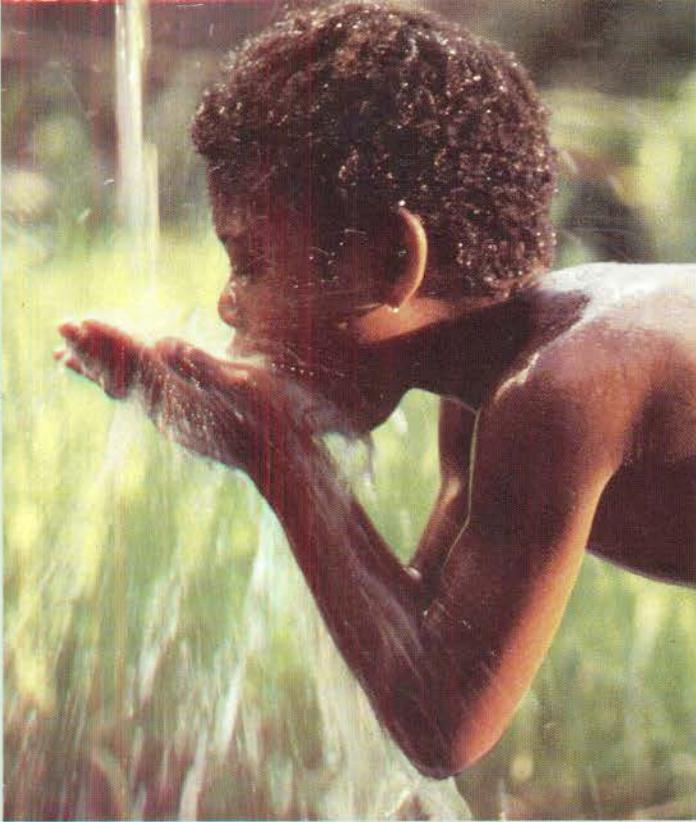


2409

Library



2004 Annual Evaluation Report

Evaluation and
Oversight Unit

September 2005

United Nations Environment Programme



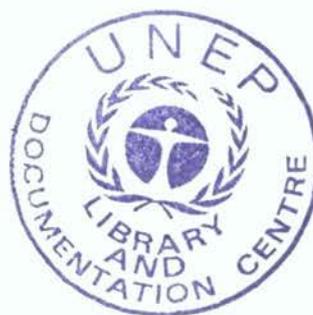


United Nations Environment Programme

2004 Annual Evaluation Report

Evaluation and Oversight Unit

September 2005





The Cover Photo comes from Focus on Your World. Photographs from the United Nations Programme. March 2002 Photo credit© Voltchev/UNEP, Say Boon Foo/UNEP, Wihan Kwandee.

Contents

| | |
|--|------|
| Foreword | v |
| Preface | vi |
| Acknowledgements | vii |
| Acronyms and abbreviations | viii |
| Executive summary | 1 |
| Evaluation | 1 |
| Findings and Recommendations | 2 |
| Lessons learned | 4 |
| | |
| I. Introduction | 6 |
| A. Evaluation and Oversight Unit | 6 |
| B. Mandate and mission | 6 |
| C. Scope and objective | 7 |
| D. Methodology | 7 |
| | |
| II. In-depth project evaluations | 9 |
| A. Achievement of objectives and attainment of outputs | 9 |
| B. Cost-effectiveness | 12 |
| D. Stakeholder involvement | 13 |
| D. Country ownership | 15 |
| E. Implementation approach | 16 |
| F. Financial planning and management | 17 |
| G. Replicability | 18 |



| | | |
|------|--|----|
| H. | Monitoring and evaluation | 19 |
| I. | Impacts | 21 |
| J. | Sustainability | 22 |
| III. | Project self-evaluation | 24 |
| A. | Introduction | 24 |
| B. | UNEP's mandate | 24 |
| C. | UNEP's role | 26 |
| D. | Challenges in project design and implementation | 27 |
| E. | Stakeholder involvement | 29 |
| F. | Sustainability and capacity-building | 29 |
| IV. | Collaboration and coordination | 31 |
| A. | Internal collaboration and coordination | 31 |
| B. | Coordination with External Partners | 37 |
| C. | Environmental Management Group (EMG) | 40 |
| D. | Conclusions | 41 |
| V. | Implementation of evaluation recommendations | 42 |
| A. | Subprogramme and project evaluations | 42 |
| B. | Annual evaluation reports | 43 |
| | Annexes | |
| I | Terms of reference for the annual evaluation report | 45 |
| II | List of evaluation and studies included in 2004 annual evaluation report | 48 |
| III | List of self evaluation fact sheets and terminal reports for 2004 | 50 |
| IV | Implementation plan for the recommendations of the 2003 annual evaluation report | 59 |



Foreword

The annual evaluation report is one of the modalities by which the United Nations Environment Programme (UNEP) provides substantive accountability to Governments for the implementation of its programme activities. It also provides a means of disseminating evaluation findings and lessons for the development and implementation of future activities.



As demonstrated through the evaluations carried out in 2004, the work of UNEP has focused substantially on capacity-building, especially in the areas of institutional building, the development and testing of environmental management instruments, the promotion of public and stakeholder involvement and information sharing. UNEP has taken progressive steps to implement the decision of its Governing Council to operationalize capacity-building efforts at the national level, in particular through the implementation of the Bali Strategic Plan for Technology Support and Capacity-building. In order for its efforts to be effective, there is a need for increased coordination and collaboration, both internally and with external partners, including other United Nations agencies.

The report shows that collaboration and coordination improved in 2004, both within UNEP and with external agencies. The evaluations found that dialogue and information flow between the regions and headquarters was functioning well. The basic infrastructure and experience needed to forge effective and collaborative relationships with a wide range of partners both internally and externally clearly exist, and will form a basis for improved collaboration in our continuing efforts to develop environmental capacity in developing countries and countries with economies in transition.

A handwritten signature in black ink, which appears to be 'Klaus Töpfer'. The signature is fluid and cursive, with a prominent horizontal stroke at the end.

Klaus Töpfer
Executive Director



Preface

Over the past three years, the Evaluation and Oversight Unit has endeavoured to ensure that recommendations resulting from evaluations conducted by the Unit are relevant to and useful for project and programme performance. The present report shows that these efforts have been quite successful. The quality of recommendations has improved in recent years, and the percentage of rejected evaluation recommendations has declined sharply, from 32 per cent in 2000 to 3 per cent in 2004. In addition, closer and regular follow-up by the Evaluation and Oversight Unit has resulted in a substantial decrease in the percentage of outstanding recommendations. Overall, 72 per cent of all recommendations issued between 1999 and 2004 have either been implemented or are in the process of being implemented.

Annual self-evaluation of projects is an important monitoring tool at UNEP. The aim of self-evaluation is to assess progress in project implementation, identify achievements and challenges, and share lessons learned during implementation. Over the past four years, the Evaluation and Oversight Unit has been successful in boosting the level of compliance with the requirements for the submission of self-evaluation reports from 18 per cent in 2001 to 84 per cent in 2004.

Over the coming months, the Unit intends to take steps to ensure more effective dissemination of the lessons which have been learned from project and programme implementation and which have been identified through evaluations. The existing mechanisms for knowledge management within UNEP seem to be quite inadequate, considering the magnitude of the task ahead. The ability of UNEP to operationalize its capacity-building activities effectively at the national level will be facilitated by the way it manages knowledge and its knowledge networks. The Evaluation and Oversight Unit has an important role to play in this area and will collaborate with the UNEP divisions to ensure that organizational learning in the area of project and programme implementation takes place effectively.



Segbedzi Norgbey

Chief, Evaluation and Oversight Unit



Acknowledgements

The 2004 Annual Evaluation Report of the United Nations Environment Programme (UNEP) was prepared on the basis of evaluations conducted by independent consultants and the staff of the Evaluation and Oversight Unit in consultation with UNEP programme and project managers.

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

| | |
|---------------------|---------------------------|
| Malik Amin Aslam | Stanford A. J. Mwakasonda |
| John Michael Bewers | J. M. Nicholson |
| Mahesh Banskota | Jesse T. Njoka |
| G. Victor Buxton | Zadoc Ogutu |
| Risto Ciconkov | Asenath Omwega |
| William Critchley | Adarsha P. Pokhrel |
| Arne Jernelov | K. V. Ramani |
| Su Jilan | A. Rajvanshi |
| S. K. Joshi | Valts Vilnitis |
| V. Mathur | Maureen Wang'ati |
| Mohan Munasinghe | |

The Unit also notes its appreciation of the efforts of all programme and project managers and coordinators who submitted self-evaluation reports.

Finally, the Unit expresses its appreciation to UNEP division directors and staff, whose comments have greatly enriched this report.

Evaluation and Oversight Unit



Acronyms and abbreviations

| | |
|---------|---|
| CEH | Centre for Ecology and Hydrology |
| CGIAR | Consultative Group on International Agricultural Research |
| CIRAD | French Agricultural Research Centre for International Development |
| CITES | Convention on International Trade in Endangered Species of Wild Fauna and Flora |
| CMS | Convention on Migratory Species of Wild Animals |
| DANIDA | Danish International Development Agency |
| DCPI | Division of Communications and Public Information |
| DDT | Dichloro-diphenyl-trichloroethane |
| DEC | Division of Environmental Conventions |
| DPDL | Division of Policy Development and Law |
| DTIE | Division of Technology, Industry and Economics |
| ECCAS | Economic Community of Central African States |
| EMG | Environmental Management Group |
| EOU | Evaluation and Oversight Unit |
| FAO | Food and Agriculture Organization of the United Nations |
| GEF | Global Environment Facility |
| GTZ | Deutsche Gesellschaft für Technische Zusammenarbeit (German Agency for Technical Cooperation) |
| IFDC | International Fertilizer Development Centre |
| IAEA | International Atomic Energy Agency |
| ICIMOD | International Centre for Integrated Mountain Development |
| ICRAF | World Agroforestry Centre |
| ICRAN | International Coral Reef Network |
| ICRI | International Coral Reef Initiative |
| ICRISAT | International Crop Research Institute for the Semi-Arid Tropics |
| ICSU | International Council for Science |
| IFCS | Intergovernmental Forum on Chemical Safety |
| IFDC | International Fertilizer Development Centre |



| | |
|------------|--|
| IFRC | International Federation of Red Cross and Red Crescent Societies |
| IGAD | Intergovernmental Authority on Development |
| ILC | International Law Commission |
| ILO | International Labour Organization |
| ILRI | International Livestock Research Institute |
| IMDIS | Integrated monitoring and documentation information system |
| IMO | International Maritime Organization |
| IOMC | Inter-Organization Programme for the Sound Management of Chemicals |
| IPEN | International POPs Elimination Network |
| IRD | Institut de recherche pour le développement |
| ISDR | International Strategy for Disaster Reduction |
| IUCN | World Conservation Union |
| KEMFRI | Kenya Maritime Fisheries Research Institute |
| LUCID | Land-use change analysis as an approach for investigating biodiversity loss and land degradation |
| NEPAD | New Partnership for Africa's Development |
| NGO | Non-governmental organization |
| NORAD | Norwegian Agency for Development Cooperation |
| PCMU | Programme Coordination and Management Unit |
| PDF | Project development facility |
| POPs | Persistent organic pollutants |
| PTS | Persistent toxic substances |
| SER | Self-evaluation report |
| SOPAC | Southern Pacific Applied GeoScience Commission |
| TSBF-CIAT | Tropical Soil Biology and Fertility Institute of the International Centre for Tropical Agriculture |
| UNCCPCJ | United Nations Centre for Crime Prevention and Criminal Justice |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UN-Habitat | United Nations Human Settlements Programme |
| UNICEF | United Nations Children's Fund |
| UNIDO | United Nations Industrial Development Organization |
| UNITAR | United Nations Institute for Training and Research |



| | |
|-------|---|
| UNODC | United Nations Office on Drugs and Crime |
| UNOPS | United Nations Office for Project Services |
| URC | UNEP Risø Centre on Energy, Climate and Sustainable Development |
| WCMC | UNEP World Conservation Monitoring Centre |
| WCO | World Customs Organization |
| WFP | World Food Programme |
| WHO | World Health Organization |
| WWF | World Wildlife Fund |



Executive summary

A. Evaluation

1. The present evaluation report is a synthesis of the evaluations conducted by the Evaluation and Oversight Unit in 2004 and comprises data provided in one comprehensive subprogramme evaluation, one management study, 20 in-depth project evaluation reports and 130 self-evaluation reports. It also contains a review of the status of implementation of recommendations contained in the annual evaluation reports from 1999 to 2003 and a separate chapter on collaboration and coordination with respect to UNEP projects and subprogrammes.
2. The detailed evaluation of the Coordination Office of the Division of Regional Cooperation focused on the Coordination Office's programme of work in the 2000–2001 and 2002–2003 bienniums. The overall objective of the evaluation was to establish how effective the Office has been in implementing its programme of work as part of the mandate given to the Division of Regional Cooperation and in ensuring the effective coordination of regional activities.
3. The evaluation shows that the Coordination Office has contributed to the development of several policies as a result of its close collaboration with regional offices and the different UNEP divisions. The Coordination Office has assumed a more substantive role in facilitating the work of the regional offices by promoting dialogue with Governments, providing policy support to the regions and conducting regional policy assessments at headquarters.
4. The evaluation concluded that, within the context of the regionalization policy of UNEP and given the demand for more effective communication between the regional offices and the different UNEP divisions, a remaining challenge faced by the Coordination Office was to clarify the respective roles of the divisions and the offices, particularly in the areas of programme coordination, policy guidance and resource mobilization. Repeated requests by member States to ensure the optimal use of resources, to avoid the duplication of efforts and to promote the sharing of best practices, make this cooperation even more relevant.
5. An analysis of the ratings of independent project evaluations has been conducted as part of the annual evaluation report in the same way as it was conducted in 2003. The ratings were based on assessments of 11 parameters, including the achievement of overall objectives. The level of achievement is determined by comparing actual results to planned results. The overall rating was "very good". The projects have continued to strengthen the capacity of partner institutions at the national level, contributed to the implementation of international conventions, led to the development of analytical methods and tools, raised awareness among policy and decision makers and promoted stronger stakeholder participation.
6. The project evaluations identified several challenges. These included: inadequate counterpart funding; lack of country ownership; weaknesses in monitoring and reporting; limited involvement of the private sector; and a mismatch between project objectives, resource availability and project duration.



7. A total of 130 project self-evaluations were completed. This represents a compliance rate of 85 per cent. Of these projects, some 38 per cent were global in their scope, 27 per cent regional in scope and 35 per cent implemented at the subregional or national levels. UNEP has continued to step up its activities at the national level, particularly in the area of capacity-building. More than half of the projects dealt with environmental issues prioritized at the 2002 World Summit on Sustainable Development in the areas of water, energy, health, agriculture and biodiversity. Biodiversity-related projects alone accounted for one fourth of the self-evaluation reports submitted. Health-related projects (including those dealing with chemicals) represented 4 per cent of the total number of projects reported.
8. The substantive input of UNEP into the projects included quality assurance in the review of technical project reports, assistance with documents, coordination and project development, the provision of expertise, the development of methodologies and approaches, and logistical support. As with the in-depth evaluations, project delays, insufficient or non-existent funding, weak coordination mechanisms and unrealistic work plans were identified as major challenges in self-evaluation reports.
9. Every subprogramme and project evaluation is followed by an implementation plan for the recommendations. The quality of recommendations in recent years has improved and the percentage of rejected evaluation recommendations has declined sharply from 32.2 per cent in 2000 to 3.1 per cent in 2004. In addition, closer and regular follow-up by the Evaluation and Oversight Unit has resulted in a substantial decrease in the percentage of outstanding recommendations.
10. The 2004 evaluations produced a number of recommendations. This year, there are six recommendations that are of a critical nature and require immediate attention. These are discussed in the next section.

B. Findings and recommendations

1. Implementation of regional strategies

11. Regional strategies outlining priorities and needs in the regions were introduced by the Executive Director of UNEP in 2003. There was clear recognition that those strategies would be effective planning tools and essential components of the UNEP programme of work. Not all divisions were familiar with the strategies, however, and even those which were familiar found that further work was required in respect of their content, scope and layout. The strategies were not, however, considered as formal requirements of the programme of work.

Recommendation 1

12. UNEP senior management should ensure that the regional strategies are thoroughly discussed with all divisions and regional offices, and revised accordingly. Clear guidelines should be issued on the preparation of such strategies and division directors should ensure that subsequent work programmes adequately reflect regional needs and priorities and are furnished with the appropriate resources.

2. Policy development and guidance

13. There is a need for the official UNEP positions to be more clearly articulated, to ensure that the regional offices are able to represent correctly the views of the organization in the regions.



Currently, the regional offices do not receive sufficient guidance on UNEP positions and are not adequately involved in the development of such positions.

Recommendation 2

14. UNEP senior managers should ensure that position statements on critical and sensitive issues are developed in consultation with regional offices. Official positions on such issues should be provided and disseminated widely within UNEP.

3. Interregional collaboration

15. UNEP projects and programmes have generated many examples of successful projects and best practices in all regions. There is tremendous potential for the interregional transfer of knowledge and the replication of projects between the regions. Interregional collaboration is limited in scope, however, and at present there are limited examples of projects linking two or more regions.

Recommendation 3

16. The UNEP Senior Management Group should formulate initiatives and provide directives to promote interregional collaboration in project implementation. Such directives should be supported by clear policy guidelines and resource allocations.

4. Project planning, development and stakeholder consultation

(a) Endorsement of UNEP projects by national Governments

17. The implementation of many environmental projects is delayed from the outset by Governments because of complexities in the project design and a lack of consistency between such projects and national priorities. Moreover, in many instances, project consultations take place so late in the process that it is difficult to make modifications. In addition, national Governments tend to sign off and accept projects without full comprehension of the nature and scope of their obligations under the projects. Such projects become difficult to implement for a number of reasons, including lack of implementation capacity.

Recommendation 4

18. All UNEP divisions should ensure that project identification and design processes include national participation from the outset, so that country ownership and commitment to successful outcomes are ensured. National consultation processes should not be rushed. UNEP management should establish a coordinated mechanism and protocol so that national Governments are not approached (and thus not confused) by different UNEP divisions and units for similar endorsements and commitments.

(b) Stakeholder consultation

19. There is often a failure to involve all stakeholders, including UNEP divisions and regional offices, in project planning and formulation from early stages. As a result, regional priorities and issues are not adequately addressed and planned resource allocations do not match actual requirements, leading to a decline in interest among participating stakeholders.



Recommendation 5

20. The Programme Coordination and Management Unit, working in consultation with regional offices, the Coordination Office of the Division of Regional Cooperation and the Resource Mobilization Unit, should review the current project planning process and resource mobilization and allocation procedures. The review should critically assess consultation processes used by programme managers in developing new projects and expanding existing ones. It should also provide, first, an operational framework for consultation at all stages of project development; second, selection criteria for identifying project partners and their expected roles in the project; third, resource mobilization processes; and, fourth, guidelines for a post-project and exit strategy to sustain the project results. In addition, senior managers should assess and institute a transparent mechanism to make the Resource Mobilization Unit more effective.

(c) Baseline data for monitoring and evaluation

21. Project design documents do not clearly identify indicators for monitoring and evaluation. As a result, projects often lack adequate quality data for assessment.

Recommendation 6

22. In consultation with stakeholders, precise results and impact indicators should be identified and clearly spelt out in all UNEP project documents. The indicators, as identified, should include both qualitative and quantitative parameters and cover relevant cultural, economic, environmental, institutional and social dimensions.

