



United Nations Environment Programme

**Terminal Evaluation of UNEP Project:
Enabling developing countries to seize eco-label
opportunities - Capacity building and technical
assistance for industries and governments in
developing economies**

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Notice

The findings, interpretations, and conclusions expressed in this work are those of the author and do not necessarily reflect the views of UNEP or interview participants. While every effort was made to triangulate information, any misinterpretations, errors or omissions are the responsibility of the author.

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Acronyms and Abbreviations

AEM	African Eco-labelling Mechanism
APO	Asia Productivity Organization
BSP	Bali Strategic Plan
DTIE	UNEP Division of Technology Industry and Economics
EC	European Commission
EU	European Union
GEN	Global Ecolabelling Network
GENICES	Global Ecolabelling Network's Internationally Coordinated Ecolabelling System
MTS	UNEP Medium Term Strategy
M&E	Monitoring and Evaluation
NGO	Non Governmental Organization
OVI	Objectively Verifiable Indicators
PM	UNEP Project Manager
PoW	UNEP Programme of Work
RoTI	Review of Outcomes to Impact
SCP	Sustainable Consumption and Production
SMART	Specific Measurable Achievable Relevant Time-bound
SME	Small Medium Enterprise
SSA	Special Service Agreement
TE	Terminal Evaluation
ToR	Terms of Reference
UBA	Federal Environmental Agency (Germany)
UNEP	United Nations Environment Programme

Project Identification Table

Table 1: Project Identification Table

Project numbers (IMIS)	4020/06/3A14 and 3A13, (sub projects: 3A74, 3636, 3A75, 3A21, 3A23, 3A73, 3A22)		
Focal Area(s):	Sustainable Consumption and Production		
EC Grant Programme	Programme on Environment in Developing Countries: A1 development and implementation of eco labels, certification systems.		
UNEP Programme	PoW 2010-11 Project Document: 63-P2 Internationally recognized information tools - standards, labels, reporting - to enable individual and institutional consumers to make informed choices		
Approval date:		Planned duration:	54 months (extended to 62 months)
Commencement date:	1 February 2007	Actual or Expected Completion Date	March 31st, 2012
Geographical scope	Asia: China, India Latin America: Brazil, Mexico. Africa: Kenya ¹ , South Africa	Implementation:	Internal
UNEP Allocation:	EU 184,000	Co-financing (EC, EU Institutions and member states.)	EU 1,735,142
Total Cost:	EU 1,919,142		

Source: Project Document, Terminal Evaluation Terms of Reference

¹¹ It was intended that the Kenya partner would involve action in other South East African countries. Through collaboration with UNIDO, Ethiopia joined the project as of Year 2. Funds and management of activities was directly through the Kenya partner and not with UNEP.

Executive Summary

Introduction

1. The Sustainable Consumption and Production Branch of the United Nations Environmental Programme's Division of Technology, Industry and Economics (UNEP/DTIE) together with European and country partners (Brazil, China, India, Kenya, Mexico and South Africa) implemented a 62 month project co-funded by the European Commission within the EuropeAid programme and the Federal Ministry for Economic Cooperation and Development (Germany) aimed at promoting eco-labelling in emerging economies.
2. The project aimed to enable developing countries to seize eco-label opportunities through raising awareness, building capacity of both industry and government stakeholders and providing technical assistance to specific companies willing to pursue an eco-label (ISO type I). By the end of the project, it was expected to have on the ground results including a number of export products awarded with the EU Eco-label, selected in this project through initial market assessment studies. Product groups identified by the local partners are textiles (India and South Africa), footwear (Mexico and Kenya/Ethiopia), paper (Brazil) and televisions (China).
3. The project began in February 2007 and was designed to be implemented in 54 months. There have been two no cost extensions in order to complete project activities with project end date March 31st, 2011. Total funding was 1,919,142 Euros with EU and member institutions contributing 90.4% and UNEP the remaining 9.6%.
4. Key actors in the project are the implementing agency, the UNEP DTIE, European partners The Federal Environmental Agency of Germany, InWent (GIZ) and project partners/associates in the six target countries.
5. For ease of reading and purposes of this report, the term eco-label and eco-labelling will refer only to ISO Type I schemes².

Findings and Conclusions

6. The Eco-Labelling Project was designed to fill in a critical gap identified by developing countries on the needs and challenges to enable them to seize the win-win opportunities presented by eco-labels in reducing the environmental impact in manufacturing industries, while increasing the international competitiveness and market access. The project addressed three main challenges:
 - Information: access to coherent, credible and clear information about eco-labelling programs, requirements and markets
 - Capacity building: comprehensive, coordinated and needs-based support to develop sustainable enterprises
 - Policy framework: integration in supportive policy framework
7. The key questions for this evaluation concern how well the project achieved its results and is progressing towards achievement of the project objectives to address those challenges. The reasons for the evaluation is for accountability, but more importantly, to promote feedback, learning and knowledge sharing. Achievement of outputs and activities and progress towards attainment of objectives is addressed in Part II Section A of this report. Explanatory factors and challenges are addressed in Part II Section C.
8. The satisfactory ratings on attainment of outputs and planned results and effectiveness (Part II Section A) reflect a high level and quality of outputs for making progress towards project outcomes and longer term impact.

² The International Standards Organization (ISO) defines 3 types of environmental labeling under ISO 14020 designed to promote accurate, verifiable and relevant information. Type I is a multi-attribute label developed by a third party.

9. The project has had great success in positioning eco-labelling as a market opportunity that can also bring resource efficiency and reduced environmental impact benefits, rather than a "green barrier" to emerging economies. A strong interest has been generated with national governments for SCP as a conceptual framework.
10. The decentralized implementation within a global project framework, with joint capacity building and training is a strong example of thinking global but acting local. The SC meeting comprised of representatives from each country held responsibility for driving the project and its results. A functioning peer network for South - South cooperation has been established.
11. Overall a strong foundation has been laid with country partners (knowledge, methodology, commitment, tangible outputs) and interest has been generated with industry and governments. The *moderately likely* rating for sustainability (Part II, B1) will be leveraged by the high catalytic nature of the project results (Section II, B2). There is an excellent foundation laid and momentum in all of the countries, coupled with a high degree of interest globally on the topic (Sustainable Development, Green Economy, Rio +20), in which UNEP plays an important role. The potential is there. How to seize this momentum will be the challenge going forward as the project support ends.
12. Turning to challenges, the issue of label proliferation has become even more relevant 5 years later at national and international levels. The Roadmap activities were designed to provide some guidance in addressing these issues, but could have taken a practical approach through re-design of activities. The final draft was delayed, limiting its value within the project. The misinterpretations of the strategy and activities around label cooperation, including the potential of Mutual Recognition with the EU Flower has created some serious concerns with industry and government stakeholders.
13. The role of the EU Flower scheme³ promoted in this project vis-à-vis national eco-labelling programs was unclear to some stakeholders or even perceived as a threat, particularly government stakeholders. The focus of the project on one type of label (Type I) and one specific label (the EU Flower) had practical project implementation rationale. However in terms of trade and markets, there is a risk aversion of linking specific market instruments (EU Type I labels) to national policy and investment by industry - that is highly dependent on market demand. In addition, several government stakeholders indicated a need to consider socio-cultural issues in a labelling scheme which was outside of the scope of this tool.
14. Other challenges affecting performance that are addressed in the lessons and recommendations include:
 - lack of engagement of market facing stakeholders, including EU importers and buyers and consumer groups. The project was not designed to address the C in the SCP equation.
 - Insufficient buy in of government stakeholders from the outset
15. The overall rating for this project based on the evaluation findings is Satisfactory. The ratings in Table 2 reflect consideration of the full set of issues affecting or characterising project performance and impact that are discussed in Part II of the report.

