

*United Nations Environment Programme*

**2002  
Annual Evaluation Report**

**Evaluation and Oversight Unit**

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## Foreword

The annual report of the United Nations Environment Programme (UNEP), “UNEP in 2002”, describes in considerable detail our work in environment and development, with special focus on the organization’s priority areas of water, clean and renewable energy, health and environment, sustainable agriculture and biodiversity. “UNEP in 2002”, and the evaluations conducted in 2002 on which it was based, are clear testimony that UNEP, even while faced with limited resources, has implemented activities throughout the world in its priority areas and that those activities have been largely successful. The 2002 evaluations have shown that by successfully delivering its work programme, the organization has continued to work to promote United Nations environmental priorities within the WEHAB (water, energy, health, agriculture and biodiversity) framework adopted at the 2002 World Summit on Sustainable Development.

This report underscores the importance of our partnership with the Global Environment Facility (GEF) in implementing our global environment agenda within the WEHAB framework. Our work has benefited tremendously from lessons learned from the implementation of GEF activities. Implementation of GEF activities has enhanced the capacity of the organization in implementing programmes at the national, regional and global levels. Further, the report provokes internal rethinking on the implementation of international environmental agreements and the relationship between UNEP and the secretariats of the environmental conventions it administers.

The evaluations clearly show that demand for UNEP products continues to grow and that UNEP publications are among the most sought after in the field of environment and sustainable development. With a bolstered mandate from the seventh special session of the UNEP Governing Council, we have increased our role in country-level capacity-building and training and national-level coordination of the environmental component of sustainable development. As in the previous year, the evaluations recommend more effective integration of our subprogrammes through improved interdivisional collaboration.

Just as important as its accountability function, learning and knowledge sharing is a critical function of evaluation. The purpose is to enhance the capacity of the organization and its clients to achieve their environmental goals through learning. We are convinced that our initiatives in the development of information networks and knowledge sharing are positive investments in our efforts to improve the quality of our operations and facilitate the achievement of our environmental goals. However, more needs to be done to integrate knowledge sharing in the organization’s core work processes.

Klaus Töpfer

Executive Director

## **Preface**

The 2002 Annual Evaluation Report is another in a series of annual evaluation reports prepared by the Evaluation and Oversight Unit as intersessional documents of the Governing Council. It should be noted that this report is not itself an evaluation of UNEP. Instead, it represents a synthesis of evaluations conducted by the Evaluation and Oversight Unit in 2002. The key recommendations are those that the Unit considers the most important to highlight to senior management and to the UNEP Governing Council.

As in the 2001 Annual Evaluation Report, this report shows that UNEP has expanded and continued to work effectively with its collaborators, including Governments and non-governmental organizations. Our work in building environmental policy consensus within the international community through ministerial forums and processes has continued to expand.

UNEP has continued to provide the international community with environmental knowledge through the development and dissemination of appropriate tools, guidelines and policy instruments. In the area of capacity-building, the organization has intensified its work through the development and testing of guidelines and manuals, the organization of seminars, workshops, short courses, and traineeships to meet specific needs and in general through support for institution building at the regional, subregional, national and local levels. The 2002 report includes, in an overview chapter, analyses of UNEP activities in the development and dissemination of knowledge products. We expect this initial work to form the basis for future studies and further work towards the development of a coherent knowledge management framework for the organization.

Our efforts to improve self-evaluation of our projects through management action and process refinements have resulted in substantial improvement of self-evaluation reporting in 2002. Synthesis of the evaluation findings included here has been done according to the United Nations evaluation parameters of relevance, efficiency, effectiveness and impact.

Segbedzi Norgbey

Chief, Evaluation and Oversight Unit

## Acknowledgement

The UNEP 2002 Annual Evaluation Report was prepared from evaluations conducted by consultants and staff of the Evaluation and Oversight Unit in consultation with UNEP programme and project managers.

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

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The efforts of all programme and project managers and coordinators who submitted self-evaluation fact sheets are also highly appreciated.

The Evaluation and Oversight Unit expresses its appreciation to UNEP division directors and staff, whose comments have greatly enriched this report.

Evaluation and Oversight Unit

## List of acronyms

BSGN	Best Practices and Success Stories Network
CAMP	Coastal area management plans
CBD	Convention on Biological Diversity
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
DCPI	Division of Communications and Public Information
DEC	Division of Environmental Conventions
DED	Deputy Executive Director
DEPI	Division of Environmental Policy Implementation
DEWA	Division of Early Warning and Assessment
DGEF	Division of Global Environment Facility Coordination
DPDL	Division of Policy Development and Law
DTIE	Division of Technology, Industry and Economics
EOU	Evaluation and Oversight Unit
ETN-LAC	Environmental Training Network for Latin America and the Caribbean
GEF	Global Environment Facility
GNESD	Global Network on Energy for Sustainable Development
GRID	Global Resources Information Database
IAF	Investment Advisory Facility
ICAM	Integrated coastal area management
ICRAN	International Coral Reef Action Network
ICRI	International Coral Reef Initiative
IPCC	Intergovernmental Panel on Climate Change
NBSAP	National biodiversity strategies and action plans
PADELIA	Partnership for the Development of Environmental Laws and Institutions in Africa
PAP-RAC	Priority Action Programme Regional Activity Centre
PDF	Project Preparation and Development Facility
PLEC	People, Land Management and Environmental Change
ROLAC	Regional Office for Latin America and the Caribbean
SANet	Sustainable Alternatives Network
SEAF	Sustainable Energy Advisory Facility
SEFS	Self evaluation fact sheets
TVE	Television Trust for the Environment
UCCEE	United Nations Environment Programme Collaborating Centre on Energy and Environment
UNEP	United Nations Environmental Programme
UNESCO	United Nations Education, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNON	United Nations Office at Nairobi
WCMC	World Conservation Monitoring Centre
WEHAB	Water, Energy, Health, Agriculture and Biodiversity

## Executive summary

1. The 2002 Annual Evaluation Report provides a review and analysis of three subprogramme evaluations, 14 in-depth project evaluations, one desk evaluation and 106 self-evaluations conducted in 2002. The analysis was based on the standard United Nations evaluation parameters of appropriateness, effectiveness, efficiency and impact.
2. At the subprogramme level, the report describes the approaches and strategies used in implementing the UNEP programme of work. At the project level, the effectiveness and efficiency of institutional structures used in delivering project outputs, sustainability of results achieved, budget utilization, timeliness of project completion and project impacts were reviewed.
3. The evaluations clearly show that overall, UNEP activities at the subprogramme level were successful. The Division of Environmental Conventions (DEC) successfully delivered its work programme for 2000-2001 as part of UNEP support to the work of environmental conventions through information dissemination and outreach. DEC delivered most of its planned outputs. More than 100 specific reports, a number of scientific papers and a large number of service activities were delivered. The division supported work requested by multilateral environmental agreement secretariats and regional seas conventions and conducted awareness-raising activities.
4. The Division of Environmental Policy Implementation (DEPI) completed most of its main tasks during the biennium. Selected DEPI activities were considered innovative and were recommended as models to be replicated within the organization. For example, the Partnership for the Development of Environmental Laws and Institutions in Africa (PADELIA) project has contributed to making significant changes in national policies, laws and institutions in seven African countries. Other DEPI activities consisted mainly of assessment missions and studies, pilot projects, training courses, policy guidelines and surveys of best practices aimed at policy, legal and institutional changes. Specifically, DEPI implemented over 170 different activities, participated in over 200 meetings, conducted and supported over 28 training courses and published over 100 studies and reports.
5. The evaluations found an urgent need to strengthen the role of both DEPI and DEC in implementing the sustainable development policy agenda, building capacity and supporting synergistic cooperation among conventions. They called for the refocusing of the programmes and activities of the divisions more strategically and for improvements in the capacity to mobilize resources for implementation of their core activities. More effective collaboration with other divisions was also recommended.
6. The Division of Communications and Public Information (DCPI) substantially achieved the planned results and outputs in its 2000-2001 work programme. The quality of outputs remained high, as evidenced by its publicity efforts, the annual World Environment Day ceremonies and children's and youth conferences and publications. UNEP appeared more frequently in international news spotlights than it did previously. The number of UNEP news stories successfully placed with global media increased to 2.5 times per month on average in 2001, up from once a month in 2000. UNEP web sites were revamped, with increasing emphasis on the design, production and dissemination of information.
7. The evaluation has, however, identified the need for more effective interdivisional cooperation, improved news placements in international newsmagazines and improved online distribution of publications. Also, the need for uniting management relationships with all non-governmental organizations, including youth programmes, was identified. The goal would be to avoid duplication and achieve efficiencies in outreach activities.
8. The 14 in-depth evaluations of projects carried out in 2002 included eight projects within the WEHAB areas of water, energy, agriculture and biodiversity, for which GEF was the most important funding source. The largest cluster of in-depth evaluations related to enabling activities projects for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC) in the Central African Republic, Djibouti, Haiti and Mongolia. The first evaluation of enabling activity support to Parties to the Convention on Biological Diversity (CBD) was carried out in Estonia. These evaluations demonstrated a need to further develop the capacity of national Governments to follow up on the implementation of action plans and recommendations developed during the preparation of national communications.

9. UNEP projects explored ways and means to build capacity, improve knowledge sharing and involve stakeholders at the local level. A multi-stakeholder approach was adopted in the implementation of all UNEP projects. The evaluations, however, commented on the bias found in many projects towards technocrats, research scientists and academia at the expense of policy makers, civil society and the private sector. Poor participation by women in project implementation was noted.

10. A total of 106 projects were internally evaluated through the self-evaluation mechanism. Overall, the level of outputs achieved was highly rated. All completed projects achieved over 75 per cent of their expected outputs. The geographic scope of projects showed that most UNEP work was done at the global (34 per cent) and regional (43 per cent) levels and to a lesser extent at the interregional (15 per cent) and national (8 per cent) levels. Biodiversity projects accounted for 48 per cent of all projects; agriculture and health, at the lower end, were 4 per cent each. The main UNEP contributions to project implementation included provision of expertise, methodologies, guidelines, guidance and advisory services. In terms of project management, about 90 per cent of the projects reviewed were extended beyond the original time frame and only 4 per cent of the 29 completed projects were completed on time. The most frequently stated reasons for delays included weak capacity of executing agencies, especially at the national level; weak preparation; changes in staff, activities, participating countries or agencies and budgets; slow bureaucratic procedures for the approval, procurement and disbursement of funds; and poor project coordination and communication.

11. The 2002 evaluations produced a number of recommendations based on the findings of the evaluation reports and self-evaluations in three broad areas: programme management; policy coordination and implementation; and project design, management and stakeholder involvement. The key findings and recommendations are discussed in the following pages.

## **I. Summary of findings and recommendations**

### **A. Programme management**

#### ***1. Interdivisional cooperation***

##### **Findings**

12. UNEP was fundamentally restructured in 1999. The restructuring represented a major shift from a sectoral approach to a functional approach in the structure of the organization and its programmes. Although aimed at meeting the need for an integrated and coherent policy response to existing and emerging environmental challenges, some components of the new structure do not function logically and are less than optimally effective in the divisions in which they have been placed.

13. Implementation of programme components is widely dispersed among different divisions along functional lines, with no institutionalized system of communication and coordination. Where task forces exist to formalize communication and collaboration between divisions, programme delivery is effective.

##### **Recommendations**

14. Based on the lessons so far learned under the functional approach and structure, UNEP should review the appropriateness and effectiveness of the organizational setup and location of programme components to ensure that they reflect the desired functional logic and coherence based on their missions and specific mandates.

15. It is further recommended that UNEP strengthen communication, sharing of information and coordination within and between divisions through the use of task forces and regular meetings.

## ***2. Resource mobilization***

### **Findings**

16. Inadequate financial resources were a major constraint in all UNEP programmes and project delivery. Implementation of a significant part of subprogramme activities, even in priority areas, was dependent on additional funds raised in addition to Environment Fund allocations. Funding from counter-part contributions seems to have been selective, resulting in some activities being well funded while some activities in priority areas were under funded.

17. Constraints in raising additional funds have been partially attributed to problems in implementing the resource mobilization strategy at the subprogramme-level. It was noted that fundraising is a time consuming-activity, which the limited number of professional staff could not effectively undertake in addition to their work programme.

### **Recommendations**

18. UNEP needs to review its resource mobilization strategy and its implementation to determine whether action is required to increase its extra-budgetary resources. The organization should ensure that extra-budgetary contributions support priority areas in the work programme.

19. Based on the lessons learned from successful project and subprogramme level resource mobilization experiences, UNEP should explore new and innovative ways of attracting and mobilizing funding for its core activities in priority areas. These could include, among others:

- (a) Adoption of the PADELIA partnership and funding approach in other areas of technical assistance;
- (b) Preparation and marketing of UNEP-led project proposals in different priority areas for interested countries to adapt and include in their national development plans for submission to donor agencies;
- (c) Inclusion of resource mobilization activities into project design to support follow-up activities to help sustain in-country follow-up activities beyond the funded life of projects.

## ***3. Monitoring and evaluation***

### **Findings**

20. The costed work programme forms the core of UNEP activities. The six-monthly and annual monitoring reports prepared by the subprogrammes provide an effective implementation tracking system and an overview of what has been accomplished, but not in qualitative terms. A limited number of subprogramme evaluations are conducted annually. Ideally, subprogramme evaluations should be conducted concurrently so that the status of implementation of programmes and assessment of performance of the organization as a whole can be meaningfully reported in the annual evaluation report.

### **Recommendations**

21. The new Integrated Monitoring and Documentation Information System (IMDIS), which contains a section on subprogramme evaluations, provides an opportunity to undertake a more comprehensive assessment of the effectiveness, efficiency and accomplishment of the UNEP work programme on an annual basis. For that reason, it is recommended that the self-evaluation mechanism in IMDIS be implemented as a way of assessing the performance and overall impact of UNEP activities in a given year.

22. At the project level, this should be accompanied with follow-up review of project impact on policy-making, capacity-building and public awareness at least two years following project completion. UNEP should also identify and build on the lessons learned from project monitoring to strengthen its project monitoring systems and knowledge sharing within the organization. This will require a strong local project coordination secretariat for liaison with UNEP project managers.

## ***4. Knowledge management and communication***

### **Findings**

23. Findings from UNEP subprogrammes, projects, and self evaluations show that provision of expertise, guidance, advisory services, coordination, collaboration, tools, guidelines and methodologies constitute the most significant UNEP inputs into programme and project implementation. However, several annual evaluations have noted that, despite the wealth of knowledge UNEP has and continues to generate, there exist gaps and challenges in the management of this information both for internal use as well as for building the capacity of other stakeholders.

24. Evaluation findings indicate that the demand for UNEP knowledge products is high. Official UNEP documents appear to rank high among the public's most wanted sources of environmental information. However, there is limited access to a large number of these documents. Distribution of hard copies is expensive and logistically difficult. Online distribution and access is also constrained, as many documents have not been published electronically.

25. Over the years, the UNEP library has served as an important channel for public access to information about UNEP and its work. The library attracts a large number of visitors each year. However, despite the high turnover rate of visitors and activities, the library's future is threatened by lack of adequate resources.

26. Information networks feature prominently in most UNEP project implementation. These networks are established as means for information sharing and dissemination as well as building the knowledge base on pertinent issues. One of the gaps in knowledge management is that UNEP has not assessed the effectiveness of these knowledge information networks in project delivery.

### **Recommendations**

27. An effective knowledge management strategy can facilitate more efficient and effective programme delivery. It is recommended that UNEP develop a comprehensive and more coordinated and coherent system-wide knowledge management framework that will build on UNEP experiences.

28. UNEP should increase its use of the Internet for the sale and distribution of its knowledge products. Where web sites have been established, the need to improve and maintain them is crucial. There is also a need to expand web sites and customize their design to meet the needs of non-academic users and overcome language barriers.

29. It is recommended that a study of the knowledge management practices, in particular of the information networks, be undertaken as a basis for developing a coherent knowledge management strategy.

30. The UNEP library should consider taking on the role of electronic information referral center if funding is not restored and appropriate technology made available to continue its current services.

## **B. Policy coordination and implementation**

### ***1. Policy coordination***

### **Findings**

31. UNEP has facilitated communication among convention secretariats and provided clarification on many international environmental governance issues such as clustering and harmonization of reporting as an on-going process. This has ensured a level of coordination among conventions unlikely to be achieved through any other mechanisms and has significantly enhanced convention implementation.

32. UNEP support for the implementation of environmental conventions entails interfacing with autonomous convention secretariats. UNEP and the secretariats have different perceptions and expectations regarding the nature and quality of the support that UNEP can and should offer without jeopardizing their relationship and threatening the secretariats' independence.

## **Recommendations**

33. To strengthen its programmatic support to conventions, it is recommended that UNEP set up a clearinghouse mechanism within DEC to provide an effective collaborative function among the divisions for supporting convention secretariats.

34. UNEP should strengthen its facilitative role in supporting the international environmental governance process by identifying linkages, gaps, overlaps and opportunities with the aim of encouraging synergistic cooperation among conventions.

35. It is also recommended that UNEP facilitate dialogue between convention secretariats and the United Nations Office at Nairobi (UNON) to resolve existing misunderstandings regarding administrative services provided to the conventions.

### ***2. Policy implementation***

#### **Findings**

36. UNEP environmental policy implementation support and capacity-building at the national level are weak. In order to achieve an integrated and coherent policy response to environmental challenges, support at the national level is critical. Evaluation findings indicate that while both institutional and technical capacities are necessary and complement each other in project implementation, the institutional component needs to be strengthened in UNEP projects.

37. A key weakness in the UNEP environmental policy implementation programme is the lack of activities in national environmental management plans as an integral part of environmental policy implementation.

#### **Recommendations**

38. It is recommended that the ongoing UNEP capacity-building strategy development process take account of the need to develop environmental planning guidelines and provide information, advice and assistance to national and local authorities on environmental management plans and on integrating environmental concerns into national economic and other sectoral development plans.

39. UNEP should build in-country capacity to identify mitigation, vulnerability and adaptation measures and response strategies for key sectors and enhance the capacity of development planners and decision makers to integrate environmental concerns into national planning and development activities.

40. The institutional component in UNEP activities should receive more attention and be pursued through regional and national workshops, training courses, expert meetings and publications as building blocks in strengthening institutional capacity. Regional networks should be used as vehicles for training, environmental monitoring and assessment and information sharing on environmental management.

## **C. Project design, management and stakeholder participation**

### ***1. Project design***

#### **Findings**

41. Project evaluations have identified a wide range of project design and implementation strategies and lessons that have facilitated implementation of UNEP projects. Some UNEP pilot projects are innovative in design, implementation strategies and overall impact. The successful implementation and management of these projects and the impact realized provide a knowledge base and approach that UNEP should use in the design and implementation of similar initiatives.

## **Recommendations**

42. UNEP should distill and consolidate information on lessons learned and best practices from project design, implementation and sustainability for incorporation into the UNEP project management manual. This will contribute to more effective knowledge management and replication of best practices. It is recommended that the role of monitoring and evaluation in identifying risk to projects during implementation be strengthened.

43. UNEP should adopt approaches used in pilot projects such as PADELIA and the Urban Pollution of Surficial and Groundwater Aquifers Project as a model in the design and implementation of similar initiatives.

## ***2. Project management***

### **Findings**

44. As was the case with previous evaluations, the 2002 project evaluations on project duration and delivery of outputs revealed that most projects experienced serious delays in project completion that impacted on quality of outputs.

### **Recommendations**

45. It is recommended that activities be undertaken during the preparatory phase to prevent problems from arising during implementation. Task managers should undertake risk assessments during the project design phase to determine factors that could affect project delivery such as socio-economic and political instability, logistics and capacity of partners.

46. Task managers are encouraged to establish information-sharing forums as well as national and subregional communication mechanisms with focal points close to project delivery to ensure effective project management and monitoring.

47. Good management practices should be encouraged during implementation by linking funds disbursement to pre-agreed project implementation arrangements, reporting requirements and project output delivery to help improve UNEP capacity to enforce project timelines and quality of outcomes.

## ***3. Stakeholder participation***

### **Findings**

48. While the evaluations undertaken in 2002 indicate that the project design and implementation process was characterized by multi-stakeholder participation, in a number of projects a clear lack of effective participation by key stakeholders, including women, was identified.

49. Involvement of local institutions and experts in the design and implementation of national and regional projects enhances UNEP effectiveness and efficiency in project and programme delivery. It also contributes to capacity-building of local institutions, develops expertise in environmental management and promotes long-term sustainability of project activities.

50. Although some projects recognize the special role women play in environmental management and the ways in which they are impacted differently, gender consideration is currently not a major factor in UNEP project design and implementation.

### **Recommendations**

51. It is recommended that UNEP strengthen its approach in the use of local expertise and institutions in project management and ensure that at the project design level, strong multi-stakeholder involvement be evident before projects are approved for implementation. Project review should pay special attention to the use of local expertise and institutions in project implementation.

52. UNEP needs to strengthen gender integration in its programme and project design and implementation and should make it a critical consideration in project approval and evaluation processes. When appropriate, gender should be a subject of special attention in problem analysis at the project design stage.

## **II. Introduction**

### **A. Purpose of the report**

53. The 2002 Annual Evaluation Report is a Governing Council requirement designed to provide a comprehensive review and analysis of subprogramme and project evaluations conducted during 2002. The report serves four main functions:

- a) To inform Governments of UNEP performance;
- b) To provide a means of accountability to the Governing Council, donors, partners and the United Nations;
- c) To identify lessons from the implementation of programmes and projects for management decision-making. Lessons and recommendations educate future activities in both programming and management;
- d) To present a review of the results of UNEP implementation of recommendations contained in the 2001 Annual Evaluation Report.

### **B. Objectives**

54. The objectives of the 2002 Annual Evaluation Report, as outlined in the terms of reference contained in annex I, are to:

- a) Determine the relevance and appropriateness of UNEP activities at the subprogramme and project levels towards the achievement of the overall UNEP goal;
- b) Review the effectiveness of subprogrammes and projects;
- c) Examine the impact created by UNEP in sustainable management of the environment;
- d) Assess the modalities of knowledge management in UNEP and provide an assessment of UNEP organizational learning;
- e) Assess if and how the recommendations contained in the 2001 Annual Evaluation Report were implemented and what impact they had on UNEP programme delivery in 2002.

### **C. Methodology of the report**

55. The information used in this report has largely been derived from the review and synthesis of evaluations of subprogrammes and projects conducted in 2002 by external evaluators as well as through self evaluation. The subprogramme evaluations are discussed below in section III of this report, the project evaluations are discussed in section IV and the self evaluations are discussed in section V.

56. The report presents summaries of analyses of subprogrammes and in-depth project evaluations, using the standard United Nations evaluation parameters of relevance, effectiveness, efficiency and impact. Since the bulk of UNEP work is effected through the costed work program, which was not evaluated, subprogramme monitoring reports have also been used in preparing this report. In addition, various UNEP publications and reports have been consulted in preparing this report. Information obtained from discussions held with key UNEP staff members, particularly those from the evaluated divisions and projects, has been used to complement the subprogramme and project evaluations.

57. A review was also conducted of the progress made in the implementation of recommendations in the 2001 Annual Evaluation Report. Finally, UNEP knowledge management experience was reviewed and ideas and suggestions made for a coherent knowledge management framework.

## D. Overview of evaluations conducted in 2002

### 1. Subprogramme (division) evaluations

58. Three out of the seven subprogrammes of UNEP were evaluated in 2002. The subprogrammes were:

- (a) Subprogramme III, Division of Environmental Policy Implementation;
- (b) Subprogramme VI, Division of Environmental Conventions;
- (c) Subprogramme VII, Division of Communications and Public Information.

59. The major restructuring of UNEP in 1999 aimed at shifting from an issue-focused and sectoral approach to a more functional and policy oriented programme of seven subprogrammes. The three subprogramme evaluations undertaken in 2002 cover the 2000-2001 biennium and report on UNEP implementation of its first work programme since the 1999 restructuring and adoption of the costed work programme approach.

60. The period under evaluation, i.e., the 2000-2001 biennium, therefore represents a transitional phase for the various programmes. The newly formed divisions started implementing their new mandates, established their structures, recruited and/or oriented staff and determined how their respective work programmes could be implemented most effectively. The evaluation reports show that the three subprogrammes faced common challenges. However, given their different functions, each subprogramme responded differently.

### 2. Project evaluations

61. Two types of project evaluation were conducted: in-depth evaluations and self-evaluations. In 2002, 14 in-depth project evaluations (see annex II) were carried out, while 11 were conducted in 2001. The projects evaluated can be categorized as follows: eight related to WEHAB issues; four related to climate change; one to capacity building; and one to protection of coral reefs. Most of the projects evaluated were funded by GEF.

### 3. Self evaluation of UNEP projects

62. The internal system of evaluating projects within UNEP through the preparation of self-evaluation fact sheets (SEFS) is a Governing Council requirement. There was remarkable improvement in the number of internal evaluations of projects for 2000. SEFS were submitted for 106 out of 145 (73 per cent) active projects in 2002. This contrasts sharply with 36 out of 205 submissions (18 per cent) in 2001. Table 1 below shows the trend in the submission rate of SEFS over the last four years. The improvement noted is a result of the efforts of the Evaluation and Oversight Unit (EOU), supported by management, after several years of decline.