C. Lessons learned

1. Project design

23. During project preparation, careful consideration must be given to parameters related to scope, geographic coverage, available resources and timeframes for implementation. In addition, project financial planning must be realistic and should take into account the capacity and commitment of participating countries and partner institutions. If expectations are unrealistic at the outset, project implementation can be seriously impeded. Project experiences show that, if limited financial resources are spread across numerous activities over a short project lifespan, the project's impact will be reduced. Accordingly, if resources are concentrated on fewer activities, strategically selected to create impact and demonstrate effectiveness, more effective models will be produced which can subsequently be scaled up.
24. Demonstration projects must be limited in geographic coverage and participation, target key project components, and seek outputs and outcomes that could be scaled up. In a pilot demonstration project, the number of participating countries should be limited and manageable. If the pilot project includes only countries that are at the same stage in the ratification process, rather than a mix of those that have ratified and those that have not ratified the convention concerned, project implementation will be slowed.
25. Supervisory responsibility and project funding mechanisms need to be well thought out during project design. If multiple supervisory responsibilities are assigned without adequate definition of coordination mechanisms, implementation can be problematic. It is also important to specify clearly outputs and activities for co-financed projects, to facilitate accountability and reporting to donors.



2. Stakeholder consultation processes

26. The success of a project rests on a robust multi-stakeholder consultation process from the early stages of project design through to project implementation and evaluation. Sufficient time is required for social mobilization and dialogue. A transparent consultative process also ensures local or country ownership, better working relationships, and eventual project sustainability.

3. Selection of project partners

27. Considerable care is required in selecting appropriate and credible project partners (private, public and non-governmental). Use of local experts and institutions, if available, contributes to project success. Successful projects tend to enjoy the support of prominent local organizations and to benefit from improved communication among the partners and transparent decision-making, which encourages effective participation in project activities and facilitates successful project implementation.

4. Project duration

28. The timeframe for projects needs to be realistic within the context of available resources. The project objectives, outputs and activities should be attainable. In many developing countries, the necessary human resources, infrastructure and policy frameworks are lacking and it takes time to educate stakeholders and obtain their commitment to the successful implementation of project activities. Some flexibility is required in the delivery timetable to accommodate the specific circumstances within participating countries.

5. Performance indicators, monitoring and reporting

29. Success criteria for projects must be closely linked to well defined roles and responsibilities at all levels and should be carefully selected. These indicators need to be simple, measurable, attainable, reliable and tractable. In addition, the indicators should be able to measure project performance and create or identify clear accountability for national officials in relation to their project delivery obligations. A lack of understanding of what constitutes success can lead to poor project performance.
30. Progress reporting for each project needs to be substantive and to include clear statements of how the achievement of capacity development outputs will contribute to meeting the outcomes and impacts. Reports must contain clear statements of the activity, the associated risks (and whether they are materializing), the initial assumptions (whether they are proving valid or erroneous), the expected outputs and, where possible, include lessons learned to date. Progress reports should also provide the basis for decisions on project termination, should this become necessary. Progress reporting should not only be viewed as a challenge but also as a capacity-building initiative in itself. Evidence from several projects reaffirm that substantive reporting on parameters mutually agreed by the stakeholder groups should be made a necessary condition for the disbursement of funds.



I. Introduction

A. Evaluation and Oversight Unit

31. The UNEP Evaluation and Oversight Unit is entrusted with conducting, coordinating and overseeing evaluations within UNEP. This mandate covers all programmes and projects of the Environment Fund, related trust funds, earmarked contributions and projects implemented by UNEP under the Global Environment Facility (GEF). The Unit conducts various types of evaluations and management studies, in accordance with the requirements of the United Nations General Assembly and the UNEP Governing Council.
32. The activities of the Evaluation and Oversight Unit comprise management studies, in-depth subprogramme evaluations, project self-evaluations, and project evaluations. The Unit provides technical backstopping to projects and programme managers in their annual self-evaluation and closely follows up on the implementation of evaluation recommendations.
33. All UNEP projects, independent of their funding source, are subject to evaluation through annual self-evaluation reporting, mid-term and terminal evaluations conducted as desk or in-depth evaluations. The UNEP subprogrammes are only covered by in-depth evaluations conducted every four or five years. To improve the coverage and provide a more accurate and timely analysis of UNEP activities, the Evaluation and Oversight Unit will support a self-assessment process for subprogrammes for the 2006–2007 biennium.

B. Mandate and mission

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



C. Scope and objective

36. The annual evaluation report is prepared as an intersessional document of the Governing Council/Global Ministerial Environment Forum and serves as part of the input of UNEP to the Secretary General's report on evaluation to the General Assembly. The report provides stakeholders such as Governments, UNEP senior management and UNEP partners with an evaluative assessment of UNEP programme and project performance in 2004. The main objective of the annual evaluation report is to help UNEP reflect on its programme performance through evaluative evidence and lessons from programme and project implementation. The terms of reference for the report are provided in annex 1 to the present report.
37. The report is based on evaluations conducted in 2004 and comprises data provided in one comprehensive evaluation (of the Coordination Office of the Division of Regional Cooperation), 20 in-depth project evaluation reports and 130 self-evaluation reports. GEF projects represent 36 per cent of all the projects for which self-evaluation reports were completed. The report also contains a review of the status of implementation of the recommendations contained in the 1999–2003 evaluation reports and a chapter on the collaboration and coordination of environmental information in UNEP.

D. Methodology

1. Evaluation parameters

38. The report is based on a review and assessment of the key parameters in four specific areas: first, relevance and appropriateness; second, effectiveness and efficiency; third, results and impacts; and, fourth, sustainability.

(a) Relevance and appropriateness

39. The relevance and appropriateness of evaluated programme and project activities implemented under the mandate of UNEP (General Assembly resolution 2997 (XXVII) of 15 December 1972, the 1997 Nairobi Declaration, the 2000 Malmö Declaration and the 2002 Johannesburg Plan of Implementation) were examined by assessing the following parameters:

- (a) Relevance of activities and their contribution in such areas as promoting the development of international environmental law; implementing international norms and policy; conducting environmental assessments and providing policy advice and information; and raising awareness and facilitating effective cooperation among all sectors of society;
- (b) Relevance of activities and their contribution to providing policy and advisory services in key areas of institution-building to Governments and other institutions; and
- (c) Relevance of activities and their contribution to strengthening the role of UNEP in coordinating environmental activities in the United Nations system and as a GEF implementing agency.

(b) Effectiveness and efficiency

40. The review and assessment of the effectiveness and efficiency of the evaluated programmes and projects was based on an in-depth evaluation and took into account the following factors:
 - (a) Evaluation ratings based on a critical analysis of 11 implementation aspects for the projects that were subjected to an in-depth evaluation in 2004; and
 - (b) Emerging lessons learned from project implementation and evaluation recommendations.
 - (c) Results and impact



41. The review and assessment of the results and impact of the evaluated activities largely focused on capacity-building in areas related to environmental information and assessment, international environmental law and regimes, monitoring of compliance with existing conventions and international agreements, supporting institution building and awareness raising and fostering improved linkages between the scientific community and policy makers.

(d) Sustainability

42. The evaluation of project sustainability covered three areas: enabling environment, financial sustainability and institutional capacity.

2. Analytical approach

43. The Evaluation and Oversight Unit conducts all evaluations in consultation with the relevant programme and project managers to ensure that, while the United Nations and UNEP evaluation standards are followed, the views and concerns of the respective programmes and projects are adequately and fairly reflected. The same approach has been used in the preparation of this report and issues and questions that rose from the reviews and consultations have been further discussed with relevant divisions and circulated to all divisions in the form of a draft report.
44. The analysis and conclusions contained in the report are based on:
 - (a) Review of in-depth evaluation reports;
 - (b) Review of self-evaluation reports;
 - (c) Review of desk evaluation reports;
 - (d) Review of implementation plans and management response to the recommendations of the evaluation reports over the period 1999–2003;
 - (e) Discussion with UNEP staff on subjects related to collaboration and coordination and implementation of evaluation recommendations and self-evaluation reporting.

3. Evaluation rating

45. All project evaluations are assessed on a five-point rating scale (1 = excellent, 2 = very good, 3 = good, 4 = satisfactory and 5 = unsatisfactory) based on a qualitative analysis of project performance in evaluations. These ratings were developed and refined recently and ensure consistency with the rating system used for GEF projects because a substantial number of the evaluations conducted by the Evaluation and Oversight Unit (EOU) are for GEF projects. The evaluation parameters included:
 - (a) Achievement of objectives and planned results;
 - (b) Attainment of outputs and activities;
 - (c) Cost-effectiveness;
 - (d) Country ownership;
 - (e) Financial planning and management;
 - (f) Impacts;
 - (g) Implementation approach;
 - (h) Monitoring and evaluation;
 - (i) Replicability;
 - (j) Stakeholder involvement;
 - (k) Sustainability.



II. In-depth project evaluations

46. In 2004, the Evaluation and Oversight Unit undertook 20 in-depth evaluations (16 final and four mid-term); GEF had funded all but three of the projects evaluated. Nine of the 20 projects evaluated were concerned with biodiversity, ecosystems and natural resource management, while seven dealt with the preparation of the initial national communication related to the United Nations Framework Convention on Climate Change and capacity-building in the climate change area. The remaining four projects covered issues related to chemicals and persistent organic pollutants. All projects evaluated were of national, regional or global significance and directly relevant to the mandate of UNEP. The evaluations concluded that the overall performance of the projects varied and one project was rated “excellent”, eight “very good”, nine “good” and two “satisfactory”.¹

A. Achievement of objectives and attainment of outputs

47. Achievement of objectives was assessed in terms of progress in attaining planned results. In assessing the achievement, consideration was given to both qualitative and – where relevant – quantitative progress and ratings assigned by the evaluators. The overall rating was closer to “very good”. Three projects were rated “excellent” and another eight projects “very good”. Similarly, seven projects attained the rating “good”, while one was considered “satisfactory”.
48. During the evaluations, planned activities and associated outputs were assessed taking into account timeliness of completion, quality of outputs and contribution to the overall objective of the project. The overall rating of the 20 projects evaluated in terms of achievement of activities and planned outputs was “good”. Of the 20 projects, five attained “excellent”, seven “very good”, seven “good” and one “satisfactory” rating. The 20 projects evaluated were grouped into three broad clusters and achievements and challenges confronting the projects have been summarized separately.

1. Biodiversity, ecosystems and natural resource management

49. Nine of the 20 projects evaluated were concerned with issues surrounding degradation of the natural environment, including conservation of biodiversity, protection of mountain ecosystems and sustainable land and water management practices. The major thrust of these projects was the promotion of interactive dialogue and communication among countries for a better understanding of environmental problems. In addition, the projects also focused on identifying potential solutions and mechanisms for capacity-building through scientific analysis and pilot demonstration. Some of the projects also facilitated the development of national policies, strategies and action programmes.

¹ The evaluation adopted a five-point scale with the following grades: “excellent” (1), “very good” (2), “good” (3), “satisfactory” (4) and “unsatisfactory” (5).



50. The projects in this group focused on such areas as measures to promote national biodiversity strategies and action plans, the identification of barriers to the conservation and sustainable use of resources and the promotion of best practices in that area, the impact of land use changes on biodiversity loss and land degradation, desertification and water resource management. The projects employed consultative mechanisms involving Governments and international partners at the international and regional levels and stakeholder participation at the local and national levels.
51. Efforts to facilitate communication and dialogue between countries and to promote the dissemination and sharing of information helped ensure the success of the projects in this group. A similarly positive contribution to this process was made by active collaboration and exchange of information among centres of excellence and stakeholder groups. In addition, the ownership of projects by respective key stakeholders was critical to sustainable land and water resource management. Furthermore, the involvement of groups of volunteer experts and recognized members of society played an important role in attaining successful project objectives, outcomes and activities. The following represent examples of key projects that were successful in achieving their objectives and producing outputs planned:
- (a) In the Lake Baringo community-based land and water management project (the Lake Baringo project), expected output targets were reached in most cases and surpassed in a number of activities. The project strengthened collaboration among key actors; developed new partnerships and forged close collaboration between stakeholder groups (for example, research institutions, government agencies, local farmers and community groups in land rehabilitations). It also enhanced government support for community-based initiatives;
 - (b) The mid-term evaluation of the project on reversing environmental degradation trends in the South China Sea and Gulf of Thailand project (South China Sea project) found that the regional consultation processes within the project were well planned and executed prior to the commencement of the project. The project provided a vehicle for learning at the technical level and in the area of project design and management;
 - (c) A multidisciplinary analytical framework developed by the project on land-use change analysis as an approach for investigating biodiversity loss and land project (LUCID project) was a product of the strategic partnership between UNEP-GEF and national and international research institutions. It significantly contributed to the enhancement of institutional and human resource capacity in developing an analytical framework on the dynamics of land use change, biodiversity and land degradation.
52. Some projects, however, lagged behind in performance. For example:
- (a) The objective of assisting the efforts of local populations in dryland regions to manage and sustainably use fragile ecosystems, through the project on promoting best practices for conservation and sustainable use of biodiversity of global significance in arid and semi-arid zones (dryland biodiversity best practices project), was found to be unrealistic within the project timeframe and available resources. The evaluation indicated that local populations had hardly been made more aware of biodiversity and management of natural resources. In addition, lack of resources prevented the project from establishing a formal network of professionals and other stakeholders;
 - (b) The project on barriers and best practices in the design of integrated management of mountain ecosystems (mountain ecosystems project) assumed an active participation of multiple partners and agencies and aimed to build on their strengths. This was not achieved, however, because the project partners' capacity and their commitment to the project were not adequately assessed prior to the commencement of the project. As a result, the activities of partner agencies were not harmonized with project activities. In



addition, although the Mountain Watch report was of good quality and thematic coverage, it lacked details of the methodology and process used in assessing the status of mountain ecosystems. In addition, the project did not deliver a mountain atlas, a key planned output for wider use.

2. Capacity-building for climate change

53. Of the climate change projects evaluated in 2004, six covered capacity-building of national government institutions. Four of the six projects dealt with enabling activities for the preparation of initial national communication related to the United Nations Framework Convention on Climate Change in Bangladesh, Nepal, Pakistan and South Africa and two projects covered expedited financing for interim measures for capacity-building in priority areas in Mauritania and Niue.
54. The projects positively contributed to meeting the commitments and obligations of national Governments in preparing and submitting their initial national communication in accordance with Framework Convention guidelines. The projects enhanced awareness about the causes and impacts of climate change at different levels. They also assisted the countries in identifying a number of future plans of action and policy measures in participating countries.
55. In addition to the six projects specified, one project supported the activities of a research centre in climate change, renewable energy and sustainable development areas. Three of the seven projects in this group rated “very good” and the remaining four “good”.
56. The objectives, outputs and activities in these projects were largely achieved but the relatively short time-frame for implementation and existing institutional constraints led to a number of shortcomings. Thus, for example, in Bangladesh, the project helped to enhance the capacity of scientific and research communities but fell short in raising awareness among other stakeholders and decision-makers. The project was delayed by one year and took additional six months to complete. In both Nepal and Pakistan, it took 48 months to complete the initial national communication in contrast with the originally planned 24-month project, resulting in the countries missing the three-year requirement under article 12, paragraph 5, of the Convention.
57. Similarly, in South Africa, although the preparation of the initial national communication commenced in July 1998 and was completed in 2000, its submission was delayed until November 2002 for political reasons. Lack of country-specific data due to artificial barriers, such as the confidentiality issue in South Africa, and the unavailability of reliable data, coupled with heavier reliance on secondary data or projections, resulted in low accuracy of green-house gas estimations. In Niue, the lack of adequate technical, human and financial resources in the country and over-reliance on international consultants with relevant expertise in climate change led to start-up delays.
58. The evaluation of the UNEP Risø Centre on Energy, Climate and Sustainable Development (URC) project (URC project) noted the activities of the centre in three thematic clusters of 69 projects. Despite its complexity, the evaluation found that the partner institutions were carefully selected and had actively engaged a good mix of stakeholders (government organizations, private sector, financial institutions and non-governmental organizations). Research and the dissemination of outcomes by the centre’s professional staff facilitated decision-making processes at the national and regional levels.



3. Chemicals and persistent organic pollutants

59. Four of the 20 projects evaluated dealt with chemicals and persistent organic pollutants (POPs). The projects in this group supported, first, implementation of the Stockholm Convention (Stockholm Convention implementation project); second, non-investment ozone depleting substances in economies in transition: Baltic States and Central Asian countries (ozone-depleting substances project); third, regional assessment of persistent toxic substances (PTS project); and, fourth, development of national implementation plans for management of persistent organic pollutants (POPs) in 12 pilot countries (POPs management project). The overall achievement of objectives, outputs and activities for these projects was rated "very good".
60. All four projects in this group focused on enhancing the capacity of participating countries and institutional strengthening through a multitude of mechanisms, including creation of focal points, policy support, awareness raising, workshops, training and adjustments to legal frameworks, to respond to the national obligations arising from the Montreal Protocol, and facilitating implementation of the Stockholm Convention. The projects were successful in raising awareness about the adverse impacts of POPs and toxic substances in participating countries and facilitated the preparation of national implementation plans. The achievement of objectives, outputs and activities of the projects varied across countries for various reasons. For example, one of the key stakeholders, the industry sector, did not participate in workshops organized under the Stockholm Convention implementation project. In addition, although the workshops produced a large number of relevant and useful reports not all countries could access those posted on the web site owing to lack of access to the internet.
61. Furthermore, notwithstanding the adoption of a common reporting framework, the 12 regional reports, which constituted the final report of the PTS project, varied significantly. This was due to considerable variability in data availability. In Europe and North America, a problem was posed by the overwhelming amount of data, in contrast with the lack of data in sub-Saharan Africa and the Pacific islands. Added to which, the industry sector, one of the key stakeholders, did not participate in the project because, first, of its view that, following signature of the Stockholm Convention, the PTS concept was somewhat outdated, having now been superseded by POPs, and, second, of the perceived mismatch between the regions of the project and the global or national character of most industrial organizations.
62. The ozone-depleting substances project greatly facilitated discussions both between and within countries and assisted in the development and implementation of a licensing system (except in Armenia). In its design, the project made no provision, however, for the inclusion of non-governmental organizations and civil society as key stakeholders. Furthermore, the Central Asian countries benefited from the project to a lesser extent than their Baltic counterparts. This was due to lack of communication in the Russian language and the long time-lag between the workshops in Central Asian countries.

B. Cost-effectiveness

63. Cost-effectiveness reflected efficiency and effectiveness of resource use in project design and implementation in ensuring achievement of expected outputs. In assessing projects against this parameter account was taken of their timely implementation and completion using the financial and human resources provided by the project. The overall rating of the 16 final and four mid-term evaluations was "very good".
64. Four factors contributed to the cost-effectiveness of the projects evaluated. These were the availability of national experts on a voluntary basis to serve on advisory panels, availability of



co-financing and cost-sharing arrangements, low overhead costs and transparency in financial and administrative matters of the projects.

1. Volunteer experts

65. The dryland biodiversity best practices project succeeded in keeping operational costs under control largely thanks to the contribution of high-quality inputs to the advisory board by distinguished scientists in the respective countries, strictly on a voluntary basis.