Table 2: Summary of Ratings based on Performance Criteria

Criterion	Rating
A. Attainment of project objectives and results	
1. Effectiveness	<i>Satisfactory</i>
2. Relevance	<i>Satisfactory</i>

³ The EU Eco-label Flower labelling scheme is a voluntary system across Europe as laid down in the Regulation (EC) No 1980/2000) as part of a broader strategy aimed at promoting sustainable consumption and production. It is the official eco-label of EU and certification is done by independent national bodies.

Criterion	Rating
3. Efficiency	Highly Satisfactory
B. Sustainability of project outcomes (See B1)	Moderately Likely
1. Financial	Moderately Likely
2. Socio-political	Moderately Unlikely
3. Institutional framework	Likely
4. Environmental	Highly Likely
C. Catalytic role (See B2)	Highly Satisfactory
D. Stakeholders involvement(See C3)	Moderately Satisfactory
E. Country ownership / drivenness (See C4)	Moderately Satisfactory
F. Achievement of outputs and activities (See A)	Satisfactory
G. Preparation and readiness (See C1)	Moderately Satisfactory
H. Implementation approach (See C2)	Highly Satisfactory
I. Financial planning and management (See C5)	Moderately Unsatisfactory
J. Monitoring and Evaluation (See C7)	Moderately Unsatisfactory- Moderately Satisfactory
1. M&E Design	Unsatisfactory
2. M&E Plan Implementation	Moderately Satisfactory
3. Budgeting and funding for M&E activities	Moderately Satisfactory
K. UNEP Supervision and backstopping (See C6)	Highly Satisfactory

Recommendations

16. As the project has ended, recommendations are limited to a few actions related to concrete issues within the project scope. These are detailed in Part III, B. Recommendations are actionable proposals and mainly involve leveraging of project assets. This includes using the **UNEP network and brand** to bring high visibility to the final report, project case studies and e-tools. Project results and specific lessons learned could be disseminated through UNEP or project partners, **using Information Technology** such as video conferencing, webinars or even Skype can be a low cost delivery mechanism. UNEP and other organizations already have many webinars on specific topics (such as LCA) developed related to the project.
17. The partners are a springboard for further sector work and replication in related sectors. There has already been the identification of using the **peer network** to gain technical expertise in other project countries (e.g. footwear from Mexico to South Africa). **Regional clustering** for peer learning and sharing resources is recommended. UNEP can help identify opportunities through its networks and SCP work.

Lessons Learned

18. Many lessons learned from issues in Processes are highlighted in Part II C. Lessons learned are derived from the project successes and mistakes encountered. Their context and broader application are detailed in Part III. C.
19. **Lesson Learned #1. Selecting and building the right partners and individuals for project implementation is fundamental for building long term relationships and internalization of results. B2 and C2**

Key learning for future work:

- a. *clearly define roles and responsibilities and ensure clarity of expectations on all sides*
- b. *Ongoing training for existing partners and trainers in new techniques such as environmental foot printing and LCA, will not only increase the value of the experts, but can be a mechanism to create a strong relationship to the project objectives. This and other incentives for commitment can be cost effective.*
- c. *Building out Trainer capacity and create a larger pool of trainers and experts, available to other countries even, for future work is highly recommended.*

d. Think global (for standardization and efficiencies) but act local (adaption and flexibility)

20. Lesson Learned # 2: Upfront commitment and investment in a democratic governance structure increases potential impact not just through effective management, but adaptive management and transparent exchange of experiences. (Relevance, Socio-political sustainability, C4)

Key learning for future projects:

- a. investing and actively supporting a democratic SC should be a part of any project working in multiple countries*
- b. facilitating the creation of peer networks has short term project benefits and long term impacts for sustainability and replication of results*
- c. build the use of IT into budgets to bridge the virtual nature of the projects*

21. Lessons learned #3 Focusing on one scheme reduced potential impact. and

#4 Lack of practical approach to strategy on cooperation and Mutual Recognition between schemes limited effectiveness and created misperceptions

Key learning going forward and future projects:

- a. focusing on improving the environmental and financial performance of companies should take higher priority than a specific market scheme.*
- b. The Roadmap be further developed to identify how country national eco-labelling schemes can be used in international trade (through MR or other mechanisms).*

22. Lesson Learned #5 Eco-labelling is a market based tool and should be considered in a holistic manner with other mechanisms.

Key learning for future projects:

- a. take a more holistic approach in project design considering markets and upstream suppliers- constraints, engagement, etc*
- b. identify partners with shared objectives that work on the consumer and market side*

23. Lesson Learned #6 Changing mindsets takes time and persistence. Consulting and engaging stakeholders from the initial project design would have facilitated buy in and avoided some issues.

Key learning going forward and future projects:

- a. investing the time and resources in project design to actively engage (influence) all stakeholders, particularly governments and CBs (specific to EU Flower) is critical*
- b. creating evidence on the costs/benefits through monitoring (with baselines) and case studies will attract industry and governments (including providing evidence of the win win of trade and the environment)*

24. Lesson Learned #7 A more practical approach to realize potential

Key learning going forward and future projects:

- a. Technical training activities should take a practical approach with concrete examples of real products and processes, case studies and hands on exercises (such as filling in applications).*

25. Lesson Learned #8 The institutional setting created challenges and opportunity costs in terms of project management. (C5 Other)

Key learning for future projects:

administrative support for managing complex projects and preparing donor financial reports should be budgeted

Part I. Evaluation Background

26. Part I of the terminal evaluation provides the general country and institutional context, relevant project information (rationale, objectives, components, intervention areas and target groups, milestones in design, implementation and completion, implementation arrangements and main partners, financing, modifications) and the evaluation objectives, scope and methodology.