**Table 1. SEFS return rates trend for 1999 to 2002**

Year	1999	2000	2001	2002
On-going	20	23	17	70
Completed/closed	40	73	14	29
Completed but not closed	19	39	2	0
Terminated	0	0	1	1
Not stated	0	4	1	6
Number of Total received	79	139*	36	106
Total active projects	293	259	205	145**
Total number received as a % of total active projects	27 per cent	54%	18%	73%

\* In 2000 many projects were closed following a recommendation by the external auditors to close completed and inactive projects. This accounted for the large number of SEFS in the completed and closed category. Indeed, the return rate for ongoing projects was poor.

\*\* Clearly defined criteria used. Number excludes GEF PDF As and PDF Bs and projects which started only six months prior to the reporting date.

#### ***4. Monitoring of the costed work program***

63. UNEP adopted the results-based budgeting system in 1999 and the system was implemented in the 2000-2001 biennial work programme. The system enables UNEP to integrate programming and budgeting for each biennium with indications of expected outcomes. The costed work programme forms the core of UNEP activities and covers work in all seven sub programmes. The subprogrammes and regional offices are responsible for monitoring their respective work plans on a six-monthly basis. A programme monitoring report is used as a management tool to keep track of the status of programme implementation. It also forms the basis for UNEP input to the Secretary General's biennial programme performance report.

64. The programme monitoring report constitutes a comprehensive catalogue of all activities and outputs in relation to those planned under each objective and activity level for each year. The report identifies areas of inactivity but does not provide reasons. The status of the Environment Fund is reported separately on a quarterly basis under the Fund Reports. Most of the programme outputs lack indicators for determining the expected level of achievement for each year.

65. While the current monitoring report meets the reporting requirements of the United Nations Secretariat, it does not provide sufficient information to help UNEP adequately gauge the level of accomplishment or quality of outputs. A mechanism for evaluating the costed work programme as a whole to determine the extent to which the activities implemented have contributed to the objectives and overall goal of UNEP is yet to be put in place. Currently, the few subprogramme evaluations completed each year provide only a partial evaluation of the costed work programme. A comprehensive evaluation system is needed to provide an overview of performance of the costed work programme. Such an evaluation should bring together information on implementation of activities and availability and use of funds so that the effectiveness and efficiency of UNEP activities can be determined and enhanced. This could be done as a self-evaluation that builds on the current costed work programme status monitoring.

#### ***5. Implementation of recommendations of the 2001 annual evaluation report***

66. A total of 14 recommendations were issued in the 2001 Annual Evaluation Report. The recommendations covered the regional offices, enabling activity projects for UNFCCC, SEFS, design of complex projects, capacity-building, follow-up activities and assessment of the evaluation function in UNEP. The recommendations have been discussed with the units responsible for implementation and at the Senior Management Group (SMG) meeting held on September 24, 2003. The exercise has identified actions required, expected results, date of completion and measures taken so far. The implementation plan for the 2001 recommendations is appended as annex IV of this report.

**Table 2. Status of implementation of 2001 Annual Evaluation Report recommendations**

Status	Number of recommendations
On-going	5
Completed by end of 2003	2
Completed by end of 2004	4
No date of completion given	3
Total	14

67. The recommendations pertaining to regional offices deal with policy support to regional offices; integrating regional activities with programmes of substantive divisions; capacity of regional offices and programmes and resource mobilization.

68. The Division of Regional Coordination (DRC), in collaboration with the Division of Policy Development and Law (DPDL), the Resource Mobilization Unit (RMU), the Programme Coordination and Management Unit (PCMU) and SMG, has a central role in the implementation of the recommendations regarding the coordination of information flow.

69. The recommendations for enabling activity projects for UNFCCC reiterate the need for improving project design and for increasing participation of various stakeholders in the planning, design and implementation of GEF projects.

70. The submission of SEFS has received particular attention in 2003 by EOU and strong support from SMG. The recommendations suggest using the submission of SEFS as a prerequisite for approval of project revisions.

71. Recommendations to improve the design and planning of complex projects envision a multitask exercise involving PCMU and all division directors. The need to identify follow-up activities is also part of an improved project design process and UNEP, through the Project Approval Group process, is working to ensure that follow-up activities are identified at the project design stage.

72. Capacity-building is an ongoing strategic endeavor for UNEP and requires special attention. DEPI, in consultation with division directors, has taken a lead in the implementation of this recommendation.

73. The need to assess the evaluation function in UNEP and revamp the capacity of EOU is on-going, and has been addressed by SMG and management in the past year. It is recommended that SMG have greater involvement in the process of preparing the annual evaluation work plan.

### **III. Subprogramme evaluations**

74. This chapter presents a synthesis of findings from subprogramme (i.e., divisional) evaluations. It seeks to highlight the relevance, effectiveness and efficiency of strategies and approaches used in UNEP activities. The report also presents findings, recommendations and lessons learned from programme implementation.

#### **A. Environmental policy implementation**

##### ***1. Relevance and appropriateness***

75. An assessment of the functions of the branches and units of DEPI revealed that some of its activities did not focus on environmental policy implementation. The evaluation questioned the functional logic and coherence of combining the work of the four branches within a division of policy implementation. The evaluation noted a lack of clear distinction between development and implementation of both law and policy. Some of the functions of DEPI encompassed both development and implementation. For example the activities pertaining to enforcement of environmental conventions and the PADELIA project combined elements of development and implementation of environmental law at the national, regional and global levels.

76. Although the evaluation recommended that DEPI and DPDL be merged to promote coherence, management would prefer to keep them separate. The synergy between these two divisions is already evident in the many collaborative activities undertaken. It is important, therefore, to have them work closely together for UNEP to achieve its environmental policy agenda.

#### **Strengthening environmental policy and improving environmental laws**

77. Within the DEPI project portfolio, the PADELIA project achieved the best results in terms of its effectiveness in actually building capacity and securing significant changes in environmental policies, laws and institutions in and among its project countries. The attributes discussed at length in the evaluation, which helped to make the PADELIA project so effective and successful, should be applied or adapted in other countries in and outside Africa as well as in other technical assistance projects and activities in DEPI and UNEP as a whole.

78. UNEP facilitated the development and adoption of guidelines on compliance with and enforcement of multilateral environmental agreements. This was a major achievement during the 2000-2001 biennium. At the seventh special session of the UNEP Governing Council/Global Ministerial Environment Forum, which was held in Cartagena in February 2002, the ministers authorized UNEP to facilitate implementation of the guidelines and to take steps to advance capacity-building. The ministers further requested that UNEP seek extra-budgetary resources to facilitate implementation of the guidelines.

### **Expanding technical cooperation**

79. An expanded UNEP role and programme for technical assistance has been supported and strengthened by the 1997 Nairobi Declaration and the decisions of the Global Ministerial Environment Forum in 2000 in Malmö and 2002 in Cartagena.

80. During the 2000-2001 biennium, UNEP expanded its work in the provision of technical assistance through the activities of DEPI. The technical assistance missions and activities put UNEP on the front line of environmental policy, law and institutional change at the global, regional and national levels. UNEP technical assistance in major environmental emergencies around the world also began to take shape. However, the approach to responding to environmental emergencies is still too narrowly focused and constrained by limited resources.

81. UNEP responded to and provided technical assistance on floods, hazardous waste spills and drought. Assessment missions and studies were, however, largely limited to response except in the case of the UNEP host country, Kenya, where wide-ranging and continuing contributions were made with respect to drought assessment, response, prevention and preparedness.

### **Mobilization of additional financial resources**

82. Implementation of a significant part of the activities of the subprogramme, especially in areas related to disaster management and environmental law, was financially constrained because of dependence on extra-budgetary resources. Over \$1.1 million in counterpart contributions was mobilized, equivalent to 23 per cent of the Environment Fund budget for the biennium. These extra-budgetary resources were used for six capacity-building and technical cooperation projects. The UNEP contribution to environmental emergency assessment and response, however, did not attract any significant support in the form of counterpart contributions.

83. The evaluation acknowledged that funding for the subprogramme from within UNEP is unlikely to increase unless there is a significant increase in voluntary contributions to the Environment Fund. That could happen if the present upward trend in contributions continues, but in the meantime the subprogramme must explore new ways of attracting and mobilizing resources. Two options that could be considered include adapting the PADELIA partnership and funding approach in other areas of technical assistance and preparing and marketing UNEP-led project proposals in different priority areas for interested countries to adapt and include in their national development plans and submissions to donor agencies.

84. The overall assessment of DEPI performance of its 2000-2001 work programme was that, despite the many challenges and difficulties the subprogramme faced as a result of the reorganization of UNEP, coupled with funding and staff that were much smaller than planned, DEPI managed to complete most of its main tasks during the 2000-2001 biennium, implementing over 170 different activities, attending and contributing to over 200 inter-divisional and international meetings, holding or making a major contribution to 28 training courses and publishing over 100 studies, reports and other documents.

85. The evaluation rated the subprogramme performance highly and gave credit to its managers and staff who, despite the organizational incongruities in the division, nonetheless embraced the challenges they faced and created a reasonably well-functioning and productive division in only two years. With the diverse and large number of completed tasks and activities during the 2000-2001 biennium, the subprogramme evidently made efficient use of its limited funds and staff.

### ***2. Effectiveness and efficiency of subprogramme delivery***

86. The subprogramme managed to operate within its overall budget in most of its activities except in meetings and training, with respect to which expenditure exceeded the budget by 63 per cent. The scope and the number of DEPI activities indicate that the division made efficient and effective use of its limited funds.

87. With regard to human resource capacity, the evaluation showed that although DEPI was initially allocated 27 professional posts; over 24 per cent were vacant throughout or during much of the biennium. Several senior staff performed multiple functions to make up for those vacancies. In addition, the Director of DEPI also doubled as the acting head of DEC during part of the biennium, while another senior member of staff was assigned to largely full-time duties outside DEPI.

88. The evaluation pointed out concerns with UNEP activities in environmental education, noting that the unit had not been given the significance and financial support it deserved. These concerns were attributed to delayed policy support from senior management to enhance UNEP activities in environmental education and training, despite high expectations and demands from Governments and other stakeholders. Environmental education as a subprogramme element did not receive adequate recognition and collaboration from other UNEP divisions, despite repeated attempts to foster collaboration.

89. UNEP performance and productivity in disaster management in terms of the number of activities and outputs during the 2000-2001 biennium was rated highly. However, measuring them in terms of effective mitigation and remedial actions in the field raises serious questions. UNEP response to environmental emergencies was seriously constrained by a lack of financial and human resources, particularly for activities related to prevention, preparedness and follow-up of assessment missions.

### ***3. Impact***

90. During 2000-2001, the PADELIA project contributed to significant changes in national policies, laws and institutions in seven African countries. Other DEPI activities, however, consisted mainly of assessment missions and studies, pilot projects, training courses, policy guidelines and surveys on best practices that might lead to significant policy and legal changes only later.

91. DEPI at the time of the evaluation was only two years old and many activities did not get implemented until its second year. It is, therefore, too early to assess the impact and effectiveness of its activities. The evaluation proposed that DEPI develop precise indicators for determining effectiveness and impact of project proposals along with reliable ways to monitor them during and after implementation.

92. While the operational efficiency of DEPI is evident, its effectiveness is harder to assess. The real test of its impact is whether its activities actually led to significant changes in national policies, laws or institutions or other clear improvements on the ground. Based on that measure, the effectiveness of DEPI was limited.

### ***4. Key recommendations on policy implementation***

#### **Achieving an integrated and coherent policy response**

93. To achieve the desired integrated and coherent policy response, based on the experience gained from the implementation of the first DEPI programme of work during the 2000-2001 biennium, it is recommended that UNEP:

a) Strengthen its lead role in environmental policy by reorganizing and refocusing the DEPI programme and activities more strategically on environmental policy implementation at the national, regional and global levels;

b) Strengthen its presence and activities regarding major environmental challenges by mobilizing and allocating far more resources to key DEPI tasks and activities such as technical cooperation, environmental emergencies and PADELIA-type projects;

c) Reinforce its central role in implementing the sustainable development policy agenda by making the needs and concerns of the majority of poor people and countries and the inter-linkages among environmental management, poverty reduction and economic development top priorities for all DEPI activities and UNEP policies, particularly in such critical policy areas as water resources management.

## **Strengthening environmental policy and planning**

94. Taking into account its limited funding and staffing levels, UNEP needs to review the scope and scale of its activities and develop a strategic framework and plan for strengthening and implementing environmental policies in priority sectors and regions. It is recommended that UNEP prepare an overall strategic plan, with priorities for strengthening and implementing environmental policies at the national, regional and global levels based on its comparative advantage and expertise, priority issue areas such as WEHAB and issues agreed at the World Summit on Sustainable Development (the Johannesburg Summit).

95. The development and implementation of a policy framework, which integrates economic, environmental, and equity issues is now one of the biggest challenges facing UNEP and the international community. It is recommended that UNEP explicitly identify poverty reduction and economic development as critical issues and integrate them into environmental management policies and programmes.

96. A key weakness in the UNEP environmental policy implementation programme is a lack of activities to assist Governments to prepare national environmental management plans. It is recommended that UNEP create capacity to develop environmental planning guidelines and provide information, advice and assistance to national and local authorities on environmental management plans and on integrating environmental concerns into national economic and other sectoral development plans.

## **Expanding technical cooperation**

97. For decades, UNEP was mandated and funded to play only a limited role in the area of technical cooperation. However, an expanded UNEP role and programme for technical assistance was supported and strengthened by the 1997 Nairobi Declaration and decisions made at the Global Ministerial Environment Forums in Malmö and Cartagena. Since 2000-2001, UNEP has strongly asserted itself in facilitating and providing expanded technical assistance, particularly in capacity-building in environmental policies, laws and institutions in Africa and in environmental emergencies.

98. Building on lessons learned and UNEP expertise and comparative advantage, it is recommended that UNEP prepare a long-term plan and strategy on technical assistance priorities. Priority areas should include development and implementation of national laws reflecting commitments from multilateral environmental agreements, national development policies, plans and laws which integrate environmental concerns. Another priority area for technical assistance is in environmental disaster prevention and mitigation.

## **B. UNEP support to global environmental conventions**

### ***1. Relevance and appropriateness***

#### **Promoting synergies and interlinkages in the work of convention secretariats**

99. UNEP provided valuable programmatic support to implementation of conventions. Special emphasis was placed on the international environmental governance process. Harmonization of national environmental reporting was successfully implemented in close cooperation with the UNEP World Conservation Monitoring Centre (WCMC). The harmonization work was linked to the development of guidelines on enforcement of and compliance with multilateral environmental agreements.

#### **UNEP contribution to the development and implementation of conventions**

100. The evaluation findings indicate that DEC successfully delivered all of the products scheduled under the 2000-2001 work programme as part of UNEP support for the work of conventions.

101. Through the DEC Information Unit for Conventions, UNEP provided support to conventions through information dissemination and outreach. The unit maintained its position as the lead service provider to key convention secretariats on press and public information products and activities during the 2000-2001 biennium.

102. UNEP also made substantive inputs into publications and outreach materials in support of the work of regional seas conventions and action plans. These included a regional seas web site; a film on the Action Plan for the Protection, Management and Development of the Marine and Coastal Environment of the Northwest Pacific Region (NOWPAP), entitled *The Sea*; an illustrated poster on the theme: “Our coast, our heritage: Let’s care for it”; a booklet on the Mediterranean Action Plan; a booklet entitled: “Regional seas – A survival strategy for our oceans and coasts 2000”; a school-teacher’s guide to marine environmental protection; a poster on coral reef conservation through regional policy frameworks; a revised and expanded 2001 version of the web page for the International Coral Reef Action Network (ICRAN); the “ICRAN 2000” brochure;; and the *World Atlas of Coral Reefs*, a 2001 WCMC publication.

103. UNEP continued to produce and update the publication *Vital Climate Graphics* in support of the work of the Intergovernmental Panel on Climate Change (IPCC).

104. In its activities relating to biodiversity and biosafety agreements, UNEP has shifted its emphasis from sustainable use of genetic resources to biosafety. An important milestone was reached in the adoption of the Cartagena Protocol on Biosafety to CBD in 2000, which is to be followed by the establishment of an open-ended and ad-hoc intergovernmental committee, pending the entry into force of the Protocol upon ratification by 40 countries.

105. One UNEP achievement in the area of regional seas conventions and action plans was the promotion and facilitation of twinning arrangements. Twinning arrangements were facilitated between The Baltic Marine Environment Protection Commission (Helsinki Commission) and the Convention for the Protection, Management, and Development of the Marine and Coastal Environment of the Eastern African Region (Nairobi Convention), as well as between the Convention for the Protection of the Marine Environment of the North-East Atlantic (OSPAR Convention) and the Convention for Cooperation in the Protection and Development of the Marine and Coastal Environment of the West and Central African Region (Abidjan Convention). These arrangements help bring together weaker conventions in the South with those from the North with stronger capacities. A joint implementation office was set up in 2001 to act as the secretariat for the Nairobi and Abidjan Conventions. Through this office, 100 per cent ratification has been achieved for the Nairobi Convention by all East African countries.

106. UNEP successfully brought together global partners in ICRAN. A strategic plan and project document for ICRAN were developed and received substantial funding in the form of a \$10 million environmental grant from the United Nations Foundation, the largest made at the time.

107. The Chemicals and Hazardous Waste Conventions Unit coordinated and organized two major global meetings of regional seas conventions and action plans during the 2000-2001 biennium. The unit also worked successfully in the areas of capacity-building, networking, supporting conventions and relevant meetings, awareness raising and preparation of relevant technical and policy papers. The unit also provided in-house advice on chemical and hazardous waste issues.

## ***2. Effectiveness and efficiency of programme delivery***

108. Although the 2000-2001 DEC programme of work was comprehensive and responded to all key relevant Governing Council decisions, the tasks and activities were generally vague and did not reflect the division’s technical and financial capacity to deliver the expected outputs and results. The evaluation also noted that the performance indicators in the work programme were, in most cases, not measurable.

### **Human and financial resource capacity**

109. DEC employs 16 professional staff and 13 general service staff at the Nairobi headquarters and four outposted professional staff. Over the period of the evaluation, the professional staff contingent was reduced. Staff left and were not replaced, while others were away on leave. Thus, at a time when the workload was expanding, the division was operating at less than critical capacity.

110. Inadequate financial resources also seriously compromised the effectiveness of DEC operations. The available funding could only support one-person units, which made it impossible for the division to demonstrate a broad and adequate technical competence for its assigned mandate and responsibilities. This, coupled with confusion as to where in UNEP the appropriate point of contact existed, affected the efficiency and effectiveness of programme delivery in areas of scientific and technical advice.

## **The relationship between conventions and UNEP**

111. A survey conducted to assess the relationship between UNEP and convention secretariats revealed that UNEP participation in the convention process is perceived as hesitant and even uncertain. This was particularly the case in the sensitive area of coordination. The survey covered technical and administrative staff within the division, staff from other divisions that interact with DEC, convention secretariats, including some not administered by UNEP, and organizations that interface with UNEP through the division.

112. A mutually supportive relationship with the CBD secretariat exists. The two parties have developed a good working relationship, as a feature of which, DEC regularly represents the Executive Director on the Bureau of the Conference of the Parties. The relationship with the secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) is also evolving in a satisfactory way, with UNEP able to provide support to CITES operations on many sensitive issues. UNEP is considered by stakeholders to be better placed than the convention secretariats to address such issues, and often acts in the role of “honest broker”.

### **Administrative support to convention secretariats**

113. Convention secretariats receive administrative services from UNON, for which a 13 per cent overhead charge of the total expenditure of the conventions is levied. The evaluation revealed that the UNEP administered conventions are not satisfied with the quality of the services provided. They complain of inadequate administrative service and demand transparency and accountability. UNON on its part considers the criticism unfair. It argues that the strict administrative procedures are binding and that it is therefore obliged to apply them without the flexibility demanded by convention secretariats.

114. These findings concur with an internal audit by the Office of Internal Oversight Services. Given the very negative assessment of UNON by all the convention secretariats, it is unquestionable that there is a very serious deficiency.

### **UNEP participation in the work of conventions**

115. A concern of convention secretariats is the level and quality of participation by UNEP in the work of convention bodies. There is often little continuity in participation. There does not seem to be much thought given to the required seniority of representation. It appears that, except in the case of CBD, CITES and the Convention on the Conservation of Migratory Species of Wild Animals, the division is excluded from the internal decision-making process governing representation in convention-related meetings.

116. One consequence of the apparent ad-hoc relationship of UNEP to the conventions is that UNEP is not always sensitive to the needs of the conventions as expressed by their conferences of the parties. Some decisions made at meetings of the conferences reflect UNEP interests and concerns and require UNEP action, but convention secretariats allege that response is rarely made and follow-up is not often done. Occasionally, requests directed at UNEP are either not appropriate or beyond the capacity of the organization to fulfill. Other times, convention needs that could be met by UNEP are ignored. As a result, conventions are increasingly turning to other organizations for funding and technical support that should ideally be sourced from UNEP. The evaluation noted that by not addressing this issue, UNEP is jeopardizing its relationship with its administered conventions.

117. Regional offices could provide a cost effective way for UNEP to provide support for convention activities at the regional and national levels. DEC and DRC recognize this. Nevertheless, at present, there is closer interaction between regional conventions and UNEP than between global conventions and UNEP.

### **Coordination of programmatic support to conventions**

118. The fragmented manner in which thematic issues were addressed by UNEP was noted during the evaluation. The division’s role as the bridge between UNEP and the conventions is not as clearly defined as it should be. DEC is sometimes neither consulted nor advised of communication between other divisions and the conventions.

119. Communication among divisions needs to be formalized. Currently, interdivisional communication appears to occur on an ad hoc basis and to rely on personal contact rather than institutionalized arrangements. While this works to some extent, several instances of poor or non-existent communication resulting from personal differences clearly exist and are to be deplored. These circumstances are not limited to the division and are to be

found throughout the system. UNEP should review and rectify the situation as soon as possible. The abandonment of the weekly meetings of senior staff with the Executive Director or Deputy Executive Director to exchange information and ideas is noted with regret, and UNEP should consider re-establishing these informal but useful meetings. Intra-divisional communication in the division is, however, excellent. Weekly staff meetings convened by the Director are a model of information exchange and are commended.

120. Co-location of programme support units is an area affecting the division's ability to effectively deliver its mandate. For instance, the Chemicals and Hazardous Waste Convention Unit is headquartered in Nairobi, while the chemicals-related convention secretariat is in Geneva. Another example is the Coral Reef Unit, which is an integral part of DEC, although several of its activities respond to the programme priorities of the Division of Early Warning and Assessment (DEWA). The location of the head of the unit in Geneva with staff in Nairobi and Cambridge is another example of institutional accident overriding institutional logic. The unit has derived benefits from co-location with conventions and partners with common interests, but the eventual establishment of the Coral Reef Unit in Nairobi and close to the regional seas programme is advisable and already planned. The Information Unit for Conventions work programme and outputs are commendable. The unit's success is due in part to its co-location with many of the European-based convention secretariats, which makes it easily accessible. The Information Unit for Conventions is and should remain an integral part of the division, as it plays a critical role in UNEP support to conventions.

121. The evaluation raised concerns related to the random pattern which seemed to characterize investment of the limited UNEP funds available for activities related to environmental conventions. The evaluation, therefore, suggested that the division review existing Governing Council decisions and responsibilities, assess UNEP capacity to fulfill them, and prioritize those that can be strategically and effectively supported.

### **Development of interlinkages and synergy**

122. The policy paper on improving international environmental governance among multilateral environmental agreements stresses the need for policy and programme coherence through enhanced coordination and collaboration among various intergovernmental organizations and multilateral environmental agreements.

123. The evaluation noted that there are other critical elements to be taken into consideration in the international environmental governance process. They include clustering, harmonization of data and reporting, outreach, capacity-building and information exchange. Most convention secretariats believe that more value would accrue from division-organized meetings of secretariats if they were clustered and concentrated on selected themes of interest to the participating cluster.

124. By facilitating communication among the secretariats and by providing clarification of many governance issues, such as clustering and harmonization of reporting, DEC has ensured a level of coordination among conventions unlikely through any other mechanisms.

125. The evaluation's conclusion was that perhaps UNEP, in attempting to impose coordination upon convention secretariats and their conferences of parties, underestimated the sensitivity and protectiveness of the secretariats with regard to their autonomy. DEC is aware of the concerns and has taken steps to address these problems.

