. Scaling up and Replication require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. Scaling up suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while Replication suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.*

The Review will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities<sup>26</sup> with other initiatives, programmes and projects etc. to increase project efficiency.

The factors underpinning the need for any project extensions will also be explored and discussed. Consultants should note that as management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to UNEP and Executing Agencies.

*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**

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

#### **i. Monitoring Design and Budgeting**

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>27</sup> results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the Review will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The Review 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, where applicable.

#### **ii. Monitoring of Project Implementation**

The Review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards project objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups, including gendered, marginalised or vulnerable groups, such as those living with disabilities, in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Review should confirm that funds allocated for monitoring were used to support this activity.

The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

#### **iii. Project Reporting**

UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Review Consultant(s) by the Task 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 Review will assess the extent to which both UNEP and GEF reporting commitments have been fulfilled. Consideration will

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<sup>26</sup> Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

<sup>27</sup> SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

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**

Sustainability<sup>28</sup> is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Review will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e. '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.

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

The Review will assess the extent to which social or political factors support the continuation and further development of the benefits derived from project 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 Review will consider whether individual capacity development efforts are likely to be sustained.

### **ii. Financial Sustainability**

Some project 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 project 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 natural resource management approach. The Review 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 project outcomes 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**

The Review 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 Review 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 Affecting Project Performance and Cross-Cutting Issues**

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<sup>28</sup> As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

*(These factors are rated in the ratings table but are discussed within the Main Review Report as cross-cutting themes as appropriate under the other review criteria, above. If these issues have not been addressed under the Review Criteria above, then independent summaries of their status within the reviewed project should be given in this section)*

**i. Preparation and Readiness**

This criterion focuses on the inception or mobilisation stage of the project (i.e. the time between project approval and first disbursement). The Review 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 Review 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**

For GEF funded projects 'project management and supervision' may refer to the project management performance of the Executing Agency and the technical backstopping and supervision provided by UNEP as Implementing Agency. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Implementing Agency; Partner/Executing Agency) and the overall rating for this sub-category established as a simple average of the two.

The Review 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.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP 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**

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs, target users of project outputs and any other collaborating agents external to UNEP and the executing partner(s). 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.

The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval.

**iv. Responsiveness to Human Rights and Gender Equality**

The Review 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 Review will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment<sup>29</sup>.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equality and Human Rights are adequately taken into account. In particular the Review will consider to what extent project, implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural

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<sup>29</sup>The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. [https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender\\_equality\\_and\\_the\\_environment\\_Policy\\_and\\_strategy-2015Gender\\_equality\\_and\\_the\\_environment\\_policy\\_and\\_strategy.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y)



resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially women, youth and children and those living with disabilities) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent.

**v. Environmental and Social Safeguards**

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The Review will confirm whether UNEP requirements<sup>30</sup> were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are reviewed above under Quality of Project Design).

The Review will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

**vi. Country Ownership and Driven-ness**

The Review 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, i.e. either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The Review 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 (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). 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. Ownership should extend to all gender and marginalised groups.

**vii. Communication and Public Awareness**

The Review 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 Review 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 Review will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate

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<sup>30</sup> For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

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

The Terminal Review will be an in-depth review using a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative review 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 review implementation phase in order to increase their (and other stakeholder) ownership of the review 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.)

The findings of the Review will be based on the following:

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

Relevant background documentation, inter alia biodiversity and natural resource management strategies, other substantive documents prepared by the projects and others;  
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;  
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 and others;  
Project deliverables (e.g. publications, reports, assessments, surveys);  
Mid-Term Review or Mid-Term Evaluation of the project;  
Evaluations/Reviews of similar projects.

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

UNEP Task Manager (TM);  
Project Manager (PM);  
Project management team;  
UNEP Fund Management Officer (FMO);  
Portfolio Manager and Sub-Programme Coordinator, where appropriate;  
Project partners based on stakeholder analyses;  
Relevant resource persons;  
Representatives from civil society and specialist groups (such as women's, farmers and trade associations etc).

**Surveys;**

**Field visits;**

**Other data collection tools**, all as appropriate for the terminal review and elaborated in the inception report.

#### **M. Review Deliverables and Review Procedures**

The Review Consultant will prepare:

- **Inception Report:** (see Annex 1 for a list of 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, review framework and a tentative review schedule.
- **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 Review Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

A **Review Brief** (a 2-page overview of the evaluand and review findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Task Manager no later than during the finalization of the Inception Report.

**Review of the Draft Review Report.** The Review Consultant will submit a draft report to the Task Manager and revise the draft in response to their comments and suggestions. The Task Manager will then forward the revised draft report 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 Task Manager for consolidation. The Task Manager will provide all comments to the Review Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

The final version of the Terminal Review report will be assessed for its quality by the UNEP Evaluation Office using a standard template and this assessment will be annexed to the final Terminal Review report.

At the end of the review process, the Task Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals, and circulate the **Lessons Learned**.

## N. The Review Consultant

The Review Consultant will work under the overall responsibility of the Task Manager in consultation with the Fund Management Officer, the Head of Unit/Branch, the Portfolio Manager and the Sub-programme Coordinators of the relevant UNEP Sub-programmes as appropriate.

The Review Consultant will liaise with the Task Manager on any procedural and methodological matters related to the Review. It is, however, the consultant's individual responsibility (where applicable) to arrange for their 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 UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the Review as efficiently and independently as possible.