A. Context

27. The Sustainable Consumption and Production Branch of UNEP; Division of Technology, Industry and Economics (DTIE) led the 5-year project aimed at promoting eco-labelling in emerging economies. The project was implemented through European and country partners and associates with funding from the European Commission within the EuropeAid programme and the Federal Ministry for Economic Cooperation and Development (Germany).
28. The project aimed to enable developing countries to seize eco-label opportunities through raising awareness, building capacity of both industry and government stakeholders and providing technical assistance to specific companies willing to pursue an eco-label (ISO type I). By the end of the project, it was expected to have on the ground results including a number of export products awarded with the EU Eco-label, selected in this project through initial market assessment studies. Product groups identified by the local partners are textiles (India and South Africa), footwear (Mexico and Kenya/Ethiopia), paper (Brazil) and televisions (China).

B. The Project

Rationale

29. In developing countries, economic development, and specifically the process of trade liberalization, has been increasingly associated with the unsustainable exploitation of natural resources and with a negative and growing impact on the environment due to the lack or weakness of environmental measures and standards. Developing countries and emerging economies need instruments to improve their trade opportunities while preserving the quality of the environment and the sustainable use of natural resources.
30. Eco-labelling is a market tool indicating and awarding environmentally-friendly products with a specific label. It improves the products' environmental efficiency throughout their life-cycle, preserving the quality of the environment and enhancing the sustainable use of natural resources, while increasing the desirability of developing countries' products in their national and international markets, and thus potentially increasing their market opportunities
31. Eco-labelling has remained under-exploited in almost all developing and emerging economies. European eco-labelling schemes, instead of being used by developing countries as instruments for increasing trade opportunities, have rather been perceived as green barriers to trade. Developing countries' perception of European environmental and health product- and process-related requirements needs to be changed, from unintentional technical barriers to trade to instruments that can increase their competitiveness and integration in the international markets. Businesses and especially Small and Medium Enterprises (SMEs) need better information and technical expertise to meet the criteria of various eco-labelling programmes to change production practices and establish sustainable enterprises. Governments of developing and emerging countries need to understand which policies and tools support eco-labelling and how to integrate the latter within the Sustainable Consumption and Production (SCP) framework.

Objectives

32. **The broad development objective** of the project identified in the project documents is, "to increase the environmental efficiency of key export products and related industrial processes in the target countries, supporting their industry and government's active contribution to the 10-

Year Framework of Programmes on Sustainable Consumption and Production (Marrakech process)".

33. More specifically, the project aimed to increase the number of items produced by target countries which are eco-labelled (according to the European Union (EU) or other European countries' standards), in the EU as well as in the target countries' national and global markets".
34. Through capacity building and technical assistance, the project aims at increasing the capacities of industries, with focus on SMEs, of improving the environmental efficiency of their production patterns and of their products throughout their life-cycle, complying with European standards and regulations, thus benefitting from the demand for environmentally-friendly products in developed countries. The project is also expected to contribute to increased cooperation and mutual recognition among eco-labelling schemes, to enhance the reliability of eco-labels as a marketing instrument and simplify the 'eco-labelling universe' for the benefit of both producers and consumers.

Components

35. The project was designed to respond to a number of challenges for the successful adoption of eco-labels:
 - Improve access to regional, European and global markets for environmentally friendly products from developing economies;
 - Promote the mutual benefit of trade and the environment especially in rapidly emerging economies. These countries play an important role in their regions and have strong trade links with Europe. They are experiencing serious environmental change caused by increasing consumption and production patterns;
 - Increase the international competitiveness of manufacturing products of the participating countries.
36. It was structured around 5 project components, each with expected results.
 - 1) Background and assessment
 - 2) Capacity building
 - 3) Technical assistance
 - 4) Cooperation among eco-labelling schemes
 - 5) Conclusion, dissemination, and basis for project replication
37. Planned outputs (expected results) include:
 - Improved understanding and knowledge on eco-labelling diffusion, market penetration, barriers and capacity building needs in target countries through the establishment of multi-stakeholders dialogues;
 - Strengthened capacity on eco-labelling and its application and promotion among industry and government representatives, as well as local trainers in target countries;
 - In each target country, at least one product in the process of obtaining the EU or another European country eco-label and increased attention of government decision-makers to the question of promoting eco-labelling;
 - Roadmap developed towards mutual recognition of eco-labelling schemes through increased cooperation among developed and developing countries eco-labelling schemes;
 - Lessons-learned from the project shared at regional and global level with as many potential users of eco-labels and eco-labelling bodies as possible, leading to maximized possibility of replication of the experience.

Intervention Areas and Target Groups

38. The selection of emerging economies such as China, India, Brazil, Mexico and South Africa was designed to increase the impacts of the project that will benefit from the size of their economies

and their possibility to pull neighbouring countries in the region into the process. While not encountering the same economic development, Kenya guaranteed the involvement in the project of other South-Eastern African countries. The project activities in this region were used for increasing the international competitiveness, increasing trade opportunities and substantially contributing to sustainable development. The focus on different product groups (appliances in China, textiles in India and South Africa, footwear in Mexico and Kenya, paper in Brazil) provides lessons-learned for scaling and replication.

39. Target groups identified represented all main stakeholders that could contribute to the diffusion and the success of the eco-labelling as market instrument to promote environmentally friendly products. In each country, these included a wide range of stakeholders including:
 - **Industry representatives** of selected product groups (appliances in China, textiles in India and South Africa, footwear in Mexico and Kenya, paper in Brazil);
 - **Industrial designers** of the selected product group,
 - **Government decision-makers**;
 - **Local eco-labelling bodies**;
 - **Other stakeholders** as civil society/consumers organization, environmental NGOs.
40. Target groups in Europe included European importers/buyers of the selected product groups and European eco-labelling bodies. In addition, local partners gained experience and capacity that could be used to replicate the experience.

Milestones in Design, Implementation and Completion

41. The project was a response to an European Commission (EC) call for proposal "Programme on Environment in Developing Countries" (2493/2000, Article 1/1) and was designed to fit the EC related activities to address the Trade and Environment priority, mainly through capacity building in developing countries to take advantage of the opportunities for environmentally friendly products and technologies in the global marketplace. The project set the stage for the UNEP's Programmes of Work (PoW) 63P2 (Internationally recognized information tools) at both normative and capacity building.
42. The project officially began in February 2007 but as the project team, contractual arrangements and work plans needed to be first established, the national partners did not begin their contracts until six months later. The First Steering Committee took place in July 2007, which can be considered to be the project kick off date.
43. The planned project duration was 54 months. Two no cost extensions were granted to allow the project to complete all project activities and include some related additional training activities. The project final date is March 31, 2012.
44. Aside from the no cost extensions, there has been one budget revision to the project made in December 2011 and one output revision made in August 2011 (Kenya). The budget revisions included reallocating funds from the human resource savings from the Roadmap output, to hold an additional training activity related to the output. In addition, the budget was revised to provide more funds to partners for actual administrative support, travel for national workshops and trainings from completed, but under spent activities. The project revision for the Kenya activities was based on the decision that the proposed way forward was not in line with project results due to contextual and market issues. In consultation with national stakeholders, it was proposed to join forces on assisting the government to establish a roadmap towards the revitalisation of the leather cluster of the economy. The remaining funds were utilized for a survey and training as a foundation.