2. Cost-sharing and co-financing arrangements

66. Some of the projects set good examples of cost-sharing and co-financing arrangements. For example, all participating institutions in the LUCID project contributed more than had been initially indicated in the budget proposal, under co-financing. For example, the International Livestock Research Institute (ILRI) waived its entitlement to 26 per cent of the overhead costs and applied this money to co-financing. The project also benefited from substantial free consultation time with staff scientists. Furthermore, all workshops at the international and regional levels had a cost-sharing arrangement. The host institutions absorbed the costs of producing the workshop reports.
67. Similarly, the Chinese Government provided additional in-kind and cash contribution to the South China Sea project to the tune of \$1.8 million, including contributions to the demonstration sites and pilot projects for the collection of additional information. The Chinese national technical working group on mangroves raised an additional \$157,000 from provincial and local governments for a demonstration site at Fangchenggang city.

3. Overhead costs

68. Different projects had varying overhead components associated with their implementation. The overheads included office space, staffing and administrative support. For example, 40 per cent of the allocated budget for the Lake Baringo project budget was expended on overhead components. Similarly, a significant proportion of the Dams and Development Project budget was assigned to staffing costs in running the Dams and Development Secretariat. The relocation of the Secretariat from Cape Town to Nairobi incurred further additional costs.

4. Financial transparency

69. The URC project had an established financial system which ensured necessary discipline. The thematic leaders and task managers exercised due diligence in keeping within time and budget limits. This led to timely execution and completion of project activities.
70. Sound financial management was an inherent feature of the dryland biodiversity best practices project. The project followed necessary official processes and managed funds effectively, ensuring that project activities were completed on time and within the allocated budgets.

C. Stakeholder involvement

71. The composition of stakeholders in projects varied with the nature of projects. In general, stakeholders included government organizations, international institutions, academic bodies, registered non-governmental organizations, scientific societies and interest groups, registered



industry and research groups, community-based organizations and individuals with a stake in the expected outcome of the projects. The evaluations assessed stakeholder involvement in the form of participation, consultation and information dissemination.

72. All 20 projects evaluated in 2004 commented on stakeholder involvement directly or indirectly. Ten projects were rated “good”, five “very good”, three “excellent” and two “satisfactory”. Overall, the stakeholder involvement of the 2004 projects was rated as “good”.

1. Participation

73. Participation in projects took various forms, ranging from attendance in workshops and meetings to the active engagement of stakeholders at all levels. Some projects had strong representation from grass-roots organizations, while others were limited to government nominations of civil servants. Some examples are presented below.
74. The Lake Baringo project engaged community groups, women’s and youth groups, non-governmental and governmental organizations, academic bodies and research institutions. The involvement of all stakeholders ensured their commitment to and ownership of the project. They took part in setting up activities of the project steering committee and actively participated in refining objectives and approaches to project implementation and the development of a work plan for implementation.
75. The stakeholder selection process in the POPs management project in Zambia was based on responsibility and mandate (government sector), areas of specialization (non-governmental organizations), expertise (academic bodies and research institutes) and sources of POPs (private sector). The selection represented a broad group of key stakeholders: first, government agencies (health, agriculture, environment, energy, local governments and labour); second, non-governmental organizations (Chemical Association of Zambia, Uplift Zambia, Citizens for a Better Environment, Consumer Association of Zambia and Zambia Agricultural Association); third, academic bodies (University of Zambia); and, fourth, the private sector (Zambia Consolidated Copper Mines Investment Holdings, Copperbelt Energy Corporation, Zambia Electricity Supply, Environmental Technology International, Chemtalk (promoters of Dichloro-diphenyl-trichloroethane (DDT)), Mopani Copper Mines and Lusenfwa Hydro Electricity Supply).
76. The desert margins programme, on the other hand, concentrated exclusively on implementing a research agenda and thus did not take into account critical stakeholder groups, such as small-scale farmers and target communities whose livelihoods were threatened by desertification. The stated goal of the project to recommend policy for sustainable natural resource management to farmers and field practitioners required measures to bridge the gap between research institutes and the needs of ordinary farmers. At the same time, however, the project did not accord sufficient priority to stakeholder consultation with farmers and field practitioners.
77. One of the key stakeholders, the industry sector, did not participate in the Stockholm Convention implementation and PTS projects. This demonstrated that inadequate preparation had been made for ensuring the engagement of the sector with major responsibility for pollution and for securing its commitment to and ownership of the project.

2. Consultation

78. Project consultation took the form of meetings and interactions at different levels with stakeholders both prior to and during the implementation of the projects. Thus, the South



China Sea project was well planned and involved lengthy but robust consultation prior to commencement of the project. The consultation process resulted in a sound and operational institutional structure incorporating regional working groups. The structure facilitated two-way flow of information and control, thereby permitting the project to bring issues or outstanding problems to the attention of national focal ministries through regional working groups and the Regional Scientific and Technical Committee. Furthermore, the structure facilitated the creation of a task force on economic valuation and the conduct of additional ancillary activities as set out in the project document.

79. Under the best practices for mountain ecosystems project, wide-ranging consultations and meetings took place prior to the Bishkek Global Mountain Summit, and most of the relevant stakeholders, including the World Conservation Union (IUCN), the World Wide Fund for Nature (WWF), the Mountain Forum, the International Centre for Integrated Mountain Development (ICIMOD), the Association of Mountain People and the International Mountain Society and regional partners in Asia, Africa and Latin America were represented on the International Advisory Board for the Summit. At the same time, however, the consultation process was highly dominated by male scientists and experts and insufficient account was taken of the contribution of women and grass-roots stakeholders.
80. In the dryland biodiversity best practices project, the consultation process was inadequate because it failed to engage or consult local land-users. Attendance by the land-users of regional workshops was very limited and they only participated indirectly in a few case studies completed under the project. The project was largely dominated by academic stakeholders.

3. Information dissemination

81. A number of specialized executing agencies for the South China Sea project were successful in establishing institutional subcontractual links with other organizations, with the result that the network of institutions directly involved in the project expanded to more than 100. In addition, the number of institutions indirectly involved through individual participation on national committees, subcommittees and regional working groups was in excess of 400. These institutional linkages facilitated the wider stakeholder involvement in the project of local and national non-governmental organizations and provincial and local government agencies.
82. In the Lake Baringo project a stakeholder workshop at an early stage of project preparation involving local community groups, non-governmental organizations, farmers, government officials and youth groups provided an opportunity for effective stakeholder involvement in the identification of project activities. In addition, data collected by the Kenya Marine Fisheries Research Institute (KEMFRI) helped convince the fishing community of the wisdom of closing Lake Baringo to fisheries for two years.

D. Country ownership

83. Country ownership measures the extent to which the project succeeded in becoming part of national development plans, programmes and environmental agenda and how the country is committed to ensuring that the results of the project are sustained, for example, by setting aside resources in the national budget to undertake relevant activities. Overall, country ownership of the 2004 projects evaluated was rated "good". Five projects achieved "excellent", six "very good", seven "good" and two the "satisfactory" rating. Some examples of country ownership are outlined below.



84. The LUCID project was relevant to national and regional strategies for the implementation of the United Nations Framework Convention on Climate Change, the Convention to Combat Desertification and the Convention on Biological Diversity, and also to the principles of sustainable development. The project received the endorsement of national Governments through their national environmental management authorities. In addition, key national institutions actively participated in the development and testing of the LUCID research framework. The three participating countries also provided a total of \$305,375 in co-financing and the project received expertise from national institutions and International Livestock Research Institutions (ILRI) at no cost. The National Biodiversity Data Bank at Makerere University in Uganda, the soil database at the Kenya Agricultural Research Institute (KARI) and the database at the Institute of Resource Assessment at the University of Dar es Salaam in the United Republic of Tanzania were adopted by the national institutions. These outputs further strengthened country ownership of the project.
85. The Lake Baringo project demonstrated strong participation by government ministries and institutions at all stages from design through to implementation. The national Government also provided a substantial in-kind contribution. The project had strong local ownership and received support through creation of the enabling policy and legal framework for biodiversity conservation and sustainable use of natural resources. Intensive involvement of the fishing community around Lake Baringo resulted in the active promotion of sustainable use and management of fish from the Lake. In collaboration with the fisheries department local stakeholders worked to enforce regulations governing fisheries in the lake. There was greater appreciation of the importance of the environment and biodiversity conservation by local communities. As an eco-tourism initiative, the project established cultural centres and conservancies in the Pokot community, which replaced wildlife hunting as traditionally practised by the local communities. As a result of the project the Baringo District Council increased its support for and work on the conservation of natural resources under its mandate.
86. The POPs management project provided clear evidence of country ownership in 10 of the 12 countries. This was achieved through official declarations and the pronouncements, the active engagement of civil society (both environmental non-governmental organizations and the private sector) and recognition of the importance of capacity-building demonstrated by allocating resources for this purpose. The risk that importing nations would boycott their agricultural exports was a strong motivation for Chile substantially to reduce the use of POPs in agriculture.

E. Implementation approach

87. A good implementation approach reflects the capability of project management, first, to adjust and adapt to changing conditions; second, to incorporate lessons learned during the implementation of the project; and, third, effectively to manage and maintain partnerships with relevant institutions and stakeholders. The evaluations demonstrated that staffing stability with limited staff turnover, stable project leadership, clear vision of the institutions and organizations and their leaders participating or partnering in a project and an ability to respond to changing needs in projects strengthened project implementation.
88. The overall rating for implementation approach was “very good”. Four projects had “excellent”, while seven had “very good” and another seven a “good” rating. One project achieved “satisfactory” and another was rated “unsatisfactory”. The implementation approach varied across different projects, as illustrated below.



89. The unique tripartite ownership of the URC project by the Risø National Laboratory, Danish International Development Agency (DANIDA) and the UNEP Division of Technology, Industry and Economics ensured that the project was implemented efficiently. The subprojects within the project were generally well conceived and well designed and were consistent with the mandate of UNEP. High calibre staff from both developing and developed countries served the project with dedication and the centre provided a favourable environment for staff freely to share their knowledge and experience. The conscious effort made by the centre to forge linkages with research institutions for sustained collaboration on the basis of shared professional interests was recognized by the evaluation. Collaboration took several forms: development of proposals for joint activities; inputs to approaches and methodology; design of specific studies; identification of local contacts and institutions for project implementation; provision of professional staff for research and capacity-building activities; provision of case-study inputs; regional networking; and joint development of regional and global activities.
90. The POPs management project was implemented very professionally. The steering group functioned well and the communication strategy was revised at the outset following the first steering group meeting. The project management coordinated and provided technical assistance, facilitated peer reviews, linked national coordinating committees via the country subprogramme interlocutors and kept the steering group apprised of all major events, issues, problems and progress. The management also created videos demonstrating waste facilities in operation, circulated CD-ROMs and newsletters, facilitated the peer-review process and provided or facilitated technical backstopping for the countries.
91. The implementation approach adopted in the South China Sea project was commendable. The project's organizational structure was based on robust consultation with all stakeholder groups during project design and proved to be highly effective. The structure of the project and mechanisms for engaging national entities in project execution were found to be excellent. The project promoted full participation and buy-in by all those involved. The project steering committee, the Regional Scientific and Technical Committee, the regional working groups and task teams fulfilled their roles and responsibilities to the expected standard. Two factors contributed to the success of project management: first, a clear separation between the policy and decision-making body, the project steering committee and the scientific and technical forum, the Regional Scientific and Technical Committee (so that each body could focus on its primary area of responsibility); and, second, all expertise used in the project was derived from within the region (participating countries and Singapore), which in turn facilitated acceptance of Regional Scientific and Technical Committee recommendations by the project steering committee. The project coordinating unit also did an outstanding job in supporting the project through effective coordination, including the production of quality documentation and communication with all focal points.

F. Financial planning and management

92. The assessment of financial planning and management was based on the maintenance of financial discipline, including transparency and accountability to the stakeholders. The evaluations also took into account new initiatives to secure co-finance for the project in cash or kind to fund project activities.
93. In general, projects with tangible co-financing demonstrated better performance than other projects. That said, however, projects that overran their stipulated time-frame struggled to keep expenditure within their given budgets. The overall rating for financial planning and management was "good". Of the 20 projects evaluated, four attained "excellent", three "very good", eight "good", three "satisfactory" and two received the "unsatisfactory" rating.



94. The evaluations revealed a number of issues pertaining to financial planning and management. Some of the evaluation findings are outlined below.
95. In the South China Sea project, for instance, there was a clear separation of all overhead costs from the funding allocated to substantive activities. The financial planning and management was fully transparent and had built-in accountability. The project carried out periodic budgetary revisions and these were appropriate and consistent with project steering committee decisions. The administrative and overhead expenditures remained within budgetary provisions.
96. The LUCID project also had a sound financial planning, management and control mechanism (including procurement of goods and services). Proper internal financial control policies ensured effective implementation, the timely disbursement of funds and effective leveraging of resources for co-financing by institutions. The project demonstrated the advantage of working with institutions with internal financial management capacity. Direct budgetary allocation from UNEP to all focal points reduced transaction costs and ensured timely disbursement. External auditors carried out financial audits annually.
97. The Dams and Development Project operated with a known deficit, on the assumption that adequate resources would be mobilized over the duration of the project. Donors were informed too late about the gap for 2004. Excessive outlays for salary and administration meant that the project lacked sufficient funds to undertake project activities. The project suffered from serious cost and time overrun. High staffing costs were incurred, largely as a result of inadequate efforts to identify the demand for services and deliverables.
98. Bureaucratic hurdles involving 180 accounts of the desert margins programme and the slow release of funds, along with lack of adequate information and financial transparency as a result of a centralized accounting system, constrained the overall performance of the programme. The partner institutions in Kenya and Botswana did not meet their commitments. In addition, the research institutions charged very high overhead costs.

G. Replicability

99. Replicability refers to the extent to which project lessons and experiences could be applied and scaled up in the design and implementation of other similar projects. The evaluations indicated that lessons and experiences from projects which had active engagement of stakeholders at all levels and strong country ownerships were more likely to be replicated in other projects and regional contexts. Overall the projects evaluated in 2004 attained a “good” rating. Four projects rated “excellent”, seven “very good” and another seven “good”. One project was rated “satisfactory” and another one “unsatisfactory” for replication. Some good examples of potentially replicable projects are set out below.
100. The Stockholm Convention implementation project was simple and was executed with the required degree of flexibility. The project provided necessary backstopping to participants, lecturers and focal points of the Convention. No special arrangements or steps were needed to ensure full replication of the project in other countries or within a regional context.
101. Several attributes of the South China Sea project could be adapted to other projects elsewhere as well as within the region. For example:
 - (a) The use of a memorandum of understanding as a basis for direct contractual agreements between UNEP (the GEF implementing agency) and national agencies and project focal ministries, without the involvement of any intermediaries, has facilitated direct



financial transfers, reduced transaction costs and enhanced the sense of project ownership. The project coordination unit has been assigned the authority to monitor and manage activities on behalf of UNEP;

- (b) The commitment to providing internships for individuals from within participating countries has provided an opportunity for them to gain broader experience in project management and the policies, procedures and reporting requirements of GEF and the implementing agency;
- (c) The preparation of detailed documentation, the maintenance of records of activities and transactions and a clear enunciation of responsibilities, both within the project office and among the participants, has strengthened the project and can be replicated in other projects;
- (d) The project's systematic approach to characterizing potential habitat demonstration sites and to the assessment of priorities among them is worthy of emulation in other projects;
- (e) The nature and rigour of the procedures used to select and define activities within the project would seem to provide the necessary conditions for replication of the approach in other countries within the region, although at the time of mid-term evaluation the project it was too early to judge its replicability in other countries. Thailand and Viet Nam have already adopted a similar approach in determining priorities for intervention.

102. The research framework and tools developed by the LUCID project had already been used in the Maasai Mara by ILRI and in the Mount Kilimanjaro area by the World Agroforestry Centre (ICRAF), although the LUCID findings had not been disseminated outside the LUCID primary network. The successful job placement of trained graduates, sound method of information dissemination and potentially strong network of scientists and institutions were expected to make a positive contribution to the replication of methods, tools and results elsewhere in the region.

H. Monitoring and evaluation

103. Monitoring is a continuous process undertaken by project management that allows the actual status of project activities to be compared against the work plan and budget, thereby providing a sound basis for taking corrective measures, if required. Evaluation is a time-bound exercise aimed to assess systematically and objectively the relevance, performance and success of projects under way and already completed.
104. The evaluation findings indicated that a good monitoring and evaluation plan, clarity of the project performance indicators, timely reporting and the incorporation of lessons from monitoring and evaluation in project implementation all helped strengthen projects. Furthermore, good monitoring and evaluation capacity in national implementing agencies and executing partners and full understanding of the importance of monitoring and evaluation as a management tool were also important. The overall rating of the 20 projects evaluated in 2004 was "good". One project attained "excellent", seven "very good", seven "good", one "satisfactory" and one received an "unsatisfactory" rating. The project evaluations focused on the projects' compliance with UNEP monitoring and reporting guidelines and on the quality of monitoring and evaluation outputs produced by the projects.

1. Monitoring and reporting compliance

105. In general, several projects complied with their monitoring and reporting requirements, but with significant variations. Examples of these are outlined below.



106. The commitment of the project manager to regular follow-up on monitoring and reporting requirements in the POPs management project ensured that all reporting requirements were met on time. The umbrella project was well monitored and lessons learned were articulated in project implementation and transferred to other countries by various information exchange mechanisms. The project manager was in constant contact with the participating countries and effectively provided necessary support and backup for the timely submission of quality reports.
107. The Lake Baringo project represented another example of good compliance with monitoring and evaluation requirements. The executing agency, the United Nations Office for Project Services (UNOPS), submitted quarterly progress reports to UNEP-GEF, and also reports of project expenditures in the agreed format, and UNEP task managers ensured consistency of the project with GEF policies and procedures. They also received, reviewed and transmitted relevant, substantive and technical project reports to the GEF; participated effectively in the project steering committee; and conducted field visits and prepared project implementation review and project performance reports.
108. In contrast, while the project document of the mountain ecosystems project clearly set out that the monitoring and evaluation functions would be carried out by the International Advisory Board for the Bishkek Global Mountain Summit and the GEF Monitoring and Evaluation Unit and by setting up a monitoring and steering group with members from the GEF secretariat, the Food and Agriculture Organization of the United Nations (FAO), the World Bank, the United Nations Development Programme (UNDP) and UNEP for the entire duration of the project, from its very inception the project neglected implementation of the monitoring and evaluation processes, leading to misunderstanding and misinterpretation of the project requirements and deliverables. Although the Advisory Board met periodically, the monitoring and steering group never convened. The project failed to comply with the standard requirement for progress reports and did not produce a single report until at least two thirds of the funds had been used up.

2. Quality assurance

109. Although some of the projects met their reporting requirements, the evaluations noted a wide variation in the quality of reports produced. This was largely due to lack of consistency in reporting and quality audits. Some examples are set out below.
110. The Stockholm Convention implementation project had internalized quality assurance as a part of its monitoring and evaluation framework. Quality assurance was ensured in terms of clarity and relevance of presentation at the workshops and selection and scheduling of topics for discussion. The workshop evaluation also benefited from the impressions of the organizers and lecturers and the project ensured that all country reports met quality standards and were included in the workshop reports.
111. The URC project published research outputs of an international standard and these were well received by partner institutions. The analytical papers produced by the centre helped in developing the capacity of the partner institutions. Notwithstanding the high quality of outputs, the project did not follow a uniform format and failed to include any indicators of progress and impact monitoring in the documents presented to the centre's Management and Policy Committee.
112. While reporting procedures and a framework was agreed upon at the outset, the nine participating countries in the Desert Margins Programme produced reports that were different and did not



conform to the agreed reporting framework.. Furthermore, the quality of the reports, for the most part, was poor and were of little practical use to community level stakeholders.