### ***3. Key recommendations on UNEP activities relating to environmental conventions***

126. The focus of the recommendations resulting from the 2000-2001 biennium evaluation is on strengthening the role of DEC and coordination among the divisions. The following key recommendations were proposed for support at the programmatic and policy level:

- a) A clearinghouse mechanism needs to be created within the division to provide an effective collaboration function among divisions that interact with conventions. This would give DEC greater awareness of other divisional contact with multilateral environmental agreements as well as authority to follow up and ensure that responses to secretariat requests are prompt and fully satisfactory. Establishment of task forces may help improve interdivisional communication and collaboration;
- b) UNEP should review the effectiveness and efficiency of the location of the various subprogramme units in relation to their functions in supporting the work of conventions;

- c) UNEP should make greater use of regional office facilities and resources, regional seas centres and regional nodes related to multilateral environmental agreements in its support to conventions. DEC and DRC should jointly explore this opportunity;
- d) In support of conventions, DEC should play a stronger role in capacity-building, regional data identification, provision of technical and environmental information and development and application of analytical tools, clearly identified programmatic support and training programmes. It should also continue its work in identifying linkages, gaps, overlaps and opportunities, and further identify and encourage synergistic cooperation among conventions;
- e) Cooperation between DEC and convention secretariats located in Europe would be immediately improved by the appointment of a DEC liaison officer located in Geneva. The liaison officer could help identify convention-related issues relevant to UNEP and provide advice to ensure better-prepared participation by UNEP in convention activities. In addition, the staff of DEC could assist convention secretariats in communicating with UNEP headquarters and provide the UNEP library with documents generated by the conventions;
- f) DEC should review the emphasis it presently assigns to its programme elements and perhaps re-prioritize them in line with its technical capacity and funding base;
- g) UNEP should facilitate dialogue between UNON and convention secretariats to resolve existing conflicts relating to the administration services that UNON provides to the conventions.

### **C. Communication and public information**

127. This section presents the findings of the evaluation of DCPI, whose aim is to communicate the UNEP core messages to all UNEP stakeholders and partners, raise environmental awareness and enhance the profile of UNEP globally. The relevance, effectiveness and impact of the strategies and approaches used in achieving UNEP communication and public information goals during the 2000-2001 biennium are discussed.

#### ***1. Relevance and appropriateness***

128. In addition to the restructuring of UNEP that resulted in the formation of DCPI, UNEP built and strengthened its media capacity. By 2001-2002 there were three professionals working on media issues. Regional information officers were recruited before the start of the biennium under review and the UNEP media presence in Europe was strengthened.

129. The number of individual media interviews scheduled for the Executive Director and other senior UNEP staff totaled one hundred and three in 2001, compared with sixty in 2000. In both years, sixty interview forecasts were made. These achievements have been significantly enhanced through the active support of regional information officers.

130. The evaluation's findings indicate that UNEP now appears frequently in the international news spotlight. With a stronger journalistic capability within the division since January 2001 and a strengthened communications presence in Europe, the number of UNEP news stories successfully placed with global media has increased to 2.5 times per month on average in 2001, compared with once a month in 2000 and twice a month in 1999.

131. The UNEP web site is regularly updated to feature a current news story on its homepage and has links to speeches, press releases and the web sites of regional and out-posted offices. A small group of general copyright-free photographs related to UNEP and its compound at Gigiri is posted online for media download and use.

132. UNEP achievements in its publicity work have also benefited from its special annual events and occasions. These include World Environment Day, the UNEP Sasakawa Environment Prize, the Global 500 Award and the Clean Up the World campaign. The Outreach and Special Events Unit also coordinated promotional activities and the preparation of publicity materials, including press releases, speeches, messages, articles, scripts, newsletters and reports for a number of special projects and events through which UNEP core messages were communicated to stakeholders and partners.

133. Over the years, the UNEP library has served as an important channel for the public to information about UNEP and its work. The library attracts a large number of visitors each year. In 2000, when the library was closed for six months, the number of visitors was 9,446. In 2001, 18,221 visitors were received, with an average of over 70 people per day. In 2001 alone, library personnel prepared and provided some 2,442 responses to queries from staff and the public, an increase of 30 per cent, reflecting the library's importance. About two thirds of the queries were from five sectors: atmosphere (16 per cent), environmental information (14 per cent), environmental management (11 per cent), energy (11 per cent) and agriculture (10 per cent).

## ***2. Effectiveness, efficiency and impact of communication and public information programme delivery***

### **Human and financial resource capacity**

134. The division invested about 63 per cent of its funding on personnel. With a team of 10 professional and 18 general service staff, DCPI was able to leverage in-kind and extra-budgetary funding to achieve a far greater public relations result than its small budget would suggest was likely. Activities in four subprogramme elements alone (special events, youth/children/sports, publications and audio-visual productions and graphics) leveraged over \$6 million on an investment of \$180,000 in 2001-2002.

135. One area, however, where DCPI activities appear not to have been cost-effective is in distribution of publications in hard copy. An analysis of the annual cost of distributing publications indicated that, on average, DCPI spends some \$260,000 annually.

### **Design, production and dissemination of information**

#### **Internet**

136. The overall assessment from the evaluation was that the UNEP web site represented an important part of the UNEP public communications effort. The web site is potentially the most important and efficient vehicle for delivering information products to key constituents such as Governments, media and non-governmental organizations. Two thirds of the estimated 444 million (and fast-growing) individual Internet users worldwide are in Europe and North America. In contrast, only 3.14 million are now online in Africa, although this is more than triple the number estimated in December 2000.

137. The evaluation noted some problems with the design, management and capacity of the UNEP web site which affected optimum utilization of the Internet. The web site was designed primarily as the DCPI electronic information portal for the general public and media. Staff in some other divisions are in favour of its expansion into a comprehensive library of UNEP documents and believe that DCPI should meet the entire web site needs of UNEP headquarters. DCPI tries to accommodate the other divisions, but its lack of capacity has prompted some of them to engage their own web site designers, both internal and external. This has resulted in duplication of efforts and a proliferation of web sites suffering from uneven appearance and quality.

138. The problem of inadequate Internet service at UNEP headquarters affects the efficiency and cost-effectiveness of exchanging information products and services via the World Wide Web. More resources (both human and financial) could be invested in improving the content, the site navigation and browsing structure and search access to content on its network of web sites. In addition, the organization should increase the bandwidth for incoming traffic and should put in place institutional processes to ensure that all outreach content is placed on the Web as soon as it is available. Since this evaluation, significant restructuring has taken place aimed at addressing the problems identified. The web site personnel located in DEWA have moved to DCPI, and all Internet and web site services have been restructured and consolidated.

## Publications

139. Analysis of the publication programme for 2000-2001 showed that of over 120 publications in the pipeline, there was a roughly even split between those aimed at policy makers and those aimed at the scientific community (with some publications obviously overlapping and of interest to both target groups). The main buyers of UNEP publications, according to its London-based distribution firm, SMI, are consultants, universities and research institutes, industrial companies, Governments and non-governmental organizations. About one quarter of the publications scheduled for 2000-2001 were aimed at the private sector, and a small number were aimed at the general public and youth.

140. UNEP produced and distributed publications and other promotional materials through various outlets. Some UNEP publications were marketed and sold through SMI. Some 700 UNEP publications are available through the SMI online UNEP bookshop (<http://www.earthprint.com>), which is linked to the UNEP homepage. DCPI also promoted UNEP publications at several annual book fairs.

141. The evaluation findings indicate that *Our Planet* magazine has increasingly become an ideal briefing document of UNEP. It reaches over two million readers per year in print and online. It engages the active involvement of many politically significant UNEP constituents, serves a useful educational and informative purpose and plays an important public ambassadorial role for UNEP. Despite the success UNEP has had through *Our Planet*, inadequate funding has limited production to two issues a year.

142. The evaluation noted that although DCPI is mandated to coordinate production, distribution and marketing of UNEP publications, this has not been fully achieved. Other divisions produce about 20 per cent of UNEP publications without notifying or involving DCPI. This constitutes a significant gap in inter-divisional cooperation.

## Special events and outreach

143. Special events and outreach activities are effective avenues through which UNEP targets its publicity efforts aimed at raising the profile of UNEP and its work on environmental issues. Press releases, speeches, messages, articles, scripts, newsletters and reports are used in publicity work during special events including World Environment Day and the annual Sasakawa Environment Prize. The publicity success of these events can be inferred from web site visits. The UNEP server data showed the single most active day on the web site was 5 June 2001, World Environment Day, with 13,481 virtual visitors, double the daily average. The smaller than average number of "requests", or pages visited, however, suggests that there is an opportunity to satisfy public demand for more World Environment Day content on the web site. However, one of the drawbacks affecting publicity efforts for World Environment Day in North America is the annual celebration of Earth Day on 22 April. There is little chance of World Environment Day rivaling Earth Day for attention in North America in the immediate future. Attempts should therefore be made to link Earth Day and World Environment Day.

144. The UNEP Sasakawa Environment Prize is given by the United Nations to the world's foremost environmentalists. The award ceremony is well organized but has failed to achieve the public profile that might be expected given the size and prestige of the award. The selection committee should consider following the lead of the Nobel Prize Committee and making a political statement through its choice of recipient so as to make it attractive to the media.

## Sports and the environment

145. UNEP can take pride in its leadership in putting the environment on the agenda of the international Olympic movement. With support from UNEP, the International Olympic Committee organizes biennial world conferences on sport and environment at which current efforts in the field and best practices are reviewed and experiences shared. Representatives from national Olympic committees, associations of Olympians, representatives of international sport federations, representatives of Olympic venues (past, present and future) and other interested organizations participate in the conferences. In 2000, a UNEP electronic mail network was started with 94 addresses to reach out to the global sport community to promote green games and enhance environmental awareness through sport.

## Children and youth

146. Among the most important and successful DCPI efforts are children and youth-related activities. DCPI organizes these events and networks for young people to share ideas, experiences and enthusiasm. Publications by and for youth have been created, most notably *Pachamama*, a children's edition of the UNEP *Global Environment Outlook* series and a magazine entitled *Leave It To Us*. The children and youth programme also includes international campaigns. Relevant environmental information, including publications and media releases on emerging environmental issues and negotiations, are shared with groups on the network and list-servers. The network is divided into a children's network, with 620 participants representing every world region, and a youth network, with 1,633 addresses from all regions.

147. The International Children's Painting Competition on the Environment, conducted from September to December each year, attracts substantial worldwide participation by children aged from 6 to 14 years. The average participation over the past four years was 9,200 entries from 47 countries, reflecting the fast growing UNEP constituency of children and youth.

### **3. Effectiveness of UNEP publicity initiatives**

148. The publicity efforts of DCPI are critical in raising awareness. Increased awareness of UNEP and its work is achieved most cost-effectively through the news media. With an investment of far less than the cost of printing 10,000 copies of a brochure, a well-placed news story can appear in several newspapers with circulation figures in the hundreds of thousands. In accordance with its new media strategy, UNEP effectively used a pro-active media approach in its publicity work.

#### **Publicity through regional offices**

149. Regional information officers facilitate the flow of information between UNEP and its important constituencies in the regions of the world. The target groups include Governments and their United Nations missions, non-governmental organizations, other United Nations bodies, UNEP partner organizations, the media and the public. The results are mixed and appear to vary according to the nature and scope of the regional programme activity.

150. UNEP publicity efforts through the UNEP Regional Office for Europe were impressive. The press officer for the Division of Technology, Industry and Economy (DTIE) estimates that 20 to 24 per cent of the news releases and information notes that UNEP issued in 2001 were generated in Europe.

151. Equally successful were activities in the Regional Office for Latin America and the Caribbean (ROLAC), which had a particularly ambitious and effective strategy. ROLAC succeeded in sparking substantial regional media interest in UNEP-related news and information. The evaluation noted remarkable success unique to ROLAC through "Tierramerica", a news and information supplement reproduced in some 42 newspapers. "Tierramerica" has a combined circulation of about 1.2 million (with a readership substantially higher than this figure) in Bolivia, Brazil, Uruguay and Venezuela. The ROLAC web site was equally successful. It grew from 34,223 visits in 1999 to 61,046 visits during the first six months of 2001. ROLAC media tracking showed that UNEP personnel and UNEP information appeared on television for an aggregate total of 24 hours in 2000, with the content ranging from news interviews to full programme documentaries.

152. The Regional Office for Asia and the Pacific (ROAP) web site posted 40 news releases from the end of 2000 until April 2002, most of them regional adaptations of information and news releases generated in Nairobi. Also the 2001 evaluation of the Regional Office for West Asia found a variety of publications, originating elsewhere within UNEP, reproduced in Arabic and distributed regionally.

153. The UNEP North American offices in Washington and New York serve primarily a liaison function between UNEP and the United Nations Secretariat and missions, other United Nations bodies and the Governments of the United States and Canada. This work is valuable to UNEP but only rarely produces publicity opportunities.

## **Emphasis on content for events**

154. One of the lessons learned was that the most successful UNEP news releases were those that provided new substantive insights or ideas on issues of public interest. Some conferences that might have been ignored by the media have been made interesting to reporters in creative ways. A notable example is the 2002 UNEP Governing Council/Global Ministerial Environment Forum session in Cartagena, Columbia. The session's central topic, global environmental governance, failed to excite much initial interest, but the meeting nevertheless earned references in a large number of international news reports because UNEP creatively used the occasion as an opportunity to release research findings to raise an alert about the decline of the world's dugong population. This kind of approach is bound to enhance the role of the global media in environmental issues.

155. United Nations international days and years do not, by themselves, usually represent news to major media such as wire services and international broadcasters. Limited success has, however, been achieved in reaching a global audience through official statements on the theme or the importance of such days. An example is the efforts made by DCPI to generate more coverage for the International Year of Mountains, with a major story about the threat posed by melting glaciers. An end-of-year review of the state of the environment conducted in December 2001 attracted a reasonable turnout of 9 international and 13 local reporters in Nairobi.

## **News-related images**

156. The great value to UNEP of its association with the London-based Television Trust for the Environment (TVE) lies in part in the access it provides to one of the world's foremost libraries of environment-related video images. These allow UNEP to prepare, at minimal cost, professional quality (betacam) "b-roll" videotapes related to major topics to offer to television journalists and their networks. These tapes facilitate the work of television journalists and include high impact pictures essential to achieving coverage in the world's most important medium.

157. In addition, the three UNEP photographic competitions conducted to date have created a valuable portfolio of high quality pictures that can be offered to print media.

## **Audio-video and graphics**

158. Since 1984, UNEP, in partnership with the World Wildlife Fund, has effectively leveraged large investments from outside sources to catalyze the production and worldwide distribution of video material by TVE. Since 1997, this collaboration has included *Earth Report*, a high-quality television series covering a variety of environmental topics, broadcast on the BBC World television service to 167 million homes in 170 countries each week. UNEP joined as an on-air sponsor in 1999. The award-winning series examines a different topic each week.

159. In addition to its outreach through BBC World, sales of almost \$900,000 have been completed by TVE for broadcast rights to media in other countries, including the National Geographic Channel, which reaches 84 million homes in 111 countries in 16 languages. As noted, through its association with TVE, UNEP has inexpensive access to one of the largest environment-related video libraries in the world.

160. Through its audio-visual unit, UNEP has led United Nations bodies in Africa in the development of a new "soap opera" television series intended to communicate information in Africa on such issues as the environment and human immunodeficiency virus/acquired immune deficiency syndrome. Modeled on a similar initiative in South Africa, the provision of educational content via popular television programming has proved to be an effective means of raising awareness and promoting social change.

## ***4. Measuring the effectiveness of UNEP communication and public information activities***

161. With respect to some DCPI activities, UNEP can provide estimates of the population and groups of people reached, but not changes effected. For example, through *Our Planet* magazine, over two million readers are currently reached per year in print and online. It engages the active involvement of many politically significant UNEP constituents, serves a useful educational and informative purpose and plays an important public ambassadorial role for UNEP.

162. Likewise, the UNEP partnership with TVE produces excellent educational and information programming, promoting environmental concern and public action. Budgetary constraints have caused the subprogramme's contributions to drop, however, leading to concerns that the UNEP association with TVE and the *Earth Report* series on BBC World may cease. The UNEP relationship with TVE, which is of value in many ways, should be continued and strengthened.

163. The evaluation noted that there were difficulties in measuring the effectiveness of UNEP communication and public information activities. "The main yardstick for measuring "enhanced environmental awareness" worldwide", according to the work programme, is "enhanced coverage of UNEP programmes and events" by the media. However, enhanced coverage is not defined, nor is it consistently measured. The evaluation noted that in order to assess the effectiveness of subprogramme activities against the set goal of communicating UNEP core messages and raising environmental awareness, data would be required on the number of target constituents who learn from the message content, who then change opinion and attitude, behave as desired and then repeat the behaviour, indicating a lasting change.

### **5. Key recommendations on communication and public information**

164. UNEP needs to promote consistent standards in web site structure and appearance throughout the organization to ensure that a high level of useful content is regularly provided. A task group led by DCPI and DEWA with representatives from all divisions should be established to undertake this process. The organization should also explore a system of requiring online payment for private sector access to online research and other documentation.

165. *Our Planet* magazine should be funded to appear more regularly, ideally four to six times a year. The relationship of UNEP with TVE, which is of value in a variety of ways, should likewise be continued and strengthened.

166. If its funding is not restored and appropriate technology made available to it, the UNEP library should consider taking on the role of an electronic information referral centre, expertly identifying, evaluating and cataloguing information available via the Internet.

167. In order to help evaluate the web site content and structure, a more thorough analysis should be undertaken of web site visitors to ascertain which UNEP constituencies (organizations, Governments, academic institutions and the private sector) most frequently visit the site and what information is accessed most often. An online survey of users and their specific interests in the web site would also help with its future design and content.

168. UNEP should take greater advantage of occasions such as United Nations international days, global ministerial meetings and slow news periods to increase the impact of newsworthy research and analysis.

169. Headquarters publicity efforts should focus largely on those media with global mandate and reach. To ensure that important UNEP stories get appropriate coverage, DCPI should regularly submit its major stories to the headquarters and larger offices of the wire services and other global media, especially those in London, New York and Washington. The efforts to capture and report on the success of media outreach results could be significantly improved.

## **IV. In-depth project evaluations**

170. The relevance, effectiveness, impact and sustainability of UNEP projects with regard to the UNEP mandate and mission are assessed through in-depth project evaluations. The lessons learned and recommendations resulting from these evaluations are presented and discussed below.

171. To facilitate the analysis of the evaluation findings, the projects evaluated have been grouped into four clusters in terms of UNEP priority areas and mandate. These are:

- (a) Support for implementation of global environmental conventions:
  - (i) UNFCCC and CBD projects;
  - (ii) Climate change mitigation projects;

- (iii) Regional seas conventions and action plans and ICRAN;
- (b) Assessment and monitoring for early warning and action;
- (c) Environmental education and capacity building;
- (d) Agricultural biodiversity.

## **A. Appropriateness and relevance**

172. Fourteen in-depth project evaluations (see annex II) were conducted in 2002. A majority of these projects (9 of 14) were joint UNEP/GEF funded, with budgetary provisions for in-depth evaluation. The scope of implementation of the evaluated projects covers all levels of the UNEP mandate, including five global-, four regional- and five country-level projects. The projects represent a spread over several sectors of the key UNEP areas of focus. Eight of these projects address issues related to the WEHAB areas of water, energy, agriculture and biodiversity. However, no project addressed health directly.

173. The findings indicate that UNEP projects are relevant and appropriate to its mandate and objectives and address diverse environmental issues. The performance of the projects towards meeting UNEP goals was rated highly.

### ***1. Support for implementation of global environmental conventions***

#### **UNFCCC and CBD projects**

174. Five country-level enabling activity projects designed to support national Governments in the implementation of UNFCCC and CBD were evaluated. They include:

- (a) Enabling activities for the preparation of initial national communications in accordance with UNFCCC for four countries (Central African Republic, Djibouti, Haiti and Mongolia);
- (b) Enabling activity support to Estonia for the preparation of its national biodiversity strategy and action plan (NBSAP) in accordance with CBD.

175. The focus of the UNFCCC projects was the preparation of national communications in accordance with the terms of the Convention. Activities conducted included the development of national greenhouse gas inventories and assessment of the vulnerability of key sectors to climate change. The projects helped the participating countries to identify and evaluate mitigation and adaptation measures that could form the basis of future actions. Data for the key sectors was generated and data gaps identified. The UNFCCC projects were relevant and appropriate to the mandate and mission of UNEP on climate change. UNEP capacity-building and technical support through training on the use of analytical tools and methodologies was consistent with the UNEP mandate to provide technical assistance and scientific information to countries that are Parties to UNFCCC.

176. The CBD enabling activity project facilitated the preparation of a national strategy and action plan for biological diversity for Estonia. The process and resulting products provided insight into the biodiversity conservation needs, possibilities and options for Estonia. The evaluation noted that the national strategy and action plan formed an important part of and was complementary to ongoing work in the area of biodiversity and environmental protection in Estonia.

#### **Climate change mitigation**

177. The focus of the UNEP/GEF projects in the energy sector evaluated in 2002 was on climate change mitigation and addressed two issues:

- (a) Fuel cell market prospects and intervention strategy options;
- (b) Re-direction of commercial investment decisions to cleaner technology: A technology transfer clearing house.

178. The objectives of these projects were to:

- (a) Review the climate change mitigation potential of fuel cell applications in distributed electricity generation and urban transport and to develop strategy options for market interventions supporting early achievement of lower cost, higher volume production;
- (b) Respond to the need for expert financial and technical advice for private sector investments in energy-efficient, renewable energy technologies;
- (c) Develop an appraisal tool for evaluating the financial and economic attractiveness of investments in energy efficient technologies.

179. These objectives were consistent with the UNEP mission to encourage decision-makers in Governments, local authorities and industry to develop and adopt policies, strategies and practices that are cleaner and safer and make efficient use of natural resources. The project objectives are also consistent with GEF programme objectives to reduce the long-term costs of low greenhouse gas emitting energy technologies and contribute to promoting environmentally sustainable transport and renewable energy technologies. These projects appropriately meet UNEP's obligation to provide policy makers in Government and industry with relevant, practical and timely information and to improve their skills so that they can make better, more informed decisions concerning energy policies, practices and investments.

## ***2. Support to regional seas conventions and action plans***

180. Two projects which supported activities under the Mediterranean Action Plan were evaluated. They are:

- (a) Determination of priority actions for the further elaboration and implementation of the Strategic Action Programme for the Mediterranean Sea;
- (b) Priority Action Programme Regional Activity Centre (PAP-RAC) in the implementation of the Mediterranean Action Plan.

181. Support to regional seas conventions and action plans is a UNEP priority area. The two projects mentioned here are relevant to and support the implementation of the Convention for the Protection of the Mediterranean Sea Against Pollution. The projects are also relevant to the protocol on Land-based Sources of pollution within the framework of the Convention for the Protection of the Marine Environment and the Coastal Region of the Mediterranean (Barcelona Convention). As the secretariat to the Barcelona Convention, UNEP supports the implementation of the Mediterranean Action Plan. This is one of the most active UNEP regional seas and action plan projects. Over the period of its operation, the programme has evolved to include activities relating to integrated coastal area management (ICAM), Coastal Area Management Plans (CAMPs) and integrated coastal river basin management.

182. The overall objective of the ICRAN project is to reverse the global trend in degradation of coral reefs and related ecosystems by minimizing human induced impacts through integrated coastal management. This includes the establishment and effective management of coastal and marine protected areas. The project strategy is to build capacity and improve knowledge sharing on coral reefs at the national, regional and global levels. In addition, the project aims at promoting research and monitoring, which are essential to management of coral reefs and to reviewing the status of coral reefs and corrective actions taken.

183. Through the ICRAN project, UNEP has responded to specific Governing Council decisions on the protection of coral reefs requiring the formation of the International Coral Reef Initiative (ICRI). UNEP was also called upon to promote the establishment of ICRI regional programmes, particularly for the regional seas of East Africa, the Caribbean and East Asia. The ICRAN project directly implemented priority issues defined by the UNEP programmes of work for 2000-2001 and 2002-2003. It supports the UNEP mandate in environmental assessment and early warning and the area of environmental conventions, specifically coordination of UNEP programmatic support to the implementation of the work programmes of conventions and related international agreements and processes.

### ***3. Assessment and monitoring for early warning and action***

184. Although the two projects evaluated differ in scope (one regional and one global) and even thematically (water and ecosystem), both projects are consistent with and designed to implement activities in support of the UNEP mandate in environmental assessment for early warning and action. The projects have helped develop methodologies and tools for assessment of specific issues. The projects under this cluster include:

- (a) Urban pollution of surficial and groundwater aquifers in Africa;
- (b) The Millennium Ecosystem Assessment.

185. The Millennium Ecosystem Assessment project represents a major international effort to assess ecosystem change and its consequences for human well-being from the global to the village level. Millennium Assessment outputs will inform activities undertaken in connection with CBD, the United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa, and the Convention on Wetlands of International Importance, Especially as Waterfowl Habitat. The Millennium Assessment conceptual framework offers a new methodological approach to assessing the “state” of ecosystems worldwide and the ability of ecosystems to provide goods and services for human well-being on many scales.

186. The urban pollution of surficial and ground water aquifers in Africa project addresses the issue of aquifer vulnerability and the need to protect the quality of groundwater resources. The objectives of the project are in conformity with the UNEP mandate and objectives in environmental assessment and reporting within the environmental assessment and early warning programme. The project is also consistent with the Johannesburg Summit objectives of alleviating drought and water pollution in Africa. This is the first UNEP project to be funded through the United Nations Development Account. As required, this project met the objective of using the fund to initiate a project with potential for long-term impact in developing countries.