Implementation Arrangements and Main Partners

45. The overall project co-ordination (administrative and operational) was undertaken by the Division of Technology Industry and Economics (DTIE) of UNEP, with the support of Regional Offices for the organization of regional conferences in Africa, Latin America and Asia. Project

management has involved a number of international and target countries' partners, and responsibilities for specific activities have been allocated to them as relevant.

46. The Federal Environmental Agency of Germany (UBA) and InWent (currently GIZ) have been the European partners to the project responsible for consultations, background assessments, training programs and the "Roadmap" to increased cooperation among eco-labelling schemes.
47. Consumer Unity & Trust Society (India), the Sino-Japan Friendship Environmental Protection Centre (China), the National Institute for Standards and Certification (Mexico), the Kenyan National Cleaner Production Centre (Kenya) and the Council for Scientific and Industrial Research (South Africa), and experts recruited by the Brazilian Foreign Trade Secretariat have been the local partners in the respective countries. These partners were responsible for: identifying and involving local stakeholders; drafting the background papers on eco-labelling diffusion; contributing to the Assessment Study draft; organizing training sessions, and; contributing to the implementation of technical assistance programmes for companies and Governments and to the dissemination activities.
48. The Global Eco-labelling Network (GEN) participated in the project as associated partners (not directly managing and receiving funds but providing support and technical expertise). GEN was tasked to collaborate to the assessment of opportunities on increased collaboration among eco-labelling schemes and to the development of the roadmap
49. A Steering Committee (SC) composed of representatives of all the project partners was set up to allow the partners to be fairly represented in the overall project management through a solid consultative and collaborative process. Six in-person SC meetings were held over the project life.

Financing

50. The Project Budget was developed in 2006 in Euros, Table 3. The counterpart contribution from other European Institutions or EU Member States with InWent (now GIZ) and UNEP contributing the balance of the 20% requirement. Based on projections, the project will have spent all funds by project end.

Table 3. Project Financing Sources (Euros)

	Euros	
UNEP contribution	184,000	9.6%
European Commission contribution	1,535,142	80.0%
Contribution (InWent)	200,000	10.4%
Total Contributions	1,919,142	100.0%

Source: Project Document

51. The project has attracted counterpart funding, particularly in kind from project partners and stakeholders, but these were not formally budgeted or monitored and thus not included in the evaluation.
52. Some administrative challenges were present due to the fact that the grant and reporting to the EU was in Euros, while UNEP uses US\$ for contracts and budget monitoring. Challenges in management of exchange rate fluctuations is discussed further in C5 Financial Management.

C. The Evaluation

53. This section reviews the evaluation's purpose, evaluation criteria and key questions, evaluation timeframe, data collection and analysis instruments used, places visited, types of stakeholders interviewed, and limitations of the evaluation within the ToR of the evaluation (Annex 1).

Purposes

54. The purposes of this terminal evaluation are:

- a. *to provide evidence of results to date and of the likelihood of outcomes and impact in the future, to meet accountability requirements, and*
- b. *to promote learning, feedback, and knowledge sharing through results and lessons learned among partners and for future project formulation and implementation.*

55. A participatory approach was used ensuring that key stakeholders were kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods are specified to be used to determine project achievements against the expected outputs, outcomes and impacts. However, based on the initial review and inception report, mostly qualitative methods were applicable. An online survey was used with seven general questions to enable the interviewees to prepare their thinking for the interview and to allow the interviewer to explore more in-depth any issues raised during the interview. See Annex 10.

Criteria and Key Questions

56. Annex 1 includes a specific list of questions and review criteria used for this evaluation that are reflected in the structure of this report. These questions based on the project's objectives and intended outcomes include:

- a. *How successful was the project in increasing the environmental efficiency of key export products and related industrial processes in the target countries?*
- b. *Did the project succeed in increasing the number of items produced by target countries which are eco-labelled (according to the European Union (EU) or other European countries' standards), in the EU as well as in the target countries' national and global markets?*
- c. *How successful was the project in increasing stakeholders understanding and knowledge on eco-labelling diffusion, market penetration, barriers and capacity building needs in target countries through the establishment of multi-stakeholders dialogues?*
- d. *How successful was the project in increasing stakeholder's capacity on eco-labelling and its application and promotion among industry and government representatives, as well as local trainers in target countries?*
- e. *Has the project succeeded in reaching the stage where at least one product in each target country is in the process of obtaining the EU or another European country eco-label?*
- f. *How successful was the project in increasing the attention of government decision-makers to the question of promoting eco-labelling?*
- g. *How successful was the project in developing a roadmap towards mutual recognition of eco-labelling schemes through increased cooperation among developed and developing countries eco-labelling schemes?*
- h. *How successful was the project in sharing lessons-learned from the project at regional and global level with as many potential users of eco-labels and eco-labelling bodies as possible, leading to maximized possibility of replication of the experience?*

57. In addition to these high level questions, a more in depth series of questions explored the issue areas defined by the UNEP standardized evaluation methodology. Special attention was paid to assess how SMEs were targeted and whether specific programs/tools designed for SMEs were considered. In addition, the strategy of including East Africa as a less industrialized region to demonstrate the potential to "leapfrog" transfer of technology, was identified for consideration. Ideally all partners would be available for an in-depth interview to address these questions from their perspective. The matrix of questions and sources can found in Annex 4: Detailed Questions and Sources.
58. An important analytical tool used in this evaluation is the Review of Outcomes to Impacts (ROtI) tool which is presented in Part II A of the evaluation report and is used to inform assessment of progress towards impact including analyses of intermediate states, impact drivers and assumptions. See Annex 8 for details.

Timeframe, data collection and limitations of the evaluation

59. The evaluation took place between January 18, 2012 – March 26, 2012. The list of persons interviewed during the course of the evaluation and evaluation timeline are found in Annex 2: List of Interviewees and Annex 3: Evaluation Timeline.
60. The findings of the evaluation were based on the following:
- Desktop research of project correspondence and documents found on the project website and internal document exchange. (See Annex 5 List of Documents). These included relevant background documents, project Document, Interim Donor reports, partner activity reports, financial reports, steering committee meeting reports, trainings and workshops. Relevant project correspondence was provided upon request. Over 350 documents were set up on DropBox for internal exchange and review and were analyzed over a six week period.
 - Telephone interviews, face to face meetings and email exchanges (Annex 2) with UNEP Project management and support staff; donors, country project implementation partners, technical experts, Competent Bodies, industry representatives, trainers and EU Flower representatives.
 - On-Line Survey (filled in by 6 countries and 18 different stakeholders) Annex 10.
 - Site visits to two of the seven country projects (Brazil and Mexico)
61. All interviews were conducted using basic good interview practices including culture and language respect, confidentiality, convenience for the interviewee, creating value for their input and respect for their time. Key Evaluation Principles as outlined in the Annex 1 ToR were applied.
62. In terms of constraints, the evaluation was organized around the beginning of the year and holidays, with short notice in order to interact with project partners in the last quarter. While very cooperative, the virtual nature and diverse cultures posed some problems in setting up meaningful interviews to many unfamiliar with the role and nature of project evaluation. Documents came in piecemeal, some not until well into March. No responses were received to numerous emails sent to the project partner in China or UBA, possibly due to technical difficulties or incorrect email addresses.
63. The support of the Liazzat Rabbiosi in facilitating the evaluation and availability of the project team and partners for meetings, including the final steering Committee, was instrumental and is greatly appreciated.