1. Impacts

113. The project impacts were assessed in terms of their influence on government policies and strategies and on the activities of project stakeholders. For most of the projects the implementation period was too short to determine long-term environmental impacts. In this section, intended project impacts are discussed, although the projects could have had other indirect and unintended impacts.
114. The overall impact of the 20 projects evaluated in 2004 was rated “very good”. Two projects rated “excellent”, nine “very good”, eight “good” and one “satisfactory”. Examples of project impacts are set out on the following paragraphs.
115. The stakeholders in the Lake Baringo project at the national, local and community levels were better informed and became aware of problems associated with land degradation and its impacts in the catchments of the lake. This led to the recovery of fish stocks and increased biodiversity in the lake, achieved thanks to a two-year ban on fisheries and to sustainable use and management of the fish from the lake. The project also facilitated government action through the establishment of environmental committees at the division level. Lake Baringo was designated as a Ramsar site, thereby elevating the status of the lake and its outlying areas at both national and global levels. Furthermore, it ensured that the regulations governing sustainable fishing practices in the lake were both adopted and enforced.
116. The POPs management project was successful in raising awareness about POPs among various sectors of civil society, in part through their participation in the development of a POPs inventory and preparation of national implementation plans.
117. The impact of the LUCID project was seen to be widespread both at the site and at the national and regional levels. At the site level, where no useful data had hitherto been collected, the project developed tools, collected data of a high quality and generated useful products for policy formulation. At the national level, the project facilitated active interaction among many national research institutions and encouraged productive research discussions. At the regional level, it promoted cooperation among East African countries on cross-border issues.
118. Given its obvious merit, the project methodology and framework were adopted, among others, by the Norwegian Agency for Development Cooperation (NORAD) in the Pagani project, in the United Republic of Tanzania; by ICRAF, for application to the slopes of Mount Kilimanjaro; and by ILRI in the Mara project. The project successfully contributed to the recognition of land use changes as a priority area by the Consultative Group on International Agricultural Research (CGIAR), which culminated in a global project.
119. The projects on enabling activities for the preparation of the initial national communication related to the United Nations Framework Convention on Climate Change strengthened the knowledge and capacity of national institutions in Bangladesh, Nepal, Pakistan and South Africa, in both the private and public sectors. This resulted in enhanced awareness about the impact of climate change, helped update greenhouse-gas inventories and the formulation of mitigation, vulnerability and adaptation options. The countries already had or were in the process of integrating project results into their national strategies, policies and plans to deal with the impacts of climate change. In Bangladesh, the project also contributed to the strengthening of the country’s disaster preparedness systems.



J. Sustainability

120. Projects were considered sustainable when related activities and foreseen benefits continued even after the current external technical, institutional and financial support ceased. The overall rating for the 16 terminal and four mid-term evaluation of projects from the standpoint of their sustainability was “good”. Three of the 20 projects had an “excellent” rating, while one had “very good”, 12 had “good”, three had “satisfactory” and one received an “unsatisfactory” rating. The sustainability issues are discussed in terms of the project enabling environment, institutional capacity and financial sustainability.

1. Enabling environment

121. The evaluations showed that the strong commitment shown by stakeholders and national Governments from the pre-project stage and throughout implementation provided a favourable environment for sustainability. Some illustrative examples are outlined below.
122. The stringent European Union requirements and the severe sanctions imposed for non-compliance served as a deterrent and the benefits of the ozone-depleting substances project were therefore likely to be sustained in most Baltic States even after GEF funding for the project ceased. The sustainability of project benefits was not so apparent, however, in the Central Asian countries and Azerbaijan, because a number of staff-members of their national ozone units had been working without salaries. In the event that trained staff-members opt for alternative employment the project benefits are unlikely to be sustainable.
123. Support for the LUCID project methodology from other non-partner agencies indicated that project benefits would be sustainable. Expansion of the project from a regional to a global project based on CGIAR recognition of land change issues, along with the strong interest manifested by other agencies, demonstrated the potential value of the project. Once the project results are effectively disseminated and adopted by the partner institutions, there is a reasonably high likelihood that the project benefits can be sustained.

2. Institutional capacity

124. Several projects contributed to capacity development in national, regional and international institutions. It is still too early, however, to ascertain the sustainability of institutional capacity developed by these projects. Two examples are set out below.
125. First, the mid-term evaluation of the South China Sea project noted that there would be strong regional interest in preserving the consultative mechanism created by the project. In addition, the prospects of a formal regional agreement also existed. If the project could successfully demonstrate habitat protection and management systems, it would be conceivable that the maintenance of the demonstration site activities beyond their immediate project life would be sustainable.
126. Second, the Arun Valley project was successful in developing community-based organizations, such as forest user groups. These groups undertook the role of demonstrating managed use of fuel woods for cooking and heating purposes, vegetable production and the promotion of non-timber forest products. The organizations were established by local community members and thus were expected to stay active and functional. They had acquired skills in the operation and maintenance of micro-hydropower plants, bee-keeping and vegetable cultivation. The benefits from the project activities were likely to continue even after external support for the project ended.



3. Financial sustainability

127. Several projects evaluated in 2004 faced questions about their financial sustainability beyond current funding cycle. There were two exceptions to this general rule, which are described below.
128. The URC project was very successful in leveraging core funding from UNEP, DANIDA and the Risø National Laboratory, to the tune of \$8.6 million, and non-core funding from other 17 donors (\$20.6 million). The level of non-core funding provided a positive indication of the financial sustainability of project benefits and activities beyond the project.
129. The high level of co-financing, along with the vigorous economic growth enjoyed by the participating countries of the South China Sea project, provided a strong indication that the financial sustainability of the project benefits and associated activities, including the regional consultative mechanism, was less of a concern for this project. The project needed to demonstrate tangible benefits to the participating countries.
130. By contrast, the Lake Baringo project mostly relied for its logistic and administrative requirements on the project's own financial resources. The delivery of essential services by the participating Governments was not forthcoming, thereby placing in question the financial sustainability of the project.



III. Project self-evaluation

A. Introduction

131. In UNEP, self-evaluation is used as a monitoring tool to enable project managers and their supervisors to assess progress in project implementation, to identify challenges and achievements of projects, and to share lessons learned during implementation. It also provides a reporting tool to identify and record general trends and issues in project implementation and distil lessons learned, which can be used in the design and implementation of future projects. Self-evaluations are undertaken by project staff themselves and thus are not the same as independent mid-term reviews or terminal evaluations. The self-evaluation reports are not meant to provide a measure of the overall performance and delivery of UNEP resources.
132. The Evaluation and Oversight Unit introduced self-evaluation of projects in UNEP in 1989 and this procedure has been undertaken every year since. Self-evaluations are prepared for projects implemented by UNEP except in respect of activities included in the UNEP divisions' costed work plans, project development facilities – i.e., the UNEP-GEF project development facility (PDF) A and B grants and projects implemented by the conventions which have their own reporting mechanisms.
133. In 2004, 130 project self-evaluations, representing 84 per cent of the total number of projects currently under way and already completed which were subject to reporting, were analysed. The total number of self-evaluation report submissions in 2004 did not change significantly compared to 2003 but included a larger proportion of reports from projects still under way.

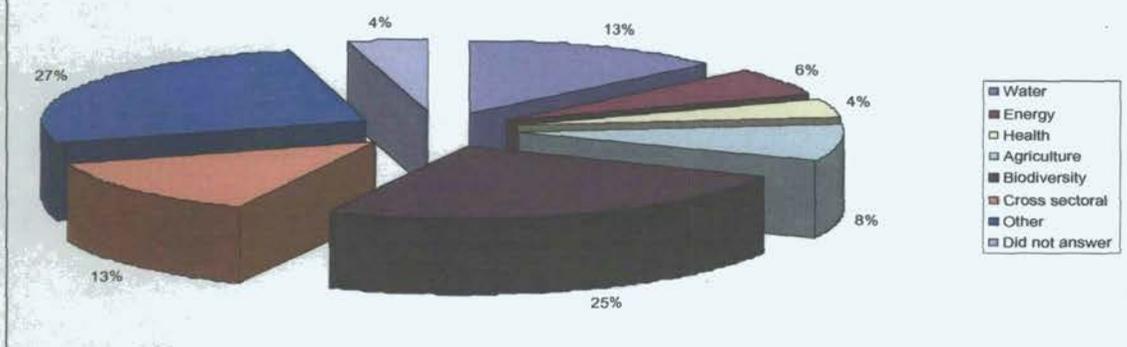
B. UNEP mandate

1. Thematic focus

134. The analysis of the 2004 self-evaluation reports shows that the broad mandate of UNEP and its programme of work are reflected in the wide range of environmental issues addressed by the various projects in a manner similar to that observed in 2003 (figure 1). More than half (56 per cent) of the projects were concerned with environmental issues prioritized by the World Summit on Sustainable Development. Biodiversity-related projects alone accounted for one fourth of the self-evaluation reports submitted. On the other hand, health-related (and chemicals-related) projects were the least widely represented (only 4 per cent). Nearly two fifths of the project self-evaluation reports covered more than one thematic cluster. For example, the project on reversing environmental degradation trends in the South China Sea and the Gulf of Thailand dealt with issues related to both international waters and biodiversity.



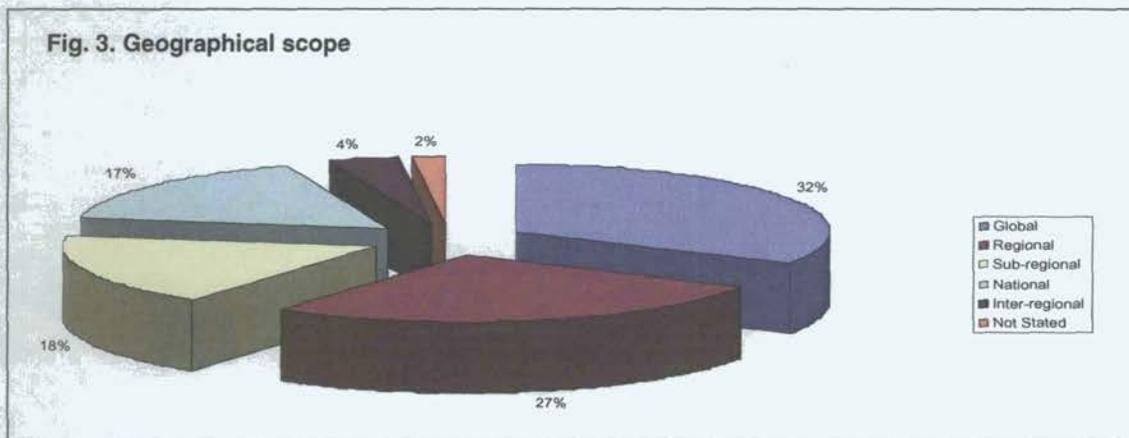
Fig. 1. Projects by thematic focus (Grouped)



2. Geographic scope

135. One third of the projects covered by the self-evaluation reports in 2004 were characterized as global in geographic scope, reflecting the global mandate of UNEP (figure 2).² Many of the global projects were umbrella projects which were implemented at the national level. In all, 27 per cent of the projects were regional in scope. Of the 35 regional projects, 14 were in Africa, exemplifying the special focus placed by UNEP on that continent. Asia and the Pacific region had 17 of the 35 regional projects. About 35 per cent of the projects were implemented at the subregional or national level.

Fig. 3. Geographical scope



3. Primary source of project funding

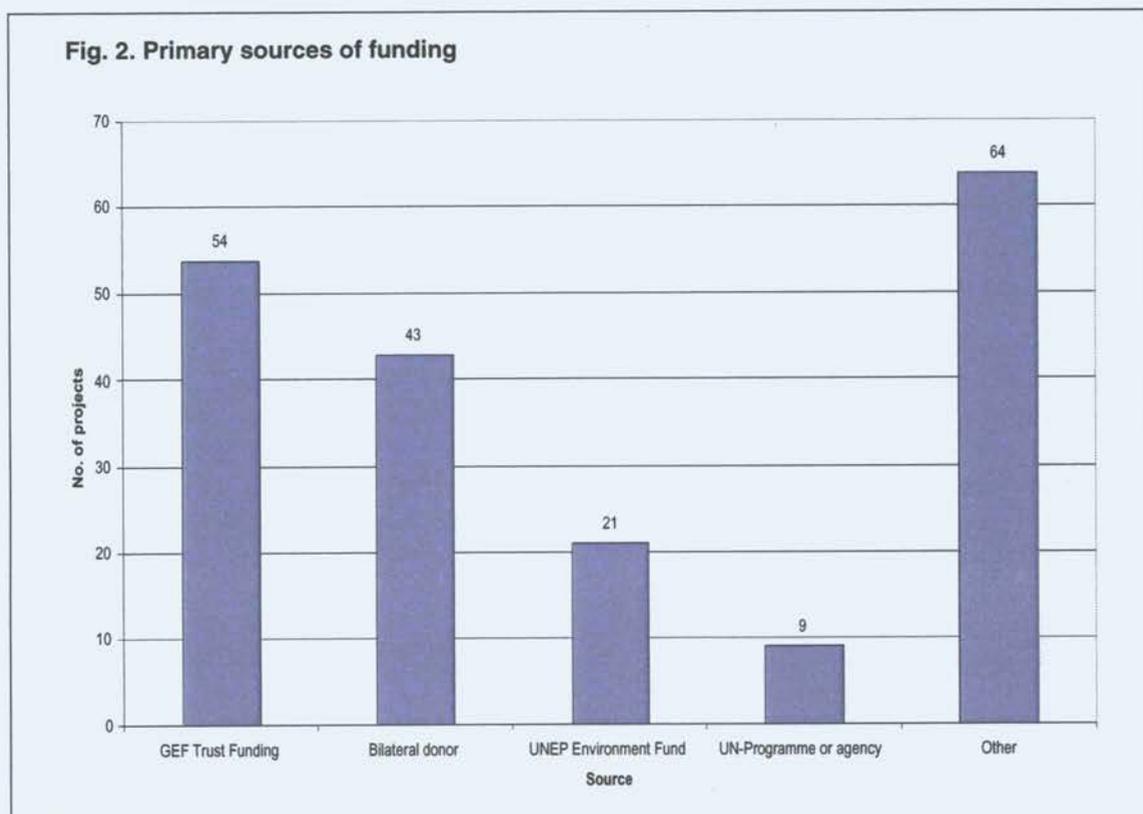
136. In 2004, UNEP projects covered by self-evaluations attracted funding from a variety of sources. The primary single source of funding was the GEF trust fund (28 per cent of the projects), bilateral donors (23 per cent of the projects) and the UNEP Environment Fund³ (11 per cent). One third of the projects received funding from more than one primary source.

² Global projects covered by self-evaluation reports accounted for 29 per cent and 33 per cent in 2003 and 2004, respectively.

³ Most activities funded by the UNEP Environment Fund are implemented through the cost work-plans of the UNEP subprogrammes. 85 per cent of the UNEP Environment Fund is allocated to activities of the UNEP subprogrammes and their projects. See the UNEP programme of work 2004–2005, contained in document UNEP/GC.22/6.



137. Additional funds were mobilized from public and private trust funds, project trust funds, donor countries or through in-kind contributions from the project country itself. Other United Nations programmes or agencies such as UNDP, FAO, the United Nations Educational, Scientific and Cultural Organization (UNESCO) and the World Bank were the primary source of funding for about 5 per cent of the projects. Figure 3 shows the primary source of funding for projects in the 2004 self-evaluation report.



C. Role of UNEP

1. Project approach

138. UNEP is closely associated with many multilateral environmental agreements and it is an implementing agency for GEF funded enabling activities which support conventions such as the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change and the Stockholm Convention on POPs. In 2004, nearly one-fifth of the self-evaluations were of projects related to enabling activities, which assisted governments to meet their obligations under Conventions related to climate change, biodiversity, biosafety, and POPs. Assessment or targeted research projects and demonstration projects represent 16 and 14 per cent of the projects, respectively.

2. UNEP role and impact

139. Fifteen of the 130 projects reported on were directly executed or co-executed by UNEP and its collaborating centres. Almost half of the projects were implemented externally by an executing agency or cooperating partner. Most of the projects involved government ministries



or institutions. Multilateral and intergovernmental organizations and other United Nations agencies were involved to a lesser extent. The least used executing partners were non-governmental organizations, private associations and businesses.

140. The substantive input by UNEP into the projects has focused on quality assurance in the review of project technical reports and other documents, on coordination, project development and the provision of technical expertise, methodologies and approaches and on logistical support. Provision for monitoring and evaluation was identified as a substantive UNEP input into fewer than 8 per cent of the projects..
141. Analysis of the self-evaluation reports revealed that more than half of the projects were able to identify some project impact even when the projects had not been completed, while as few as one in six were unable to identify any impact. Slightly more than one fourth of the projects reported no identifiable impact. Inability to report impact might be due to the fact that the projects are at an early stage of implementation. Systematic follow-up with clients and stakeholders was used as a tool for measuring impact in 35 per cent of the projects. Special assessment models for measuring impact were used by only 7 per cent of the projects.
142. Lessons learned, which were then shared by the project managers, highlighted the need for real-time and practical reporting and evaluation tools in project management. Spot checks also proved useful. Some examples of such lessons are reproduced below:

“We need more informative progress reports, particularly systematically summarizing issues and problems, how to mitigate these, by who and when. Logframes, LTF and charts produced with projects are not particularly suitable for monitoring project progress and performance” – Project Manager, Biodiversity.

“UNEP should visit the project to monitor progress and provide advice. The Kenyan project was implemented on time because the programme officer visited the project frequently and provided advice on site” – Project Manager, Women and Water Management.

D. Challenges in project design and implementation

1. Project implementation

143. The duration of UNEP projects varied from less than one year to more than four years (Table 1). The proportion of projects requiring revisions was quite high and ranged from 50 percent for those up to one year to 90 percent for those over 4 years project duration. Overall, 70 percent of the projects required revisions. Nearly two-thirds of the projects were revised to accommodate changes in the work plan, budget or log frame and three-fifths of the project revisions required revision to work plan and/or addition of new activities. More than one-third of the projects (36 percent) were revised for budgetary revisions/adjustments, including phasing unspent fund balances. Project revisions are required only when there are substantial changes in work programme and activities stemming from availability of new funds or shifts in project direction.
144. In all, 43 per cent of the projects were implemented in accordance with the planned timetable in the project document, but more than half were behind schedule. Project delays occurred for the following reasons:
 - (a) It took longer than expected to complete the project and meet reporting requirements;
 - (b) The planned time frame was too short;

Table 1: Self-evaluation report project duration and revisions

| No. of projects | Self-evaluation report project duration (months) | | | | | | Total |
|---|--|-------------|-------------|-------------|--------------|------------|-------------|
| | 0–12 | 13–24 | 25–36 | 37–48 | 49 and above | Not stated | |
| Total no. of projects | 20 | 24 | 34 | 22 | 20 | 10 | 130 |
| No. of projects with revisions (% of total) | 10 (50%) | 16 (67%) | 24 (71%) | 20 (91%) | 18 (90%) | 3 (30%) | 91 (70%) |

- (c) Start-up of the project was delayed;
- (d) New project elements and activities were added to the project;
- (e) The transfer of funds took longer than planned; and
- (f) Communication among cooperating agencies was poor.

3. Project design

145. The project managers reported that main challenges related to the project design were insufficient or total lack of funding, weak coordination mechanisms, and unrealistic work plans.
146. From the lessons identified by project managers it was clear that, at the project design stage, the challenges and resources that were needed were often underestimated. It took longer than estimated successfully to coordinate and direct policy adoption processes at the national level. The following were cited as examples of lessons learned by project managers:

“The time and bureaucracy involved in countries putting legislation in place should not be underestimated during project design. Such underestimation ultimately results in large differences between projected and actual project end date” – Project Manager, Ozone Depletion.