### ***4. Environmental training and education***

187. The main objective of the Environmental Training Network for Latin America and the Caribbean (ETN-LAC) project is to coordinate, promote and support activities in the field of environmental education and training in the Latin America and Caribbean region. The project offers assistance for the development of courses and training programmes at different levels in order to promote sustainable development strategies and policies. The evaluation noted that the specific project objectives and goals were never clearly defined and tended to vary with time and from one document to another.

### ***5. Agricultural biodiversity***

188. The People, Land Management and Environmental Change (PLEC) project is a largely farmer-driven demonstration project. It consists of five ecosystem clusters spread over eight countries: Brazil, China, Ghana, Guinea, Kenya, Papua New Guinea, Tanzania and Uganda. Central to PLEC demonstration activities are the expert farmers, particularly skilled in agrodiversity management. These farmers employed local knowledge and introduced plant genetic resources and will be instrumental in the transfer of knowledge and certain skills to other farmers. The project has been successful in demonstrating scientist-to-farmer and farmer-to-farmer transfer of practices that could increase farm income and the number of crop varieties and useful species in different field types. The project is consistent with UNEP and GEF objectives on the conservation of biological diversity and agriculture.

## **B. Effectiveness of institutional arrangements for project implementation**

### ***1. Support for implementation of global environmental conventions***

#### **UNFCCC and CBD projects**

189. The implementation of the UNFCCC projects entailed well-defined institutional arrangements in which the devolution of responsibilities by UNEP was fully embraced. This enabled a high level of active involvement and responsibility by countries and increased project ownership. UNEP as the implementing agency provided the project funding, and a task manager at headquarters was responsible for providing technical support and advice. The task manager responded to queries and requests for technical support and served as a financial intermediary between the project and the Fund Management and Budget Section of UNEP.

190. The participating countries were responsible for the implementation of activities. Each country selected specific Government ministries as the executing agencies and identified national project implementation teams. A national project coordinator was selected in each country. The project teams consisted of research teams and project management teams. National and international consultants were co-opted as necessary and in some cases included experts from participating Government departments and national research and academic institutions.

191. In the preparation of the NBSAP for Estonia, a complex institutional arrangement was set up which sought to be as inclusive as possible. The Ministry of Environment was the national executing agency responsible for project coordination, financial management and reporting and liaising with UNEP. A task force chaired by the ministry and consisting of representatives of relevant ministries and institutions, non-governmental organizations, local communities and the private sector was formed to oversee implementation of the project. The environmental protection institute of the Estonian Agricultural University was the main implementing institution and hosted the project task force. An advisory team of 18 members from various sectors was set up. Over 100 experts were involved in the project. Although this meant there was broad representation, the large number of people directly involved in the project from many institutions and sectors made the work less efficient. It was also observed that local-level government sectors were poorly represented and yet critical in the implementation of the biodiversity strategy and action plan.

### **Regional Seas and ICRAN projects**

192. The Mediterranean Sea Programme of Action project was implemented by the UNEP Coordinating Unit of the Mediterranean Action Plan and its pollution-monitoring programme, located in Athens, through its programme activity centres and other collaborating agencies. The institutional set-up for project implementation, consisting of the GEF Project Coordination Committee and the Inter-Agency Steering Committee, functioned well. The project manager provided low-key but effective leadership and technical backstopping.

193. PAP-RAC recognizes that it needs to expand its efforts within the region, but has limited capacity to do so. The apportioning of training activities has largely been linked to CAMP, as the strategic framework for capacity-building efforts. However, limited financial and human resources have reduced the potential for capacity-building efforts in a number of Mediterranean states.

194. The ICRAN executing agencies project included regional seas programmes through the regional coordinating units for the Caribbean, South-east Asia and East Africa, as well as the existing partners in ICRI. The network of experts and institutions associated with the regional seas programmes has been used for the implementation of many activities and technical support.

195. In its support to the ICRAN projects, UNEP played an important administrative and technical support role as the recipient of the core funding and implementing agency for United Nations Foundation contributions to ICRAN. UNEP supports the position of director and coordinator of the implementing regional seas programmes secretariats and facilitated the project steering committee through its Coral Reef Unit. In addition, UNEP was responsible for coordination of the various partners and provided oversight on key project functions such as financial management, logistics, organizational support and communication. UNEP effectively facilitated building of alliances with other United Nations agencies and supporting activities for coral reefs management and successfully established close collaboration between United Nations resident coordinators and the regional seas programmes.

### **Climate change mitigation projects**

196. A collaborative institutional mechanism was adopted in the implementation of the energy projects. The arrangement brought together UNEP, the United Nations Development Programme (UNDP), the International Finance Corporation, GEF and industry experts to develop information to support policy decisions by GEF and national Governments regarding energy technology. The UNEP Collaborating Centre on Energy and Environment (UCCEE) was also instrumental in the implementation of the fuel cell energy project activities. The UCCEE brought to the project its expertise in methodology development, climate change mitigation analysis, energy and development economics, development of national and international policy instruments and energy sector reform.

197. The close partnership between DTIE and UCCEE ensured a quick and smooth-running administration of the various stages of Investment Advisory Facility (IAF) intervention such as the development of the pre-appraisal evaluation of investment projects, preparation of contracts for consultants to undertake an IAF study and disbursement of IAF grants. There was also excellent communication between the UNEP focal point and financial institutions interested in IAF. The cooperative process used in the fuel cell project was effective in bringing together key stakeholders, which included United Nations agencies, industry and energy technology users from developing countries, to provide consolidated inputs to the GEF comprehensive strategy on fuel cell market prospects and interventions options.

## ***2. Assessment and monitoring for early warning and action***

198. The evaluation findings indicate that the Millennium Ecosystem Assessment project had very good institutional capacity with effective governance and management structures within its co-executing agencies. In almost all areas, the Millennium Ecosystem Assessment project established well-functioning management procedures and successfully managed a complex process involving a distributed secretariat and hundreds of individuals and many institutions scattered across the globe. The evaluation revealed that financial management of the project suffered from diverse and complicated financial reporting requirements established by the multiple donors and co-executing agencies.

199. The aquifer pollution project was managed by a national task force set up through national academic institutions. This was considered a cost-effective and technically appropriate institutional arrangement. The skills base varied in different countries. However, this can be addressed through assessment, followed by training to remedy any identified capacity gaps. The evaluation noted that a local liaison officer was critical in a project of this nature. It was recommended that instead of depending only on the senior consultant for technical backstopping, a local liaison officer be part of the phase II project team.

## ***3. Environmental training and education***

200. The evaluation findings regarding the regional environmental training network project indicate that it was largely a one man undertaking. The project did not operate as a regional initiative supported by UNEP, but rather as a UNEP undertaking. A steering mechanism, which was established to provide the network with guidance from Governments of the region, proved unworkable and was subsequently abandoned. The programme could benefit from more formal governance arrangement with representation from key stakeholders, particularly Governments. A formal governance structure would increase transparency, eliminate the possibility of discretionary or arbitrary decisions and develop a much-needed sense of regional ownership.

## **C. Effectiveness and efficiency in project design and management**

### ***1. Support to implementation of global environmental conventions***

201. Prior to their implementation, the objectives and planned results of UNFCCC projects were very clearly laid out in project documents and the guidelines provided by UNFCCC were fully reflected in the implementation arrangements. However, the evaluation noted that UNFCCC projects overlooked a significant issue in design and implementation, that is, the impact of the claimed change on human and animal health. Only a very limited aspect of the impact on human health was included in the research and preparation of the final communications.

202. The ICRI secretariat and framework for action were effective in providing a contextual framework for ICRAN. The secretariat supports the project through contacts with Government representatives and other partners and donors, thus effectively enhancing awareness on issues affecting coral reefs. The ICRI coordinating and planning committees provide the forum for reporting on progress on the ICRAN project.

203. The evaluation assessment of the PAP-RAC approach indicated that the original scope was too broad for the limited amount of funding. Consequently, there was a compromise in the degree of impact and success that PAP-RAC could achieve on each priority action. A gradual narrowing of PAP-RAC core activities over the last decade is expected to help improve its efficiency. Given the limited budget, PAP-RAC cannot achieve the task on its own. However, it could play a crucial role of facilitating the process by bringing key stakeholders together, guiding the reshaping of policy and regulatory frameworks and even assisting contracting parties to attract external financial support.

204. Findings of the evaluation also indicate that despite chronic under-funding, limited human resources and, in the earlier years, late payment of funds, PAP-RAC has been very prolific in the activities it has undertaken and has excelled in its attempt to support capacity-building in environmental management and sustainable development in the region. The programme itself has been efficiently managed and its staff is committed and professional in its approach. PAP-RAC has endeavored to regionalize its activities as fully as possible, but the programme still faces several constraints. These include its own staffing limitations, poor communication with national focal points and the weak political will of some countries to engage in PAP-RAC activities.

205. The budget of the Mediterranean Action Plan alone could not have financed the activities related to the implementation of the protocol on land-based sources of pollution that have been made possible through GEF funding. Some of the expectations were too optimistic. These included the assumption that countries would fully engage in the preparation of national action plans and would introduce economic instruments in the region relatively quickly and efficiently with the goal of combating land-based sources of pollution. The assumption that pre-investment studies would be prepared in a manner to satisfy donors' requirements when the donors had not yet been identified was unrealistic.

206. To date, the dissemination of products is on a need-to-know basis, which means that various guidelines, plans and background documents are distributed only to concerned officials. Some institutions such as tourist boards, local authorities and industries using outdated technologies do not welcome information on pollution of coastal waters and problems of coastal zones. In some cases, lawyers have started legal action against polluting industries on the basis of effects that occurred and were documented years earlier. Information is needed to trigger public debate on implementation of the plan of action and the pollution issues and sustainable development in general. The data must convey the sense of urgency, economic and health costs involved and the irretrievable loss of some sources.

207. Evaluation findings revealed that the national biodiversity strategy and action plan developed for Estonia were over-ambitious and did not meet the budgetary realities of the Government. This could be the reason why the Government had not approved the action plan as of the time of the project evaluation.

## ***2. Environmental assessment and monitoring***

208. The Millennium Ecosystem Assessment project's greatest strength is its innovative approach to international scientific assessment. The project has successfully adapted methods and processes proven by IPCC for the production and review of its global assessment, while at the same time developing an exciting array of innovative additions that promise to bring considerable added value to the assessment process. Prominent among these are multi-stakeholder governance, engagement and outreach; a multi-scale approach including sub-global assessments (and in particular bottom-up assessments); the incorporation of indigenous knowledge and other epistemologies; and an expansion of the idea of a distributed secretariat. The project has also successfully taken on board the many complexities involved in integrating ecological processes into international environmental assessment and scenario building.

209. The aquifer pollution project adopted a strategy of providing seed money for the pilot phase before setting up a full-scale project. The pilot phase is an important input in the long-term success of the project as it serves as a lesson-learning period during which institutional and programmatic issues are addressed. It is a period in which to build consensus, ownership and commitment of the local project coordinators. The project is based on a uniform methodology of sample collection, analysis and reporting, and promotes measures for preventing and reducing aquifer pollution in seven countries. The project was considered successful and cost effective at \$280,000 over a two-year period covering seven Africa countries. The evaluation recommended an immediate extension of another two years of phase II.

## ***3. Environmental training and education***

210. Although the training programmes and resources were of very high quality, they were not designed within the framework of an overarching process based on regional needs. Some of the training activities corresponded to the initiatives of other institutions. Training activities were focused on the larger countries of the region that contribute to the trust fund. English speaking Caribbean countries were largely left out. Possible synergies with large institutions or initiatives in the region have proved elusive. Even within ROLAC, there are insufficient linkages to other projects.

211. Communication between the Coordinator of ETN-LAC and the existing national focal points is quite poor, and most national focal points are simply inactive. No mechanism is in place to facilitate linkages between the national focal points. Due to limited resources, ETN-LAC cannot ensure proper follow-up of participants in training sessions and is not in a position to promote further networking exchanges between participants or institutions. The communication network is, therefore, reduced to occasional information directed to the national focal points by the Coordinator of ETN-LAC, including the biannual bulletin and the web page.

212. A move in the right direction has been made in recent years that guarantees stronger involvement of national focal points. As a rule, no support for any participant in a training activity is granted without formal approval from a specific national focal point or Government. Most national focal points seem, however, to neglect the task of identifying possible candidates for training events. This situation is aggravated by frequent changes of Governments in the region. Continuity of linkages with people and institutions that should act as counterparts frequently fails. There is no systematic feedback evaluation after a training event is held.

#### ***4. Agricultural biodiversity***

213. Although designed as a demonstration and not a scientific project, PLEC has begun to shed light on the understanding of how farmers and communities can help maintain and enhance biological diversity even in intensively cultivated areas. While the main focus of PLEC should be to continue work at each cluster, a more visionary goal of how to reach agricultural researchers and extension agents around the world would enhance the impact of PLEC. This could be achieved through three processes: 1) Curriculum development for use in agricultural universities around the world; 2) regional training centres; and 3) policy analysis and reform that removes incentives for unsustainable land use.

214. The objective of PLEC to help shape agrobiodiversity policies has been affected by an overall weakness in design between and within clusters. Clusters have little in common besides the goal of improving yields and increasing biodiversity. The project approach has, however, been flexible enough to make the best of the clusters according to their capacities. The agrobiodiversity information collected and the knowledge that farmers share within the project could be stored at the local level through the compilation in the local language of a simple booklet that could serve many purposes.

### **D. Stakeholder participation in project implementation**

215. A multi-stakeholder approach was adopted in the implementation of all UNEP projects. However, the composition of selected stakeholders for each project varied and impacted project implementation differently.

#### ***1. Stakeholder participation in convention implementation projects***

216. In the UNFCCC projects, the selection of sectors for the preparation of national greenhouse gas inventories and assessment of vulnerability was effective. The sectors chosen included energy, transport, industry, agriculture, forestry, land use changes and wastes. The evaluation, however, raised concerns about the representativeness of the selected stakeholders at the national level. There was a bias in the representation of stakeholders towards technocrats, research scientists and academicians at the expense of policy makers, civil society and the private sector. Poor participation by some key Government departments, the private sector and women was noted as a serious oversight that affected the effectiveness of the process and could have serious implications for follow-up activities in phase II. It should, however, be acknowledged that phase I of the UNFCCC projects was largely research-oriented, and thus required the role played by the scientific and research community.

217. A multi-stakeholder approach was also adopted in the implementation of the regional seas projects. The partners played an important role in the preparation, development and management of the implementation of project activities.

## ***2. Stakeholder participation in environmental assessment projects.***

218. In the Millennium Assessment Project, a multi-stakeholder board, a group of individuals from different parts of civil society, is a conduit for raising the profile and “ownership” of the project within the communities the individuals come from and represent. Several key communities have yet to be effectively engaged in the project, however. These include high-level Government officials; conservation and development practitioners; research managers and the broader scientific community beyond the project team, natural resource managers and mid-level managers in natural-resource-intensive industries. Continued lack of engagement of these communities is likely to substantially weaken the project’s authority, the impact of its message, and its ability to continue to develop and communicate its ideas beyond the completion of the current project in 2005.

219. Among government officials, it is clear that the Millennium Assessment Project is not yet well known and has not acquired high-level political attention. This has resulted from the strategic choice to adopt a multi-stakeholder approach. The project team has identified this as a concern and has made engaging Governments of Organisation for Economic Cooperation and Development member countries a high priority for 2003. The performance of sub-global assessments in some of these countries does not necessarily translate into high-level awareness.

220. The Millennium Assessment Project team needs to put greater emphasis on reaching out to conservation officials and ensuring that one output of the project will be practical tools, methods, and databases that these people can use to better manage ecosystems.

221. Engagement of the private sector in the project is clearly gaining momentum, but also gives cause for concern. Some individuals and their corporations have been well engaged, either one-on-one through their participation on the Millennium Assessment Project Board or through the World Business Council on Sustainable Development. The private sector, however, far from being a single entity, needs to be approached in its entirety and across all its constituent parts, with special focus on the extractive industry associations working with leading companies.

## ***3. Stakeholder participation in climate change mitigation projects***

222. The energy projects primarily targeted investors, including development banks, commercial banks and project developers, through the IAF and training seminars. The project focused on developers and lenders to producers of energy in developing countries and countries with economies in transition and did not directly involve other stakeholders at the national level.

223. The project implementation arrangements entailed a set of tasks which were coordinated by a number of agencies. This allowed each partner to have a broad perspective and to contribute to a larger collaborative process in order to achieve more productive outcomes than could have been achieved individually. The process, however, was perceived by the executing agencies as not very effective because leadership roles were not clearly defined and coordination and division of work was difficult. There was no real consensus regarding who was in charge. Most partners felt that the cooperative execution process was difficult to coordinate and control because some partners had their own agendas and wanted to control the process.

## ***4. Stakeholder participation in environmental training projects***

224. The regional training network was a Government initiative, expected to respond to the priority environmental education needs and requirements of Governments in the region. However, this did not happen. The main beneficiaries of ETN-LAC activities so far are graduate students. Limited training at the local community level was also undertaken.

## **E. Impact and sustainability of projects**

### ***1. Support for implementation of global environmental conventions.***

225. The major achievement of the UNFCCC projects is the production of important primary data and information necessary for the complete assessment of climate change vulnerability and impacts leading to policy options. The reports produced include national greenhouse gas inventories, mitigation options reports for the key sectors assessed, study reports on vulnerability and adaptation to climate change and national communications.

226. The products were, for the most part, the first in these countries, and proved useful in national development planning. These products provided justification and the basis for positive action in several sectors, and will be useful for directing policy action. In some countries, steps have been taken to include climate change in the curriculum at different levels such as schools, teacher training colleges and universities. In other countries, awareness-raising activities have been taken a step further to the identification and preparation of materials for mass media such as radio and television.

227. The UNFCCC projects have created a framework for subsequent mainstreaming of climate change issues into national policy frameworks. They have also enhanced capacities of national scientific and research communities to appreciate climate change issues and served as a basis for further work in the area. Assessments from the evaluations indicate that sustainability of the projects will largely depend on the ability of the respective Governments to follow up the results of the enabling activities and effectively articulate them at the policy level and in national development frameworks.

228. The NBSAP for Estonia has not been approved for implementation by Government institutions and remains at the mercy of legal concession. CBD is implemented in Estonia via various acts, but there exists no direct link between them and the NBSAP. The local administrative staff of local environmental authorities do not recognize the NBSAP as a distinct strategy or action plan and tend to confuse it with national environmental action plans. Except for those directly involved in its preparation, few knew about its existence. This is partly attributed to administrative and technical capacities of the Ministry of Environment.

## ***2. Support to regional seas agreements and the ICRAN projects***

229. One of the objectives of the ICRAN project was to serve as a pilot and catalyst in the protection of coral reefs globally. ICRAN has succeeded, through the ICRI secretariat, in bringing together an increasing number of stakeholders at the global level, including a network of Governments, agencies and operating units, through diplomatic contacts. ICRAN plans to strengthen the catalytic role of ICRI through enhanced communication and information sharing.

230. UNEP and the regional coordinating units played an important catalytic role in the administrative support and coordination of the project through the Coral Reef Unit in DEC. UNEP is strategically placed to facilitate and promote the design, implementation and management of ICRAN. Based on its experience working with convention secretariats, UNEP is well placed to serve as the focal point for the global communication system for ICRAN. Fundraising for the ICRAN projects is conducted closely with management action and public awareness components. Advertising the need to protect the reefs worldwide and the achievements made at specific sites has facilitated fundraising for ICRI activities.

231. PAP-RAC has assisted in raising awareness of the benefits of integrated planning of resources to achieve sustainable development objectives. Some CAMPs have been very successful in influencing decision-making on resource use at the national and local levels. Whether the regional activity centre alone has been responsible for effecting change in the resource use policy and management is not easy to ascertain. However, it is evident that it has contributed towards numerous national, bilateral and multilateral efforts to improve the management of the Mediterranean and its resources.

232. The priority action on integrated planning and management of coastal areas has evolved over time to include activities relating to ICAM, integrated coastal area management plans and integrated coastal river basin management. It is also currently the focus of PAP-RAC activities. The project provides essential inputs for implementation of the Strategic Action Programme for the Mediterranean Sea in anticipation of entry into force of the revised protocol on land-based sources of pollution.

233. The evaluation observed that although the knowledge products from PAP-RAC such as training materials and guidelines have been of high quality, their usefulness and impact in influencing change in environmental management is difficult to determine.

### ***3. Environmental assessments projects***

234. The most important achievements of the urban water aquifers pollution project are the establishment of a network of seven West African countries with monitoring systems for groundwater pollution. Some of the tangible results of the network include production of vulnerability maps and country reports, with strong collaboration and commitment in the national task forces for project sustainability. A strategy has been agreed upon between UNEP, the United Nations Educational, Scientific and Cultural Organization (UNESCO) and participating countries for establishing an early warning monitoring system for pollution of groundwater in urban areas.

235. The project has helped raise awareness of the vulnerability of major urban water supplies to pollution. This awareness is expected to help attract national and international support for funding and action. In particular, the project has the potential for inclusion in national policy agendas and development plans as well as for international funding support. The project is unique in its approach and is the only existing UNESCO and UNEP partnership to establish a network for systematic groundwater quality assessment in Africa. The project will provide valuable data for other water projects and initiatives in Africa, including the New Partnership for Africa's Development and other projects sponsored by the African Ministerial Conference on Water and the African Ministerial Conference on the Environment.

236. The aim is to raise public awareness of groundwater pollution and its impact on water resources and health. The true cost of water pollution, which leads to increased health and water treatment costs, is often little appreciated. Planners, the public (water users) and legislators all need reliable information to back up the application and enforcement of environmental protection legislation.

### ***4. Agricultural biodiversity***

237. PLEC has advanced scientific knowledge and created the potential for expanding sustainable and productive relationships between scientists and farmers. PLEC has moved knowledge into a new realm by linking local resource management systems to agricultural projects. The replicable process to empower people who support agrobiodiversity – social and biological, local and individual -- at the landscape level is probably the most important achievement of PLEC. Insights gained from such an understanding may lead to sustainable management of biodiversity.

238. The PLEC project focuses primarily on improving yields and sustainability of agricultural lands through activities on demonstration sites made up of farming communities or villages. There are indications that even in the most intensively cropped land in small, mainly poor villages across wide-ranging agro-ecosystems of the different clusters, farmers routinely cultivate biological diversity, native or introduced. Biodiversity has been cultivated by increasing species and genotype mixes in individual fields over the different seasons and in mosaics of land use stages and field types over the landscape. Most importantly, the project has contributed to the growing understanding and dissemination of farmers' biodiversity management models in the usage and maintenance of many individual species, including wild and semi-domesticated ones. Information dissemination from the PLEC project is seen as a way of creating vital impact in the long term.

### ***5. Climate change mitigation***

239. UNEP provided a value-added service by facilitating greater inter-agency cooperation which might not otherwise have been possible. Given the strong environmental benefits of fuel cell technology for both stationary and transport applications, the project is consistent with UNEP and GEF missions and commitments to sustainable development through the promotion of the development, use and transfer of environmentally sound technologies.

240. Evaluation findings indicate that the developed strategy can guide GEF to influence cell markets by identifying strategic niches, which are different for each application. Some institutions and banks that received IAF support wrote letters of appreciation indicating that IAF provided invaluable support for securing a critical level of project feasibility. The quick, competent, independent and external expertise provided was highlighted, and interest was expressed in using IAF for future energy-efficient and renewable energy technologies investment projects.

241. Most of the activities of the directing commercial investment decisions to cleaner technologies project have been fully incorporated into other projects, drawing on the lessons learned and experiences gained. IAF has been included in the Sustainable Alternatives Network (SANet), a co-financing facility. The targeted intervention approach has been applied to energy policy makers through the Sustainable Energy Advisory Facility (SEAF), which was funded by the Danish International Development Agency. The training component has been incorporated

into the Global Network on Energy for Sustainable Development (GNESD), targeting global and regional network projects that promote energy effectiveness and renewable energy technologies. The project has also provided input to three UNEP rural energy enterprise development projects in Africa, Brazil and China. Thus, valuable knowledge of the financial investment environment gained during implementation within UNEP will be preserved and used in these projects.

242. A series of training and interactive workshops has been conducted for financial institutions and investors. Investment projects have started receiving UNEP support along the lines of IAF through the SANet decision support facility. The appraisal services developed through IAF will be brought to a wider audience and a bigger network of energy centres of excellence through a project that initially started in SEAF and now has been scaled up in GNESD, which was launched at the Johannesburg Summit.

243. SEAF was a pilot initiative to provide information and technical support for sustainable energy activities in selected developing countries to feed into the ninth session of the Commission on Sustainable Development. At the Johannesburg Summit, SEAF was scaled up to a full partnership of GNESD. The network of partners will help to promote research, transfer and takeover of green and cleaner technologies in developing countries through an existing network of energy centres of excellence in industrialized and developing countries, including UCCEE. UNEP serves as the secretariat of the network.