Part II. Project Performance and Impact

64. Part II of the terminal evaluation report is organised according to the four categories of evaluation criteria, namely attainment of objectives and planned results, sustainability and catalytic role, processes affecting attainment of project results, and complementarities with the UNEP Medium Term Strategy and Programme of Work. Information used in the evaluation is evidence-based and efforts have been made to triangulate information and opinions from interviews.

A. Attainment of Objectives and Planned Results

65. The following paragraphs look at achievement of outputs and activities, relevance, effectiveness, efficiency, and a review of the pathway from project outcomes to impacts (ROtI).

Achievement of Outputs and Activities

66. The project logframe developed as part of the Project Document lists one overall development objective (increase environmental efficiency), one specific objective (increase the number of products with Type I eco labels) and five expected results (outputs) with fifteen associated activities. This framework has been used for general communications, presentations and reporting. At the initial Start-up Workshop, the "increased cooperation among eco-labelling schemes through the development of a roadmap towards mutual recognition of eco-labelling schemes" was introduced as the second main objective and appears in most subsequent reports and presentations on the same level even while not represented as such in the logframe.
67. The Interim Narrative Reports 2008, 2009, 2010, 2011 and January 2012 updates indicate regular progress on all activities. No specific targets were set for the specific objective or the majority of the expected results (discussed in Section C7. Monitoring and Evaluation). Timing issues are addressed in more detail under Efficiency.
68. There are five expected results (outputs) under the specific objective: "Increase the N of products from target countries in the EU as well as in their national and global markets eco-labelled with the EU Eco-label or other Type I environmental label." The expected results include: Improved understanding and knowledge, Strengthened capacity and promotion; at least one product in the process of obtaining the EU or another European country eco-label and government interest; Roadmap developed towards mutual recognition through increased cooperation; dissemination of lessons-learned from the project shared at regional and global level.
69. The project implementation framework was followed by all countries in the same approximate time frame using a "think global/act local" approach. Standardized joint capacity building and trainings were held in a central location with all partners, who then adapted and replicated these trainings in each country over the following year. Training materials were provided to partners for adaption to national contexts. While this approach has many advantages in implementation, using one standardized approach assumes a similar baseline. This one size fits all approach was not as effective in East Africa where infrastructure and industry capacity was at a different starting point. In Year 4, an adjustment was made to the strategy and expected results. See Project Revision, P 194. This is discussed in various parts of the evaluation and Section III. Recommendations/Lessons Learned (REC/LL).
70. Steering Committee (SC) meetings were held annually from 2007-2010, three of these in conjunction with other events to leverage learning opportunities and efficiency (see Efficiency). While only three SC meetings were originally planned, six were held in total utilizing other related events, serving as an excellent mechanism for peer learning. The final SC meeting (6th) was held in 2012 to present and analyze project results and discuss steps going forward.
71. Overall, all activities and outputs were achieved, with varying levels of success in laying the foundation for longer term impacts based on different baseline factors: awareness levels,

industry, infrastructure (testing, technical assistance) and government priorities. (See Annex 6 Summary of Achievement of Outputs and Activities). Because of a lack of a defined formal monitoring system (see Section C7), reporting on specific numbers for outputs was not possible for the evaluation. Attempts were made to mine numbers from country reports, donor reports and steering committee reports. However with respect to workshops, trainings and participants, these had wide variations with numbers being reported by UNEP in presentations and country reports. Some of this may be due to terminology (not defined) for reporting - distinguishing between meetings, workshops, technical versus general awareness raising workshops.

Expected Result 1: Improved Understanding

72. In 2007, aside from general organizational activities in establishing the project foundation, several other critical activities were conducted. These included background studies, needs assessments and a general capacity building/awareness raising workshop was held in Bonn, Germany with 67 participants, including all of the project partners and associates, stakeholders from the participating countries and international experts.
73. Overall the partners felt that the market information and background studies were not that useful as due to time constraints, there was not enough time to allow for consultation in country. The reports did not seem to have enough practical recommendations, used some dated material and had an unnecessary level of detail for some information that was not relevant to their context and too generic for other information to be practical. The workshop was perceived quite positively, with a high level of expertise and interest. There was a lack of participation of several key stakeholders, particularly from Europe - namely the EU label representatives, European consumer groups, buyers and importers.
74. The following year, 2008, each partner/associate held consultation/awareness raising workshops in their own countries. UNEP reports on 9 consultation workshops being held with around 260 total participants. Countries report significantly higher number of participants in presentations (but not reports). No records were kept on gender of participants, but country representatives indicated a general balance in stakeholders and gender. The workshops generated high interest, but in some countries some key stakeholders or decision makers were not present, mainly government, industry or civil society/consumer groups.
75. The workshops highlighted the general low level of awareness among stakeholders for eco-labelling, but also led to a general high interest in eco-labelling as an opportunity (not trade barrier) for increased competitiveness and reduced environmental impacts.

Expected Result 2: Strengthened Capacity

76. With input from these workshops and based on the needs assessment done, training materials were developed with high level of collaboration with the many of the EU competent bodies and EU, EC and international experts. National experts were selected by the country representatives based on a ToR and criteria from UNEP. One of the intended strategies was to develop a pool of national service providers who could offer technical services on eco-labelling (possibly for a fee) beyond the project (See Section II B1 Sustainability). A Train the Trainers (ToT) workshop was held in Germany in 2009 with at least 3 representatives from each partner/associate country and 1 from Ethiopia for a total of 23 technical experts trained. This number included project coordinators and is based on the meeting report roster. Some presentations and reports list a slightly higher number - either 24 or 26. Seven of the trainers were women.
77. Participant evaluations and subsequent interviews were favourable as to the quality of the materials and trainers. The ToT included the presentations of the two companies from developing countries (India and Thailand) which attended the meeting and shared their experience with the participants. The training was based on the interactive learning and included group exercises and role plays. Several participants indicated a need to have more of practical hands on training, including real cases, with less time for the legal and theoretical aspects.