“Projects that especially introduce new subjects and activities require technical assistance at the pre-proposal development stage to ensure good project design” – Project Manager, Climate Change.

4. Project management and administration

147. The sharing of reporting and administrative tasks among the funding agencies, UNEP and executing agencies was a significant source of delay during project implementation. Administrative delays often occurred because of the time required for project completion and reporting, delayed start-up of the project, late approval of final project reports and late disbursement of funds. Other important administrative challenges identified by project managers included the lack of financial monitoring reports and late processing of memorandums of understanding and related agreements with project partners.
148. The issue of project administration was highlighted in views expressed by project managers, as exemplified below:

“The project relies on the administrative and financial system in the host institute. Delays in achieving expected outputs are sometimes caused by untimely and ineffective fund disbursement” – Project Manager, Early Warning.

“Developing a global database with partners funded from external, co- and associated funding does not allow tight monitoring and control on performance and output” – Project Manager, Biodiversity.



E. Stakeholder involvement

149. About half of the projects targeted one or more stakeholder groups and of these some 71 per cent specifically targeted the scientific and technological community. Other stakeholder groups included non-governmental organizations, women, farmers, indigenous people and youth and children (table 2).

Table 2. Stakeholder involvement in the 2004 self-evaluation report projects*

| Stakeholder group | Projects targeting stakeholder groups (%) |
|--|---|
| Scientific and technological community | 36 |
| Non-governmental organizations | 17 |
| Private sector | 13 |
| Farmers | 13 |
| Women | 13 |
| Indigenous people | 12 |
| Youth and children | 10 |

* Several projects targeted more than one stakeholder group.

150. The stakeholder groups were involved in the planning, development and implementation of the projects, as recipients of activities, building capacity and raising awareness or through their direct involvement in the management of projects. The self-evaluation report analysis suggested that, for 18 per cent of the projects, the involvement of stakeholders in project activities was inadequate and 14 per cent of the projects lacked country ownership.
151. Some of the lessons learned by project managers in facilitating stakeholder participation and involvement of target groups are illustrated in the following statements:

“Effecting or preventing changes in relevant legislation sometimes are beyond the control of non-governmental organization (NGO) executing agencies [...] Having an effective international NGO as a partner to smaller, national or local NGOs has provided a good safety net to address implementation issues” – Project Manager, Biodiversity.

“The project activities are focused on developing a sustainable indigenous and appropriate natural resources management model in partnership with the local communities. The community-based approach has proved so far to be very valuable, with widespread local support for the project” – Project Manager, Land Degradation.

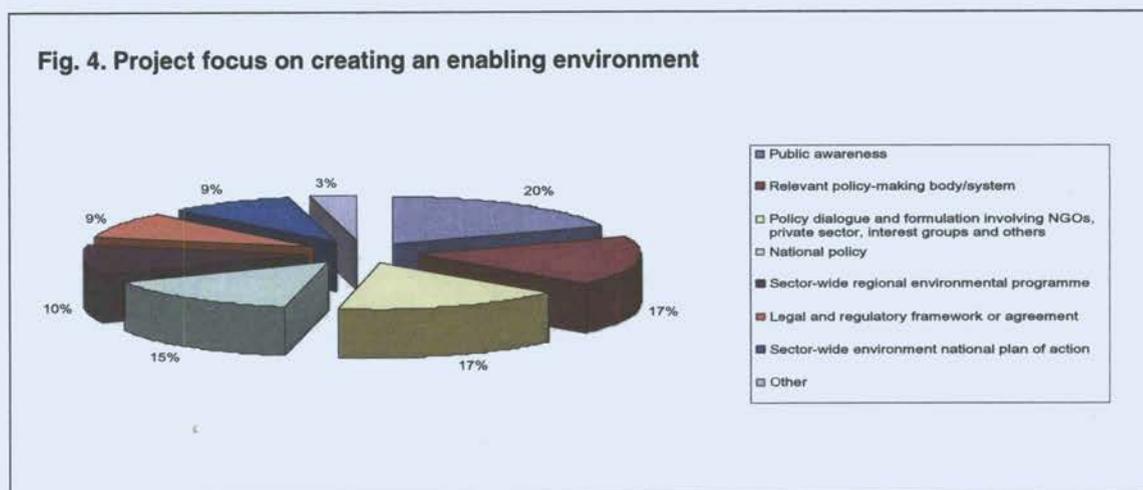
“Capacity-building, awareness-raising incorporating the public and private sector is crucial to ensure their [integrated watershed management applications] use and application [...] There is a clear need for broad visions and action plans, which also include local stakeholders working together in a concerted manner” – Project Manager, Urban Water and Sanitation.

F. Sustainability and capacity-building

152. UNEP projects tend to focus more on building an enabling environment or institutional capacity, rather than ensuring financial sustainability. While nearly all projects made provision for building an enabling environment and institutional capacity, only 78 per cent of the projects made provision for financial sustainability.

153. An enabling environment was created through building the capacity of targeted stakeholder groups, such as local people, non-governmental organizations, businesses, scientists and environmental experts, and policy decision makers in relevant government institutions. Capacity-building activities in the projects focused on raising public awareness (19 per cent), developing relevant policy-making bodies and systems (17 per cent), facilitating policy dialogue and formulation (17 per cent) and supporting national policy development (16 per cent).

Fig. 4. Project focus on creating an enabling environment



154. Building institutional capacity facilitated a higher level of participation and strengthened the effectiveness of community groups or municipal councils, ministries, intergovernmental forums or expert networks at all levels. This was achieved primarily by facilitating broad participation of the institutions and their staff in the planning processes, developing a strategic plan or work plan and addressing human resource needs in terms both of staffing and training.
155. The primary modes of achieving financial sustainability were through public budgetary allocations (27 per cent) and resource mobilization (22 per cent). Many projects were co-financed through in-kind or in-cash contributions by Governments and some projects to have Governments integrate costs into ministerial budget lines after the completion of the project. Other measures associated with creating financial sustainability include, first, the promotion of linkages with existing activities and planned programmes of ministries, GEF and other donors; second, the establishment of revolving trust funds; and, third, the development of new project activities based on existing projects.
156. The project managers indicated a clear link between building capacity and sustainability of activities after the project. This linkage is evident from the following observations:

“The assisted experts can now manage, monitor and execute national activities at national level and therefore succeed in operationalizing the concept of capacity-building” – Project Manager, Environmental Law.

“Enhancing capacity by engaging and supporting national actors in project identification, formulation and implementation is very effective. Emphasis on ‘learning by doing’ rather than on the traditional ‘learning by showing’ approach” – Project Manager, Trade and Environment.

IV. Collaboration and coordination

157. Collaboration and coordination mechanisms seek to harmonize policies and programmes to achieve shared goals and objectives. The benefits of policy and programme collaboration and coordination include broadened support for common interests, improvements in the effectiveness with which information is exchanged and services delivered, increased communication among actors sharing common goals, and greater continuity in the delivery of services and administration of programmes.⁴
158. The design and implementation of UNEP subprogrammes and projects involve multiple organizations and require active collaboration and coordination among different interest groups, both internal and external to UNEP. The issue of collaboration and coordination was also highlighted in recent evaluations.
159. The present chapter draws on evaluation findings from 16 terminal and four mid-term UNEP project evaluation reports, a study of the environmental management group, an evaluation report on the Coordination Office of the Division of Regional Cooperation, costed work plans of UNEP divisions, project performance reports and discussions with UNEP project staff. Both internal and external collaboration and coordination mechanisms are discussed.
160. Internal mechanisms are concerned with collaboration and coordination among divisions within UNEP in policy development, programme planning, regional strategies, structure and communication of information flow, programme implementation support and guidance, environmental information networking, and monitoring and evaluation. External mechanisms include participation of interest groups outside UNEP (United Nations organizations and specialized agencies, international non-government organizations, environmental non-governmental organizations, other non-governmental organizations, financial institutions and funding mechanisms, national Governments, civil society, international research centres and institutions, the private sector and the industry sector) in project and programme activities.

A. Internal collaboration and coordination

161. The need for inter-divisional collaboration and coordination within UNEP has been well documented by previous evaluations. The 2001 evaluation of the Regional Office for Europe called for increased coordination between the Division of Regional Cooperation and other divisions.⁵ The issue was also raised in the 2002 evaluation of the Division of Environmental Conventions, which noted that UNEP headquarters, the Coordination Office and the Division of Environmental Conventions could do more to promote opportunities for collaboration.⁶

⁴ M.A.Kilgore and P.V. Ellefson, Coordination of forest resource policies and programs: evaluation of administrative mechanisms used by state governments, <http://www.extension.umn.edu/distribution/naturalresources/DD5876>.

⁵ UNEP, Evaluation of the UNEP Regional Office for Europe, 2001.

⁶ Evaluation and Oversight Unit, Division of Environmental Conventions evaluation report, p. 58, 2002.

162. The Coordination Office of the Division of Regional Cooperation has played an important role in promoting inter-divisional collaboration, by organizing meetings between the regional directors and divisions at UNEP headquarters. In addition, it also organizes bilateral meetings following those meetings.
163. Some of the divisions have outposted officers to UNEP regional offices.⁷ This has created synergy between the regional offices and divisions. For divisions that have successfully outposted officers, it was noted that collaboration and coordination have tended to take place between the regional officers and the divisions rather than through the Coordination Office. The outposting of officers has helped resolve the issue of improving technical backstopping in the areas of environmental law and biodiversity, which was raised in previous evaluations of regional offices. The Division of Early Warning and Assessment, with its five outposted officers, was cited as an example of collaboration that worked particularly well, with about 80 per cent of division outputs achieved in the regions. The scarcity of resources in the Division of Policy Development and Law, however, has necessitated some regional offices to hire their own officers. One such example has been the hiring of a legal officer by the Regional Office for Europe. Similarly, the Division of Communication and Public Information has outposted information officers to the Division of Technology, Industry and Economics and regional offices.
164. The evaluation indicated that annual meetings organized between regional directors and UNEP divisions were extremely useful. Some division directors have invited the director of the Division of Regional Cooperation to their retreats but they have not been able to travel to regional offices to develop joint programme because their travel requests have not been approved.

1. Policy development

165. UNEP recognizes emerging issues in policy development. Civil society is mentioned as a good example of an area where UNEP headquarters is increasingly taking regional priorities into consideration. The Coordination Office of the Division of Regional Cooperation is responsible for keeping regional offices informed about policy development. It also circulates policy development initiatives from the divisions for comment by regional offices. Feedback from regional offices to the evaluation of the Coordination Office has indicated, however, that the policy development initiatives of the divisions do not respond adequately to their needs. Furthermore, regional offices feel that they are left out from the policy development exercise and are asked to react to policies that have already been agreed upon.

2. Policy guidance

166. Clear policy guidance is important in ensuring consistency between regional and global positions. The evaluation noted that the official position of UNEP on major themes such as multilateral environmental agreements, genetically modified organisms, climate change, benefit sharing, environment and security, and biodiversity are not clear to the regional offices. For example,

⁷ In 2004, regional assessment coordinators from the Division of Early Warning and Assessment were placed in all regional offices and all regional programmes have been discussed and agreed between regional coordinators and regional directors. The Division of Policy Development and Law has outposted several lawyers to the regional offices for Asia and the Pacific and for Latin America and the Caribbean, to support transboundary agreements. Similarly, the Division of Technology, Industry and Economics has outposted four industry officers. In addition, the compliance assistance programme team of the Department of Industry and Economics Ozone Action Programme under the Multilateral Fund has outposted a total of 17 officers to the regional offices for Africa, for Asia and the Pacific and for Latin America and the Caribbean, to support transboundary agreements.



the evaluators' analysis of the controversy that has arisen over genetically modified organisms indicates that it resulted from the absence of a definitive statement on how UNEP should tackle the issue of such organisms. Similarly, regional offices do not receive any background notes pertaining to press releases and, as a result, they have difficulty responding to public enquiries. Furthermore, some regional directors noted that programmatic responsibility in areas such as air pollution, capacity-building and biodiversity are not clear even within UNEP headquarters. When requests for information are received from senior management it is often difficult, therefore, to know where to find information.

3. Regional strategies

167. Regional strategies, which outline the regional priorities and needs of the regions, were developed at the request of the Executive Director in mid-2003. The Coordination Office for the Division of Regional Coordination guided the process. The process was not inclusive, however. For example, the Division of Policy Development and Law was not involved, although a previous annual evaluation stated that policy development recommended that advice should be given in close collaboration with the Coordination Office and regional offices.⁸ The division directors considered the strategies as potentially useful planning tools for the 2006–2007 biennium and beyond but not all division directors were entirely au fait with the regional strategies.
168. Some division directors saw an important role for the Division of Regional Cooperation in the implementation of multilateral environmental agreements at the regional and national levels. This was further emphasized at the tenth meeting of the multilateral environmental convention secretariats, which unanimously underscored the potential for regional offices to contribute to national and regional follow-up. It was pointed out that the Division of Regional Cooperation could assist in capacity-building activities by identifying and establishing a formal regional network of institutions with which UNEP could cooperate. The Division of Environmental Conventions highlighted that it had attempted to post multilateral environmental agreement officers in the regions in the 2005–2007 work programme but lacked the required level of resources to hire the officers.

4. Programming process

169. Recent evaluations carried out addressed the need for a strategic framework that creates synergy between divisions at UNEP headquarters and the regional offices, and allows for the development of an integrated global work programme.⁹ In an effort to develop more integrated work programmes, the Coordination Office organizes meetings between regional directors and division directors to discuss the programme of work. In addition, a number of meetings on divisional cooperation and retreats to strengthen programme activities have taken place within the Division of Regional Cooperation since 2001. Those efforts notwithstanding, most regional directors identified the need to involve the division earlier in the programming process. Division directors also concurred with that observation. While the Coordination Office has the opportunity to comment on some division work plans, the opportunity often comes too late to really influence the direction of those plans. Coordination works well, however, in fields where out-posted officers are in place.

⁸ The Coordination Office did not produce comprehensive analysis of regional situations and needs as an input into policy formulation.

⁹ 2001 evaluation of the Regional Office for Asia and the Pacific, page 22, and 2001 evaluation of the Regional Office for Europe, page 13.

170. Some regional directors see the programming process as too centralized and reiterated the need to make the process more transparent through increased consultations with partners such as convention secretariats. An example of a successful consultation process is that undertaken between the Division of Policy Development and Law (DPDL) and civil society. The division works with regional civil society focal points selected by the regional offices. The focal points are responsible, among other things, for preparing the civil society regional forums that are conducted in preparation for the annual global civil society forum. The division foresees that cooperation will be enhanced in the future since contacts and activities with civil society organizations have proven to be most effective at the national and regional level. The Division is also regionalizing the global training programme on environmental policy and law, held every two years. Until recently, the activity was implemented only at UNEP headquarters but it is envisaged that, in the future, the programme will take place alternately at headquarters and in the regions.
171. At the request of the Governing Council, UNEP is producing regional annexes to describe its activities in the regions. The regional annexes contain a synopsis by region of the work carried out by each division and an annex indicating the percentage of Environment Fund resources, excluding staff costs, of the respective divisions allocated to each region. Some division directors argued that the approach to the preparation of the regional annexes following the twenty-second session of the Governing Council/Global Ministerial Environment Forum could not possibly have facilitated the integration of regional priorities as it required primarily that the divisions report on the amount of funding in the division budgets for each region.
172. UNEP divisions prepare the costed work plans that have been useful in identifying the nature and level of their involvement in undertaking subprogramme and project activities.¹⁰ In general, the interlinkages, including the role of internal partners, takes one or more of the following forms: first, technical backstopping; second, legal advice; third, cost-sharing arrangements; and, fourth, input and feedback. The costed work plans do not, however, provide information on the level of involvement of participating divisions.
173. Furthermore, although all divisions use the same format for costed work plans, not all divisions have the same level of detail. For example, some divisions merely state the name of the division while others provide additional information on the nature of their involvement. Nevertheless, the degree of participatory dialogue between the lead division and the other participating division or divisions in preparing and finalizing costed work plans has not been properly determined.

5. Communication and information flow

174. The evaluation of the Division of Regional Cooperation undertaken in 2004 by the Evaluation and Oversight Unit¹¹ noted that the Coordination Office ensured follow-up on correspondence and requests from the Office of the Executive Director and the timely provision of information to the regional offices. In addition, initiatives undertaken by some divisions with the regional offices have shown improved cooperation and understanding. For example, the Division of Communication and Public Information conducts weekly teleconferences with information

¹⁰ A costed work plan provides information on the programme strategy, external partners, description of outputs and the work plan including quantity, planned commencement and completion dates, names of responsible staff member or members, references to Governing Council decisions, interlinkages in terms of the role of internal partners, method of external implementation, details of external funding, new funding and cost to the Environment Fund.

¹¹ June 2004.



officers in the regions and prepares and circulates a list of proposed media releases and events so that the regional offices receive a weekly update of what is being planned. This provides the regional directors with an opportunity to query upcoming media events. The weekly teleconferences have also responded to the recommendation made in the 2001 evaluation of the Regional Office for Asia and the Pacific that best practices and lessons learned in the area of media and information should be exchanged among the regional offices.¹²

175. The Division of Technology, Industry and Economics has taken steps systematically to inform the regional offices about issues related to chemicals and about forthcoming meetings in that area. With regard to production and consumption, the information flow is functioning quite well, especially with the Regional Office for Latin America and the Caribbean and the Regional Office for Asia and the Pacific, which coordinate those processes in the regions through the deployment of industry officers.
176. The Division of Environmental Policy Implementation is developing a capacity-building and technology support database to provide an inventory of UNEP activities at the country and regional levels. The database will form part of a clearing-house mechanism for capacity-building and technology support. Following the World Summit on Sustainable Development, the Division of Policy Development and Law proposed the conduct of monthly teleconferences with all regional directors to improve communication between the division and the regional offices. This has not been followed up, however, and is yet to materialize.
177. The overall assessment of the day-to-day communications between the Coordination Office and the regional offices, and among the regional offices, was very positive. A number of other initiatives are currently underway and expected to improve communication. Examples of such initiatives are described below.
178. Thus, the 2001 evaluations recommended that the Coordination Office should promote best practices such as outreach, partnership and collaboration and programme planning, and should ensure that those were shared among regional offices.¹³ To give effect to this aspiration, in 2001, the Coordination Office developed and launched a website interfacing with all UNEP regional offices.¹⁴ Following a decision in 2003 on streamlining the UNEP website, the Division of Regional Cooperation is currently in the process of updating its web pages.
179. The introduction of the integrated monitoring and documentation information system (IMDIS) is expected to facilitate the role of the Coordination Office and divisions in reporting, coordination, preparing documents and statistics.
180. Some division directors receive regular reports on major political issues taking place in the regions, which are of good quality and useful. The Regional Office for North America, in particular, was complimented on its reports. The Coordination Office transmits the reports to the Senior Management Group. In addition, an electronic mail tracking system has been established to facilitate communication between the Division of Regional Cooperation and headquarters.
181. The evaluation also found several areas for further improvement in communication and information flow. Examples of these include the following:

¹² UNEP evaluation of the Regional Office for Asia and the Pacific, page 9, 2001.

¹³ Implementation plan for the recommendations of the 2001 Annual Evaluation Report.