The Review Consultant will be hired for a period of 4 months (1 November 2022 to 28 February 2023) and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 7 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach. A good/broad understanding of conservation of biodiversity and related international frameworks and commitments. For this consultancy, fluency in oral and written English is required. The work will be home-based with possible field visits.

The Review Consultant will be responsible, in close consultation with the Task Manager, for overall quality of the review and timely delivery of its outputs, described above in Section 11 Review Deliverables, above. The Review Consultant will ensure that all review criteria and questions are adequately covered.

## O. Schedule of the Review

The table below presents the tentative schedule for the Review over 4 months since start of the assignment.

**Table 3. Tentative schedule for the Review**

<b>Milestone</b>	<b>Tentative Dates</b>
Inception Report	3 weeks from starting date
Review Mission	6 weeks from starting date
E-based data collection through interviews, surveys and other approaches.	8 weeks from starting date
PowerPoint/presentation on preliminary findings and recommendations	8 weeks from starting date
Draft Review Report to Task Manager (and Project Manager)	12 weeks from starting date
Draft Review Report shared with wider group of stakeholders	13 weeks from starting date
Final Review Report	16 weeks from starting date
Final Review Report shared with all respondents	16 weeks from starting date

## P. Contractual Arrangements

The Review Consultant(s) will be selected and recruited by the Task Manager under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP/UNON, the consultant certifies 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.

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

Schedule of Payment:

<b>Deliverable</b>	<b>Percentage Payment</b>
Approved Inception Report ( <i>as per Annex I document #9</i> )	30%
Approved Draft Main Review Report ( <i>as per Annex I document #10</i> )	30%
Approved Final Main Review Report	40%

Fees only contracts: Where applicable, air tickets will be purchased by UNEP 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 Task Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The consultant may be provided with access to UNEP’s information management systems (e.g. PIMS, Anubis, SharePoint, etc.) 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 Review Report.

In case the consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by UNEP, payment may be withheld at the discretion of the Head of Branch or Portfolio Manager until the consultants have improved the deliverables to meet UNEP’s quality standards.

If the consultant fails to submit a satisfactory final product to the Project Manager in a timely manner, i.e. before the end date of their contract, UNEP reserves the right to employ additional human resources to finalize the report, and to reduce the consultant’s fees by an amount equal to the additional costs borne by the project team to bring the report up to standard or completion.

## ANNEX VII. GEF PORTAL INPUTS (for GEF funded projects)

The following table contains text to be uploaded to the GEF Portal. **It will be drawn from the Review Report, either as copied or summarised text.** In each case, references should be provided for the paragraphs and pages of the report from which the responses have been copied or summarised.

**Table X: GEF portal inputs**

<p><b>Question:</b> What was the performance at the project's completion against Core Indicator Targets? (For projects approved prior to GEF-7<sup>31</sup>, these indicators will be identified retrospectively and comments on performance provided<sup>32</sup>).</p>
<p><b>Response:</b> <i>(Might be drawn from Monitoring and Reporting section)</i></p> <p>The direct core GEF indicator towards the implementation of ABS is the number of direct beneficiaries (countries, institutions, persons) disaggregated by gender as co-benefit of GEF investment (Page 6)</p> <p>The outcomes were highly satisfactory at the end of the project while the project impacts are satisfactory as 19 out of the 20 countries have instruments to implement ABS as envisioned in the Convention on Biological Diversity (CBD) and the Nagoya Protocol (page 16).</p>
<p><b>Question:</b> What were the progress, challenges, and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? <i>(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)</i></p>
<p><b>Response:</b> <i>(Might be drawn from Factors Affecting Performance section)</i></p> <p>There was no mid-term review (MTR) conducted therefore, the progress, challenges and outcomes regarding engagement consider the entirety of the project. From the outset the engagement with country partners (stakeholders) was through an inception workshop, a steering committee meeting one Steering Committee meeting was held in Kigali, Rwanda on 18th March 2015. At least three stakeholder meetings were held in Addis Ababa Ethiopia, the inception workshop. This was followed by a second stakeholder workshop in Kampala, June 9-13, 2014, and a Knowledge Sharing Workshop Djibouti in August 2016 (Pages 27 &amp; 28). The project was implemented through Small-Scale Funding Agreements (SSFA). In addition to technical support provided in development of SSFAs, countries reported on progress of the SSFAs, and engaged with UNEP Law Division, the executing entity on revisions in the SFA regarding extensions to the period of completion and in a few cases additional financing requests (Page 27).</p> <p>The main challenges to overcome were related to the nature of external context such as Ebola outbreak and floods, political stability, the institutional arrangements, and Government structure in some countries (Page 15). Many of these challenges were overcome through extensions and additional awareness creation. Only in the case of Bosnia and Herzegovina, were the structure of Government concerns continue to delay ratification until the project came to an end.</p>
<p><b>Question:</b> What were the completed gender-responsive measures and, if applicable, actual gender result areas? <i>(This should be based on the documentation at CEO Endorsement/Approval, including</i></p>

<sup>31</sup> The GEF is currently operating under the seventh replenishment period of the GEF Trust Fund covering the period July 1, 2018 to June 30, 2022. The GEF Portal Reporting Guide for FY20 Reporting Process indicates that GEF-6 projects that have yet to map existing indicators to GEF-7 Core Indicators need to do so at MTR stage or (if already there) at the time of the TE. (i.e. not GEF projects approved before GEF-6)

<sup>32</sup> This is not applicable for Enabling Activities

*gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)*

**Response:** *(Might be drawn from Factors Affecting Performance section)*

Whereas gender was acknowledged in the CEO Endorsement document as a part of key stakeholders like local and indigenous communities, civil society, including women groups, and the private sector (page 24), There was disaggregated reporting on gender, gender was meant to be implicit based on the requirements of the Nagoya Protocol (Page 25). The lack of explicit assessment of gender was one of the factors that lowered some of the indicator scores observed in the monitoring and reporting, and cross-cutting issues (Page 29).