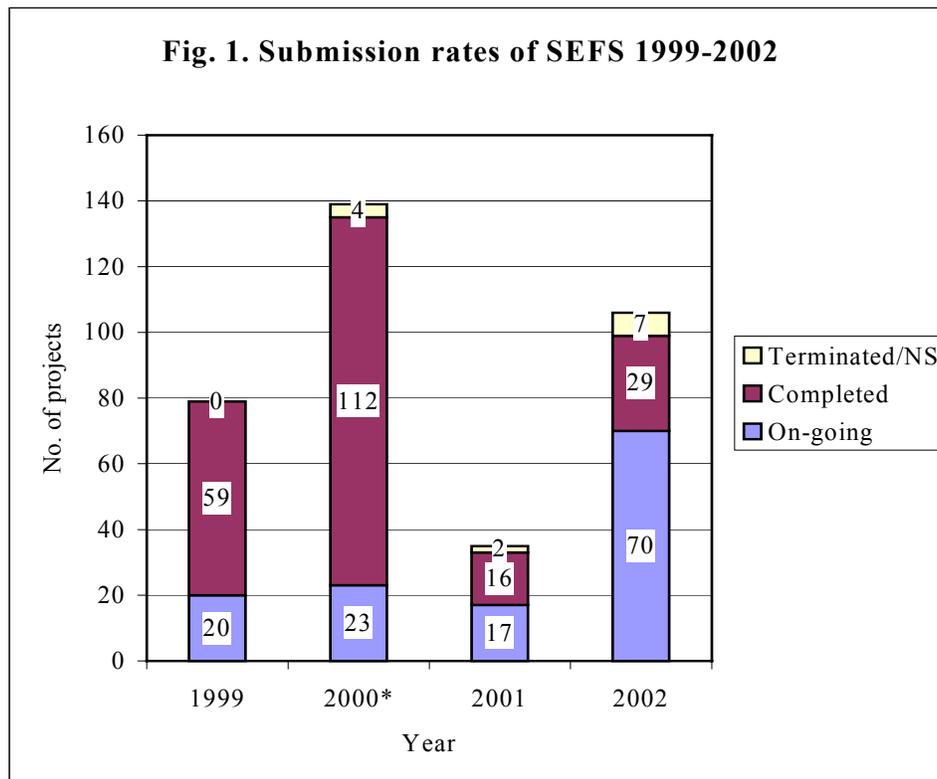
## **V. Self-evaluation of UNEP projects**

### **A. Background**

244. SEFS have been used as a tool to evaluate projects internally since 1989 (Evaluation Report 1991-1992, UNEP (1993)). SEFS report on the progress of implementation of UNEP projects on an annual basis. The self-evaluation process facilitates a dialogue between the project manager, supervisor and evaluation office, and is designed in a way that encourages the project manager and supervisor to review the findings of the self-evaluation report. The supervisor is updated on on-going projects in terms of activities carried out and problems in and changes to the original implementation plan defined in the project document. Information provided in the SEFS is useful to the evaluation office for several reasons:

- (a) It provides the required input into evaluating progress towards project implementation and identifies problems as well as key achievements of the project annually;
- (b) It provides the information necessary for planning the final evaluation of the project and assists in the planning of a mid-term review, if required;
- (c) Most importantly, it provides substantive inputs into the UNEP annual evaluation report.

245. The project managers submit SEFS at the end of each year. The information they provide is analyzed and included in the annual evaluation report for that year. Recent years have seen very low submission rates of SEFS (Figure 1), a concern that was raised in previous annual evaluation reports. The low submission rate of 35 SEFS in 2001, or 18 per cent of the total active projects for the year, raised questions about the validity of the self-evaluation exercise and the reliability of the resultant analysis. There was, however, a remarkable improvement in the submission of SEFS for 2002. One hundred and six (106) SEFS were submitted for 2002, representing 73 per cent of the total active projects for that year. Annex III contains a list of self-evaluations submitted for 2002.



\* Inflated due to closure of inactive projects following a recommendation by external auditors.

246. The low SEFS return rate was exacerbated by a number of problems. Among the most important were:

- (a) Lack of clearly defined criteria for the selection of the universe of projects that require self evaluation;
- (b) Poorly completed SEFS that produce no added value;
- (c) Lack of importance attached to the submission of SEFS by project managers;
- (d) Lack of adequate follow-up and active involvement by senior management to ensure that SEFS are viewed appropriately as a project management tool.

247. Over the past year, EOU has taken a number of steps to address these problems. These include:

(a) The process of defining the universe of projects requiring evaluation and the process of coordinating with each division and programme has been strengthened substantially. SEFS are now no longer required for certain types of projects. These include project development grants (UNEP/GEF PDF-A and B) and projects implemented by conventions and executed by UNEP that have their own reporting mechanisms and are not part of the UNEP programme of work. In addition, projects which have been implemented for less than six months do not need to submit SEFS;

(b) The problem of low visibility and importance attributed to SEFS by project management has been addressed through more active involvement of senior management to ensure that SEFS are submitted on time. Self evaluation of projects is now considered an important part of the work of project managers. These measures have already proven successful and the submission rate of SEFS for 2002 increased significantly;

(c) Action is also being taken to make SEFS more user friendly. Revision of the format of the SEFS, which has not changed substantially since it was introduced, is also part of the efforts to strengthen this project management tool. The revision is aimed at assisting managers to provide better quality self-evaluations, which in turn will increase the validity of the self-evaluation exercise. SEFS are currently being redesigned (and renamed “self evaluation reports”) to provide more targeted information based on specifically formulated questions consistent with the thematic areas of work of the organization. The new format is expected to standardize reporting on projects and make reporting easier. This approach will assist EOU in conducting more sophisticated and efficient analysis and make feedback from evaluations more useful to project managers.

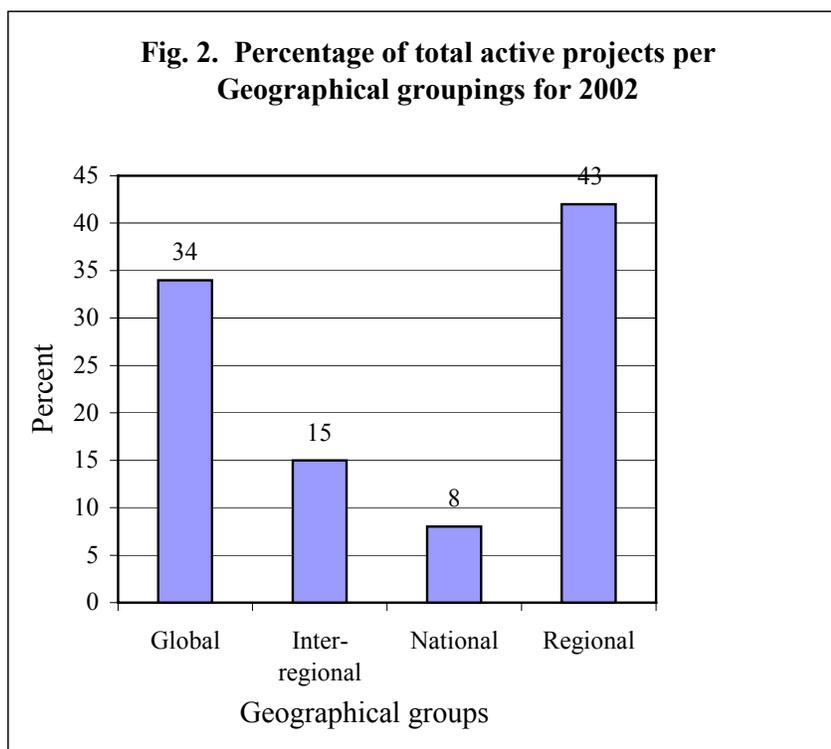
## B. Findings from analysis of 2002 SEFS

248. The improved submission of SEFS has provided valuable information for assessing project performance, facilitated identification of lessons learned from project implementation and assisted in identifying impacts of projects in 2002. However, projects implemented outside the costed work plans constitute only a small part of the full portfolio of UNEP projects. A majority of UNEP work is implemented within the framework of the costed work programme.

249. The following section presents the results of an in-depth analysis of SEFS, showing trends and issues as evaluated by the project managers.

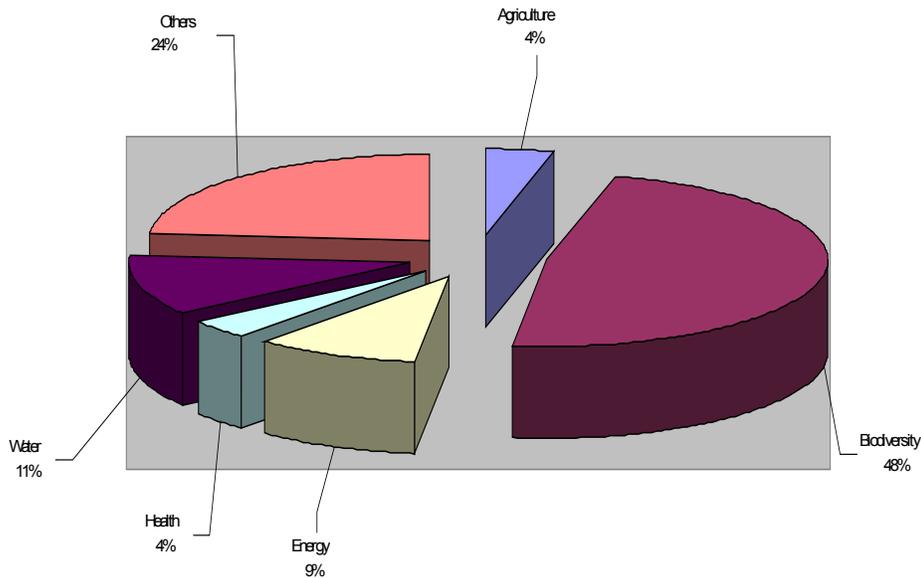
### 1. Geographic scope of projects

250. Results of the analysis of the 2002 SEFS (figure 2) indicate that 34 per cent of UNEP work was done at the global level and 43 per cent at the regional level. Interregional projects constitute another 15 per cent, while projects implemented at the national level constitute only 8 per cent. However, it should be noted that most inter-regional and regional level project activities are in reality implemented at the national level.



## 2. Sectoral distribution of projects

251. Information from SEFS indicates that biodiversity projects, most of which are funded with GEF support, accounted for 48 per cent of UNEP projects. Water and energy account for 11 per cent and 9 per cent respectively, and health and agriculture projects constitute 4 per cent each of the total number of projects. Other sectors account for 24 per cent. Figure 3 shows that UNEP activities, as in the past year, continue to focus on United Nations priority areas within the WEHAB framework.



**Fig 3. Active projects by sector**

## 3. Project duration

252. Of the 106 on-going and completed projects, 90 per cent have been extended beyond their original time frames. Only 4 per cent of the 29 completed projects were completed on time. The duration of projects varies greatly from a minimum of one month to a maximum of 84 months. The average variance between planned and actual duration is about one year.

253. The reasons for variance in implementation duration seem to be the same as those observed in previous evaluations. They include:

- (a) Weak capacity of executing agencies, especially at the national level;
- (b) Various problems during the preparatory phase of projects, including institutional, financial and even design problems;
- (c) Changes in staff, activities, budgets and participating countries and agencies;
- (d) Bureaucratic systems for approval, procurement and disbursement of funds;
- (e) Poor project coordination and communication.

#### 4. Mode of implementation

254. There is almost an even split in projects between those implemented by UNEP (42 per cent) and those implemented by other agencies (39 per cent), while only 19 per cent are implemented in partnership with other agencies (table 3). Most of the projects implemented internally are global projects, usually involving large budgets and complex partnerships.

**Table 3. Mode of implementation of projects (based on SEFS submitted in 2002)**

Mode of implementation	Total	Percentage
External	41	39
Internal	45	42
Partially external and internal	20	19
Grand total	106	100

#### 5. Project outputs

255. Although the quality of internal evaluations is not uniform, the reports provide sufficient information for gauging UNEP programme delivery. The ratings on performance, however, tend to be higher than would be expected and less critical particularly in cases where the weaknesses or problems experienced are from within. This is in contrast with the project performance rating by independent external evaluators, which provide more in-depth and critical analysis of the strengths and weaknesses of project delivery.

256. Table 4 below shows that the level of output achievement is highly rated. For the completed projects, all the projects achieved over 75 per cent of the expected outputs. Out of the 106 projects, only one was terminated before completion.

**Table 4. Project output completion rate in each category**

	100 per cent completion	75 per cent and above completion	less than 75 per cent completion	Terminated	Grand total
Complete (29)	72.4%	27.6%	0.0%	0.0%	100.0%
On-going (75)	-	17.1%	82.9%	-	100.0%
Terminated (1)	-	-	-	100.0%	100.0%

257. The managers indicate that a wide range of corrective actions were taken to improve output delivery. They include:

- (a) Adjustments to project timeframes to give adequate time for completion of activities and outputs;
- (b) Reprioritization of activities and outputs when expected funds were not available;
- (c) Termination of projects to avoid further costs without outputs when there were serious problems in implementation;
- (d) Change in mode of implementation from external to internal implementation by UNEP;
- (e) Securing of additional funding to cover shortfalls and attain expected outputs;
- (f) Addition or exclusion of partners, stakeholders and consultants and modifications to memoranda of understanding in order to respond to changes that could affect project delivery.

258. Most of the corrective actions taken led to overall improvement in delivery of outputs even when resulting in project delays.

## 6. *UNEP substantive inputs into projects*

259. Table 5 shows the significance of the various inputs UNEP makes to projects implemented through a wide range of partnerships and modes. About 50 per cent of UNEP substantive contribution to projects is in two key areas: provision of expertise, methodologies, guidelines, guidance and advisory services and coordination and collaboration. This is consistent with the UNEP mandate and supports UNEP intellectual leadership in environmental management.

**Table 5. UNEP substantive inputs**

Type of input	Percentage
Provision of expertise, methodology and provision of guidelines/guidance, advisory services, provision of materials and document	33
Coordination and collaboration	27
Review of technical reports, documents and output assurance	11
Project management (evaluation and monitoring)	9
Technical assistance	9
Backstopping	8
Logistical support, networking/synergy	2
Project development	1

260. The second category of substantive inputs is assistance with review of technical reports and documents and overall quality assurance of project outputs and backstopping, logistical support, networking and synergy, which constitute 22 per cent. Project development is not a significant part of UNEP inputs to projects. Project management, including monitoring and evaluation, constitute only about 10 per cent of UNEP support to projects. While this is a reflection of an agency whose major function is to catalyze others into action, the significance of monitoring and evaluation cannot be overstated if UNEP is to determine how well environmental issues are addressed.

## 7. *Gender considerations*

261. Although the SEFS format specifically requests information on how projects address gender issues, there is little evidence to show that gender was taken into consideration during project design and implementation. Judging by table 6, below, gender consideration continues to be an elusive goal to UNEP. Only 8 per cent of the projects explicitly reported on gender issues. Approximately 63.5 per cent of the SEFS either had no response on how gender issues were articulated in the projects or indicated gender was not applicable to the project. Responses from 29 per cent did not reveal any substantive insights into the role or impact of gender on the projects. Most of the references made are in terms of participation of women in either workshops, conferences or as project personnel. Comments such as “women are represented”, “women involved in decision-making”, “percentage women who participated in workshops ” are used to describe how gender was addressed. It can, therefore, be confirmed from the project evaluations that gender does not seem to be a significant consideration in UNEP activities. This is also in line with the findings from the in-depth project evaluations. Less than 10 projects reported a need for gender sensitivity in the design and implementation of projects.

**Table 6. Gender integration in projects**

Gender	No. of projects	Percentage
Explicitly	8	7.5
Implicitly	31	29.0
Nothing stated	59	56.0
Not applicable	8	7.5
<b>Total SEFS</b>	<b>106</b>	<b>100</b>

### C. Commonly encountered problems in UNEP project implementation

262. In both internally and externally implemented projects, UNEP encounters diverse problems, which ultimately affect project delivery. These problems are summarized in table 7. The problems often lead to delays in project implementation and completion as well as overall performance in realizing planned outputs. Some problems are clearly unpredictable and beyond the control of project managers, such as natural disasters and political upheavals. A majority, however, could be eliminated or their effects significantly reduced if special attention were paid to project design and preparatory phase issues and to strengthening project monitoring in UNEP. A mechanism for rigorous risk assessment throughout the project development-to-implementation cycle could help reduce the recurring problems noted in UNEP annual evaluations.

**Table 7. Commonly encountered problems in project implementation**

PROBLEM	CAUSE OF PROBLEM	CONSEQUENCES
<b>PROGRAMMATIC</b>		
Instability in project staff	High turnover of project-related staff Delays in recruitment and appointment of project support staff Lack of or weak local technical capacity Insufficient numbers of professional staff	Delays in project commencement and completion Increased project costs Disruption of project activities Threat to project follow-up and sustainability Poor project monitoring and follow-up
Poor project design	Pre-project activities not completed before main project commences Lack of criteria for selection of project stakeholders Capacity of participating countries not assessed before project commencement	Project objectives only partially achieved Some key stakeholders excluded from project implementation Some countries drop out of projects and new ones are included hastily.
Poor project coordination	Lack of liaison officers for projects at field level Involvement of diverse stakeholders with conflicting agendas Poorly defined roles for stakeholders in project implementation Poor communication systems between countries and project	Delays in submission of project reports and outputs Slow pace of project implementation Inability to share information and experience between project teams, especially in regional or interregional projects

	teams	
Limited project impact and sustainability	Lack of funds for follow-up activities beyond funded phase Developed strategies and recommendations beyond the budgetary capacities of Governments Limited capacities at national level for fund raising	Project activities discontinue after end of funding. Project impact is limited Governments are unable to implement recommendations and strategies. Developed strategies not approved by Governments for implementation
Natural disasters	Floods and hurricanes	Delays in project activities Changes in project activities and budgets Increased project costs
<b>FINANCIAL</b>		
Inadequate funding	Limited funds allocated to project activities Difficulties in securing additional or matching funds for already approved projects	Some core project activities not implemented Some key outputs not completed Effectiveness and impact of project compromised
Expected funds not received on time	Failure of donors or Governments to honour financial commitments Delays in project proposal approval by donors	Delays in starting project activities Delays in completion of project outputs
Delays in disbursement of funds to project teams	Slow government procedures Poor project design in financial management	Disruptions in project activities Delays in project implementation
<b>INSTITUTIONAL</b>		
Weak institutional capacity (particularly national level in developing countries) in project implementation	Limited funding and budgetary constraints Frequent changes and transfers of senior project staff Difficulty in retaining expertise in Government institutions Restructuring of Government ministries during project implementation Poor facilities to support project implementation	Delays in reporting Poor quality outputs Delays in starting and completing projects Poor communication Increased project costs
Slow project approval process	Approval process involves several departments or ministries	Delays in start and completion of projects
Slow and bureaucratic procedures in signing of memoranda of understanding for project implementation	Changes in senior staff, particularly in Government ministries Need to build consensus for support and ownership of projects Memoranda of understanding require financial and political support and such commitments involve several officers.	Delays in starting projects Revisions and changes in project activities and budgets Changes in project executing ministries or institutions
Slow funding approval systems	Centralised procedures on fund disbursement	Delays in project activities

Delays in project equipment procurement	Complex procurement and importation procedures at country and funding institutional levels	Some equipment not procured Some project activities delayed or not implemented Delays in project implementation
Poor or lack of communication facilities such as Internet, telephone Difficult communication (travel) systems	Lack of or limited of financial resources Undeveloped infrastructure Collapse of regional airlines	Poor project monitoring and communication between UNEP and project implementing agencies Networking among project teams and collaborating agencies Slow project implementation

## **VI. Lessons and key recommendations from project evaluations**

### **A. Lessons learned**

#### ***1. Lessons learned from in-depth project evaluations***

263. Long-term projects provide ample time for learning lessons from project implementation. Lessons generated from project implementation are presented below.

#### **Lessons learned from support to convention implementation projects**

264. Institutional capacity strengthening of convention bureaus in relevant ministries is critical for successful implementation of convention activities. This ensures sustainability of effort and close collaboration between the various stakeholders to pursue projects and to incorporate the recommendations into national policies.

265. When projects are disrupted by political instability, flexibility in project implementation and the use of an evaluation to assess the way forward help to improve the effectiveness and efficiency of project delivery even under difficult circumstances.

266. Weak institutional and technical capacities in developing countries on technical issues such as climate change and biodiversity assessments contribute to delays in project start-up.

#### **Lessons learned from regional seas and action plan projects**

267. To kick-start a CAMP, a critical mass of funds is required. The successful national CAMPs are those with sufficient funding for implementation.

268. Success of CAMPs is also reliant on the degree of in-country ownership. Ownership is largely secured through the participation of key stakeholders, from central and regional government to non-governmental organizations and the public throughout the project cycle. Ownership is also secured through the use of local consultants, rather than short visits from external consultants, who are less familiar with local issues.

269. The CAMPs that have been most successful are those with a coherent and well-structured process, with emphasis on strategic national-level capacity building and, in particular, localized training in specific skills necessary for project implementation. Training in the use of ICAM tools alone bears little fruit unless accompanied by interventions at the strategic level that enable the tools to be used effectively.

270. One of the lessons learned from ICAM interventions world wide is the requirement for a long-term commitment (often in excess of 5-10 years), recognizing that changing attitudes on the use of resources and shifting from sectoral to integrated planning and management require time as well as commitment.

271. Incorporating resource mobilization into project design to support follow-up activities helps sustain in-country follow-up activities beyond the funded project life.

### **Lessons learned from regional environmental training network project**

272. Explicit declarations by regional Governments on the priority of environmental training and their commitment to contribute financially to its implementation do not guarantee that Governments will maintain their interest, get involved in planning activities that may steer the network or live up to their commitments in terms of financial support.

273. The academic quality of the training package does not, by itself, guarantee sustained Government interest and support for the training programme. Any successful environmental training network has to prove its worth permanently in terms of its usefulness with respect to the needs and requirements of the sectors involved, starting with the Government sectors to which the network is accountable.

274. An environmental training network should define its goals and objects clearly, along with permanent and systematic monitoring and evaluation procedures.

275. To foster a sense of ownership among the countries of the region, a political arrangement has to be put in place that includes the establishment of a fully operational and participatory governance mechanism.

276. To be sustainable, an environmental training network requires a minimum level of human and financial resources. The threshold of long-term viability cannot be achieved solely in reliance on the existing trust fund and current support from UNEP. Fund-raising should be conducted consistently, based on the usefulness of the products and services that the training programme may offer and the existing effective demand for training.

### **Lessons learned from UNEP capacity-building activities**

277. Enhancing institutional and technical capacity in different areas of environmental management is central to all the projects. It includes strengthening of institutions, human resources development and increased ability to raise awareness and access information on environmental issues at all levels. The evaluation findings indicate that while both institutional and technical capacities are necessary and complement each other, the former is a weak area in UNEP projects.

278. The project evaluations identified a wide range of strategies used in capacity-building in sustainable management of the environment, which include:

(a) Training local project teams, task forces and technical teams through courses and workshops during project development and implementation aimed at upgrading their scientific and technical knowledge base;

(b) Hiring and in other ways involving local experts and consultants for preparation of national surveys and studies and preparation of national strategies and action plans as part of capacity-building with respect to specific environmental issues;

(c) Building on existing expertise to enable local researchers to apply and develop their skills in relatively new technical areas;

(d) Organizing regional and national workshops, training courses, expert meetings and publications, which are important building blocks in strengthening institutional capacity at the national and regional levels to strive for sustainable development;

(e) Building regional networks for training, environmental monitoring and assessments and information sharing on environmental management.

## **Lessons learned from implementation of pilot projects**

279. UNEP success in the implementation of the PADELIA pilot project has provided valuable lessons that can influence programming in the future. A number of factors contributed to making the PADELIA project effective and successful in securing environmental policy, law and institutional changes in and among the project countries. These factors could be applied or adapted for other countries in and outside the project area and for other technical assistance projects and activities in DEPI and UNEP. The key attributes for success include:

- (a) An intensive focus on (selected) seven countries in Africa (a given region) where the experiences and lessons learned in one part of the project could readily be applied or adapted in other parts;
- (b) Close partnership arrangements among donor agencies and countries as well as different ministries in the countries, with the participating countries setting their own priorities and activity work plans;
- (c) Extensive use of local experts in and outside Government rather than expatriate consultants, helping to create the local capacity needed to effectively implement the agreed policy, legal and institutional changes;
- (d) Involvement of lawyers and experts in and outside environment ministries as well as consultations and meetings with representatives of non-governmental organizations and other stakeholders;
- (e) Development and distribution of new reference and research materials and intensive training in selected areas at national and regional workshops;
- (f) Availability of adequate external financial resources;
- (g) Management and monitoring of project activities through regular contacts and meetings with a steering committee comprising representatives of the main partners.

## ***2. Lessons learned from 2002 self evaluations***

### **Project design**

280. Undertaking a risk assessment during the project design phase helps determine factors that could affect project delivery such as the socio-economic and political difficulties and logistics and capacity of partners. This enables UNEP to take appropriate actions which result in successful projects.

281. Securing all required funds (or planning projects within available funds ), project sites and partners before project start up minimizes delays in start up and ensures successful project implementation.

282. A multi-stakeholder approach is a critical element in broadening the UNEP constituency and increasing synergy in environmental management, especially in terms of human and financial resources. The approach helps to increase project ownership and sustainability beyond the externally funded phase.