¹⁴ Progress Report 5.1: Planning, Coordination and Servicing based in Nairobi

- (a) The need to review the current system of collection and dissemination of information between divisions and regional offices and clarify specific roles of the Coordination Office: Emphasis should be placed on the provision of required background information so that the divisions and regional offices are able to capture and anticipate upcoming issues more effectively;
- (b) The lack of understanding of the information needs of the regional offices by the divisions and the Coordination Office: Some regions complained of information overload, however, while requesting that the Coordination Office should ensure greater circulation of internal briefing notes. The Coordination Office argued that, if and when received, all internal briefing notes, and even correspondence of relevance to policy issues, is transmitted to the regional offices;
- (c) The need for more frequent contacts between the regional offices and divisions to promote the sharing of best practices: The regional directors were of the view that they were not able to participate in the important events such as meetings of multilateral environmental agreements due to limited authorization of travel requests;
- (d) The need to improve communication with cheaper and better telephone connections between Nairobi and the regions. Increased use of teleconferences and videoconferencing was also suggested as one means of improving coordination.

6. Programme implementation support and guidance

- 182. The costed work plans typically form the basis for collaboration and coordination among divisions for the implementation of sub-programme/project activities. Some examples of collaboration among the divisions contained in the 2004–2005 biennial work plans are described in the following paragraphs.
- 183. The regional seas programme, for instance, aimed to achieve improved use of the regional seas as a platform for regional implementation of multilateral environmental agreements and global initiatives through, first, facilitating the participation of regional seas programmes in meetings of and interlinkages with the multilateral environmental agreements and, second, facilitating joint activities with the International Maritime Organization (IMO), the International Atomic Energy Agency (IAEA), and other relevant intergovernmental organizations and United Nations agencies. In achieving this output, the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities, the Division of Regional Cooperation, the Division of Early Warning and Assessment, the Division of Policy Development and Law, the multilateral environmental agreements, the International Coral Reef Initiative/ International Crop Research Institute for the Semi-Arid Tropics (ICRI/ICRAN), the UNEP World Conservation Monitoring Centre (WCMC) and the small island developing States are involved as internal partners of the regional seas programme. Their role is to provide advice and technical support and to foster collaboration.
- 184. The Division of Policy Development and Law provides legal support to the Chemicals Unit of the Division of Technology, Industry and Economics in providing secretariat services to the Stockholm Convention, including the servicing of meetings of, initially, the Intergovernmental Negotiating Committee and currently the Conference of Parties, and its subsidiary bodies.
- 185. The Division of Regional Cooperation assists the Division of Technology, Industry and Economics in identifying contacts at the regional level for the provision of substantive inputs and assistance for the development and adoption of global reporting initiative indicator sets to three industry sectors and on selected cross-sectoral issues and topics.



186. The Division of Environmental Policy Implementation is producing information materials to support non-governmental organizations and civil society organizations in securing the involvement of stakeholders in environmental management with intellectual support from the Division of Policy Development and Law, the Division of Early Warning and Assessment and WCMC.
187. The regional offices are providing substantive and policy inputs and liaison with national Governments and national agencies as part of the technical assistance provided by the Division of Early Warning and Assessment to countries in designing and initiating early warning monitoring projects as a means of evaluating perceived environmental threats and supporting preparedness planning.
188. The Division of Communications and Public Information has collaborated with the Division of Early Warning and Assessment in preparing the Earth Report and success stories of the New Partnership for Africa's Development (NEPAD) for the Hands On TV series "Hands on Africa". The Division of Early Warning and Assessment collaborated on films on such topics as interlinkages, civil society and emerging environmental issues.
189. The Division of Policy Development and Law, the Division of Early Warning and Assessment and the Division of Environmental Policy Implementation are providing substantive input and technical support to the Regional Office for Africa in providing technical support for the implementation of the Water for African Cities Programme.
190. The perception regarding the role of the Coordination Office in establishing collaboration differs among the divisions and regional offices. Regional directors are generally satisfied with the role of the Coordination Office as facilitator between the regions and headquarters, whereas the general perception among division directors is that facilitation of collaboration between the regions and the divisions is carried out on an ad hoc basis and with scant regard for any oversight function.

7. Interregional collaboration

191. Evaluations undertaken in 2004 found limited interregional collaboration, which was largely confined to initiatives and facilitation measures undertaken by the Coordination Office. The Coordination Office serves as a clearing-house to promote the sharing of best practices across regional offices. There are, however, a number of policy initiatives such as the mountain ecosystems policy, transboundary haze policy, environmental security policy and post-conflict assessment, under which all regions could benefit from interregional collaboration. The Division of Regional Coordination would be best placed to foster such collaborative activities.

B. Coordination with external partners

1. Evidence based on planning and evaluation documents

192. The planning and evaluation documents reviewed over recent years demonstrate several examples of UNEP collaboration with external partners in implementing its programme of work. The documents also show a clear and concerted effort by UNEP to include Governments, non-governmental organizations, other United Nations agencies, financial institutions and funding mechanisms, civil society, international research centres and institutions and the private sector. Examples of such external collaboration and coordination found in 2004 project evaluations and their specific nature are described in the following paragraphs.



193. Under the POPs management project UNEP entered into a memorandum of understanding with the United National Institute for Training and Research (UNITAR) to provide technical support services in relation to national profiles. In addition, the Food and Agriculture Organization of the United Nations Governing Council (FAO) provided training at the workshop and the World Bank contributed to the guidance document. The project steering group included representatives from UNITAR, the United Nations Industrial Development Organization (UNIDO), the World Bank, the UNEP Division of GEF Coordination, the Basel Convention secretariat, the International POPs Elimination Network (IPEN), the International Chlorine Chemistry Council, the Deutsche Gesellschaft für Technische Zusammenarbeit (German Agency for Technical Cooperation – GTZ), the Swiss Agency for the Environment, Forestry and Landscape, and UNEP Chemicals.
194. At the national level, multisectoral national coordinating committees had been formed in 10 out of 12 project countries¹⁵ and, by all accounts, these have been functioning effectively.
195. The level of cooperation among the partners of the consortium varied significantly in the biodiversity service project. From the start-up of the project in January 2000 until the end of 2002 insufficient attention was paid to cooperation between partners and to proper communication and transparent decision-making. As a result, there was lack of ownership leading to low commitment to the overall project outcomes, with the consequence that the partners now concentrated on their own objectives, outputs and activities. Coordination improved significantly in 2003 thanks to open and transparent cooperation between the UNEP Regional Office for Europe and other partners. This motivated partners to shift from their own capacity-building to coordinated activities and delivery of service in Central and Eastern Europe, the Caucasus and the Central Asian regions.
196. The desert margins project sought collaboration among nine African countries¹⁶ assisted by five CGIAR centres¹⁷ and three advanced research institutes.¹⁸ The project suffered from weak coordination among partner agencies, due to lack of transparency. The performance of many national agricultural research stations in Africa had been disappointing and a consistent criticism raised against the advanced research institutes concerned their limited ability to ensure that research was both practical and relevant. The country coordinators themselves could not readily show what was being done by some of their own partners.
197. Other examples of UNEP collaboration with a variety of external partners in project implementation are described in the following paragraphs.
198. External partners such as members and observers of the International Strategy for Disaster Reduction (ISDR)¹⁹ and regional organizations and authorities dealing with early warning

¹⁵ The exceptions are the Federated States of Micronesia and Lebanon.

¹⁶ Burkino Faso, Botswana, Kenya, Mali, Namibia, Niger, Senegal, South Africa and Zimbabwe.

¹⁷ ICRAF, the International Crop Research Institute for the Semi-Arid Tropics (ICRISAT), the International Fertilizer Development Centre (IFDC), ILRI and the Tropical Soil Biology and Fertility Institute of the International Centre for Tropical Agriculture (TSBF-CIAT).

¹⁸ CEH, French Agricultural Research Centres for International Development (CIRAD) and IRD.

¹⁹ FAO, UNDP, the United Nations Educational, Scientific and Cultural Organization (UNESCO), UN-Habitat, the World Food Programme (WFP), the World Health Organization (WHO), the World Bank, the secretariat of the United Nations Convention to Combat Desertification, the International Federation of Red Cross and Red Crescent Societies (IFRC), the Organization of American States, the Council of Europe, the Asian Disaster Preparedness Centre, the Southern Pacific Applied GeoScience Commission (SOPAC), the International Council for Science (ICSU), Munich Re, the Global Fire Monitoring Centre.



and disaster management²⁰ are working with the Division of Early Warning and Assessment to produce targeted environment assessments on priority issues emerging from global and regional assessment processes. This will facilitate early warning on critical environment issues.

199. Governments, United Nations organizations (the International Labour Organization (ILO), IMO, the United Nations Centre for Crime Prevention and Criminal Justice (UNCCPCJ), the International Law Commission (ILC), the United Nations Office on Drugs and Crime (UNODC)), the Task Force on the Lusaka Agreement, the World Customs Organization (WCO), the International Criminal Police Organization (INTERPOL), the Organization for Economic Cooperation and Development (OECD), relevant intergovernmental organizations and non-governmental organizations are involved in efforts mounted by the Division of Environmental Policy Implementation to support the implementation of the Johannesburg Principles on the Role of Law and Sustainable Development adopted at the Global Judges Symposium, relevant chapters of the Plan of Implementation of the World Summit on Sustainable Development and Montevideo Programme III, in particular, the implementation of, compliance with and enforcement of multilateral environmental agreements through the development of training manuals and guidelines and the provision of technical assistance to countries.
200. The Division of Policy Development and Law promotes international cooperation, including the provision of substantive and programmatic inputs to international processes and efforts to ensure the better integration of environmental concerns in development assistance programmes and regional cooperation activities. Governments, subregional and regional groupings and United Nations bodies, such as the United Nations Human Settlements Programme (UN-Habitat) and the United Nations Children's Fund (UNICEF), are involved as external partners in efforts to achieve the division's stated objective.
201. The multilateral environment agreement secretariats (the Convention on Biological Diversity, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the Convention on Migratory Species of Wild Animals, the Convention on Wetlands of International Significance, the United Nations Educational, Scientific and Cultural Organization (UNESCO) World Heritage sites, World Conservation Union (IUCN) (including its Species Survival Commission), the Arctic Council, non-governmental organizations (such as the World Wildlife Fund (WWF) and Conservation International), FAO and UNESCO serve as external partners to the Division of Environmental Conventions in providing targeted support to multilateral environmental agreements concerned with biodiversity, particularly in the development of joint programmes covering common responsibilities.
202. The Division of Technology, Industry and Economics, working in partnership with members of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC), the World Bank, the Intergovernmental Forum on Chemical Safety (IFCS), the secretariat of the Basel Convention and UNDP, is providing support for efforts by Governments to achieve coherent chemical policy development and implementation.
203. The Regional Office for Africa is providing programmatic support to the development and implementation of regional and subregional environmental action plans and strategies and other relevant sector-specific programmes. This is being achieved with such external partners as IUCN, the New Partnership for Africa's Development (NEPAD) secretariat, the Government

²⁰ The Caribbean Disaster Emergency Response Agency, the Intergovernmental Authority on Development (IGAD) Monitoring Centre, GeoForschungsZentrum, Postdam, the German Committee for Disaster Reduction.



of the United States of America, the African Union and the Economic Community of Central African States (ECCAS).

2. Evidence from partnership agreements

204. In 2004, UNEP had continuing partnership agreements with Belgium, Ireland, the Netherlands and Norway. Each partnership agreement had identified priority areas (table 1).

Table 1. Priorities in selected bilateral partnership agreements

| Partnership agreement with | Priority areas |
|----------------------------|---|
| Belgium | Strengthening the scientific base and regional capacity for integrated environment and water assessment, water and capacity-building for the integration and institutionalization of environmental management into national poverty reduction programmes and related activities |
| Ireland | Protection of fresh water resources, access to environmental information for decision-making, protection of the coastal and marine environment, and conservation of biological diversity |
| Netherlands | Environmental assessment, energy and climate, environmental law, urban environment and water |
| Norway | Support to Africa, environmental information, monitoring and assessment, environmental policy and law including trade and environment, support to the implementation of environmental conventions, and cooperation between UNEP and civil society |

205. The agreements provide resources for the implementation of the approved work programme of UNEP. The funds under partnership agreements are administered and accounted for by UNEP in accordance with its financial regulations and other applicable rules and procedures and practices pertaining to extra-budgetary resources. The contributions are also subject to the internal and external auditing procedures. Any unused funds are subject to refund and/or reallocation for undertaking mutually agreed activities. All partnership agreements are reviewed by UNEP and the respective donor country at least once a year.

C. Environmental Management Group

206. The Environmental Management Group (EMG) was established in 2001²¹ with the membership of all the agencies in the United Nations system, secretariats of multilateral environmental agreements, the World Bank and the World Trade Organization (WTO). The Group's mandate includes coordinated approaches, information exchange, promotion of joint action by United Nations agencies and synergy among and between activities of the United Nations agencies on environment and human settlement issues.
207. EMG functions through issue-management groups and to date it has established groups for harmonization and reporting on biodiversity-related conventions, sustainable procurement, environmental aspects of water and sanitation and capacity-building in the areas of biodiversity

²¹ EMG was approved by the United Nations General Assembly in paragraph 5 of its resolution 53/242 of 28 July 1999, on the basis of proposals by the Secretary-General and the report of a United Nations task force headed by the Executive Director of UNEP.



and chemicals. The water issue was considered in order to provide input to a meeting of the UNEP Governing Council/Global Ministerial Environmental Forum.

208. A study of EMG conducted by the Evaluation and Oversight Unit in 2004 recommended that the EMG secretariat should build on such successful cooperation ventures as the “Green Customs” project as an example of a joint action between members of EMG. The project, which is jointly executed by the UNEP Division of Technology, Industry and Economics, INTERPOL, the World Customs Organization (WCO) and the secretariats of multilateral environmental agreements which have trade provisions: the Montreal Protocol, the Basel Convention and CITES, is training relevant officials – in particular, customs officers, prosecutors, and judicial officials – of developing countries to curb illegal trade in goods controlled by the conventions. The study concluded that EMG could aim to become the mechanism for consensus on good practice standards in the area of environment and human settlements and to demonstrate that it can deliver coherent approaches, joint cost-effective action and synergy between activities by the United Nations agencies.

D. Conclusions

209. The evaluations indicate that collaboration and coordination have improved in 2004 both within UNEP and with external agencies. The evaluations found that dialogue and information flow between the regions and the Coordination Office was functioning well. Several policies have been developed as a result of close collaboration between the regional offices, the Coordination Office and divisions.
210. Given their evolving nature, UNEP programmes and activities require stronger collaboration and coordination at all levels. More specifically, in the light of the UNEP regionalization policy, the role of the Division of Regional Cooperation Coordination Office is becoming increasingly important from the standpoints of programme planning, coordination, policy development and resource mobilization. There is a need to be more explicit in defining the nature of collaboration when planning the work programmes of the Divisions.
211. The adoption of costed work plans prepared by the divisions is a step in the right direction. There is, however, a need for consistency in these plans. The nature and extent of collaboration and coordination are yet to be properly identified at the project and programme formulation stage. This would be possible when the associated processes and mechanisms are fully participatory, from the initial stages of project development. There is also a need for better understanding of regional strategies by all divisions and regions.
212. Sustained external collaboration has led to more flexible partnership agreements with some of the bilateral donors. Collaboration by UNEP with external partners has increased significantly over the years and is expected to continue growing. At the same time, external partners, including the donor community, are expected to continue to focus on coherence between approaches, avoidance of duplication and joint action and synergy.



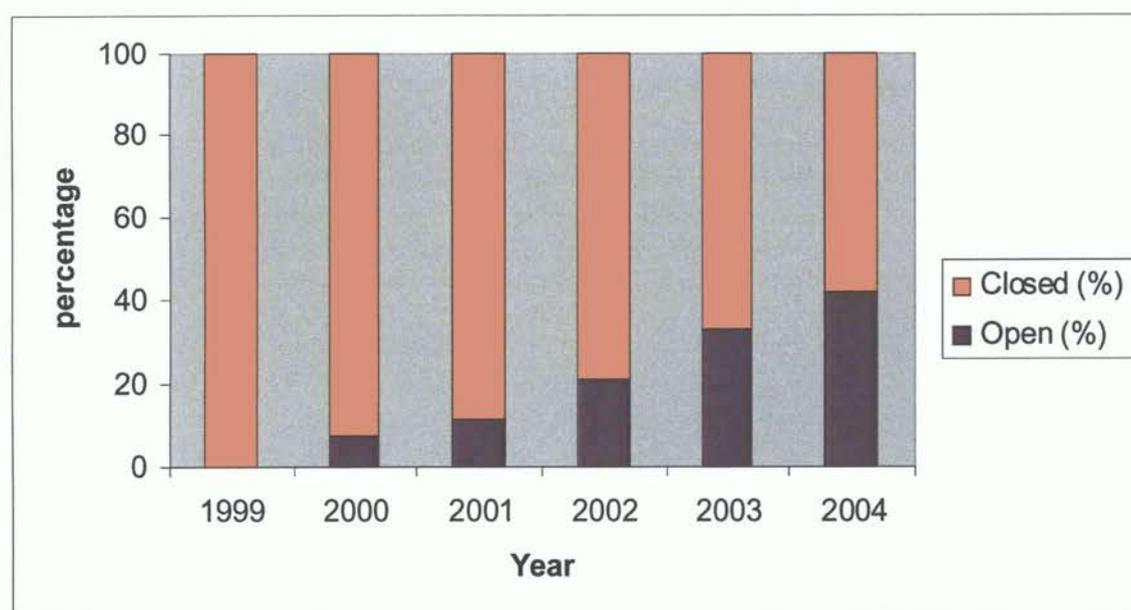
V. Implementation of evaluation recommendations

213. The Evaluation and Oversight Unit follows up subprogramme and project evaluations by requesting programme and project managers to prepare an implementation plan for the recommendations contained in such evaluations. These plans contain details on whether the evaluation recommendations are accepted, what action will be taken, when and by whom. The Evaluation and Oversight Unit reviews these plans in order to ensure that the responses meet the requirements of the recommendations and it then follows up on progress in implementation on a half-yearly basis. Implementation plans are also prepared for the recommendations contained in the Unit's annual evaluation report. These plans are addressed to the senior management of UNEP. The mechanism for follow-up is the same as that described for the subprogramme and project evaluation.

A. Subprogramme and project evaluations

214. The Evaluation and Oversight Unit conducted 99 subprogramme and project evaluations between 1999 and 2004, which resulted in 963 recommendations. At the end of June 2005, a total of 448 recommendations (47 per cent) had been fully implemented, 11 (1 per cent) partially implemented, 238 (25 per cent) were in the process of being implemented and 103 (11 per cent) had been rejected. A total of 163 recommendations (17 per cent) are yet to be implemented and approximately 55 per cent of these outstanding recommendations resulted from the project and subprogramme evaluations carried out in 2004. Overall, 72 per cent of the recommendations have either been implemented or are in the process of being implemented. The Evaluation and Oversight Unit assessed the rejected recommendations based on their relevance and appropriateness in the context of the project and subprogramme concerned and concluded them to be closed. The status of implementation of evaluation recommendations at the end of June 2005 is presented in figure 1 below.