**Question:** What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)*

**Response:** *(Might be drawn from Factors Affecting Performance section)*

The main consideration on environmental and social safeguards was with regard to the indigenous people and local communities, as holders of traditional knowledge associated to genetic resources are in centre of the Nagoya Protocol on ABS, therefore their interest are considered and protected during the processes of awareness raising and trainings (page 27). The project was focused at high-level policy and therefore, the environmental and social safeguards were limited to awareness creation and the inclusion of the safeguards in the ratification documents.

**Question:** What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

**Response:** *(Might be drawn from Factors Affecting Performance section)*

Several country partners indicated limited knowledge on ratification of the Nagoya Protocol. There were several requests to extend the project timeline and or resources available under the SSFAs to address awareness creation needs. A Knowledge Sharing Workshop was held in Djibouti in August 2016 to assist the participating countries that had not yet ratified or acceded to the Nagoya Protocol (page 28).

One of the unplanned outputs of the project was the production of a "Guide to the Ratification and Accession to the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization." The guidebook was produced in 2018 to provide references and describe strategies and techniques for good practice on ratification of the Protocol (page 29). The report was included in the <https://www.unep.org/resources/publication/guide-ratification-and-accession-nagoya-protocol-access-genetic-resources>.

**Question: What are the main findings of the evaluation?**

**Response:** *drawn from pages vi, vii, and viii.*

**The strategic relevance of the project was highly satisfactory.** The project's Programme of Work (POW) and Strategic Priorities were aligned to UNEP's Programme of Work (PoW) 2012-2013 and

2014-2015. BD4: Mainstreaming Biodiversity Conservation and Sustainable Use in Production Landscapes and Sector. The project was highly aligned with GEF's strategic priorities particularly the NPIF. The project also shows strong global, regional, sub-regional and national priorities given that the implementation relied on multi-country and regional cooperation.

**The quality of project design was satisfactory.** The highest satisfaction was for partnerships and sustainability/ replication and catalytic effects. Moderate dissatisfaction was observed with project preparation, risk identification and social safeguards, and identified project design weakness/gaps.

**The nature of external context was moderately favourable.** Socio-political factors, climatic conditions, and epidemic disease outbreaks affect future implementation of the Nagoya Protocol and ABS. However, the institutional capacity built, and the policy and legal framework enhanced would moderate the impact of the external context.

**Effectiveness was rated as highly satisfactory.** Whereas availability of outputs were only moderately satisfactory given that only four countries were able to ratify the Nagoya Protocol in line with the project timeline with delays occurring on ratification and awareness creation, the project outcomes were highly satisfactory with 19 out of 20 project countries ratifying or acceding the Protocol and the likelihood of impact was highly likely because the ratification was achieved through country owned policy and legal documents, awareness creation and institutional capacity building.

**Financial management was rated as moderately satisfactory.** The final project financial analysis spreadsheet indicated a 2 percent variance between the project budget and the actual expenditure. Adherence to UNEP's financial policies and procedures was moderately satisfactory. There were divergences between the initial disbursement and when the countries received funds. Some of these divergences were related to the external context and preparedness of the countries. However, there were efforts for the UNEP team to adhere. The financial information was also moderately satisfactory.

**Efficiency was rated as unsatisfactory.** The efficiency looked at the cost effectiveness and timeliness of the project. The project was not implemented in a timely manner, it was extended from a close date of May 2015 to a close date of December 2022. The project delays were justified by awareness creation needs, delayed ratification and slow response from some countries. However, the project remained within the project budget despite several changes to the SSFA documents of the different countries. Moreover, the countries were willing to request for project extensions to ensure delivery of project outcomes with no-cost extensions, with the exception of Djibouti, Sierra Leone and Zimbabwe which received additional funds for awareness creation workshops for key decision makers..

**Monitoring and reporting were moderately unsatisfactory.** The monitoring design and budgeting and project reporting were moderately satisfactory with limitations on aggregating the reporting from the different countries and absence of focus on gender issues. There logical framework proposed a budget for monitoring; however, a lot of the expectation on monitoring was placed on co-financing. Monitoring project implementation was satisfactory as evidence from the PIR reports.

**Sustainability was moderately likely.** The socio-political sustainability was moderately likely. The risks from socio-political factors are present because implementation of the Protocol relies on commitment of the Government and supporting institutions in the country. On the other hand, financial sustainability is highly likely due to the prospects for generating income from commercial and non-commercial ABS activities. Institutional sustainability showed a high likelihood given the project focus on building institutional capacity of the participating countries.

**Factors affecting performance was rated as satisfactory.** Preparation and readiness were moderately satisfactory, the quality of project management and supervision was satisfactory, stakeholder participation and cooperation were satisfactory, environmental, and social safeguards were rated as unsatisfactory, country ownership and drivenness was highly satisfactory while communication and public awareness was satisfactory.