283. Gender consideration is not an important factor in UNEP project design, implementation and evaluation. The special role women and youth can play in environmental management has not been taken as an important objective to be articulated in UNEP projects. This is also reflected in the selection of stakeholders in multi-stakeholder projects.

284. Stakeholder consultations before and during project implementation facilitate clarification of roles to be played and determine the capacities of the key players to meet their obligations towards the project outcomes.

285. For projects involving procurement of technical equipment, delays in project start up can be avoided if the procurement process is predetermined. As part of the risk assessment during project design, the time needed to secure the required inputs should be determined and possible reasons for delay taken into consideration so as to set realistic project timeframes.

286. Assessment of capacities of national Governments to implement projects before project start up, especially in the case of technical projects, helps to minimize the risk of having some countries drop out of multi-country initiatives.

287. Reliable and continuous access to e-mail and Internet services is essential for effective implementation of some of the projects that UNEP implements. However, some countries in which UNEP implements projects have poor or very limited access to these communication services. Availability of these services should be ascertained or provision made for procurement before project start-up to avoid unnecessary delays in project activities.

### **Project implementation and management**

288. Effective and reliable communication for projects with geographically widespread activities and actors is crucial for successful collaborative project implementation. Funding of facilities for networking and regular communication is an important project input which makes it possible for UNEP to manage effectively field projects from either regional offices or headquarters.

289. Strong multi-stakeholder and inter-agency collaboration and involvement of local institutions and experts in design and implementation of national as well as regional projects enhances UNEP efficiency and effectiveness in programme delivery. It also builds capacity of local institutions and expertise in environmental management, yielding improved sustainability.

290. Enhanced knowledge transfer and better management of environmental resources can be achieved through partnerships and involvement of diverse local expertise developed between scientists and local communities.

291. Regional networks are effective and efficient systems for undertaking global environmental assessments and data validation and add credibility to the quality of assessment results. Subsequently, these regional assessments increase environmental awareness and stimulate greater collaboration among stakeholders for action.

292. Adequate and stable financial resources are essential to the success of UNEP interventions and visibility at the global, inter-regional and national levels. Long-term financial commitment is important for achieving the UNEP mission of sustainable environmental management. This involves awareness creation, long-term monitoring, information and alternative management strategies that require sustainable funding.

293. Provision of expertise, methodologies, guidelines, advisory services and relevant knowledge products constitutes the most substantive UNEP input to environmental management. When UNEP adequately provides these inputs, achievement of its project outcomes is high. When budgetary limitations constrain delivery of these inputs, poor project performance is evident.

294. Distribution of UNEP publications through the Internet is much cheaper and will reach more people faster than relying on distribution of hard copies alone. Knowledge products from initiatives at the national and regional levels are useful and contribute to change in policy and action when they are widely distributed to the target groups and in the appropriate language.

295. Results of UNEP activities are heavily dependent on the partnerships developed for effective influence in policy and practice. Effective partnerships are effective channels for leveraging additional resources, technical expertise and catalytic influence. The lessons learned from project and programme delivery demonstrate that the process of selecting, nurturing and establishing mechanisms for effective collaboration are critical for effective partnerships.

### **Monitoring and evaluation of projects**

296. Impact level indicators set at the start of a project can enable UNEP and its partners to gauge the long-term benefits and sustainability of project activities. This can include a follow-up review of project impact on policy-making, capacity-building and public awareness at least a year following project completion.

297. Provision of seed money for a pilot phase is likely to increase a project's successful outcome compared with setting up a full-scale project pre-maturely. The evaluations underpin pre-project review and follow-up activities as essential components of project sustainability. They ensure that project activities and management are focused and that indicators for impact assessment are in place

298. An internal implementation and monitoring focal point within UNEP accompanied by a field coordination system at the project level strengthens the monitoring of UNEP externally-implemented projects.

299. National and subregional communication mechanisms with focal points close to project delivery lead to effective project management and monitoring

300. Linking funding to pre-agreed implementation arrangements, reporting requirements and project output delivery improves UNEP capacity to enforce project timelines and ensure an adequate level of delivery.

301. The similarities in lessons learned between external evaluations and internal self-evaluations suggest that the self-evaluation mechanism provides reliable insight into the project implementation process and can form a strong basis for management decision making.

## **B. Key recommendations from project evaluations**

### ***1. Millennium Ecosystem Assessment project***

302. The government review process is a major avenue through which Governments acquire ownership, as a result of which they acknowledge the seriousness of assessment findings. The Millennium Ecosystem Assessment project needs to substantially strengthen its government review process.

303. In order to ensure the broadest understanding and acceptance of the findings of the Millennium Ecosystem Assessment project by all relevant stakeholders, “user-friendly” versions of all its final technical products should be prepared. This should be done in consultation with the various user groups and incorporated into the Millennium Ecosystem Assessment project budget for engagement and outreach.

304. Understanding ecosystem services and the connection to human well-being demands integral participation by both social and biophysical scientists. Efforts should continue to foster deeper working relationships among these communities.

305. To avoid any potential duplication of effort and to increase the chances of sustainability, sub-global assessments should strive to take advantage of existing national, subregional, and regional institutions, now and in future.

306. The Millennium Assessment Project should continue to pursue a relatively hands-off approach to the design and conduct of sub-global assessments, avoiding unnecessary standardization. Comparative analyses across many regions to inform future global assessments can be better achieved through systematic dialogue among regions and through analytical methods.

307. A strategy for proactive engagement should be designed and implemented, as a matter of urgency, to reach stakeholders in national Governments, conservation and sustainable development communities, private sector entities directly involved in natural resource extraction and exploitation and relevant research communities. The Millennium Ecosystem Assessment project recognizes this need in its plans for 2003 engagement, as presented to the project’s board in February, as well as the board’s recommendations for further engaging Governments.

### ***2. Support for implementation of global environmental convention projects***

308. To ensure sustainability and impact of project activities, UNEP should build in-country capacity to identify mitigation, vulnerability and adaptation measures and response strategies of the key sectors and enhance the capacity of development planners and decision makers to integrate environmental concerns into national planning and development activities.

309. Funding for follow-up activities of the next phase of the enabling activities projects is critical for sustainability of project activities. It is recommended that UNEP strengthen its support for capacity-building at the technical and institutional levels and that it assist countries to integrate identified mitigation strategies into their development policies and activities.

### ***3. Recommendations on regional seas and ICRAN projects***

310. PAP-RAC has gained considerable knowledge and experience from its involvement in ICAM. The programme can offer advice to countries where ICAM is a new concept and can help catalyze UNEP advocacy for sustainable development principles in a relatively cost-efficient manner. The evaluation recommended that UNEP document lessons learned from completed and ongoing CAMP programmes and the impact of training courses and publications, which can be synthesized into best practice approaches.

311. Having focused to a large extent on the development of, and training in, the application of ICAM-related tools, PAP-RAC needs now to focus on facilitating the development of a strategy within which these tools are to be applied. Given that the Mediterranean states are at different stages in the development of their conceptualization of ICAM, PAP-RAC should ensure that it tailors its approach appropriately.

312. Inter-regional coordination and strengthening between the various components of ICRAN is a major condition for quick start up of implementation of activities in phase II and consequently for sustainability of the project. It is, therefore, recommended that an information sharing forum for ICRAN be established once activities have been initiated at the national, regional and global levels to ensure flow of information for more effective project implementation.

### ***4. Environmental training and education project***

313. In order to restore the viability and sustainability of the environmental training programme, an overhaul is necessary in accordance with the mandate from the Forum of Ministers of the Environment of Latin America and the Caribbean. It is recommended that based on its strengths and valuable accumulated experience, an in-depth assessment be undertaken to facilitate restructuring of strategies, processes and content of the programme.

314. The programme will re-establish itself on a sound financial basis when its Government sponsors are convinced of its usefulness and viability. This requires a change of the target beneficiaries. Catering for the needs and requirements of Governments and strengthening the capacities of local communities should be a priority. Changes will also require reorientation of training activities to focus primarily on problem-solving issues in various areas of environmental management.

315. The governance of ETN-LAC should be depersonalized. This may require setting up a small steering committee, an advisory committee or both that could help to adopt the main planning decisions and foster a sense of ownership. Greater budgetary certainty will call for the restoration of normal planning practices.

### ***5. Recommendations on assessment and early warning and action projects***

316. In order to translate the success of the groundwater pollution project into action for the protection of usable aquifers, the programme should be institutionalized and scaled up. It is therefore recommended that future UNEP projects (and extensions of existing ones) should explicitly include components which facilitate the ability of participating countries to institutionalize groundwater protection policies and programmes in national development plans.

## **VII. Knowledge management**

### **A. UNEP experience**

317. Evaluations of UNEP activities have consistently established that, in conformity with its mandate and mission, the organization is providing intellectual and scientific leadership to the international community on environmental assessments, environmental and sustainable development policy and the promotion of action at the global, regional and national levels. In order to maintain this intellectual leadership and authority, UNEP continues to work towards capturing, consolidating and improving on its knowledge base and influence. UNEP has initiated several actions to address specific knowledge management issues which have progressively contributed towards improved programme delivery at various levels. However, several annual evaluations have noted that, despite the wealth of knowledge UNEP has and continues to generate, there exist gaps and challenges in the management of this information both for internal use and for building the capacity of other stakeholders. Findings from the 2002 evaluations confirmed the need for a comprehensive, more coordinated and coherent system-wide knowledge

management framework which will build on UNEP experiences. In this way, the UNEP corporate goal in environmental management will be sustained.

### ***1. Enhancing organizational learning through evaluations***

318. A wide range of evaluations are conducted every year that help UNEP determine the relevance, effectiveness, efficiency and impact of its work. These evaluations constitute a major avenue for learning and capturing knowledge gained from the implementation of projects and programmes. EOU plays a key role in:

(a) Distilling and consolidating lessons learned from evaluations of UNEP projects and subprogramme work;

(b) Facilitating and coordinating the process of institutionalizing the lessons learned and good practices identified from UNEP project and subprogramme implementation.

319. A system is now in place to ensure that all major recommendations from evaluations are followed up and implemented and that progress is reported in order to improve on the effectiveness of project and programme implementation. The evaluation reporting and feedback mechanism within UNEP has been redesigned to ensure that evaluation findings and recommendations are used by UNEP in policy formulation and in planning and programming of future activities.

320. The problem of poor project self evaluations, evidenced by the low rate of submission of SEFS which had persisted for many years, has been addressed. As discussed earlier in this report, EOU, in collaboration with management, has successfully taken corrective action which has resulted in significant improvement. The self-evaluation system is undergoing further refinement, which will help improve institutional learning and overall effectiveness and efficiency in programme delivery.

321. System-wide mechanisms for distilling, disseminating and internalizing lessons learned and identified by evaluations for use internally and by other stakeholders is under development. EOU has already developed a web site for capturing and sharing lessons learned from evaluations. With an appropriate knowledge management framework, UNEP will better utilize these important empirical lessons to inform future policy, programme development and project formulation and implementation.

### ***2. Knowledge sharing through best practices and success stories***

322. One of the most effective means of creating and improving an organization's knowledge base is through knowledge sharing. In order to successfully capture, share and consolidate knowledge, current UNEP efforts are aimed at facilitating and nurturing interactions between professionals and practitioners in environmental management. The interactions seek to promote sharing and learning about the most effective ways of solving environmental problems.

323. UNEP has been engaged in identification of good practices and lessons learned from programmes and projects implemented through various initiatives. Best practices and success stories help validate the knowledge-sharing concept and encourage the interest and commitment of practitioners or professionals in a given field or sector. UNEP has several experiences in this area.

#### **Success stories in land degradation and desertification control**

324. The UNEP initiative on success stories in land degradation and desertification control is facilitating learning and sharing and promoting replication of best practices on dryland management and desertification control. It is a global programme coordinated from UNEP headquarters, but implemented in close collaboration with UNEP regional offices, non-governmental organizations and civil society in the regions. The programme evaluates projects or initiatives that have been submitted to UNEP as success stories in land degradation control. To qualify as a success story, a project or initiative must directly and substantially contribute to the prevention of dryland degradation or to the reclamation of degraded land, using appropriate methods in a cost-effective manner. More than two hundred submissions from Africa, Asia and Latin America and the Caribbean have been received by UNEP for consideration as success stories since the implementation of the initiative in 1994. An award scheme, Saving the Drylands, was also developed alongside this initiative in the form of a certificate to outstanding achievers through an on-site evaluation process by a team of independent experts.

325. The drylands success stories initiative has recently become integrated into the new UNEP Global Network on Best Practices and Success Stories (BSGN), which encompasses all environmental sectors under the UNEP mandate.

### **The best practices and success stories initiative**

326. BSGN represents one of the many attempts by UNEP to coordinate, synthesize and disseminate successful experiences in environmental management for greater outreach and impact. BSGN is a DEPI initiative but is set up to serve all other UNEP divisions as a UNEP-wide undertaking.

327. Many programmes develop guidelines and tool books and distil best practices from their work each year. However, there are no systems in place for systematically collecting these knowledge products and accumulated UNEP knowledge which vital to accomplishing its mission. BSGN is designed to bridge this gap in knowledge building and optimization for achieving UNEP goals.

328. BSGN is set up as a dynamic web-enabled database accessible from anywhere and by anyone at anytime. The database contains environmental best practices and success stories from UNEP activities and contributions by others. It will serve as a platform that will facilitate knowledge sharing and promote replication.

### ***3. Knowledge sharing through knowledge products***

329. UNEP knowledge products constitute a major asset of its intellectual capacity to galvanize action for sustainable management of the environment by the international community. UNEP publishes over one hundred titles every year covering all aspects of environmental information, management and policymaking. UNEP environmental knowledge products are considered standard reference for assessing the environment, building environmental and sustainable development policy consensus and promoting action at the global, regional and national levels. These products include methodologies, technical guidelines, national and regional frameworks of action, national and regional policy instruments and mechanisms, policy implementation approaches, environmental assessment models and application experiences. Findings from the 2002 evaluations further confirm the significance of UNEP knowledge products on environmental information. They show that UNEP publications are among the sources of environmental information most sought after by the public.

330. In the UNEP functional structure, DCPI is responsible for coordinating the production and dissemination of publications. Challenges, however, still exist in the streamlining of this process within the organization, as some other subprogrammes prepare and distribute publications without involving DCPI.

331. Another challenge in the UNEP knowledge management system is in determining the use of its publications by various target groups and the impact they have on environmental action by various stakeholders. Concerns have also been raised about how best UNEP might determine the extent to which intended stakeholders are accessing the publications. The ability to determine the extent to which extended stakeholders use UNEP publications in their work can facilitate follow-up on the application and impact of UNEP knowledge products.

### ***4. Infrastructure for knowledge dissemination***

332. As UNEP is the global environmental authority, the quality of its intellectual leadership can only be determined by its effectiveness in mobilizing the international community to effectively address environmental challenges. UNEP recognizes that publicity of environmental knowledge activities and products ensures wider utilization and contributes to a better-managed global environment. Consequently, UNEP uses a wide range of channels such as the media, Internet services, outreach activities and publications to inform the world about its work and to enhance the catalytic role it plays in environmental management.

333. UNEP Internet services and web sites constitute an important channel for knowledge sharing and dissemination. In order to make its electronic information and knowledge consolidation, communication and dissemination more efficient and effective in meeting its internal needs and serving its clients, UNEP has instituted major reforms in its Internet services delivery. An Internet Services Unit has been established within DCPI, as a result of which all Internet services will be coordinated and technical support will be provided to the whole organization.

334. The following are examples of project-related web sites established by different subprogrammes:

(a) DTIE has established two web sites for capturing and sharing lessons learned on the themes of tourism and energy;

(b) DEPI has set up a web site on the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities;

(c) The Division of Global Environment Facility Coordination (DGEF) has set up a web site to help collect and share best practices from its projects' implementation. Most of the UNEP-GEF projects are designed to identify and document best practices from their experiences.

335. Access to and exchange of information has also been provided through the UNEP Infoterra global information network, which reaches over 175 countries.

336. UNEP publications are publicized and accessed through various channels, including the Internet, SMI, book launches and exhibitions. The UNEP library is another popular point of public access to UNEP knowledge products. However, as pointed out earlier in this report, inadequate funding has threatened the role the library can play in the dissemination of environmental knowledge.

### ***5. Learning and sharing through project networks***

337. Networks feature prominently in most UNEP project implementation activities. These networks are established as a means for information sharing and dissemination as well as building the knowledge base on pertinent issues. Most of these networks are project specific and, therefore, little known beyond the immediate groups of project stakeholders. The networks established through UNEP project activities range in scope from local to regional to global. One of the objectives of the BSGN initiative is to bring all these isolated networks together as a consolidated UNEP-wide best practices and success stories database from which the global UNEP audience can learn about UNEP and its work.

338. One of the gaps in UNEP knowledge management is that it has not assessed the effectiveness of these knowledge and information networks in project delivery and the impact they have created in UNEP programmes. No mapping has been done to establish the complete inventory, typology, status and potential of the networks for learning and knowledge sharing for UNEP and externally. The BSGN initiative is a first step towards creating interaction and interlinkages between the networks and linkage with the UNEP web sites and Internet services.

## **B. Toward a coherent knowledge management approach for UNEP**

339. The knowledge management approach each organization adopts is dictated by its organizational goals. While there is no universally accepted definition of what knowledge management is, its value in improving achievement of organizational goals is indisputable. Conceptually, an effective knowledge management strategy should help an organization to become more efficient and effective in programme delivery by avoiding duplication and mistakes through continuous learning from its own experiences and sharing those of others. The common approach is for organizations to develop their own practical definitions that best describe how the knowledge management approach they adopt contributes to the mission of that organization.

340. The value of developing a strategy lies as much in the process as the final product. As a result, it is important that people impacted by the strategy be engaged in the various stages of its development. Experience from other organizations indicates that a broad-based consultative process is required. This helps establish a common understanding and facilitates a sense of ownership of the strategy during its implementation. The final product gives a framework for operationalizing knowledge management and is an important precondition for effective monitoring and evaluation. In addition, it is a useful instrument for external communication.

341. Senior management plays a critical role in promoting knowledge management by providing an enabling environment through policy support, and should be actively involved in the process. Finally, further consultations could involve strategic experts. Some of the constraints commonly encountered in the development of knowledge management approaches include funding of implementation activities, giving priority and time for knowledge sharing internally and externally and incentives for staff and external partners to share knowledge.

342. The growing body of UNEP information and knowledge on environmental management is its greatest asset for achieving its mission, which is “to provide leadership and encourage partnership in caring for the environment by inspiring, informing and enabling nations and peoples to improve their quality of life without compromising that of future generations.” As noted above, UNEP is already involved in a number of initiatives and activities for learning from its project and programme implementation and capturing, distilling and consolidating experiences and lessons learned and disseminating the knowledge for application internally and externally. However, findings from UNEP evaluations strongly indicate the need for a more effective approach in the way UNEP manages its accumulated and growing knowledge base for greater impact in environmental management. By building on the experience so far gained from the various knowledge management initiatives and structures in place and drawing from the experience of other organizations, a system-wide knowledge management approach for UNEP could be established to enable the agency maintain its lead role in addressing global environmental challenges.

343. Existing initiatives are in line with current knowledge management theory and practice and, therefore, should serve as building blocks in the development of a more robust and coherent system-wide approach. However, in order to address the limitations noted in the current UNEP approach, a study of the current knowledge management practices and the supportive information and communication infrastructure should be undertaken.

344. Three strategic objectives common to knowledge management approaches and practice could also help educate the UNEP process of developing its knowledge management approach. These include:

(a) To promote a culture of learning and knowledge sharing within the organization and with others outside the organization and to provide timely experiential knowledge for improved performance at all levels of the organization;

(b) To translate knowledge into operational practice and increase the efficiency, effectiveness and impact of project and programme delivery;

(c) To build the capacity of stakeholders through improved knowledge sharing and partnerships to support the achievement of organizational goals.

345. As discussed earlier, it is important for UNEP to define the scope, scale and extent of a knowledge management approach that will best reflect and meet its mission objectives. The approach taken must also take into consideration the organizational structure of UNEP, which includes headquarters and regional offices, and the mandate of its operations, which range from the global to the national level. Lessons learned from UNEP communication and information sharing networks at all levels could provide the basis for defining the positioning of a system-wide knowledge sharing strategy. The functional approach of UNEP operations also offers a good opportunity for strong networks to promote internal learning and knowledge sharing.

# Annex I

## TERMS OF REFERENCE

### FOR THE 2002 ANNUAL EVALUATION REPORT

The purpose of the 2002 Annual Evaluation Report is to provide a comprehensive analysis and objective assessment of UNEP performance. The main objectives are to share the evaluation results with Governments and for UNEP to use the report as a management tool. This evaluation report also provides a means for UNEP to be accountable to its Governing Council, donors, partners and the UN.

The evaluation report is a summary of how UNEP's programme was delivered during 2002 and focuses on main issues arising from the analysis. The major themes that occur in the evaluations are delineated to facilitate clearer understanding. This enables UNEP to determine the overall outcome and effectiveness of its activities. Emphasis will be placed on programme development and management, project design and management, learning from lessons and knowledge management.

It will also provide a follow-up on the actions taken on the recommendations of the 2001 Annual Evaluation Report and the Management response to that report.

#### **Scope of the evaluation**

The 2002 Annual Evaluation Report produced by the Evaluation and Oversight Unit will cover aspects of UNEP's work by analysing and summarising the results of subprogramme/division, project evaluations, and self-evaluation fact sheets submitted to the Evaluation Unit during 2002 (see annex III for list). Discussions with key members of UNEP staff will compliment review of evaluation reports, project documents, progress reports and publications.

The analysis shall make use of statistical material to the extent possible. Wherever applicable, statistical analysis shall be applied to (but not limited to) aspects of evaluations, such as overall project ratings and separate ratings of project performance, including budget variance and project/programme duration.

#### **Terms of reference**

The evaluation report will provide a summary of the projects evaluated in a logical sequence, which embodies the main evaluation parameters of; relevance, effectiveness, efficiency and impact.

#### **1. Relevance/Appropriateness:**

To determine the relevance of subprogrammes and projects in terms of the **2000-2001 and 2002-2003** Work Programmes, taking note of the overall priorities, strategies and plans of UNEP, including UNEP's mandate and the decisions of the Governing Council and taking into consideration the 2004-2005 Programme of Work. It should be determined:

- whether the objectives of the subprogrammes are pertinent to the goals set out for UNEP and if the projects represent a suitable and appropriate means of achieving those aims;
- whether the expected outcomes and results of the subprogrammes or projects contribute to the attainment of the UNEP objectives and long term goals;
- whether the subprogrammes and projects are appropriate for achieving the UNEP priorities;
- whether strategic planning measures within the subprogramme or project are relevant modes of operation. This includes an examination of the logical sequence and nature of activities in relation to the work programme;
- whether the quality and the usefulness of project outputs contribute towards the attainment of results and overall objectives;
- whether the subprogramme or project appropriately respond to identified environmental needs and problems.

## **2. Effectiveness/Efficiency**

To review the effectiveness of subprogrammes and projects, by:

- assessing the management and financial systems which affected subprogramme and project implementation;
- investigating the operational mechanisms with emphasis on how UNEP supports activities/projects;
- determining the effectiveness of UNEP's administrative procedures and financial systems and institutional arrangements and how these have affected subprogramme/project implementation;
- determining UNEP's efficiency in programme delivery through the examination of subprogramme and project implementation;
- identifying successes, problems and lessons learned for improved subprogramme and project delivery.

## **3. Impact**

To examine the impact being created by UNEP in the sustainable management of the environment by:

- examining the catalytic function fostered by UNEP, including where possible, a presentation of how they have influenced policies, strategies and other activities of the cooperating agencies, Governments and partners;
- determining the progress made in attaining long term results and how these results have impacted the environment;
- assessing the value of subprogramme/project results from any follow-up processes, such as; monitoring and reporting;
- evaluating the usefulness and impact of outputs, including where possible, the opinions of recipients and beneficiaries.

## **4. Follow-up of evaluation recommendations**

To assess the progress of implementation of recommendations stated in evaluations of projects and subprogrammes by:

- assessing the status of implementation of recommendations forwarded in the 2001 Annual Evaluation Report;
- reviewing recommendations listed in the implementation plans for the analysis of the evaluations in the 2002 Annual Evaluation Report;
- evaluating how evaluation recommendations and follow-up have impacted project management and the quality of project documents and reporting and contributed to institutional learning.

## 5. Performance and knowledge management

UNEP has in the last few years adopted the results-based budgeting and management approach. The evaluation should examine the existing knowledge management approaches in the organization and provide an assessment of UNEP's organizational learning. The following aspects shall be reviewed:

- UNEP institutional mechanisms for the sharing of knowledge, including monitoring;
- UNEP projects, in particular knowledge management projects;
- Evaluation and Oversight's role in knowledge management.

### **Evaluation report format**

The report will set out the outcomes and methods of improvement arising from the analysis. This is to be achieved through several steps.