Figure 1. Status of implementation of evaluation recommendations as of 30 June 2005

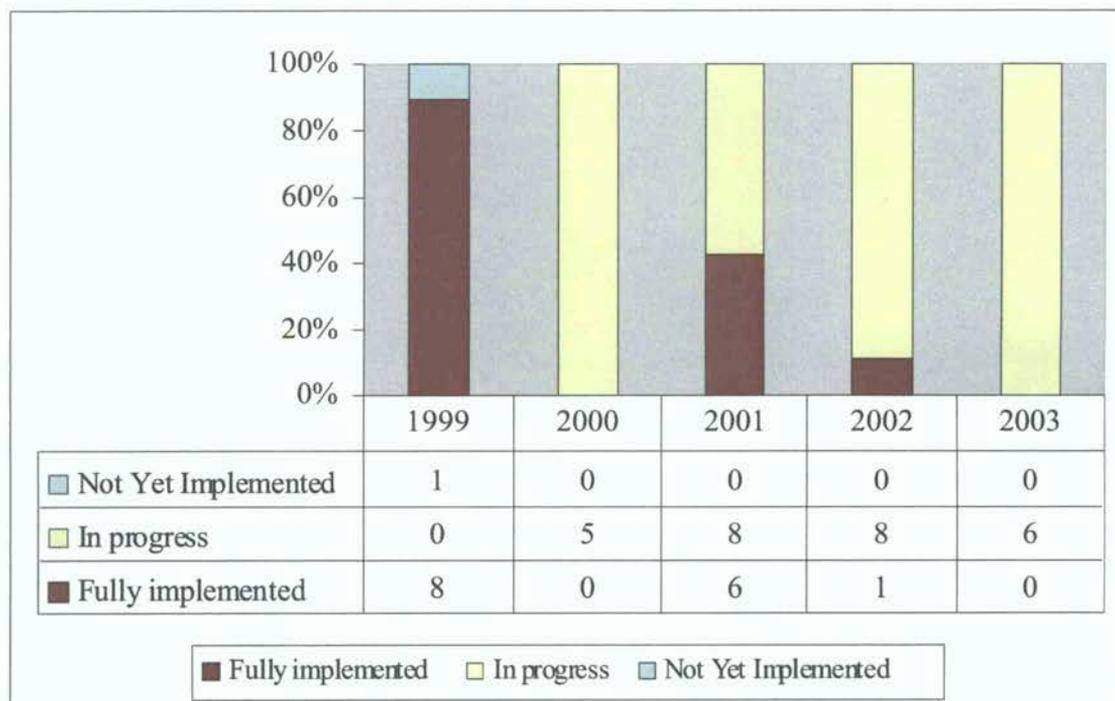


215. The quality of recommendations in recent years has improved and the percentage of evaluation recommendations rejected has declined sharply, from 32.2 percent in 2000 to 3.1 percent in 2004. Closer and regular follow-up by the Evaluation and Oversight Unit has also resulted in a substantial decrease in the percentage of recommendations that were three–four years old but not yet implemented. The total number of recommendations issued per project or subprogramme also declined, from 13 in 2002 to seven in 2004.
216. In all, some 160 recommendations were issued from the 22 project evaluations conducted in 2004. Of that number, the Evaluation and Oversight Unit closed 22 recommendations. Seventeen recommendations have been fully implemented and five were rejected. Forty-nine recommendations are in the process of being implemented. The Unit will continue to increase its efforts critically to review proposed recommendations in order to reduce their number and to ensure that they focus on key issues that will contribute to improved project and subprogramme performance.

B. Annual evaluation reports

217. The annual evaluation reports prepared by the Evaluation and Oversight Unit over the period 1999–2003 resulted in a total of 43 recommendations. All but one recommendation have been or are in the process of being implemented. The status of annual evaluation report recommendations may be seen in figure 2. The Evaluation and Oversight Unit is concerned that one of the recommendations from 1999 has still not been implemented and it will continue to seek support from senior management for the full implementation of other recommendations.

Figure 2. Status of implementation of recommendations in the annual evaluation reports (as of 30 June 2005)



218. Annex IV to the present report contains the implementation plan and the current status of the 2003 annual evaluation report recommendations.²² The six recommendations outlined in the 2003 annual evaluation report cover key areas of improvement pertaining to monitoring and reporting, involvement of wider stakeholder groups, financial sustainability, financial management, resource allocation and further clarity in the roles and responsibilities of UNEP divisions. Implementation of these recommendations is under way.

²² As of 30 June 2005.



Annex I

Terms of reference for the annual evaluation report

The evaluation function is governed by United Nations General Assembly resolutions and UNEP Governing Council decisions.²³ It serves to provide strategic advice to the Executive Director, the Deputy Executive Director and the UNEP Senior Management Group; to contribute to policy formulation through evaluations and management studies; to contribute to effective management by proposing solutions through an analysis of evaluation results; and to facilitate the engagement of the Governing Council and the secretariat in systematic reflection and programme review.

Objective and scope

The annual evaluation report is prepared as an intersessional document of the Governing Council and serves as part of the UNEP input to the Secretary-General's report on evaluation to the General Assembly. The report provides stakeholders such as Governments, UNEP senior management and UNEP partners with an evaluative assessment of UNEP programme performance in 2004. The main objective of the annual evaluation report is to help UNEP improve its programme performance through an evaluation of relevance, effectiveness, results achieved and lessons learned.

The 2004 report will be based on data provided in one in-depth subprogramme evaluation, 20 in-depth project evaluation reports and 130 self-evaluation reports of project activities under way in 2004. In addition, the report will contain the status of implementation of the recommendations contained in the 1999–2003 project evaluations and annual evaluation reports.

Methodology and methods

The report will assess the following aspects:

1. *Relevance and appropriateness*

To determine the relevance and appropriateness of evaluated activities implemented by the organization within the mandate of UNEP (the Nairobi Declaration (1997)), taking into account General Assembly resolution 2997 (XXVII) of 15 December 1972, the Malmö Declaration (2000) and the Johannesburg Plan of Implementation (2002) by:

- (a) Assessing the relevance of achievements made in areas of conducting environmental assessments and providing policy advice and information;

²³ United Nations General Assembly resolutions 37/234, 38/227, 40/240 and 42/215; United Nations General Assembly 1982 regulations and rules governing programme planning, the programme aspects of the budget, the monitoring of implementation and the methods of evaluation, revised April 2000; UNEP Governing Council decisions 12/12, 13/1 and 14/1



- (b) Determining the relevance and appropriateness of progress made in promoting the development of international environmental law and implementation of international norms and policies;
- (c) Assessing the relevance of contributions made towards strengthening the role of UNEP in coordinating environmental activities in the United Nations system and as an implementing agency of the Global Environment Facility;
- (d) Determining the relevance and achievements of activities to raising greater awareness and facilitate effective cooperation among all sectors of society;
- (e) Determining the relevance and contributions of activities to provide policy and advisory services in key areas of institution-building to Governments and other institutions.

2. *Effectiveness and efficiency*

To review the overall performance of evaluated activities by:

- (a) Evaluating the ratings given of the following project implementation aspects:
 - Achievement of objectives and planned results
 - Attainment of outputs and activities
 - Cost-effectiveness
 - Stakeholder participation
 - Country ownership
 - Implementation approach
 - Financial planning
 - Replicability
 - Monitoring and evaluation
- (b) Reviewing the rating given of achievements status and risk in self-evaluated projects;
- (c) Identifying and distilling lessons learned and good practices that will improve future delivery of project activities.
- (d) Providing policy and programme recommendations based on a systematic review of project recommendations.

3. *Results and impact*

To determine the results and impact of the evaluated activities in building capacity in:

- (a) Conducting assessments and providing environmental information;
- (b) Developing international environmental law and regimes;
- (c) Monitoring and fostering compliance with existing conventions and international agreements;
- (d) Coordinating environmental activities and supporting institution building;
- (e) Awareness raising and cooperation among all sectors and provide linkages between the scientific community and policy makers.

4. *Sustainability*

To determine the sustainability of the evaluated activities in the following areas:

- (a) Enabling environment: whether there are political and regulatory frameworks in place which support the continuation or replication of activities and whether social sustainability, for example by mainstreaming project activities, has been achieved;



- (b) Financial sustainability: effectiveness of financial planning and resource mobilization activities to enable the continuation of activities and objectives;
- (c) Institutional capacity: whether there are adequate systems, structures, staff, expertise, and so forth, in place to continue the activities.

Methods

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

1. Desk review of in-depth evaluation reports;
2. Desk review of self-evaluation reports;
3. Desk review of desk evaluation reports;
4. Desk review of implementation plans and management response to the recommendations of the annual evaluation reports from 1999 to 2003;
5. Review of relevant UNEP publications and other documents;
6. Interviews with UNEP staff.

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

Structure of the report

The report should comprise the following sections:

1. Introductory sections: foreword by the Executive Director, introduction by the Chief of the Evaluation and Oversight Unit, executive summary and the introduction itself
2. In-depth project evaluations
3. Self-evaluation of UNEP projects
4. Collaboration and coordination of UNEP environment activities
5. Status of implementation of recommendations
6. Lessons learned and key recommendations

Time frame

The draft report is scheduled to be ready for the review of UNEP divisions and other offices by 31 August 2005. The results of the consultations with UNEP offices should be reflected in the final draft report to be ready by 20 September 2005. The English version of the report is planned to be available in October 2005, and the translated versions in French and Spanish shortly thereafter.

Resources

The 2004 annual evaluation report will be produced within the internal resources of the Evaluation and Oversight Unit, mainly drawing on a team of two professionals and one administrative assistant under the overall guidance of the Chief. The editing, translation and production will be carried out by the Division of Conference Services of the United Nations Office at Nairobi.



Annex II

List of evaluation and studies included in the 2004 annual evaluation report

| Project code | Project title | Date completed |
|--------------------|---|----------------|
| 1 GF/2200-97-57 | Enabling activities for the preparation of initial national communication related to the United Nations Framework Convention on Climate Change – Pakistan | Oct-03 |
| 2 EB/CP/5023-00-05 | Service for implementation of national biodiversity strategies and action plans | Nov-03 |
| 3 GF/1300-99-03 | Promoting best practices for conservation and sustainable use of biodiversity of global significance in arid and semi-arid zones | Dec-03 |
| 4 GF/XG/4030-00-20 | Project on a regional-based assessment of persistent toxic substances | Jan-04 |
| 5 GF/4030-01-03 | Project on support to the implementation of the Stockholm Convention | Jan-04 |
| 6 GF/CP/5023-01-03 | Barriers and best practices in integrated management of mountains ecosystems | Jan-04 |
| 7 GF/3010-00-03 | Lake Baringo community-based land and water management | Mar-04 |
| 8 DU/CP/3010-01-17 | UNEP Dams and Development Project | Mar-04 |
| 9 GF/2200-97-59 | Enabling activities for the preparation of initial national communication related to the United Nations Framework Convention on Climate Change – Bangladesh | Jun-04 |
| 10 GF/6030-02-02 | Reversing environmental degradation trends in the South China Sea and Gulf of Thailand | Jul-04 |
| 11 Various (a) GF | GEF-financed non-investment ozone depleting substances projects for countries with economies in transition: Azerbaijan, Estonia, Kazakhstan, Latvia, Lithuania, Tajikistan, Turkmenistan and Uzbekistan | Jul-04 |
| 12 GF/2711-02-4516 | Desert margins programme – phase I | Aug-04 |
| 13 GF/4030-02-03 | Development of national implementation plans for the management of persistent organic pollutants in 12 pilot countries | Sep-04 |
| 14 GF/2724-03-4602 | Expedited financing for (interim) measures for capacity-building in priority areas in Mauritania – phase II | Sep-04 |
| 15 GF/2010-01-05 | Expedited financing for (interim) measures for capacity-building in priority areas in Niue – phase II | Oct-04 |
| 16 GF/1030-01-01 | Land-use change analysis as an approach for investigating biodiversity loss and land degradation (LUCID) | Nov-04 |



| Project code | Project title | Date completed |
|------------------|--|----------------|
| 17 GF/2200-97-52 | Enabling activities for the preparation of initial national communications related to the United Nations Framework Convention on Climate Change – South Africa | Dec-04 |
| 18 GF/5022-01-01 | Pilot demonstration project on sustainable use and management of resources in the Arun Valley | Dec-04 |
| 19 GF/2200-97-50 | Enabling activities for the preparation of initial national communications related to the United Nations Framework Convention on Climate Change – Nepal | Dec-04 |
| 20 CP/4040-02-10 | UNEP Risø Centre on energy, climate and sustainable development | Jan-05 |
| 21 - | Evaluation of the Coordination Office of the Division of Regional Cooperation | Jun-04 |
| 22 - | Study of the Environmental Management Group | Dec-04 |

Note: (a) refers to GF/2110-98-05, GF/2110-99-02, GF/2110-99-16, GF/2110-99-07, GF/4040-01-15, GF/2110-99-03, GF/4040-02-04, GF/4040-00-21, GF/4040-01-14, GF/4040-00-23, GF/4040-02-03, GF/4040-01-13, GF/4040-01-07, GF/4040-02-05.



Annex III

List of self-evaluation fact sheets and terminal reports for 2004

1. **CRL-2324-2024-2661**
Specially Protected Areas and Wildlife (SPAW)
2. **ME-6030-00-13**
Technical support to the implementation of MED POL -Phase III Programme
3. **CP/3010-02-01**
Roles of Women in Water and Energy Management in Rural Areas in South Asia-
Capacity Building in Rural Areas of the Himalaya
4. **CP/3010-01-05**
Promotion of the Use of Renewable Energy Resources and Conservation of Flora
Species in the Drylands of Mega-Chad of the west African Sub-Region: Good Practices
Model Village Approach in Land Degradation
5. **CP/3010-01-03**
Pilot Project on Empowering Women in Rainwater Harvesting in the Pacific Atoll Islands
6. **EL/3010-01-18**
Partnership for Development of Environmental Law and Institutions in Africa
(PADELIA)
7. **CP/3000-03-01**
Implementation of Guidelines on National Enforcement and Cooperation in Combating
Violations of Laws and Enhancing Compliance with Multilateral Agreements (MEAs).
8. **CP/3010-01-17**
Dams Development (Follow-up to the World Commission on Dams project)
9. **DP/1000-02-01 and FP/1000-02-01**
Global Land Cover Network (GLCN); outreach workshops in West Africa, Asia &
Pacific and South America
10. **DP/1000-04-01-2204 and FP/1000-04-01-2201**
Global Land Cover Network (GLCN); regional outreach workshops in Southern Africa,
Near East and Central America, and development of distance learning tools and LCCS
translations
11. **FP/1000-02-01-2101**
FAO-UNEP Global Land Cover Network (GLCN) programme; Technical Experts
Conference in Artimino, Italy



12. **GF/1100-99-01**
Global International Waters Assessment (GIWA)
13. **GF/1200-96-03 (Phase 11)**
Assessment of Capacity Building Needs for Biodiversity, Participation in CHM and Preparation of a Second National Reports to the Convention of Biological Diversity (Phase II)
14. **GF/2715-04-4757**
In situ Conservation of Crop Wild Relatives through Enhanced Information Management and Field Application
15. **GF/2715-02-4517**
Conservation and Sustainable Management of Below Ground Biodiversity, Phase I
16. **GF/1030-02-05**
Conservation of Gramineae and Associated Arthropods for Sustainable Agricultural Development in Africa.
17. **GF/2010-01-14**
Community-Based Management of On-farm Plant Genetic Resources in Arid and Semi-Arid Areas of Sub-Saharan Africa.
18. **GF/1030-01-01**
Land Use Change Analysis as an Approach for Investigating Biodiversity Loss and Land Degradation.
19. **GF/6010-01-01**
Development of National Biosafety Frameworks
20. **GF/6010-04-02**
Building Capacity for Effective Participation in the Biosafety Clearing House (BCH)
21. **GF/2732-04-4768**
Promoting Ecosystem-based Approaches to Fisheries Conservation and LMEs
22. **GF/4030-02-04**
Reduction of Environmental Impact from Tropical Shrimp Trawling, through the introduction on By-catch Reduction Technologies and Change of Management
23. **FP/RA/CP/1020-01-02/Rev 8**
Asia and the Pacific: Networks for data-information generation, analysis observation and assessment
24. **XG/2010-01-11**
Biological Diversity Conservation through Participatory Rehabilitation of the Degraded Lands of the Arid and Semi-Arid Transboundary Areas of the Mauritania and Senegal.
25. **GF/5021-01-03**
Development and Integration of the Environmental Component in the “Partnership for Africa Renewal” Programme



26. **GF/1030-02-01**
Assessment of Soil Organic Carbon Stocks and Change at National Scale.
27. **GF/2711-02-4516**
Desert Margins Programme (DMP) Phase I, 2 years, 2002-2004 Phase II 2 years, 2005-2006 Phase III, 2 years, 2006-2008
28. **GF/2740-02-4515**
Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa (Kenya, Mali & Botswana)
29. **FP/4100-98-01**
Action Programme on the Financial Services Sector and the Environment
30. **MT/4040-01-08**
Brazil Rural Energy Enterprise Development (Breed) Initiative
31. **GF/4040-01-10**
Solar and Wind Energy Resource Assessment
32. **GF/4040-01-82**
Solar and Wind Energy Resources Assessment – Ghana
33. **GF/4040-01-4343**
Technology Transfer Networks - Phase I: Prototype Set-Up & Testing and Phase II: Prototype Verification & Expansion (SANET)
34. **CP/5021-01-01**
Nairobi River Basin Programme
35. **CP/5021-01-02**
Support to the African Ministerial Conference on Environment (AMCEN) – Participation of African Countries to Environment Fora
36. **UT/4050-01-01**
UNEP-UNCTAD Capacity Building Task Force on Trade, Environment and Development (CBTF); UNEP-led Projects
37. **FR/4200-99-01**
Elaboration of Proposals for Improvement of EIA Process in Environmentally Sound Decision-Making for the CIS Countries
38. **CP/4050-03-01**
Capacity Building for Integrated Economic, Environmental and Social Assessment and Planning to Formulate and Implement Sustainable development policies contributing to poverty eradication and sustainable trade
39. **FP/4050-00-01**
Action Programme on Economics and Trade
40. **PN/6030-02-07**
Support to Pollution Monitoring in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan



41. **PN/1100-97-12**
Support for Implementation of the Northwest Pacific Action Plan
42. **PN/1100-97-09**
Support for Development of Effective Measures for Regional Cooperation in Marine Pollution Preparedness and Response in the Northwest Pacific
43. **PN/6030-02-10**
The Regional Coordinating Unit for the NOWPAP
44. **PN/6030-02-08**
Support to Special Monitoring and Coastal Environmental Assessment in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan
45. **PN/6030-02-09**
Support to Data and Information Networks in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan
46. **PN/6030-02-05**
Support for the Development of Marine Environmental Emergency Preparedness and Response in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan
47. **CP/1000-02-03/Rev 3**
Assessment of Pollution Status and Vulnerability of Water Supply Aquifers of African Cities
48. **CP/4040-00-14/Rev 3**
Capacity Building on Technological and Economic Integration of Wind Energy and Other Relevant Renewable Energy Technologies into the Electricity Systems of Pacific Island Countries (PICs)
49. **FP/4040-00-01**
UNEP Collaborating Centre on Energy and Environment - Phase V
50. **CP/4040-02-10**
UNEP Collaborating Centre on Energy and Environment - Phase VI
51. **CP/3000-02-01**
Training of African Journalists on Environmental Reporting
52. **GF/1010-01-04**
Millennium Ecosystem Assessment
53. **BT/6020-01-05**
Eurobats Secretariat in Collaboration with the Convention on Migratory Species of Wild Animals (CMS) Secretariat (Agreement on the Conservation of Populations of European Bats, UNEP/EUROBATS).
54. **CP/3000-02-01-2224**
Support of the Central Coordination of the Global Coral Reef Monitoring Network and the Data Collection Activities under Reef Check.