## ANNEX VIII. IMPLEMENTATION PLAN OF RECOMMENDATIONS

**Project Title and Reference No.:**

Global Support for the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing (ABS) (GEF ID – 5172)

**Contact Person (TM/PM):**

Jane Nimpamyia

		PLANS			
SN	RECOMMENDATIONS	ACCEPTED (YES/NO/PARTIALLY)	WHAT WILL BE DONE?	EXPECTED COMPLETION DATE	REPOSIBLE OFFICER/ UNIT/ DIVISION/ AGENCY
1	Strengthen the role of strategic relevance, effectiveness, sustainability in the implementation of the project.	Yes	The role of strategic relevance, effectiveness, sustainability is being captured in project design and will be ensured in implementation of the project.	In follow-on projects	Donors, implementing entity, partner countries
2	Regular project steering committee (PSC) meetings need to be conducted at least once annually.	Yes	Regular steering committee meetings will be conducted at least once annually.	In follow-on projects	The Implementing Entity and the Executing Division
3	Aligning financial reporting with project components and outcomes is critical to the success of reporting project outputs and outcomes	Yes	The task manager will forward this proposal to the UNEP Ecosystem finance unit	In follow-on projects. Proposal linked to a medium-	UNEP finance Unit

				term POW timeline	
4	Enhance and improve reporting on co-financing and estimation of co-financing by project countries.	Yes	The task Manager will ensure that the executing division submits co-finance reports	In follow-on projects	Partner countries with support from the executing division

The following is a summary of lessons learned from some of the project's experiences and based upon explicit findings of the review. They briefly describe the context from which the lessons are derived, and the potential for wider application:

<b>Lesson Learned #1:</b>	<b>The importance of strategic relevance of the project to the attainment of effectiveness in implementation.</b>
<b>Context/comment:</b>	Even where the project relies considerably on co-financing and country commitments, the strategic relevance of the project was high. Implementation of ABS affects issues critical to the countries such as food security, wildlife management, and sovereignty over genetic resources and traditional knowledge.

<b>Lesson Learned #2:</b>	<b>Importance of flexibility of project design and the nature of external context is critical to the success of the project although it undermined efficiency of project performance.</b>
<b>Context/comment:</b>	The project management team realised in the first two years; the importance of accommodating country needs and country context for awareness creation to allow decision makers embrace the Nagoya Protocol. The flexibility of the project management affected timeliness and cost-effectiveness; however, it ensured a better performance in the other criteria.

<b>Lesson Learned #3:</b>	<b>In multi-country projects where the external context plays a significant role in project performance, uniform financial reporting and delivery of outputs cannot be achieved. It more important to ensure that the different country partners achieve their outputs are achieved in a timely manner in line with the project agreement</b>
<b>Context/comment:</b>	The reviewer observed the challenges in reporting and maintaining the set targets for countries where more time was needed to create awareness for decision makers. On a few occasions Nigeria and Bosnia and Herzegovina were non-responsive as their ratification processes delayed. Yet the commitment from the country partners seemed strong.

<b>Lesson Learned #4:</b>	<b>There is a need to align financial reporting with the delivery of project outcomes.</b>
<b>Context/comment:</b>	One of the criteria rated is the communication between the project management and the finance team. One of the ways of enhancing the effectiveness of this communication is allow the management team to score the project components against the disbursement and expenditure. Currently, this does not exist.

<b>Lesson Learned #5:</b>	<b>Addressing gender and human rights, environmental and social safeguards and other factors affecting performance in high-level policy projects may be supported with benchmarking of the country condition, i.e. the level of satisfaction.</b>
<b>Context/comment:</b>	In a high-level policy project, many of the factors affecting performance of the project are already set in country law and regulations. Nonetheless, the baseline information may need to benchmark these to support performance rating.

**ANNEX IX. QUALITY ASSESSMENT OF THE REVIEW REPORT (PROVIDED BY THE UNEP EVALUATION OFFICE)**

Review Title: 'Global Support for the Ratification and Entry into Force of the Nagoya Protocol on Access and Benefit Sharing' (ABS) (GEF ID 5172)

Consultant: Moses Masiga

All UNEP Reviews are subject to a quality assessment by the UNEP Evaluation Office. This is an assessment of the quality of the review product (i.e. Main Review Report).

	UNEP Evaluation Office Comments	Final Report Rating
<b>Substantive Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary</b></p> <p><u>Purpose:</u> acts as a stand-alone and accurate <u>summary</u> of the main review product, especially for senior management.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• concise overview of the review object</li> <li>• clear summary of the review objectives and scope</li> <li>• overall review rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria</li> <li>• reference to where the review ratings table can be found within the report</li> <li>• summary response to key strategic review questions</li> <li>• summary of the main findings of the exercise/synthesis of main conclusions</li> <li>• summary of lessons learned and recommendations.</li> </ul>	<p><b>Final report (coverage/omissions):</b> Most of the required elements are addressed except for the following: the review objectives and scope; the reviewer's response to the key strategic review questions that were included in the TOR; a cross reference to where the review ratings table in the main report.</p> <p><b>Final report (strengths/weaknesses):</b> The executive summary is a concise summary of the review report. Key findings by criteria have been summarised well.</p> <p>There is some repetitiveness in the conclusions sub-section which would have benefitted from the inclusion of responses to the key strategic questions. The executive summary would have also benefitted from a clear definition of the objectives and scope of the Review.</p>	4.5
<p><b>Quality of the 'Introduction' Section</b></p> <p><u>Purpose:</u> introduces/<u>situates</u> the evaluand in its institutional context, establishes its main parameters (time, value, results, geography) and the purpose of the review itself.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• institutional context of the project (sub-programme, Division, Branch etc)</li> <li>• date of PRC approval, project duration and start/end dates</li> <li>• number of project phases (where appropriate)</li> <li>• results frameworks to which it contributes (e.g. POW Direct Outcome)</li> <li>• coverage of the review (regions/countries where implemented)</li> </ul>	<p><b>Final report (coverage/omissions):</b> A number of required elements are missing from the introduction to include the following: institutional context of the evaluand (UNEP sub-programme, Division, Branch; PoW to which the project contributes, the geographical scope; identification of the implementing and executing agencies, and major partners; the project budget; and the intended audience for the review report.</p> <p><b>Final report (strengths/weaknesses):</b> The introduction describes the evaluand, in terms of expected results, implementation period, and geographical scope. However, it contains some duplication (aspects of the methods used, which is also covered in 'Section II. Review Methods'). It also does not</p>	4