- a) State the major areas of concern arising from the analysis, separating the issues into:
  - policy and subprogramme concerns, such as institutional arrangements, administrative procedures and funding arrangements; and
  - project concerns, such as project design, implementation, management, attainment of results, monitoring and follow-up, and project follow-up (e.g., next phase projects).
- b) Prepare recommendations, addressing both the policy and subprogramme concerns and project concerns, that:
  - draw on the lessons learned from the successful implementation and performance of relevant and effective subprogrammes and projects; and
  - formulate responses that can be implemented efficiently and with available resources.
- c) Review the role of Evaluation in supporting knowledge and performance management by:
  - identifying evaluation and oversight mechanisms and activities supporting knowledge and performance;
  - review the role of evaluation in knowledge management;
  - review the mechanisms in place for sharing of knowledge within and outside of UNEP;
- d) make suggestions for the development of a comprehensive knowledge management framework to guide UNEP mechanisms and activities in this area.

### **Evaluation Schedule and Payment**

Under the overall guidance of the Chief of Evaluation and Oversight Unit, the consultant will prepare a draft report, which will be submitted 9 weeks after the commencement of the assignment, **i.e. on 30<sup>th</sup> May 2003**. UNEP will take two weeks to give feed back on the draft and a further one week will be used to finalise the final document. The evaluation will be for a duration of two months spread over four months starting on 24<sup>th</sup> March 2003 – 25<sup>th</sup> July 2003.

The evaluator will receive the payment in three installments - an initial payment of 30 per cent of the total amount. An intermediate payment of 30 per cent of the total amount will be made upon assessment of satisfactory progress. Final payment will be made upon satisfactory completion of work. The fee is payable under the individual SSA of the evaluator and is inclusive of incidental expenses.

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

## **Annex II**

### **LIST OF EVALUATIONS FOR 2002**

#### **Sub-programme evaluations**

1. Evaluation of the Division of Environmental Conventions (DEC)
2. Evaluation of the Division of Communications and Public Information (DCPI)
3. Evaluation of the Division of Environmental Policy Implementation (DEPI)

#### **Project evaluations**

4. DA/9999-00-01 - Urban Pollution of Surficial and Groundwater Aquifers in Africa
5. MT/1100-99-02 - International Coral Reef Action Network (ICRAN)
6. ME/6030-00-10 – The Priority Actions Programme (PAP/RAC)
7. GF/1300-98-01 – People, Land Management and Environmental Change (PLEC)
8. GF/2200-99-03 – Desk Evaluation on Redirecting Commercial Investment Decisions to Cleaner Technologies- A Technology Transfer Clearing house (MSP)
9. GF/4040-00-12 - Fuel Cell Market Prospects and Intervention Strategy Options
10. GF/ME/5030-00-08 – Determination of priority actions for the further elaboration and implementation of the Strategic Action Programme for the Mediterranean Sea
11. GF/2200-97-53 – Enabling Activities for the Preparation of Initial National Communication Related to UN Framework Convention on Climate Change (UNFCCC) – Mongolia
12. GF/2200-97-58 – Enabling Activities for the Preparation of Initial National Communication Related to UN Framework Convention on Climate Change (UNFCCC) – Djibouti
13. GF/2200-97-45 – Enabling Activities for the Preparation of Initial National Communication Related to UN Framework Convention on Climate Change (UNFCCC) – Central African Republic
14. GF/1200-96-51 – UNEP implemented GEF Biodiversity Enabling Activity support to Parties to the Convention on Biological Diversity for the preparation of National Biodiversity Strategies and Action Plans (NBSAPs) – Phase 1 - ESTONIA
15. GF/2200-97-49 – Enabling Activities for the Preparation of Initial National Communication Related to UN Framework Convention on Climate Change (UNFCCC) – Haiti

16. GF/1010-01-04 – Mid-Term Evaluation on the Millennium Ecosystem Assessment

17. ET/5240-95-02 - Environmental Training Network for Latin America and the Caribbean

## Annex III

### LIST OF SELF-EVALUATIONS FOR 2002

CP/5510-99-04	Central Coordination of the Global Coral Reef Monitoring Network (GCRMN)
MT/1010-01-03	International Coral Reef Action Network (ICRAN) – Action Phase
FP/0401-94-18 CRL-2324-2025- 2551	Overall Coordination and Common Cost of the Caribbean Environment Programme (OCCC)
QCL-2324 2420- 2551	Planning for the Rehabilitation, Environmental Management and Coastal Management in Nicaragua, Honduras and Guatemala in the Wake of Hurricane Mitch
FP/0401-94-17	Assessment and Control of Marine Pollution (CEPPOL)
ES/1100-95-12	Support for the Operation of the Regional Coordination Unit for the East Asian Seas Action Plan (RCU/EAS)
PN/1100-97-12	Support for Implementation of the Northwest Pacific Action Plan
ME/5030-00-05	Technical Support for the Implementation of the health-related Aspects of the Mediterranean Action Plan in the Framework of the MED POL Programme for Pollution Prevention and Control
ES/5030-00-05	Establishment of an Effective Coral Reef Monitoring Network in the East Asian Seas Region
ME/5030-00-07	ERS/RAC Assistance to Mediterranean Countries for Widening the Knowledge and Understanding of Mediterranean Environment State and Changes, through the use of remote sensing.
ME/5030-00-10	The Priority Actions Programme
ME/5030-00-11	The Mediterranean Action Plan: Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea
ME/5030-00-12	Support to Regional Activity Centre for Specially Protected Areas (SPA/RAC)
ME/5030-00-13	Technical Support to the Implementation of MEDPOL – Phase III Programme
ME/5030-00-18	Support to the Blue Plan Regional Activity Centre
BD/5010-01-02	Strengthening of the Subregional Centre for Central America, Panama and Mexico
PN/5030-02-07	Support to Pollution Monitoring in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan
PN/5030-02-08	Support to Special Monitoring and Coastal Environmental Assessment in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan
PN/5030-02-05	Support for the Development of Marine Environmental Emergency Preparedness and Response in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan

PN/5030-02-09	Support to Data and Information Networks in the NOWPAP Region under the Framework of the Northwest Pacific Action Plan
CP/3010-01-03	Pilot Project on Empowering Women in Rainwater Harvesting in the Pacific Atoll Islands
EL/3010-01-18	Partnership for Development of Environmental Law and Institutions in Africa (PADELIA)
FP/1030-00-01 & FP/3010-00-01	UNEP/IPGRI project to undertake a study to develop appropriate conservation strategies on African forest species
CP/3010-01-05	Mega Chad
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
CP/3010-01-17	Dams Development (Follow-up to the World Commission on Dams project)
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)
MT/1100-99-05	Joint Initiative of World Commission on Dams and UNEP
CP/1010-00-15	Bridging Project for the Millennium Ecosystem Assessment (MA)
FP/1020-01	Asia and the Pacific: Networks for Data Information Generation. Analysis, Observation and Assessment
GF/1010-01-04	Millennium Ecosystem Assessment
GF/1100-99-01	Global International Waters Assessment (GIWA)
DA/9999-01-02	Development of a collaborative institutional and data framework for integrated environmental assessment and reporting for West Africa
FP/RA/CP/1020-01-02	Asia and the Pacific: Networks for data-information generation, analysis observation and assessment
GF/2010-02-02	Global Biodiversity Forum (GBF): Multi-stakeholder Support for the Implementation of the Convention on Biological Diversity - Phase III
GF/1200-95-03	Phase I: Preparation of National Biodiversity Strategies, Action Plans and First National Reports to the Convention of Biological Diveristy  Phase II: Assessment of Capacity Building Needs for Biodiversity, Participation in CHM and Preparation of a Second National Reports to the Convention of Biological Diversity
GF/1200-98-11	Development of the Best Practices and Dissemination of Lessons Learned for Dealing with the Global Problem of Alien Species that Threaten Biological Diversity
GF/1010-00-14	Catalyzing Conservation Action in Latin America: Identifying Priority Sites and Best management Alternatives in five Globally Significant Ecoregions.
GF/1200-99-01	Lopnur Nature Sanctuary Biodiversity Conservation
GF/5022-01-01	Arun Valley Sustainable Resource Use and Management Pilot Demonstration Project.
GF/1030-01-05	Conservation of Gramineae and Associated Arthropods for Sustainable Agricultural Development in Africa.

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.
GF/2010-01-14	Community-Based Management of On-farm Plant Genetic Resources in Arid and Semi-Arid Areas of Sub-Saharan Africa.
GF/1040-00-10	An Indicator Model for Dryland Ecosystems in Latin America
GF/1300-99-03	Promoting Best Practices for Conservation and Sustainable Use of Biodiversity of Global Significance in Arid and Semi-Arid Zones.
GF/3010-00-03	Lake Baringo Community Based Land and Water Management.
GF/1030-01-01	Land Use Change Analysis as an Approach for Investigating Biodiversity Loss and Land Degradation.
GF/5010-01-01	Development of National Biosafety Frameworks
GF/5030-00-08	Determination of the Priority Actions for the Further Elaboration and Implementation of the Strategic Action Programme for the Mediterranean Sea.
GF/4030-02-04	Reduction of Environmental Impact from Tropical Shrimp Trawling, through the introduction on By-catch Reduction Technologies and Change of Management
GF/5030-02-02	Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand.
GF/2732-02-4442	Demonstration of innovative approaches to the rehabilitation of heavily contaminated Bays in the wider Caribbean region
GF/5010-00-15	Development of Protection of the Coastal and Marine Environment in Sub-Saharan Africa
GF/4030-01-01	Persistent Toxic Substances (PTS), Food Security and Indigenous Peoples of the Russian North.
POPs Enabling Activity	Enabling Activities for the Development of National Implementation Plan for Stockholm Convention on POPs
GF/3300-98-01	Emergency Response to Combat Forest Fires in Indonesia to Prevent Haze in South East Asia
GF/1100-99-14	Integrated Management of Land-based Activities in the Sao Francisco Basin.
GF/1100-99-15	Implementation of Integrated Watershed Management Practices for the Pantanal and Upper Paraguay River Basin
GF/1010-01-01	Formulation of Strategic Action Programme for the Integrated Management of Water Resources and the Sustainable Development of the San Juan River Basin and its Coastal Zone.
GF/1010-01-05	Implementation of the Strategic Action Programme for the Bermejo River Binational Basin
GF/1100-99-07	The Role of the Coastal Ocean in the Disturbed and Undisturbed Nutrient and Carbon Cycles
GF/1030-01-04	Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa.
GF/1030-02-01	Assessment of Soil Organic Carbon Stocks and Change at National Scale.
GF/5021-01-03	Development and Integration of the Environmental Component in the "Partnership for Africa Renewal" Programme

GF/CP/5023-01-03	Barriers and Best practices in Integrated Management of Mountains Ecosystems
GF/2010-02-02	Involving National Legislators in International Environmental Decision-making through Participation in the preparations for the World Summit on Sustainable Development Proceedings and the Second GEF Assembly.
SP/1040-00-05	Interactive Forum on Global Environmental Issues
SP/1020-00-05	GEF Program Tracking and Mapping System
FR/4310-98-01	Developing a harmonized approach to environmental legislation in the CIS countries
FP/CP/4310-95-01	Implementation of the Programme for the Development and Periodic Review of Environmental Law for the 1990'S (MonteVideo II Programme)
CP/2010-01	Support to Civil Society at the Global Level to Participate in the Rio 10 (World Summit on Sustainable Development, Johannesburg, 2002). Preparatory Process in Africa, Asia and Pacific
FP/2010-02-01	Support to the Implementation of the UNEP Water Policy and Strategy
GF/1100-99-03	Implementation of the Strategic Action Programme for the Red Sea and Gulf of Aden : Institutional Strengthening to Facilitate Regional Cooperation (PERSGA)
GF/2010-01-07	Assessment of Impacts of and Adaptation to Climate Change in Multiple Regions and Sectors (AIACC)
Climate Change	Phase I: Preparation of the Initial National Communications
FR/3210-98-01	Moscow Sustainable Project and World Environment Day 1998 Associated International Meetings
PP/3100-99-04	Interim Secretariat for the Rotterdam Convention – UNEP
CP/2200-99-04	Sustainable Development and Climate Change Finance: A Pilot Programme on Awareness, Training and Capacity Building – Phase I.
FP/4040-00-11	UNEP Collaborating Centre on Energy and Environment – Phase V
FP/4050-00-01	Action Programme on Economics and Trade
FR/3100-97-02	International Chemicals Management in Countries of the Commonwealth of Independent States
FR/4200-99-01	Elaboration of Proposals for Improvement of EIA Process in Environmentally Sound Decision-Making for the CIS Countries
MC/4030-01-02	Global Assessment of Mercury and its Compounds
MT/4040-01-08	Brazil Rural Energy Enterprise Development (Breed) Initiative
MT/4050-00-03	Fossil Fuel Subsidies – Planning Project
SP/4040-00-05	Clearinghouse for Technology and Know-how Transfer – Public Private Partnership
UT/4050-01-01	First Round of CBTF Activities: UNEP-LED Projects

GF/4040-01-10	Solar and Wind Energy Resource Assessment
GF/4040-00-12	Fuel Cell Bus Market prospects and Intervention Strategy Options
GF/4040-01-4343	Technology Transfer Networks - Phase I: Prototype Set-Up & Testing and Phase II: Prototype Verification & Expansion (SANET)
GF/4020-01-04	Promoting Industrial Energy Efficiency through a Cleaner Production/Environmental Management System Framework.
GF/4030-00-20	Regionally Based Assessment of Persistent Toxic Substances
GF/4030-02-03	Development of National Implementation plans for Management of POPs
GF/2110-98-05	Promoting Compliance with the Trade and Licensing Provisions of the Montreal Protocol in CEITs
GF/4040-00-10	Initiating early Phase Out of Methyl Bromide in Countries with Economies in Transition (CEITs) Through Awareness Raising, Policy development and Demonstration (in Georgia and Moldova)
GF/XG/2740-01	GEF Medium Sized Project: Support for the Implementation of the Stockholm Convention on POPs.
EM/5210-95-02	Support for Capacity Building for the National Agenda 21 of Mauritania (Support to UNDP Project MAU/94/011/B/01/99 Institutional Support for the Coordination and Implementation of the Multisectoral of Plan of Action to Combat Desertification Expanded to Cover all Environmental Problems)
ET/5240-95-02	Environmental Training Network for Latin America and the Caribbean (ETN)
CP/4330-98-01	Geneva Network for Environment and Sustainable Development
EB/5023-00-05	Service for Implementing National Biodiversity Strategies and Action Plans
CP/5024-01-03	State of the Natural Protected Areas of Latin America and the Caribbean
CP/5021-01-01	Nairobi River Basin Project Phase II
CP/5021-01-02	Support to the African Ministerial Conference on Environment (AMCEN) – Participation of African Countries to Environment Fora
CP/5023-01	Supporting the Implementation of the Pan-European Biological and Landscape Diversity Strategy, Including the Organisation of the Budapest “Biodiversity in Europe” Conference
FR/5023-02-02	Support to Environmental Information Activities for Decision-Making and Raising Public Awareness
FP/CP/5201-90-02	Management of Natural Resources and Combating Desertification in the Coastal Plains of Djibouti. Phase II: Management of the Wadi Oued Atar
FR/1100-97-08	Integrated Environmental Management in the Volga Caspian Region
GF/5023-00-07	Addressing Transboundary Environmental Issues in the Caspian Environment Programme (CEP) - Strengthening Institutional, Legal, Regulatory and Economic Frameworks for SAP Implementation
GF/5022-01-01	Arun Valley Sustainable Resources Use and Management Pilot Demonstration Project

## Annex IV

# IMPLEMENTATION PLAN FOR THE RECOMMENDATIONS OF THE 2001 ANNUAL EVALUATION REPORT

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<b>A. REGIONAL OFFICES</b>						
<p><b>Policy support to regional offices</b></p> <p>The regional offices facilitate implementation of global programmes on behalf of UNEP substantive divisions. The activities of the regional offices must, therefore, be guided by the very broad objectives of the UNEP programme of work.</p> <p>In practice, however, regional offices are provided with little strategic vision and policy guidelines on programme areas such as water, biodiversity, and desertification. Furthermore, there is inadequate backstopping from substantive divisions. In the absence of adequate numbers of environmental officers, regional offices do not have the required capacity to respond to requests from Governments. Such a situation hampers the initiation of new activities and subsequent expansion of environmental programmes in the regions.</p> <p>Institutionalization of a functional mechanism by which regional programmes are formulated and implemented, based on a strategic policy framework taking into account regional realities, concerns and priorities and the</p>	<p>Recommendation 1</p> <p>1.1. There is a need for UNEP to develop policies and policy guidelines in all programme areas. Such a policy framework would help regional offices to respond to the needs and requests of the regions as well as to assist the Division of Policy Development and Law (DPDL) develop region-specific strategies. DPDL must provide leadership in the development of such policies and policy guidelines by working closely with other substantive programme divisions.</p> <p>1.2. This UNEP strategic framework should create synergies between divisions at UNEP headquarters and regional offices and facilitate the development of an integrated global work programme, with inputs from regional offices.</p>	<p>1.1, 1.2, 1.3</p> <p>1.1 DRC and Regional Offices to help identify priority areas of intervention in the regions. On the basis of these priorities, DPDL will provide, in close co-operation with DRC and the Regional Offices, policy advice and other policy related support. DRC and the Regional Offices must take the initiative in setting the policy development process in motion by, <i>inter alia</i>, producing, as input to policy formulation, a comprehensive analysis of regional situations and needs.</p> <p>1.2 DRC to prepare, with inputs from ROs, a comprehensive analysis of regional situations, needs and other considerations; as well as strengths and weaknesses of on-going programmes in relation to the needs of the regions.</p>	<p>Strengthened policy development process and strategic framework which facilitates the development of integrated programmes of work with inputs from the regions.</p>	<p>Second Quarter 2004</p>	<p>DRC DPDL OED/PCMU</p>	<p>Based on a needs assessment concluded in the regions and priorities developed, a regional strategy has been prepared for each region. The needs assessment and strategies will be discussed with all Divisions including DPDL in order to agree on a UNEP's strategy in the region.</p>



Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<p>The Millennium Development Goals set out in the report of the Secretary-General (A/56/326 - Annex, pp 55-58) to implement the United Nations Millennium Declaration poses a great challenge to Member States and the United Nations system, including UNEP. UNEP, as the United Nations authority on the environment is responsible for catalysing the Millennium Development Goal that refers to "ensuring environmental sustainability". In this respect, the regional offices, in collaboration with the regional intergovernmental processes, will play a critical role.</p>	<p>level decision-making, which could help the regional offices to have greater influence on regional collaborative processes. Such a measure could also provide regional offices with an opportunity to put forward regional inputs to the programming process. Regional directors could also bring a unique perspective to the deliberations of the Senior Management Group and enhance the quality of discussions at its meetings.</p>	<p>DRC therefore, has ample opportunities to consult and seek strategic advice and guidance from peers as well as the ED and the DED for guiding the work of the Regional Offices (ROs).</p> <p>To ensure the effectiveness on consultation issues, the following measures should be taken:</p> <ul style="list-style-type: none"> <li>• Programme review meetings need to be organised on a quarterly basis with Divisional Directors to allow divisions to: (i) to report on progress and seek guidance on issues related to the delivery of on-going programmes; and (ii) hold discussion on future direction and programmes particularly in response to emerging needs of regions.</li> <li>• Likewise, the Director, DRC to conduct quarterly programme review meetings with Regional Directors following the same pattern in order to direct and guide their work.</li> <li>• SMG to set aside time in their usual meetings or to hold special meetings to focus on long-term strategic visioning, planning and programme development – including through reviewing and realigning programmes, <i>taking theme-by-theme</i>, to ensure that programmes are responsive to changing needs of member states</li> </ul>				

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
	<p>2.3 The UNEP biennial programming exercise of 2004-2005 should take account of the United Nations Millennium Development Goals set out in the Secretary-General's Report (A/56/326). Regional offices should be involved in the assessment of the current state of the environment in their respective regions and in the development of appropriate regional action plans to attain those environmental sustainability targets identified in the Secretary-General's report.</p> <p>2.4. The UNEP programming process for 2004-2005 should also provide for special "programme teams", formed along thematic or sectoral issues, to identify the necessary interlinkages between divisional programmes and activities.</p>	<p>and delivery mechanisms are better streamlined, efficient and effective.</p> <p>Substantive inputs and background information for the above "progress review meetings" or "strategy meetings" will come from all Divisions, Regional Offices, PCMU and BFMS.</p> <p>2.3 This recommendation has been overtaken by events. The 2004-5 Programme largely used the UN Millennium Development goals as guiding principle. Regional Priorities were developed within the framework of WEHAB.</p> <p>2.4. SMG should develop a mechanism to address thematic programme issues that require coordination and linkages among divisions.</p>		<p>Quarterly</p> <p>Ongoing</p>	<p>SMG</p>	

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<p><b>3. Capacity of regional offices and programmes</b></p> <p>Most of the regional offices evaluated lack adequate core professional staff for programme areas, such as environmental law, biodiversity and environmental assessment. In the absence of adequate backstopping, funding and policy guidance from UNEP substantive divisions, the consequent constraint on programme delivery and expansion has been apparent.</p> <p>Regional office staff lack exposure to the overall UNEP system and its working methods. Staff need training in fund-raising, project development and project management.</p> <p>Most of the regional offices evaluated do not cover the various subregions evenly in response to their respective environmental problems and priorities. Regional offices need to address this issue in order to widen collaborative activities across entire regions, create opportunities for synergies and integrated regional programmes and avoid the perception of marginalization in neglected subregions.</p> <p>With respect to the scope of regional programmes, the Regional Office for Latin America and the Caribbean (ROLAC) has broad-ranging activities, while there are considerable gaps in the other regional offices evaluated, despite the fact that biodiversity, environmental law, and early warning and assessment are confirmed as priorities in the regions by their respective intergovernmental forums. The Regional Office for West Africa (ROWA), for example, is not active in the field of environmental law, assessment and biodiversity, while the Regional Office for Asia and the Pacific</p>	<p><u>Recommendation 3</u></p> <p>3.1. Regional offices should have sufficient core professional staff to implement global programmes. UNEP should periodically assess the staff needs of regional offices to cope with region-specific environmental needs. Without specialists in core global programmes, regional offices will not have the capacity to help the ministerial processes with the development of strategic plans for UNEP global programmes. Since they often lack adequate headquarters support, it is vital that the regional offices be adequately staffed.</p> <p>3.2. Training of regional office staff in the areas of project development and management should be intensified. The introduction of a staff rotation system could also familiarize regional office staff with the UNEP system and the working of the administration at headquarters. In the long run that could improve communication between the regional offices, the DRC liaison office at the headquarters and other divisions. The idea of exchanging environmental staff with other United Nations agencies such as the United Nations Development Programme (UNDP) and the World Food Programme (WFP) should be explored. In the long term, such exchange arrangements could contribute to creating synergies in sustainable development. It is recommended that staff exchanges should be considered part of a training and staff development</p>	<p>DRC</p> <p>3.1 Other divisions should consider developing a programme for providing support to the Regional Offices by outposting personnel to the regional offices or providing financial support to staff already placed in the Regional Offices.</p> <p>3.2a). PCMU should organize additional project development workshops in the regions not already covered</p> <p>3.2b). SMG should review the feasibility of a staff rotation system as part of the overall UN policy and determine how effectively it could be implemented in UNEP</p>	<p>Improved capacity of regional offices to develop strategic plans and implement UNEP global programmes</p> <p>3<sup>rd</sup> Quarter 2004</p> <p>December 2003</p>		<p>SMG</p> <p>PCMU</p> <p>SMG</p>	<p>DEWA has a long history of regional activities. A substantial part of DEWA's professional staff resources and programme activities is based in the regions. Ozone, Law, Industry have outposted staff in 2 regions.</p>

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<p>(ROAP) has not been active in the areas of freshwater and biodiversity. This is gradually changing as ROAP begins to work in and contribute to nature conservation and biodiversity programmes of subregional bodies such as the Association of Southeast Asian Nations (ASEAN), the South Asian Cooperative Environment Programme (SACEP) and the South Pacific Regional Environment Programme (SPREP). The reason given for such gaps in global programme areas is mainly lack of funding and professional staff. UNEP headquarters is also quite overextended and unable to provide backstopping. As a result, regional offices cannot be proactive in these areas, nor can they adequately respond to requests for assistance from countries.</p> <p>Failure to implement environmental activities evenly across subregions partly results from lack of capacity in the regional offices. Lack of coordination and collaboration between regional offices and other UNEP offices in the regions is another constraint. Moreover, programme planning at the regional level is not rigorous enough. In some regions, there is a clear pattern of similar programme activities being carried out, year after year, in a limited number of subregions. Regional programme activities tend not to include new or emerging environmental issues.</p>	<p>programme for environmental officers in UNEP.</p> <p>3.3. Programme planning at the regional office level should aim for comprehensive coverage of environmental activities and a balanced subregional focus. The regional offices should take or intensify the following measures in order to achieve these objectives:</p> <p>(a) Initiate a multi-pronged approach, including awareness raising activities, publications, training and support to subregional networks and conferences in the affected subregions;</p> <p>(b) Promote focused partnership and collaborative activities with regional action centres, regional seas programmes and other relevant UNEP out-posted offices in the respective regions;</p> <p>(c) Conduct a thorough review of programme scope and subregional focus. That exercise should also involve the respective regional and subregional ministerial forums, should review past regional programmes of action, identify emerging issues and develop informed policies and new action plans. A Regional programming exercise of this type would ensure effective input into and synchronization with the UNEP biennial programming process.</p>	<p>3.3. DRC should promote best practices e.g. outreach, partnership and collaboration and programme planning are shared between regional offices.</p>	<p>December 2003</p>		<p>DRC</p>	