55. **MT/1010-01-03**
International Coral Reef Action Network (ICRAN) – Action Phase
56. **PO/4030-02-17**
Preparation of National Inventories and national plans for the environmentally sound management of PCBs and PCB containing equipment in Central American and Panama
57. **GF/5024-02-01**
Global Environmental Citizenship
58. **GF/2713-03-4698**
Sustainable Conservation of Globally Important Caribbean Bird Habitats
59. **ET/5240-96-02**
Environmental Training Network for Latin America and the Caribbean (ETN)
60. **XT/6020-01-06**
Long-term system for Monitoring Illegal Killing of Elephants (MIKE) programme in Africa
61. **XT/6020-01-07**
Long-term system for Monitoring Illegal Killing of Elephants (MIKE) Programme in Africa and Asia
62. **CT/6010-00-25**
Provision of trade monitoring and trade data analysis services and technical support to CITES
63. **AW/6020-00-02**
Budgetary Provisions for the African EuroAsian Migratory Waterbirds AEWA
64. **AE/3010-03-35(10)**
Afghanistan Post-Conflict Environmental Assessment
65. **AE/3020-04-03(72)**
Strengthening Environmental Governance in Iraq Through Environmental Assessment and Capacity Building.
66. **AE/RA/3010-03-11**
Desk Study on the Environment in the Occupied Palestinian Territories
67. **AE/3010-03-61 AE/RA/3010-03-25**
Iraq Post-Conflict Environmental Assessment
68. **UC/3010-03-35(12)**
Databank to assist United Nations Compensation Commission on Environmental Claims
69. **CP/BP/2000-04-02**
Strengthen Environmental Policy and Management Capacity at the National and Local Levels as a Contribution to Poverty Alleviation and Sustainable Development in Africa
70. **CP/2000-04-03**
An Ecosystem Approach to Restoring West African Drylands and Improving Rural Livelihoods through Agroforestry-based Land Management Interventions.



71. **GF/2010-01-07**
Assessment of Impacts and Adaptation to Climate Change in Multiple Regions and Sectors (AIACC)
72. **GF/2200-97-16**
Assistance to Selected Non-Annex 1 Parties for the Preparation of Initial National Communications
73. **FP/JC/CP/CP/4010-00-01**
International Environmental Technology Centre (IETC)
74. **EB/5023-00-05**
Service for Implementing National Biodiversity Strategies and Action Plans
75. **CP/5023-01-01**
Supporting the Implementation of the Pan-European Biological and Landscape Diversity Strategy, Including the Organization of the Budapest "Biodiversity in Europe" Conference
76. **FP/3010-00-35**
Implementation of UNEP Functions as the Secretariat of the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities (GPA)
77. **FP/6000-04-02**
Regional Seas Costed Workprogramme
78. **GF/2732-02-4442**
Demonstrations of Innovative Approaches to the Rehabilitation of Heavily Contaminated Bays in the Wider Caribbean Region Demonstrations of Innovative Approaches to the Rehabilitation of Heavily Contaminated Bays in the Wider Caribbean Region Demon
79. **OCL-2324 2420-2661 (XC-6030-02-04)**
Planning for the Rehabilitation, Environmental Management and Coastal Development in Nicaragua, Honduras and Guatemala in the Wake of Hurricane Mitch
80. **CP/5026-00-01**
Integrated Natural Resources Management Implementation of Start-Up Activities that will be conducted in the four sides Lebanon and Yemen for the mountainous areas and Syria and Jordan for rangeland rehabilitation
81. **CP/5026-00-89**
Inventory Study and Regional Database on Sustainable Water Resources and Vegetation Cover Management in West Asia
82. **FP/5026-00-01**
Updating the Study on the State of Desertification in Arab Region
83. **CPL-2000-04-01-3342**
Environment and Cultural Diversity for Sustainable Development
84. **CPL-2000-04-01-3322**
Capacity Building for Southern Civil Society Organization.



85. **GF/4040-00-23**
Institutional Strengthening at Country Level (Ozone)
86. **GF/4040-02-05**
Training Activities (Ozone): covered by one project number for purposes of this self-evaluation report (SER) exercise.
87. **GF/2110-98-05**
Promoting Compliance with the Trade and Licensing Provisions of the Montreal Protocol in CEITs
88. **GF/ME/6030-00-08**
Determination of Priority actions for the further elaboration and implementation of SAP for the Mediterranean Sea (MEDU/GEF)
89. **MS/6020-01-01**
Convention on Migratory Species
90. **GF/4020-01-04**
Promoting Industrial Energy Efficiency through a Cleaner Production/Environmental Management System Framework.
91. **PN/6030-04-07**
Support to Special Monitoring and Coastal Environment Assessment in NOWPAP region under the framework of NOWPAP
92. **PN/6030-04-10**
Support to Pollution Monitoring in NOWPAP region under the framework of Northwest Pacific Action Plan
93. **PN/6030-04-09**
Support to Data and Information Networks in NOWPAP region under the framework of NOWPAP
94. **PN/6030-04-08**
Support for the development of marine environmental emergency preparedness and response in the NOWPAP region
95. **XN/6030-02-61**
Support for the implementation of Northwest Pacific Action Plan (Japanese contribution)
96. **XN/6030-02-62**
Support for the Implementation of North West Pacific Action Plan (Korean contribution)
97. **ES/6030-00-06**
Establishment of an Effective Coral Reef Monitoring Network in the East Asian Seas Region
98. **ES/1100-96-12**
Support for the Operation of the Regional Coordination Unit for the East Asian Seas Action Plan (RCU/EAS)



99. **GF/2730-02-4340**
Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand.
100. **FP/CP/5023-02-03**
Sustainable Consumption Opportunities in Europe
101. **GF/2770-03-4723**
Global Support to Facilitate the Early Development & Implementation of Land Degradation Programs & Project Under the GEF Operational Program (OP) 15
102. **PP/3100-99-03**
Interim Secretariat for the Rotterdam Convention - FAO
103. **PO/4030-03-07**
Preparation of National Inventories of PCBs and PCB containing equipment in the SADC sub-region
104. **PO/3100-97-03**
International Action on Persistent Organic Pollutants
105. **PP/3100-99-04**
Interim Secretariat for the Rotterdam Convention - UNEP
106. **MC/4030-01-02**
Global Assessment of Mercury and its Compounds
107. **GF/1040-03-01**
Support for the World Park Congress (WPC), September 8-17, 2003. Durban, South Africa
108. **GF/2740-04-4773**
An Integrated Ecosystem Management Approach to Conserve Biodiversity and Minimize Habitat Fragmentation in Three Selected Model Areas in the Russian Arctic (ECORA)
109. **GF/2713-03-4679**
Ecosystems, Protected Areas and People
110. **GF/2740-03-4645**
Support for World Parks Congress , September 8-17 2003, Durban, South Africa
111. **GF/2712-03-4627**
Development of a Wetland Site and Flyway Network for Conservation of Siberian Crane and Other Migratory Waterbirds in Asia (China, Iran, Kazakhstan & Russian Federation)
112. **GF/2711-02-4609**
Development of the Econet for Long-term Conservation of Biodiversity in the Central Asia Ecoregions
113. **GF/1010-00-14**
Catalyzing Conservation Action in Latin America: Identifying Priority Sites and Best management Alternatives in five Globally Significant Ecoregions



114. **GF/1020-02-01**
Biodiversity Indicators for National Use
115. **GF/1020-01-12**
Biodiversity Conservation and Integration of Traditional Knowledge on Medicinal Plants in National Primary Health Care Policy in Central America and Caribbean
116. **GF/2740-02-4571**
National Capacity Needs Self-assessment for the Global Environmental Management (NCSAs)
117. **GF/4040-02-22 GF/4040-02-72**
Joint Geophysical Imaging for Geothermal Reservoir Assessment
118. **GP/3010-01-21**
Development of Pilot National Programme of Action (NPA) for the Protection of the Marine Environment from land-based activities in Egypt
119. **GP/3010-02-02**
Development of Pilot National Programme of Action (NPA) for the Protection of the Marine Environment from land-based activities in Nigeria
120. **GF/3010-02-06**
Implementation of the National Biosafety Framework of Kenya
121. **GF/3010-02-05**
Implementation of the National Biosafety Framework of Poland
122. **GF/3010-02-09**
Implementation of the National Biosafety Framework of Bulgaria
123. **GF/3010-02-11**
Implementation of the National Biosafety Framework of Uganda
124. **GF/3010-02-07**
Implementation of the National Biosafety Framework of Cameroon
125. **GF/3010-02-08**
Implementation of the National Biosafety Framework of Namibia
126. **GF/3010-02-12**
Implementation of the National Biosafety Framework of China
127. **GF/3010-02-10**
Implementation of the National Biosafety Framework of Cuba
128. **MEL/2322-2664-2202 and QML/2322-2664-2298**
Support to the Regional Activity Centre for the Priority Actions Programme
129. **MEL 2322-2728-2664 and QML-2322-2729-2664 and ME/XM/6030-04-02**
Support to Regional Activity Centre for Specially Protected Areas (SPA/RAC)
130. **LD/2724-03-4653**
Enabling Activities to facilitate the Preparation of National Adaptation Plan of Action (NAPA)



Annex IV Implementation plan for the recommendations of the 2003 annual evaluation report

| Findings | Recommendations | Measures taken | Action still required | Expected Results | Date of completion | Responsible Unit |
|---|--|--|---|------------------|--------------------|-----------------------|
| <p>Generally projects did not submit required reports on time and sometimes reports were not submitted at all. Even in cases where reports were submitted, their quality was poor. The evaluations also found that enforcement of the current reporting requirements was not effective. At the same time, the projects recognized monitoring and reporting as both a challenge and a risk. Over 25 per cent of the projects described monitoring and reporting as high risk. Weaknesses in reporting at the subprogramme level were also recognized to the extent that assessing the success of the subprogramme was difficult.</p> | <p>Recommendation 1 The UNEP Senior Management Group should review and assess the current monitoring and reporting system and requirements. This review should include, among other things, assessment of the content of the reporting and data needs, identification of possible duplication between current reporting requirements, and mechanisms for monitoring and enforcing compliance both at project and subprogramme level. The review should be followed by an implementation plan for streamlining new reporting requirements and training of staff.</p> | <p style="text-align: center;">A. Monitoring and reporting</p> | <p>Evaluation findings do not make any reference to shortcomings in the report content; data needs and duplicate reporting requirements. Accordingly, the part of the recommendation calling for a review of the reporting system – focusing on contents, data needs and duplication – is not based on actual findings and should be closed without necessitating further action.</p> <p>With regard to compliance with submission requirements, however, the Deputy Executive Director will hold division directors responsible for quality and timely submission of both subprogramme and project reports through the PAS mechanism ("high quality and timely reporting on projects and subprogrammes" will constitute an achievement indicator under PAS objective related to programme management). This is a continuous process and it</p> | | <p>May 2006</p> | <p>PCMU/ ODED</p> |





| Findings | Recommendations | Measures taken | Action still required | Expected Results | Date of completion | Responsible Unit |
|--|--|--|--|--|----------------------|------------------|
| <p>While UNEP has made some progress in engaging partners in universities and scientific institutions, engagement of the private sector remains limited both at the project and subprogramme level. In the absence of commitment from the private sector, for example in cases where private sector companies are the main stakeholders of the project, the sustainability of project results can be questioned. When discussed with UNEP programme management it was recognized that no guidelines exist and there is no inventory of whether any tools have been developed and are available for selecting partners in general and, specifically, from the private sector.</p> | <p>Recommendation 2</p> <p>The Civil Society Task Group and the Civil Society Branch of the Division of Policy Development and Law should analyse and prepare a proposal on how the engagement of the private sector could be strengthened at the project level. This should include guidance to programme or project managers on, for example, how to identify private sector partners, what role these partners would play, what mechanism would be appropriate in their engagement and management, as well as what incentives can be offered to them. As a follow-up, UNEP should also review existing mechanisms for collecting data on private sector partners and how these could be enhanced and deployed for wider use.</p> | <p>As a follow up to the Malmö Declaration, the Division of Policy Development and Law (DPDL) has recognized that "the private sector has emerged as a global actor that has a significant impact on environmental trends". DPDL also considers that the Global Compact established by the Secretary-General of the United Nations with the private sector provides an excellent vehicle for the development of constructive engagement. The debate on international environmental governance has included business and industry. Capacity-building efforts in developing countries in the field of environmental law have had an impact on the private sector.</p> <p>While the Division of Technology, Industry and Economics (DTIE) is in charge of the</p> | <p>will result in better compliance with reporting requirements.</p> <p>(Note: Subprogramme level reporting is done using integrated monitoring and documentation information (IMDIS) – United Nations system-wide standard methodology for this purpose).</p> | <p>Give more visibility to private sector interventions in policy design, and disseminate information on good practices.</p> | <p>December 2007</p> | <p>DPDL</p> |
| <p>B. Stakeholder Involvement</p> | | | | | | |

| Findings | Recommendations | Measures taken | Action still required | Expected Results | Date of completion | Responsible Unit |
|----------|-----------------|---|-----------------------|------------------|--------------------|------------------|
| | | <p>implementation of projects and programmes with the private sector, DPDL addresses these issues in the framework of its civil society relations and policy design, as business and industry are part of major groups (Agenda 21 definition).</p> <p>There is a clear delineation of responsibilities between DTIE and DPDL. Cooperation between the two divisions has been continuing, especially during preparations for the yearly Global Civil Society Forum, where the private sector is represented. The Forum and other major group meetings are therefore open to private sector delegates, who interact with NGOs and make statements consigned in the official reports of the meetings. Through this mechanism, they are engaged in policy design – a development which was recognized in plenary by the private sector during the twenty-third session of the Governing Council/Global Ministerial Environment Forum.</p> <p>More recently, a proactive accreditation policy has also been put into place, facilitating the accreditation of new business and industry organizations.</p> | | | | |





| Findings | Recommendations | Measures taken | Action still required | Expected Results | Date of completion | Responsible Unit |
|--|--|--|-----------------------|------------------|--------------------|------------------|
| C. Financial sustainability | | | | | | |
| <p>Financial planning for securing sustainability of project activities is inadequate. Almost 40 per cent of the projects had made no provision for ensuring financial sustainability after the closure of the projects. This was mainly due to inadequate resource mobilization and absence of financial strategies. The finding is in line with recommendations of the 2002 annual evaluation report, which requested the inclusion of resource mobilization activities in project design to support in-country follow-up activities beyond the funded life of projects.</p> | <p>Recommendation 3</p> <p>In order to support increasing efforts of UNEP to build capacity and increase the sustainability of activities at the country level, UNEP should ensure, through its project approval group and project guidelines, that strategies and approaches for financial sustainability of projects are included as outputs in those projects where the activity is expected to continue beyond the involvement of UNEP.</p> | <p>Currently, adequate attention is given to the sustainability aspect of projects during the inter-divisional project review process and project proponents are often requested to incorporate strategies that can ensure the sustainability of the project. The Chair of the Project Approval Group (PAG) often reminds programme managers of the importance of the project sustainability.</p> <p>PAG, through its approval process, will ensure that full attention is paid in the future to the financial and programmatic sustainability of projects. The training programmes conducted by the Programme Coordination and Management Unit (PCMU) on project design will pay particular attention to this issue to ensure that project managers are fully aware of the importance of project sustainability. In addition, the project manual currently under review will provide adequate guidance and references on this issue. This will be a continuing effort and it will result in greater sensitivity, understanding and drive towards project sustainability among UNEP staff.</p> | | | | PCMU |

| Findings | Recommendations | Measures taken | Action still required | Expected Results | Date of completion | Responsible Unit |
|---|---|----------------|---|------------------|--------------------|------------------|
| D. Financial management | | | | | | |
| <p>A recurring concern in the financial management of projects has been the delay in the disbursements of funds to the projects, which in turn often leads to delays in the implementation of planned activities.</p> | <p>Recommendation 4 The Programme Coordination and Management Unit, in cooperation with the Budget and Finance Management Service of the United Nations Office at Nairobi, should assess the reasons behind delays in disbursements and provide a report to the Senior Management Group of UNEP, including recommendations on how the situation could be improved.</p> | | <p>Reference the memo from O-i-C, BFMS, dated 12 October 2004 addressed to the Chief, EOU. As pointed out in the memo, BFMS usually processes requests for the disbursement of funds within two working days, provided that they have received the proper authority to disburse; and the delays in obtaining the necessary authority could depend on a number of reasons.</p> <p>Accordingly, to facilitate investigation of this claim, please provide BFMS with a list of projects whose implementation has been affected by the delay in disbursement of funds; and any relevant information you received from respective programme managers substantiating their claim.</p> | | | PCMU |





| Findings | Recommendations | Measures taken | Action still required | Expected Results | Date of completion | Responsible Unit |
|---|--|---|-----------------------|------------------|--------------------|------------------|
| <p>Like previous evaluations of the Division of Environmental Conventions, the Division of Environmental Policy Implementation and the Division of Communications and Public Information, the evaluation of the Division of Policy Development and Law points to a need to review the mechanism of allocation, prioritization and monitoring of resources at the subprogramme level. With over 70 per cent of the resources (excluding overheads, such as communication, equipment, rent and so forth) being tied to human resources, it was not clear how the division would be able to implement its programme of work. In addition, some core activities, such as those relating to gender, suffered because already scarce programme funds were reallocated to new and emerging activities.</p> | <p>Recommendation 5 In order to maximize the use of resources and enable the divisions to implement their programmes, senior management in the UNEP divisions should analyse the size, composition and distribution of human resources in each division. Based on the needs and requirements identified, a training and recruitment plan should be developed with the aim of securing a healthier balance between human resources and other expenditures.</p> | <p>The current practice in UNEP is to use the EF resources primarily for meeting the staff and other operating costs and the extrabudgetary resources for funding activities. As shown in the paragraph below, for UNEP overall in the period 2004–2005 there is a healthier balance between staff and non-staff expenditures.</p> <p>For 2004–2005, estimated availability of programme resources from all sources is \$219 million. This consists of \$100 million attributed to posts and \$118 million attributed to non-post items. Accordingly, overall not less than 53% of total programme resources is available for non-staff expenditures. Furthermore, the percentages of total programme resources available from all sources for non-staff expenditures in the cases of DPDL, DEPI, the division of Environmental Conventions (DEC) and the Division of Communications and Public Information (DCPI) are 43%, 66%, 59% and 50% respectively. On the other hand, a total of \$10 million of the 2004 allocation was unspent as of the end of 2004.</p> <p>This recommendation should therefore be closed without necessitating further action.</p> | | | | <p>ODED</p> |

E. Resource allocation

| Findings | Recommendations | Measures taken | Action still required | Expected Results | Date of completion | Responsible Unit |
|---|--|----------------|--|------------------|--------------------|------------------|
| <p>The roles and responsibilities among divisions are unclear in several areas and this has led to duplication and increase in administrative workloads. For example, the Division of Policy Development and Law is experiencing problems in the area of environmental law and capacity-building with the Division of Environmental Policy Implementation, as well as in the area of poverty and environment with the Division of Technology, Industry and Economics.</p> | <p>Recommendation 6</p> <p>The UNEP Senior Management Group should develop and agree on a process to identify all areas of overlap and gaps between UNEP divisions and reach agreement on which division will take the lead and perform the various roles and responsibilities with regard to these activities.</p> | | <p>An external independent consultant will be hired to undertake an assessment of the development of the UNEP work programme and its implementation and of the administrative structures and processes necessary to implement the UNEP mandate in an operational manner. (SMG retreat minutes No. 126, held 27 and 28 February 2005)</p> | | | SMG |

F. Roles and responsibilities between divisions



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

www.unep.org

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