<ul style="list-style-type: none"> <li>• implementing and funding partners</li> <li>• total secured budget</li> <li>• whether the project has been evaluated in the past (e.g. mid-term, external agency etc.)</li> <li>• concise statement of the purpose of the review and the key intended audience for the findings.</li> </ul>	<p>include/ describe the institutional context and the actors involved in funding and implementing the project</p>	
<p><b>Quality of the 'Review Methods' Section</b></p> <p><u>Purpose:</u> provides reader with clear and comprehensive description of review methods, demonstrates the <u>credibility</u> of the findings and performance ratings.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• description of review data collection methods and information sources</li> <li>• justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face)</li> <li>• number and type of respondents (see <i>table template</i>)</li> <li>• selection criteria used to identify respondents, case studies or sites/countries visited</li> <li>• strategies used to increase stakeholder engagement and consultation</li> <li>• methods to include the voices/experiences of different and potentially excluded groups (e.g. vulnerable, gender, marginalised etc)</li> <li>• details of how data were verified (e.g. triangulation, review by stakeholders etc.)</li> <li>• methods used to analyse data (scoring, coding, thematic analysis etc)</li> <li>• review limitations (e.g. low/ imbalanced response rates across different groups; gaps in documentation; language barriers etc)</li> <li>• ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected. Is there an ethics statement? E.g. <i>'Throughout the review process and in the compilation of the Final Review Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made.'</i></li> </ul>	<p><b>Final report (coverage/omissions):</b> Most of the required elements are addressed except for considerations for gender and/or marginalised groups.</p> <p><b>Final report (strengths/weaknesses):</b> The methodology section (Para. 34) indicates that mixed methods were used for the review. However, all the methods mentioned are qualitative with no quantitative methods included.</p> <p>There is a mix-up in clustering of the countries for the purpose of sampling. Whereas three categories / clusters (category 1,2 and 3) are identified, the countries that were reachable and therefore participated in the study are presented in two categories with category 3 repeated.</p> <p>There is also mention of countries rather than participants. It is unclear whether all target participants in the named counties were not reachable.</p> <p>There is no clear rationale for sampling i.e. how were the target counties selected from the three clusters.</p> <p>The report mentions that 14 countries were targeted for the study, however, only eight are mentioned.</p> <p>Paragraph 42 alludes to a counterfactual. However, there is no mention of how the counterfactual was constructed in the preceding sections of the methodology.</p> <p>The review could also have benefitted from more information on the number and type of respondents/key informants (only countries are indicated), including the disaggregation of those respondents by gender. There is no mention of efforts to include potentially excluded groups (e.g. vulnerable, gender, marginalised etc)</p>	4
<p><b>Quality of the 'Project' Section</b></p> <p><u>Purpose:</u> describes and <u>verifies</u> key dimensions of the evaluand relevant to assessing its performance.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• <i>Context:</i> 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> </ul>	<p><b>Final report (coverage/omissions):</b> Most of the required elements are addressed except for the inclusion of a summary of the project's results framework as stated in the ProDoc – this is however covered in a previous chapter (<i>'Chapter 1. Introduction', Table 2 and para. 31</i>) and it is not indicated whether it has been drawn from the latest approved revision document (revision #3 of June 2018).</p>	5