78. Based on interviews with several of the experts, only about half of them are currently active in providing services related to their training, mainly through their organization. Some are accessible for workshops based on availability, but only two were identified that had consulting services come out of the training.
79. Training materials were provided in paper and digital format including presentations, explanatory notes and guidance for implementation in 2009. All partners and experts expressed a high degree of satisfaction with this tool in terms of quality and quantity of information. The training materials were adapted to country specific contexts and/or language by the partners and delivered nationally in 2010. An e-learning tool was drafted and made available in March 2012. Some national training events focused on specific target groups (industry sectors and government), while others focused geographically. Several partners noted the need to include industry associations (see Section Sustainability B1). One of the main outputs of these workshops was to get industry (implement environmentally friendly practices) and government (enabling policies) buy in. UNEP reports 14 national training events (including one regional Mercosur⁴ training) and approximately 420 participants. Country reports are significantly higher in participation, closer to 1,000, but may be based on definitions. Several countries reported that the decision makers were not necessarily present at the workshops. While India struggled with getting government interest, most countries reported government interest, but no concrete support in terms of funding or policies. According to the Project Manager, Brazil and Mexico had good support of the national and state government.
80. The quality of the trainers has been a key success factor for the project. Industry stakeholders interviewed indicated that the technical experts were instrumental in their commitment to enter the eco-labelling process and for maintaining the momentum. Not all experts were accessible for some stakeholders, but in most instances, with backstopping from the partners trained, the experts were responsible in providing high quality service to companies for creating business plans, understanding the technical requirements and assistance in filling out applications.
81. The three companies which made the most progress in achieving the EU Eco-label also hired other external consultants and had an internal project coordinator. While two of these companies were SMEs, human resources will be a critical factor for many companies entering into the process and may be a barrier for SMEs without external support.
82. The project has made progress in strengthening capacity; however due to the low awareness level and attrition rate of experts, there is a need to create incentives for experts to remain engaged in providing services and to build a broader base of technical experts in country in order to continue to engage with industry and governments. Discussed further in REC/LL.

Expected Result 3: Product in Process of Eco-Labelling and Government Interest

83. Due to the workshops and other outreach efforts by the partners, several companies came forward in each country expressing interest in undertaking the eco-labelling process within the project. Estimates based on country reports are approximately 30 companies in total. For various reasons including costs, risks, lack of markets, perceived competition (e.g. with FSC label), technical barriers - only 11 companies formally began the process within the project scope. In the last phase of the project, one SME company in Brazil joined the project and is in process of obtaining the EU Flower Eco-Label. With the exception of Kenya, which formally revised their country strategy, there is at least one product from each country at some stage of the process of obtaining the EU Eco-label. One company has obtained the label with 4 others having submitted their application and 7 companies compiling their applications.
84. The main reason cited by partners in the low interest by companies was the fragmented supply chains, lack of sourcing compliant intermediary materials and need to address the value chain issues holistically if companies can participate. To note, the companies which made the most

⁴ South America's Common Market including full members (Argentina, Brazil, Paraguay and Uruguay) and associate members (Bolivia, Chile, Colombia, Ecuador and Peru).

progress towards the EU Eco-label were characterized by a supply chain that was already working together on resource, waste and supply issues (Brazil: large multi-national with supply chain management in place and a homogenized industry/ Mexico: small fragmented leather companies working in a sector cluster with a common 2020 vision plan).

85. Main reasons cited by industry for the limited uptake was the upfront investment in staff and processes to meet the EU label requirements, plus certification costs - without an identified market opportunity. The process took much longer than most anticipated in getting applications ready (discussed Lessons Learned). In addition, 4 country partners reported that responses from Competent Bodies were often slow, inadequate and/or even incorrect information provided. (REC/LL) For many partners it was an issue of convincing the "first movers" to take the risk through project support.
86. Several partners used the project and EU labelling framework to revive interest and support, particularly from the government, in their own national eco-labelling scheme. In Brazil, this work was done in parallel with the project with the aim of potential mutual recognition with other schemes, particularly the EU Flower (see next section Expected Result 4).
87. There were mixed results in government support partially due to several factors beyond the control of the project. Enabling support mechanisms such as policies, take a long period to gain support and actually get written and passed. Changes in government often meant the change of key champions or personnel, requiring repeating awareness raising efforts. Government interest and buy in of the project was not laid in most countries from the outset (REC/LL).
88. There is however high interest in most of the governments to including eco-labelling into the national policy mix and SCP strategies. The project has contributed to raising general awareness among some government stakeholders, but the policies and strategies are also likely due to the general global awareness of sustainable development, Green Economies and Rio +20, in which UNEP plays an important role. Some examples of these strategies include use of labelling in Green Public Procurement (GPP), National SCP Strategy in Mexico and the National SCP Action Plan and GPP in Brazil. In Kenya, the project contributed to the adoption of fiscal incentives for the leather sector, as well as institutional reform in the Leather Council. The identified need for the various government departments (particularly Trade and Environment) to work closer together rather than in silos (REC/LL) could be considered one of the real outputs attributable to the project.
89. There has been good progress for this output, even as some partners expressed frustration at the slow process due to the steep learning curves for partners *and* industry.

Expected Result 4: Increased Cooperation and Roadmap developed for Mutual Recognition

90. UBA as project partner led the activities under this strategy, which was conducted in close coordination with project Associate Global Ecolabelling Network (GEN). Initial activities included: develop a baseline with "state of the Art" examples, survey on needs, discussion paper on different models and options towards cooperation and mutual recognition that are relevant and feasible on different levels and workshops.
91. It was stressed in the initial start up workshop by participants in Bonn that harmonization of eco-labelling requirements is an important pre-condition for success of the project and eco-labelling. While not in the original logframe and project document as one of the main objectives, this output was raised in the minds of most partners and subsequent project documents as a main objective.
92. All of the activities were undertaken and a draft Roadmap exists. Approximately 40 people attended the GEN consultation session in Kobe, Japan, the survey had 41 respondents of which 25 from eco-labelling programmes, 40 participants (20 eco-labelling programmes) attended the UNEP consultation workshop in October 2010 and the Final draft roadmap was circulated for feedback in March 2012. The work on the Roadmap was delayed, mainly due to organizational issues including change of staff and consultants. The current status is for the

Draft Roadmap document to be reviewed by stakeholders, including GEN, who will discuss and offer formal feedback after their next Board meeting.