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<p><b>4. Resource mobilization</b></p> <p>The continuing challenge to UNEP has been to ensure adequate, stable and predictable funding to accomplish its mandate and mission.</p> <p>UNEP adopted a new resource mobilization strategy, at the twenty-first session of the Governing Council, that streamlined its fund-raising guidelines and activities in order to meet its funding challenge more effectively. Although it is too early to assess the impact of this strategy, it has the potential for broadening the donor base of UNEP.</p> <p>The issues involved in the mobilization of resources in the regions are the lack of expertise in regional offices in fund raising, and a lack of common understanding of the respective roles of the regional offices and UNEP in the implementation of the UNEP resource mobilization strategy.</p> <p>Regional offices should be encouraged to help with fund-raising for the Environment Fund.</p>	<p><u>Recommendation 4</u></p> <p>4.1. UNEP management should take the necessary steps to internalize and implement the resource mobilization strategy, with emphasis on a feedback mechanism to allow periodic review of its appropriateness across regions and divisions. Reconciling the strategy aim of improving complementarity with the freedom sought by regional offices would avoid the perception among donors that UNEP does not prioritize or coordinate its fund-raising efforts.</p> <p>4.2. UNEP and the regional offices do not sufficiently exploit opportunities for expanding activities by accessing available global funding mechanisms, broadening the donor base and using their resources effectively. Regional offices should receive training to help them to access Global Environment Facility (GEF) funding. Collaborative activities with the private sector should also be given due attention. In many cases, the provision of minor UNEP funding as seed money has leveraged contributions from other development partners and the private sector. In addition, to take advantage of the political and technical potential of regional offices and their relationship with the Governments of their regions, UNEP GEF projects should be implemented through the regional offices.</p>	<p>4.2 DGEF to continue enhancing the capacity of regional offices and UNEP substantive divisions to support development and implementation of GEF projects with emphasis on priority areas for GEF/UNEP. This will be achieved through awareness raising/capacity building meetings and workshops, staffing mechanisms, and information dissemination.</p>	<p>Improved capacity of UNEP staff to understand GEF priorities and develop effective proposals for GEF funding.</p> <p>Ongoing</p>		<p>RMU SMG</p> <p>GEF RMU</p>	<p><b>Headquarters:</b></p> <p>Staffing: DGEF staff in DEWA, DEPI, DPDL</p> <p>DGEF/Divisional workshops</p> <p>Including: Priority areas for UNEP in the GEF Modalities for accessing funds Project identification, partnership and development Project implementation and task management Identification of specific areas (and personnel/focal points) for collaboration.</p> <p>Regional Offices</p> <p>Staffing: Several UNEP/GEF projects are managed by DGEF staff located in the regions (e.g. South China Sea project (Bangkok), SWERA (Paris), Biosafety (Geneva), land degradation projects (task management) (ROA)).</p> <p>Placement of staff in regional offices (e.g. DGEF staff in ROLAC, creation of DGEF/DRC post in ROAP etc.)</p> <p>DGEF/Regional Office meetings/workshops:</p>

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
						<p>Scheduling meetings for the regional offices with DGEF staff on mission and make use of DGEF project staff located in regional offices (as above)</p> <p>Information dissemination</p> <p>Continue to provide informational materials on UNEP/GEF activities to the regional offices and Divisions.</p>
<p><b>5. Coordination of information flow</b></p> <p>The regional offices view the DRC office at headquarters as having the essential role of linking the work of the regions with other divisions at UNEP headquarters, through facilitating dialogue and information flow and by submitting regional concerns to the UNEP Senior Management Group.</p> <p>The DRC facilitates the work of the regional offices by responding to day-to-day requests. It seems, however, that additional work could be done to streamline the requests for information that DRC is required to obtain from regional offices.</p>	<p><u>Recommendation 5</u></p> <p>5.1. It is recommended that DRC and the regional offices review the current information flow system with a view to creating an agreed system that simplifies and streamlines information flow, especially with regard to ad-hoc requests sent to the regions.</p> <p>5.2. With regard to requests for reports currently forwarded in different formats, DRC should initiate procedures to reduce paperwork by creating a “one-stop shop” for information flow. It is recommended that an electronic monitoring system should be developed for the generation of reports at UNEP headquarters, to avoid receiving reports in separate formats from each region. This would facilitate faster, more efficient and cost-effective reporting to UNEP headquarters. The Programme Coordination and Management Unit (PCMU), whose responsibility it is to monitor programme implementation, should take the lead in developing such a monitoring system.</p>	<p>5.1. DRC and the Regional Offices will work on developing a standard format for information retrieval that will allow Headquarters to retrieve information required for reporting purposes. However, any information required for submission must be re-checked with Regional Offices for updates after a period of time.</p>	<p>Improved information flow and communication between DRC and regional offices and the development of an effective mechanism to receive information from the regions in an efficient manner.</p>	<p>1<sup>st</sup> Quarter 2004</p>	<p>DRC</p>	

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<b>B. ENABLING ACTIVITY PROJECT FOR THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE</b>						
<p><b>1. Implementation issues</b></p> <p>Most participating countries do not possess the required experience, technical expertise or appropriate institutional structures.</p> <p>In the case of the projects evaluated, although the contexts of the existing enabling environment differed from country to country, the non-availability of national experts and lack of prior experience in addressing climate change related issues were the common constraints. These constraints impacted on the quality of outputs, timely completion of activities, and sustainability of project activities.</p> <p>The main constraints observed include: difficulty in applying analytical models, poor quality data, lack of stability in the composition of the national study team and insufficient time to implement project activities.</p> <p>The time frame for the incorporation of the outputs of the climate change enabling activity projects into national development plans was unrealistic. As a result, all the countries did not accomplish this component.</p>	<p><u>Recommendation 6</u></p> <p>UNEP should, in collaboration with GEF and the executing agencies, address the following basic issues in the formulation of climate change enabling activity projects:</p> <p>(a) Appropriate training related to key project activities should be provided before the project commences, as a pre-implementation preparatory phase component;</p> <p>(b) The number of sectors to be studied under each project should be reduced to allow more resources and time for in-depth studies and better results;</p> <p>(c) Specific country conditions, such as the availability of appropriate technical expertise, the policy environment, or political commitment that can be realistically expected for effective implementation should be considered at the project formulation stage;</p> <p>(d) The incorporating of climate change enabling activity projects into national development planning processes should be viewed as a long-term objective, which can be achieved by developing and implementing strategies and projects that support:</p>	<p>GEF to ensure that project design issues identified in the recommendation are addressed in phase II of the climate change enabling activity projects.</p> <p>d) This needs to be considered by the GEF and UNFCCC bodies</p>	<p>Enhanced capacity to learn lessons from implementation of phase I enabling activities under the UNFCCC and use the lessons learned in the development and implementation of Phase II projects.</p>		<p>GEF DPDL (Ravi Sharma)</p>	<p>GEF Secretariat being requested to ensure that programme design issues identified in the recommendation are addressed in Phase II of the climate change enabling activity projects.</p> <p>Evaluation reports are regularly shared with GEFSEC to help them identify issues, which can be considered in the revised operational guidelines.</p> <p>a) UNEP is conducting increased number of training activities in collaboration with scientific organizations</p> <p>b) UNEP has focused the activities of new projects on prioritized sectors only.</p> <p>c) Institutional design for project implementation has been fine tuned based on local conditions</p> <p>d) i) UNEP is developing separate public awareness activities based on IPCC materials</p>

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
	<p>(i) Public awareness and capacity-building activities in enabling activity projects directed towards decision and policy makers; and</p> <p>(ii) Building institutional frameworks responsible for the continuity of climate change activities including data collection, studies and follow-up.</p>	<p>ii) National Governments need to address this issue by allocating domestic resources to these activities for sustainability</p>				
<p><b>2. Stakeholder participation</b></p> <p>Stakeholder participation is the cornerstone of the successful implementation of climate change enabling activity projects. In the case of the projects evaluated, however, the level of participation of women, policy makers and grass roots representatives was very low due to the technical nature of these projects. Most of the participants were technocrats, academics and experts from research institutes.</p> <p>The reason for such imbalance seemed to be the focus on identification and quantification of industrial data rather than on identification of the wider impact of climate change and the sustainability of socio-economic processes. It is expected that Parties to the Convention on Climate Change will stress this aspect in the subsequent national communications, which would require participation of a variety of stakeholder groups from all levels of society. This approach will further facilitate the collection of relevant data from the grassroots all the way up to the policy level.</p>	<p><u>Recommendation 7</u></p> <p>In the future, GEF operational guidelines should ensure that formulation and implementation planning should include the participation of a wider range of stakeholders, particularly women, non-governmental organizations and grassroots community organizations throughout the project cycle and at all levels, including at the decision-making level.</p>	<p>DGEF to ensure that concerns related to inadequate stakeholder participation in GEF projects are raised at the secretariat level and followed up.</p>	<p>Increased participation of various stakeholders in the planning, design and implementation of GEF projects.</p>	<p>Ongoing</p>	<p>DGEF</p>	<p>New enabling activity projects are identifying key stakeholders and incorporating their involvement in project design. Stakeholder participation is a major project design and evaluation issue in GEF and the issues are being raised in project review reports to the GEF Council.</p>

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<b>C. SELF-EVALUATION FACT SHEETS</b>						
<p><b>1. Submission of self-evaluation fact sheets</b></p> <p>In order to improve the level of compliance and clarify issues related to reporting, the Deputy Executive Director sent a circular to programme managers, chiefs, programme officers, fund management officers, regional directors and outposted offices, on 14 April 2002. The circular emphasized the need for UNEP to comply with Governing Council requirements and to facilitate the preparation of the UNEP annual evaluation reports.</p> <p>In accordance with the recommendations of the 1999 UNEP Annual Evaluation Report, the Evaluation and Oversight Unit (EOU) provided each division with a list of all active projects generated from the Project Reports Database before the end of 2001. EOU will continue to do so for each year being evaluated.</p> <p>Despite efforts to increase the response rate for the submission of self-evaluation fact sheets, the level of compliance by divisions remains very low. Self-evaluation fact sheets were submitted for less than 20 per cent of active projects.</p> <p>With this limited level of compliance, it would seem that UNEP management is being denied the opportunity of learning from its past and present experience with a view to improving the design and implementation of future programmes and projects.</p>	<p><b>Recommendation 8</b></p> <p>8.1. Each division must insert the preparation of self-evaluation fact sheets into its programme of work as part of the programme outputs and deliverables. Division directors must hold their programme officers accountable for producing these self-evaluation fact sheets.</p> <p>The Senior Management Group needs to take a decision on this issue in the year 2002.</p> <p>8.2. It is recommended that the Project Approval Group (PAG) should deny revisions to projects for which the required reports and annual self-evaluation fact sheets have not been submitted.</p>	<p>8.1. SMG to make a decision.</p> <p>8.2. PCMU should present a proposal on this recommendation to PAG for adoption and if adopted included in UNEP Manual on Project preparation as a condition for approval of project revisions. PAG should enforce.</p>	<p>An improved self-assessment process which would assist in improved project design and implementation</p>	<p>December 2003</p> <p>December 2003</p>	<p>SMG</p> <p>PCMU PAG</p>	

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<p>2. Content of self-evaluation fact sheets</p> <p>A sizeable portion of the information provided in the self-evaluation fact sheets does not conform to the itemized explanation given in the standard format of Annex 13.28, to the UNEP Project formulation, approval, monitoring and evaluation manual.</p> <p>Some self-evaluation fact sheets provide incomplete information, rendering the reports less informative and therefore less useful for analysis.</p>	<p>Recommendation 9</p> <p>9.1. There is a need to respond to management's expressed need for strategic information about the performance of UNEP projects for informed future policy review by means of self-evaluation fact sheets.</p> <p>9.2. It is recommended that EOU should prepare a summary of its findings on gaps and other inadequacies in the self-evaluation fact sheets, and:</p> <p>(a) Send additional clarification regarding the self-evaluation fact sheet format of Annex 13.28 to the above-mentioned UNEP Manual to all programme and project managers; and</p> <p>(b) Present the summary for discussion by programme officers at subsequent project design and management workshops organized by the Project Coordination and Management Unit (PCMU).</p>	<p>9.2. EOU in consultation with PCMU and substantive divisions to review the content and process required for submission of self-evaluation fact sheets. EOU to prepare proposals for a more effective project monitoring and self-evaluation system. PCMU to present a revised self-evaluation and monitoring system as part of project design workshops.</p>	As above	Ongoing	EOU PCMU	A new internet-based self-evaluation reporting system has been developed. New proposals for reporting have been included and will be circulated for discussions by November 2003
<b>D. DESIGN OF COMPLEX PROJECTS</b>						
<p>Complex projects require a multi-disciplinary approach to implementation, involving multiple implementing and collaborating partners distributed globally in many regions and subregions, multi-level implementation structures, a wide variety of stakeholders, and many parallel and sequential activities and inter-</p>	<p>Recommendation 10</p> <p>10.1 UNEP annual evaluation reports have repeatedly reported project design discrepancies. PCMU organized a series of training workshops on project design in the year 2001. This is a welcome initiative. Future PCMU training workshops should,</p>	<p>10.1 PCMU should conduct further training workshops in project development and specifically cover issues related to unrealistic time frames, pre-phase preparation and inadequate /weak project coordination. Project design training should also cover</p>	<p>A rigorous project design and management process especially for complex projects to</p>	4 <sup>th</sup> Quarter 2004	PCMU Division Directors	

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<p>linked outputs. Enabling activity projects, ENSO and the new UNEP Global Participative Observing and Assessment Strategy (phase 1) projects are examples of complex projects.</p> <p>These complex projects have suffered from lack of precise planning in project design. Some of the constraints encountered during implementation of these projects included delayed transfer of funds, lack of adequate capacity and substantive competence of some implementing partners, lack of periodic monitoring and coordination, and lack of well placed project management teams. Although those constraints did not significantly impact the overall outcome of the projects, they contributed to delays in project completion, to the extent that some of the outputs were not delivered.</p> <p>Such complex projects call for more rigorous project design and formulation processes in order to ensure timely completion and quality project outputs and impacts. Precise planning is required in project formulation, management, implementation, monitoring and evaluation.</p>	<p>however, address the design discrepancies identified and the relevant recommendations made in EOU evaluations, such as unrealistic time frames, lack of pre-phase preparation and insufficient or weak coordination mechanisms.</p> <p>10.2 In the case of complex projects, recommendations for the precise planning of project formulation, management and monitoring and evaluation are outlined below:</p> <p>(a) UNEP should institute, as a requirement, an intensive implementation planning phase before the start of implementation of such complex projects. The planning phase should aim at minimizing uncertainty by identifying and preventing, where appropriate, potential institutional problems. Such an exercise should address issues such as the harmonization of internal budgetary approval procedures of participating organizations, as they relate to project implementation, determination of the managerial and substantive capacities of collaborating and executing agencies to meet deadlines and qualities of outputs, the establishment of well understood and agreed progress and monitoring mechanisms and ensuring political commitment at the highest level. This project implementation-planning phase should culminate in a workshop, where all concerned would participate. A distinct period should be dedicated to such</p>	<p>scheduling and the log frame.</p>	<p>facilitate timely completion and improved delivery of outputs and impact.</p>			

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
	<p>implementation planning activities;</p> <p>(b) A strong and stable project coordination team should be established well before the start of project implementation. The responsible division at the UNEP headquarters should strongly consider establishing an internal project coordination unit if budgetary constraints do not permit an allocation for support services. Under such arrangements, project coordination could benefit from administrative support services and ease of access to decision makers.</p> <p>Complex projects with multiple parallel and sequential activities require effective planning tools for the estimation of time frames and periodic monitoring, provided through the strict use of the UNEP Logical Framework Matrix, (section 3, pp. 4-6, UNEP Project formulation, approval, monitoring and evaluation manual). In some cases, activities have a lifetime beyond the time frame set in project documents.</p>					

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<b>E. CAPACITY-BUILDING</b>						
<p>One of the major strategies of UNEP is capacity-building, which assists Governments, collaborating institutions and communities to understand environmental issues and participate in the management of the environment. Capacity-building enhances the sustainability of UNEP-initiated processes by enabling stakeholders to take on responsibility and continue those environmental activities. Capacity-building is, an ongoing strategic endeavour for UNEP to accomplish its mission and mandate.</p> <p>Capacity-building activities in UNEP are either embedded in projects or are included as distinct components of projects. Project participants are trained through "learning-by-doing", as happens on the case of climate change projects. Technical workshops and fellowships are also widely used as a means of training.</p> <p>There is concern, however, that the capacity built through the implementation of UNEP projects will not be sustained because the appropriate institutional structures are not in place, so that trained nationals may continue to work and further develop their expertise. In many cases, therefore, capacity is not being retained at the country level for future utilization in environmental activities.</p> <p>One of the main reasons why that happens is because the design of capacity-building activities is largely restricted to short-term project objectives, such as training national study teams in enabling activity projects to produce initial</p>	<p><b>Recommendation 11</b></p> <p>11.1. UNEP should, in cooperation with collaborating agencies and partners, consider the design of a more strategic and long-term approach to capacity-building. The fundamental element of such a strategic approach should be the provision of follow-up technical assistance to countries and/or regions to establish functional institutions at the national and regional level. The long-term approach to capacity-building should be anchored on institution building, within which training needs would be addressed.</p> <p>11.2. It is further recommended that UNEP should gradually move its focus towards the development of a sustainable capacity-building strategy, which incorporates the building of capacity of national and regional institutions: government institutions; centres of excellence for research and training; and universities. UNEP has already achieved significant success in some of those areas. UNEP needs to review its experience therefore and develop strategic capacity-building approaches focusing on thematic issues and compatible with longer-term regional strategies.</p> <p>11.3. UNEP should launch a comprehensive study in the year 2003 on the capacity-building activities it has carried out in the last decade, across subprogrammes,</p>	<p>11.1 DEPI in consultation with other divisions using the UNEP publication "Capacity building for sustainable development: An overview of UNEP Environmental capacity development activities" (December 2002), as the basis, develop a long-term capacity building strategy.</p>	<p>Development of a long-term UNEP strategy for capacity building</p>	<p>4<sup>th</sup> Quarter 2004</p>	<p>DEPI in consultation with Division Directors</p>	<p>- UNEP's Role in Capacity Building in Inter-Agency Context – Paper for the Inter-Agency Consultations on Capacity Development, held in Geneva, 20-22 November, 2002.</p> <p>- Increasing UNEP's Role in Capacity Delivery at the Country Level – paper prepared in the light of the mandate from GC SSVII/1.</p> <p>- UNEP Strategy on Capacity Building – Revised Draft Paper.</p>

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
national communications, rather than assisting countries to attain sustainable capacity, including capacity in institutional and technological issues.	divisions, sectors, functions and regions to assess their effectiveness, with a view to developing a sustainable capacity-building strategy. The preparation of a book cataloguing capacity-building activities in UNEP would be a significant starting point in the preparation of such a study.					
<b>F. FOLLOW-UP ACTIVITIES</b>						
<p>UNEP formulates and designs projects to achieve certain specific short-term objectives within a set time frame. UNEP also realizes that long-term environmental objectives related to a country, ecosystem, region or subregion can only be achieved through sustained activities.</p> <p>Although the importance of follow-up activities cannot be overemphasized, in most projects they are often not clearly identified and understood by beneficiaries. Most follow-up actions recorded in project reports deal with administrative rather than substantive project activities. Whenever the latter are indicated, they are not presented comprehensively.</p>	<p><u>Recommendation 12</u></p> <p>It is recommended that all UNEP projects should identify follow-up activities, as required in the UNEP Project formulation, approval monitoring and evaluation manual (pp.11.3 and Annex 13.45) on the completion of a project.</p> <p>Such substantive follow-up activities should be taken into account in subsequent planning and programming exercises of concerned divisions.</p> <p>Follow-up activities should support the UNEP strategy of wider replication of activities that have been proved to produce an impact on the global environment, instead of being merely an uncoordinated set of activities.</p>	<p>EOU should analyse project evaluation reports in their annual evaluation reporting and bring policy issues related to project follow-up activities to the attention of the SMG. Such follow-up activities should be included in subsequent Costed Work programs.</p> <p>PCMU through the PAG process should ensure that substantive follow-up actions are identified in the project document based on results expected from the project. Identification of follow-up activities should be one of the criteria for project approval.</p>	<p>An improved project design process which allows for identification of follow-up activities to projects and their inclusion in costed work programmes for implementation</p>		<p>PCMU Division Directors</p>	

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
G. ASSESSING THE UNITED NATIONS ENVIRONMENT PROGRAMME EVALUATION FUNCTION						
<p><b>1. The need for revamping the capacity of the Evaluation and Oversight Unit</b></p> <p>The present report demonstrates that UNEP derives benefit from its evaluation function, in complying with substantive accountability. Evaluation provides useful operational and strategic management information that helps UNEP management to improve programme, policy, design and delivery.</p>	<p>Recommendation 13</p> <p>In the face of growing environmental challenges, UNEP would benefit from the revamping and strengthening of EOU so that it may make a more effective contribution to efforts by UNEP to meet those continuing challenges. Strengthening EOU should not only make the existing evaluation feedback mechanism more effective, but also strengthen the evaluation function itself, to focus more on proactive and strategic activities. Such activities could include:</p> <p>(a) Facilitating the knowledge management framework of UNEP in regard to the consolidation, distillation and dissemination of evaluation outputs, namely, lessons learned, good practices, new environmental knowledge products and refinements of existing environmental products;</p> <p>(b) Conducting various studies and reviews on tools, methodologies and management practices that relate to project design, implementation, monitoring and evaluation of projects, with a view to eliminating the constraints identified by evaluation;</p>	<p>a) EOU should follow-up on actions already undertaken in distilling and disseminating lessons learned and prepare recommendations for developing an environment knowledge management framework for UNEP.</p> <p>b) EOU should use existing processes in project evaluation to address issues identified in (b)</p>	<p>A strengthened Evaluation and Oversight function with effective feedback mechanisms and the capacity to develop institutionalized and a coherent knowledge management framework.</p>		<p>ODED</p> <p>EOU</p> <p>EOU</p>	

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
	(c) Undertaking more strategic and management studies that enhance UNEP policy, policy development processes, programming, and management practices, as identified by UNEP senior management and recommended by evaluations.	c) EOU working in consultation with SMG to identify areas to undertake management studies.			EOU SMG	
<p><b>2. Annual evaluation planning</b></p> <p>The UNEP Annual Evaluation Plan is based on the criteria for evaluation established by the United Nations General Assembly resolutions and Governing Council decisions. The annual evaluation work plan consists of mandatory evaluations, in-depth project evaluations, and desk evaluations. The process of preparing the annual evaluation work plan involves the Evaluation and Oversight Unit, the various divisions and the Senior Management Group.</p> <p>EOU maintains a database of evaluation schedules for all UNEP projects on the basis of information obtained from project documents approved by the Project Approval Group. At the beginning of every year EOU makes a list of those projects that are to receive in-depth or desk evaluation in that particular year. EOU forwards that list to division directors, requesting them to indicate when evaluation of their respective projects could be carried out. EOU then prepares a draft annual evaluation work plan incorporating the feedback it has received from divisions. That draft is then discussed and agreed to by the Senior Management Group. EOU takes the draft plan adopted by the Senior Management Group as a directive from the Executive Director to carry out evaluations.</p>	<p>Recommendation 14</p> <p>It is recommended that, in planning annual evaluations, EOU, in consultation with the Senior Management Group, should select a third of the total in-depth project evaluations to focus on particular types of projects: support to climate conventions, regional seas action programme, water projects, biodiversity, etc. The particular type of projects chosen for evaluation in a given year should not prejudice statutory requirements and should respond to management's expressed need for strategic information about the performance of those projects, to help with future policy review. The projects could also be chosen to allay perceived or real concerns expressed internally or externally.</p>	<p>A conscious effort by EOU to balance the annual evaluation work plan by selecting different types of projects that will facilitate thematic analysis. EOU to ensure that format of the annual evaluation reports would allow for exploration of specific themes from year to year.</p>	<p>Improve evaluation reporting to facilitate management decision making.</p>	<p>Ongoing</p>	<p>EOU SMG</p>	<p>The previous two annual evaluation reports have been based on themes related to the refinement testing and dissemination of environmental knowledge products. A new theme is being pursued in the 2002 Annual Evaluation report.</p>

Findings	Recommendations	Action required	Expected Results	Date of completion	Responsible Unit	Measures taken
<p>In compiling the draft annual evaluation plan, EOU takes into consideration the geographical and divisional distribution of projects and other statutory factors. A decision to evaluate a particular type of project implemented across regions, as a percentage of the total in-depth project evaluations for the year, does not seem to be reflected in developing the annual evaluation work plan.</p>						

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