<ul style="list-style-type: none"> <li>• <i>Results framework</i>: summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders</i>: description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners</i>: description of the implementation structure with diagram and a list of key project partners</li> <li>• <i>Changes in design during implementation</i>: any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing</i>: completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p><b>Final report (strengths/weaknesses):</b> The chapter is fairly well written and includes clear descriptions of the main elements - save for some errors in the totals in table 2.</p>	
<p><b>Quality of the Theory of Change</b></p> <p><u>Purpose</u>: to set out the TOC at Review in diagrammatic and narrative forms to support consistent project performance; to articulate the causal pathways with drivers and assumptions and justify any reconstruction necessary to assess the project's performance.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• description of how the <i>TOC at Review</i><sup>33</sup> was designed (who was involved etc)</li> <li>• confirmation/reconstruction of results in accordance with UNEP definitions</li> <li>• articulation of causal pathways</li> <li>• identification of drivers and assumptions</li> <li>• identification of key actors in the change process</li> <li>• summary of the reconstruction/results reformulation in tabular form. <i>The two results hierarchies (original/formal revision and reconstructed) 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'. This table may have initially been presented in the Inception Report and should appear somewhere in the Main Review report.</i></li> </ul>	<p><b>Final report (coverage/omissions):</b> The section contains a description of the TOC in both narrative and diagrammatic formats. A table to compare the results statements as used in the TOC at evaluation versus their original formulation at design is missing.</p> <p><b>Final report (strengths/weaknesses):</b> The narrative provides a highly summarised description of the TOC at evaluation and could have benefitted from a more detailed description of the causal pathways shown in the TOC diagram, from Outputs through to the intended Impact, including a discussion of possible assumptions and drivers influencing the change process.</p> <p>There is no description of the process that was undertaken to [re]construct the TOC.</p> <p>There is also no information on changes that might have been made to reformulate the results statements in the TOC as compared to the original TOC and/or Results Framework.</p>	2
<p><b>Quality of Key Findings within the Report</b></p> <p><u>Presentation of evidence</u>: nature of evidence should be clear (interview, document, survey, observation, online resources etc) and evidence should be explicitly triangulated unless noted as having a single source.</p>	<p><b>Final report (coverage/omissions):</b> The key findings are included as part of the Executive Summary and presented in the form of summaries of project performance by criteria.</p> <p><b>Final report (strengths/weaknesses):</b></p>	3

<sup>33</sup> During the Inception Phase of the review process a *TOC at Review 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 review process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

<p><b>Consistency within the report:</b> all parts of the report should form consistent support for findings and performance ratings, which should be in line with UNEP's Criteria Ratings Matrix.</p> <p><b>Findings Statements (where applicable):</b> The frame of reference for a finding should be an individual review criterion or a strategic question from the TOR. <b>A finding should go beyond description and uses analysis to provide insights that aid learning specific to the evaluand.</b> In some cases a findings statement may articulate a key element that has determined the performance rating of a criterion. Findings will frequently provide insight into 'how' and/or 'why' questions.</p>	<p>The key findings cover some of the review criteria and provide some useful insights that could help with learning that is relevant to the evaluand. The format used does not include evidence or cross-references, though such evidence may be found in the respective sub-sections in 'Chapter V. Review Findings'.</p> <p>The evidence presented in the report appears to have strongly relied on document review and would have benefited from data and information obtained from the other data collection methods.</p> <p>The findings statements in the report focus more on the "what" i.e. what was observed or presented and less on the "how" and "why" i.e. an explanation of the findings.</p>	
<p><b>Quality of 'Strategic Relevance' Section</b></p> <p><b>Purpose:</b> to present evidence and analysis of project strategic relevance with respect to UNEP, partner and geographic policies and strategies at the time of project approval.</p> <p>To include:</p> <p>Assessment of the evaluand's relevance vis-à-vis:</p> <ul style="list-style-type: none"> <li>• Alignment to the UNEP, GEF and Country (global, regional, sub-regional and national) strategic priorities</li> <li>• Complementarity/coherence of the project at design (or during inception/mobilisation<sup>34</sup>), with other interventions addressing the needs of the same target groups.</li> </ul>	<p><b>Final report (coverage/omissions):</b> The section is complete and discusses all the required aspects of relevance.</p> <p><b>Final report (strengths/weaknesses):</b> The report presents a good analysis of the relevance of the project to GEF and UNEP priorities. However, in terms of complementarity/ coherence with existing interventions, relevance of the project to regional and national level priorities, the report presents generic information.</p>	5
<p><b>Quality of 'Effectiveness' Section</b></p> <p><b>(i) Availability of Outputs:</b></p> <p><b>Purpose:</b> to present a well-reasoned, complete and evidence-based assessment of the outputs made available to the intended beneficiaries.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• a convincing, evidence-supported and clear presentation of the outputs made available by the project compared to its approved plans and budget</li> <li>• assessment of the nature and scale of outputs versus the project indicators and targets</li> <li>• assessment of the timeliness, quality and utility of outputs to intended beneficiaries</li> <li>• identification of positive or negative effects of the project on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).</li> </ul>	<p><b>Final report (coverage/omissions):</b> Some of the required elements are addressed but the following aspects are missing from the assessment: quality and utility of outputs; comparison of output delivery against indicators and targets; and the positive / negative effects of the project on disadvantaged groups.</p> <p><b>Final report (strengths/weaknesses):</b> The assessment focuses heavily on the timeliness of the delivery of outputs, targets achieved, and the effects of delays on project implementation.</p> <p>Percentages are used to present availability of outputs without explaining their meaning or how they were computed. This makes it difficult to make any inference. There is also no discussion on the quality/utility of those outputs, or any comparison to their programmed indicators and/or budget.</p>	3

<sup>34</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.