93. The consultation process in 2010 identified capacity building for developing countries and cooperation at the regional level as immediate priority. Using human resource cost savings within this output, a training workshop was held in March 2012 in Thailand jointly with the Asia Productivity Organization (APO) on "How to Start, Sustain and Promote a Type I Eco-Labeling Program". The workshop attracted approximately 30 participants from 20 countries and demonstrated a very high interest in the topic.
94. Further interest in regional cooperation in eco-labelling has been demonstrated through the Regional Training Workshop on Eco-labelling for Southern Cone countries, organized outside of the project in 2010, but led by the Brazilian partner and included project experts from India and Mexico. Approximately 70 participants came from 9 countries. A follow up Southern Cone technical consultation workshop was held in November 2011 to discuss the feasibility of regional cooperation in eco-labelling and promoting SCP, attracting approximately 60 participants.
95. However the role of the Roadmap (and usefulness) has been misunderstood by many project partners. Part of this is due to issues mentioned above, but also due to lack of clarity on role of associates, objective of the work and managed expectations. Because GEN is a network and not a legal organization that can enter into agreements, UNEP was unable to enter into a partnership agreement and transfer funds to GEN to lead on activities. The democratic network structure of GEN is a great advantage in potential reach and support of multiple countries, but the structure of 27 member organization also poses challenges in making decisions, reaching agreements and implementing activities. While GEN remained an active and engaged project associate, their role was limited by these constraints.
96. In the original UBA work plan, the target of the work was "to develop a common understanding of "cooperation and mutual recognition" within the realm of eco-labelling. This is necessary, because the ongoing practice seems to be very complex and - in a broader context - different understandings are under way (multi-dimensional practice)." Within the project scope, this did not happen.
97. The Roadmap is a good start to creating that common understanding. The draft was circulated in the final months of the project. Some expectations were created that were also communicated to country stakeholders based on misunderstood assumptions. For example, that a national eco-labelling scheme aligned and harmonized completely with the EU Flower could have mutual recognition. Project documents regarding activities on national eco-labelling schemes state expected results *"collaboration with the EU Flower started towards mutual recognition"*. A presentation made by the EU Flower label coordinator at the 3rd SC outlined 2 alternatives for cooperation and MR with the EU Eco-label that seemed to support this concept of MR. *It was only established at the final SC in March 2012 that an awareness of mutual recognition, specifically with the EU Flower, is not allowed under the current EU regulation.*
98. Activities and the expected output of a Roadmap in a draft form was accomplished; however the timeliness and usefulness of the output at this stage are still in open. The project played a role in increasing the visibility of Type I eco-labelling and GEN's role worldwide, especially in emerging economies, contributing to promoting cooperation among Type 1 eco-labels. Potential opportunities for increased cooperation across partner countries and with GEN members were missed due to organizational issues and incorrect assumptions.

Expected Result 5: Dissemination of Lessons Learned for Replication

99. Dissemination of project activities and progress has been ongoing by UNEP (website, annual newsletter and related UNEP attended events) and project partners (newsletter, workshops, meetings, press articles, radio and even television) at limited costs. Monitoring of the distribution channels and outreach was not conducted so no hard numbers can be provided.

100. Dissemination on lessons learned and results were presented through several regional events, including sessions in the SCP Regional Roundtables. In Africa, 4 presentations were held jointly with the African Eco-labelling Mechanism (AEM), 1 in Asia (which included several national labelling programs) and 2 in Latin America. The project was presented at other related events including the side-events in CSD sessions in 2010 and 2011 and WTO CTE 2010. An estimated 400 people attended the various final dissemination and outreach events according to the UNEP 4th Interim Report.
101. A final report with lessons learned is in preparation by an external consultant which will have both a print and electronic version for broader dissemination.
102. Both budget and time constraints has limited communications to minimal outputs and successfully seeking opportunities to piggyback with other events. The website was underutilized by the project for dissemination mainly due to resource constraints in updating and maintaining it as an active resource. Information on the project could be found only on one partner's website.
103. Building upon the Southern Cone workshops mentioned in the previous section, funding is being sought to continue a regional cooperation project on eco-labelling with the involvement of each of the participating countries of the Southern Cone started in Santiago, Chile. Currently a steering committee is being formed with the possibility of joint meeting with the annual meeting of the GEN to be held in Brazil in November 2012. According to the UNEP Project Manager, seven countries have expressed interest in replicating the project in their countries: Sri Lanka, Thailand, Malaysia, Turkey, Pakistan, Chile and Argentina.
104. A summary presentation of Achievement of Outputs and Activities and is provided as Annex 6. The overall rating on delivery of activities and outputs is **satisfactory**.

Relevance

105. The project was a response to an European Commission (EC) call for proposal "Programme on Environment in Developing Countries" (2493/2000, Article 1/1) and was designed specifically to fit the EC objectives and related activities. The justification and relevance of the project strategies are explicitly outlined in the Project Document. The overall objective is directly in line with the UNEP mandate in supporting the contribution of industry and government to the 10 Year Framework of Programmes on Sustainable Consumption and Production (Marrakech process) which builds upon Agenda 21 (Chapter 38. Creating Capacity for Sustainable Development) and the Johannesburg Plan of Implementation (JPOI). Promoting the mutual supportiveness of trade and environment and the importance of capacity building and technical assistance to developing countries supports the Doha Ministerial Declaration that explicitly mention these objectives and UNEP Governing Council decision GC 21/147 that endorse them. The strategies aimed at improving knowledge, building capacity and providing technical assistance to target groups directly supports the UNEP Bali Strategic Plan (BSP) for Technology Support and Capacity-building. The project is also part of the SCP branch which works with governments to develop National SCP Strategies. The UNEP/EC European Stakeholder meeting on SCP and Ostend 2004 on promoting SCP highlights work with key partners such as India and China on SCP. The UNEP Governing Council decisions 22/6-6 and 21/14 on capacity building, SCP, mutually supportive trade and environmental policies. The specific objective to increasing the number of products from target countries in the EU with the EU or other European countries' eco-labels is relevant to the objective of the Programme on Environment in Developing Countries supporting target countries in their efforts to integrate the environmental dimension into their development process, as stated in Regulation 2493/2000
106. The project as implemented remained relevant in the context of the UNEP mandate and policies while taking into consideration the needs and constraints of the target countries through:
- capacity building tailored to individual countries based on a bottom-up needs -assessment process (BSP III5b)
 - ensuring that activities under the plan had national ownership to ensure that built capacities are sustained (BSP III5b)

- Training and support of existing partners in national Cleaner Production Centres (BSP IVB)
- Promotion and support of peer networking (South-South cooperation BSP IV B)
- Information, Awareness Raising and Dissemination (Exchanges of best practices and lessons learned BSP IVB);
- presentations at SCP roundtable meetings to promote SCP and GPP
- Creations of success stories in emerging economies as models for replication

107. The Project Document specified the EU eco-label and other European Type I labels for the specific objective and expected results, restricting the opportunity within the project to work on other labels including some already existing in the target countries with export markets. The focus on Type I eco-labelling was not only for practicality, but based on several key concepts, including life cycle based, government support and credibility. In terms of the needs and constraints in the target countries, the relevance of a specific market instrument and specific markets, rather than a focus on implementing best practices was a weakness of the project design. However, as the project was a response to a specific call for proposals (see Paragraph 41), country selection and strategies were prescribed. This posed a particular challenge for East Africa which revised the strategy and expected outputs in Year4. This constraint was particularly relevant for SMEs that have limited capacity to pursue multiple certifications. This is discussed more in Paragraph 260 and REC/LL.
108. Further details on the projects contribution to UNEP's Expected Accomplishments and Programme of Work (PoW) 2010-2011, Medium Term Strategy MTS (2010-2013) are found in Part II Section D.
109. The overall rating on relevance is **satisfactory**.