	There is no mention of gender dimensions of the intervention or how it may have affected marginalised groups.	
<p><b>ii) Achievement of Project Outcomes:</b></p> <p><u>Purpose:</u> to present a well-reasoned, complete and evidence-based assessment of the uptake, adoption and/or implementation of outputs by the intended beneficiaries. This may include behaviour changes at an individual or collective level.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• a convincing and evidence-supported analysis of the uptake of outputs by intended beneficiaries</li> <li>• assessment of the nature, depth and scale of outcomes versus the project indicators and targets</li> <li>• discussion of the contribution, credible association and/or attribution of outcome level changes to the work of the project itself</li> <li>• any constraints to attributing effects to the projects' work</li> <li>• identification of positive or negative effects of the project on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).</li> </ul>	<p><b>Final report (coverage/omissions):</b> Some of the required elements are addressed but the following aspects are missing from the assessment: contribution / credible association / attribution, effects of the project on disadvantaged groups, and gender considerations.</p> <p><b>Final report (strengths/weaknesses):</b> The rating (HS) is not suitably justified by the assessment presented in this section.</p> <p>Although the target was almost fully met (19 out of 20 countries were able to accede and ratify the Nagoya Protocol) the discussion does not give an in-depth analysis of the extent to which the expected Outcome (establishment of legal and regulatory frameworks, and administrative procedures that enable access to genetic resources and benefit sharing for the 20 target countries) was achieved.</p> <p>The outcomes presented in this section are inconsistent with the outcomes in the Theory of Change. There is also a mix up in the language for example in paragraph 95, the report states that project outcome indicators (instead of targets) were met.</p> <p>There is no discussion on the project's actual contribution, credible association and/or attribution to this outcome. There is also no mention of gender dimensions or marginalised groups.</p>	2.5
<p><b>(iii) Likelihood of Impact:</b></p> <p><u>Purpose:</u> to present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact, including an assessment of the extent to which drivers and assumptions necessary for change to happen, were seen to be holding.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• an explanation of how causal pathways emerged and change processes can be shown</li> <li>• an explanation of the roles played by key actors and change agents</li> <li>• explicit discussion of how drivers and assumptions played out</li> <li>• identification of any unintended negative effects of the project, especially on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).</li> </ul>	<p><b>Final report (coverage/omissions):</b> The section is incomplete. The causal pathways from the Outcomes to Intermediate State and through to Impact are not discussed. There is no mention of the role/status of Drivers and Assumptions in the achievement of the intended Impact, and neither is there any mention of any unintended effects of the intervention.</p> <p><b>Final report (strengths/weaknesses):</b> The rating (HL) is not suitably justified by the assessment presented in this section.</p> <p>There is no evidence-based analysis to explain how/the extent to which the intended Impact (fair and equitable sharing of the benefits arising out of the utilisation of genetic resources) is likely to be achieved.</p> <p>Mere accession (evidence provided) to the protocol may not necessarily mean that it will be implemented.</p>	2



<p><b>Quality of 'Financial Management' Section</b></p> <p><u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table (may be annexed).</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• <i>adherence</i> to UNEP's financial policies and procedures</li> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> </ul>	<p><b>Final report (coverage/omissions):</b> All of the required elements are addressed including the financial management summary table.</p> <p><b>Final report (strengths/weaknesses):</b> The report provides a detailed account of the financial management of the project. Project expenditures, both planned and actual, are presented by project component and type (grant and co-funding). The main challenges and strengths in financial management are discussed. Some examples are included to support the assessment of this criterion.</p>	5
<p><b>Quality of 'Efficiency' Section</b></p> <p><u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under efficiency (i.e. the primary categories of cost-effectiveness and timeliness).</p> <p>To include:</p> <ul style="list-style-type: none"> <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>• implications of any delays and no cost extensions</li> <li>• the extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>	<p><b>Final report (coverage/omissions):</b> The section covers some of the required elements, except for the measures that might have been put in place to expedite the project completion, or the measures taken to build upon/synergise with pre-existing initiatives.</p> <p><b>Final report (strengths/weaknesses):</b> The assessment focusses mostly on the no-cost project extensions. It is however indicated that the "project was able to operate within the existing roles, mechanisms, or institutions" despite undergoing three project extensions. There is little to no information on the project's efforts to create synergies with complementary pre-existing initiatives. There is also no mention of time-saving measures adopted by the project, or any measures undertaken to minimise UNEP's environmental footprint. The rating is therefore not sufficiently supported by the assessment as presented.</p>	4
<p><b>Quality of 'Monitoring and Reporting' Section</b></p> <p><u>Purpose:</u> to present well-reasoned, complete and evidence-based assessment of the evaluand's monitoring and reporting.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• quality of monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• quality of project reporting (<i>e.g. PIMS and donor reports</i>) \</li> </ul>	<p><b>Final report (coverage/omissions):</b> The report addresses most of the required elements except for the qualitative aspects of the monitoring plan itself.</p> <p><b>Final report (strengths/weaknesses):</b> The assessment of the quality of monitoring implementation is lacking in detail – focus has been placed on the quantity of reports and meetings held. It is not mentioned whether monitoring data was used for adaptive management and/or to what extent. However, some qualitative aspects of the PIR are mentioned.</p>	4
<p><b>Quality of 'Sustainability' Section</b></p> <p><u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under sustainability (i.e. the endurance of benefits achieved at outcome level).</p> <p>Consider how well the report addresses the following:</p>	<p><b>Final report (coverage/omissions):</b> The assessment covers all the required aspects of sustainability.</p> <p><b>Final report (strengths/weaknesses):</b></p>	5

<ul style="list-style-type: none"> <li>• Institutional sustainability</li> <li>• Other dimensions of sustainability</li> </ul>	<p>The assessment of institutional, as well as other aspects of sustainability, is well-reasoned, clear and is supported with examples.</p>	
<p><b>Quality of Factors Affecting Performance Section</b></p> <p><u>Purpose:</u> These factors are not always discussed in stand-alone sections and may be integrated in the other performance criteria as appropriate. However, if not addressed substantively in this section, a cross reference must be given to where the topic is addressed and that entry must be sufficient to justify the performance rating for these factors.</p> <p>Consider how well the review report, either in this section or in cross-referenced sections, covers 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>35</sup></li> <li>• stakeholder participation and co-operation</li> <li>• responsiveness to human rights and gender equality</li> <li>• environmental and social safeguards</li> <li>• country ownership and driven-ness</li> </ul> <p style="text-align: center;">communication and public awareness</p>	<p><b>Final report (coverage/omissions):</b> The factors affecting performance have all been presented in stand-alone subsections in this chapter.</p> <p><b>Final report (strengths/weaknesses):</b> The discussion of factors affecting performance is in most cases sufficient and based on findings presented in the chapter as well as other sections of the report (although no cross-referencing is made). There are examples included to support the assessments made.</p>	5
<p><b>Quality of the Conclusions Section</b></p> <p><b>(i) Conclusions Narrative:</b></p> <p><u>Purpose:</u> to present summative statements reflecting on prominent aspects of the <u>performance of the evaluand as a whole</u>, they should be derived from the synthesized analysis of evidence gathered during the review process.</p> <p>To include:</p> <ul style="list-style-type: none"> <li>• compelling narrative providing an integrated summary of the strengths and weakness in overall performance (achievements and limitations) of the project</li> <li>• clear and succinct response to the key strategic questions</li> </ul> <p>human rights and gender dimensions of the intervention should be discussed explicitly (e.g. how these dimensions were considered, addressed or impacted on)</p>	<p><b>Final report (coverage/omissions):</b> The conclusion includes summative statements covering selected review criteria. The chapter includes a table presenting the summary of project findings and ratings. The overall assessment of the evaluand is missing.</p> <p><b>Final report (strengths/weaknesses):</b> The conclusions place undue emphasis on the ratings rather than empirical findings from the study. It does not comprise of a compelling narrative although it is still possible to infer positive and negative aspects of project performance based on the summaries presented.</p> <p>The is duplication noted (e.g. para 182). Responses to the review’s key strategic questions have not been included here, or elsewhere in the report. There is no mention of gender considerations.</p>	3
<p><b>ii) Utility of the Lessons:</b></p> <p><u>Purpose:</u> to present both positive and negative lessons that have potential for wider application and</p>	<p><b>Final report (coverage/omissions):</b> The report contains several ‘lessons learned’ and their contextual background.</p>	3.5

<sup>35</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. This includes providing the answers to the questions on Core Indicator Targets, stakeholder engagement, gender responsiveness, safeguards and knowledge management, required for the GEF portal.

<p>use (replication and generalization)</p> <p>Consider how well the lessons achieve the following:</p> <ul style="list-style-type: none"> <li>are rooted in real project experiences (i.e. derived from explicit review findings or from problems encountered and mistakes made that should be avoided in the future)</li> <li>briefly describe the context from which they are derived and those contexts in which they may be useful</li> <li>do not duplicate recommendations</li> </ul>	<p><b>Final report (strengths/weaknesses):</b> The lesson learned are quite generic; except for lesson learned #3 perhaps, they are not formulated in a way that lends themselves to wider application and use.</p> <p>The context from which the lessons learned have been drawn do, however, come from actual findings in the report; if read together, it may be possible to appreciate the general message behind the lessons learned as presented.</p>	
<p><b>(iii) Utility and Actionability of the Recommendations:</b></p> <p><u>Purpose:</u> to present 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.</p> <p>Consider how well the lessons achieve the following:</p> <ul style="list-style-type: none"> <li>are feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when</li> <li>include at least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions</li> <li>represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</li> </ul> <p><b>NOTES:</b></p> <p><b>(i)</b> In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance.</p> <p><b>(ii)</b> Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.</p>	<p><b>Final report (coverage/omissions):</b> The report contains several recommendations presented in the required format.</p> <p><b>Final report (strengths/weaknesses):</b> The recommendations presented are weak and non-specific (recommendation # 1) and in some cases not actionable (recommendation # 2, 4) because they have been overtaken by events. Recommendation # 3 (paragraph 184) on the other hand reads like a lesson learned.</p> <p>The recommendations have limited potential for implementation in the implementation of future projects of a similar nature (i.e. provision of support to countries to meet their obligations to Conventions). In some cases, the the recommendation is addressed to a third party, but it is not formulated in a way that directs the UNEP project staff to pass on the recommendation to the relevant third party in an effective or substantive manner.</p>	2.5
<p><b>Quality of Report Structure and Presentation</b></p> <p><b>(i) Structure and completeness of the report:</b></p> <p>To what extent does the report follow the Evaluation Office structure and formatting guidelines?</p> <p>Are all requested Annexes included and complete?</p>	<p><b>Final report (coverage/omissions):</b> The report was presented in using a wrong template but it is complete and includes the recommended sections and sub-sections. The recommended annexes are also included in the report.</p> <p><b>Final report (strengths/weaknesses):</b> The structure and presentation of the report is satisfactory</p>	5
<p><b>(ii) Writing and formatting:</b></p> <p>Consider whether the report is well written (clear English language and grammar) with language that is</p>	<p>The language is clear and easy to comprehend. The tone is professional and adequate for an official document.</p>	4.5

<p>adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information?</p>	<p>However, the report would have benefitted from a more thorough editing to avoid passive language, minimise duplication, and to correct typos and grammatical errors. Also, table numbering is not correct.</p>	
<p><b>OVERALL REPORT QUALITY RATING</b></p>		<p><b>3.8</b></p>