Effectiveness

110. The following paragraphs examine to what extent the project is on track to achieve its main objective "to increase the environmental efficiency of key export products and related industrial processes in the target countries", taking into account the schedule of project operations and the achievement of expected results as listed in [Paragraph 68](#).
111. The project logframe included one indicator for both the project's overall and specific objective, as well as 10 expected outputs. As discussed in Section A, Achievement of Outputs and Activities, no specific targets were set, but all activities were implemented with outputs for all indicators. The specific objective (one product from each country in process of eco labelling) was also met, with the exception of Kenya, which developed an agreed upon alternative approach and outputs.
112. The overall objective "Increase the environmental efficiency of key export products and related industrial processes in the target countries supporting their industry and government active contribution to the 10-Year Framework of Programmes on Sustainable Consumption and Production (Marrakech process)" cannot be assessed due to the lack of baselines and monitoring. (discussed Section C7). The specific objective to increase the number of products from target countries in the EU as well as in their national and global markets eco-labelled with the EU Eco-label or other European countries' 'Type I' * environmental labels was met with at least one product from each target country eco-labelled or in process (11 companies total) due to the project.
113. The majority off the partners, national experts and even industry participants noted the limited uptake of eco-labelling by industry and governments, despite the extensive outreach and efforts. This is discussed in the Sustainability section. Because only 12 companies are involved at some stage, there is not enough information to understand potential changes within the project. For the companies in the process, the project did not establish baselines or attempt to define before and after information (on resource use, costs, etc). However, the ROtI analysis indicates a strong foundation has been laid for increased uptake and replication of the project outputs. The assumption that obtaining the eco-label increases environmental efficiency has some basis,

but will depend on many contextual factors including the baseline of the technology - in country and within the individual company. Thus no conclusions can be drawn that do not require a leap of faith. This is an area that has strongly hampered many certification schemes - the inability to show impact beyond anecdotes. (SEE LL)

114. Based on the ROTI analysis (see Annex 8), the achievement of this goal is moderately likely, which will be equated by the consultant as moderately satisfactory. The ratings for the expected outputs are highly satisfactory. If averaged, this would give a rating of satisfactory.

Efficiency

Cost Effectiveness

115. The project built upon initiatives already underway with UNEP and other relevant stakeholders including the 10 Year Framework of Programmes on SCP, EU Labelling of South African cotton fabric, initiatives and activities of GEN to improve the international coordination between different labelling systems.
116. The cost effectiveness of the project was enhanced by many factors beginning with the selection of strong partners with experience in the field, complementary institutional objectives and dedicated (passionate) project coordinators. Stakeholder support from industry, associations and governments included in-kind use of facilities, staff and technical assistance for national workshops. All of the country partners were already engaged in some aspects of the project objectives, whether SCP, eco-labelling or standards. The project was able to build upon this existing knowledge and relationships built. Examples include the Mexican partner building upon the leather sector supply chain 2020 vision and strong support from the textile industry associations in India. Kenya leveraged work in Ethiopia through a cooperation with UNIDO.
117. The project leveraged existing (related) global events and meetings to piggyback Steering Committee meetings and trainings realizing not just cost efficiencies, but increased opportunities for learning and cross networking with other. The project also leveraged global events for dissemination of results and lessons learned for cost efficiencies and ensuring reaching a wide target audience (e.g. SCP Roundtables, CSD side events). Within country activities, partners very effectively leveraged existing stakeholder meetings, activities and mechanisms such as sector associations and organizations focused on Small Medium sized Enterprises (SMEs) competitiveness for awareness raising and capacity building.
118. The expertise of the technical experts which was brought into the project was extremely high across the board. This enriched the project as well as overall created a pool of knowledge for the peer networking on specific issues (e.g. life cycle expertise in Mexico for consultation in other countries).
119. Challenges were faced by the PM who had to manage the project internally in US\$ with exchange rate fluctuations creating uncertainty in actual funds available in US\$ for US\$ commitments. A few activities were delayed to ensure sufficient funding, without major disruptions and without hindering all projects to implement all planned activities.

Timeliness of Execution

120. The project officially began in February 2007 with an initial Steering Committee meeting to establish work plans and address administrative issues taking up the first 6 months. The project Start Up workshop was held in Germany in December 2007 with a wider stakeholder group and was communicated as the project Start Up.
121. Generally the project was implemented along timelines agreed upon in the Steering Committee meeting for the upcoming year. There were some delays in the global Train the

Trainers workshop caused by logistics and the change in PM which left a gap for six months. This pushed the national follow up technical workshops out as well 6 - 9 months.

122. Due to personnel changes with staff and consultants, the Roadmap document was handed off to different people over time and was delayed at least a year from initial plans. A Final Draft for review and feedback was sent out in March 2012.
123. A 6 month no cost extension was granted in January 2011 to complete project activities and a further 2 months extension granted in December 2011 to complete an additional, related training activity on regional cooperation among eco-labelling schemes held in Thailand in March 2012.
124. The overall rating on efficiency is **highly satisfactory** in view of cost efficiency efforts leveraging existing expertise, partner knowledge, networks and global events. There were some delays on outputs, generally outside of the control of the project. Considering the virtual nature of the project across 9 countries/cultures, the delays were handled to ensure quality deliverables, without serious impact.

Review of Outcomes to Impacts

125. The following paragraphs examine progress made towards project impacts using a Review of Outcomes to Impacts (ROtI) analysis. A desk based ROtI approach was used due to time constraints. The model was presented at the 6th SC meeting with the intent to validate the analysis and develop in groups some of the impact pathways. However, since most of the participants were unfamiliar with the ROtI methodology and concepts; the limited time was used to focus on the next steps (intermediate steps) and recommendations from their perspectives using this framework.
126. The logframe's specified the overall objective, specific objective and 5 expected results which were primarily outputs (improved understanding, capacity building, roadmap) and first order outcomes such as adoption of practices to meet EU label requirements.
127. Figure 8.1 in Annex 8 illustrates the Theory of Change (ToC) towards overall impact (global environmental benefits (GEB)) for the project.
128. The five project strategies are based on the mutually supportive strategic objectives of the project addressing capacity building and technical assistance for industries in developing economies. The project outcomes are derived from the logframe that were listed as indicators of achievement (of the expected result).
129. The intermediate states presented in the ToC framework Figure 8.1 describe generically the environment necessary for scaling and replication to reach impact and are both supply (enabling policies, increased competitiveness) and demand side conditions (increased market access).
130. The impact drivers were refined at the 6th SC meeting as identified by the project partners as the factors which are expected to contribute to the ultimate realization of impacts (and are within the ability of the project to influence). These also include supply side (interagency collaboration, access to technical experts) and demand side drivers (awareness raising activities).
131. Several of the outcomes of the project, including increased technical capacity, government decision makers' awareness are reformulated as impact drivers for further progress of the project. This is intended to flag that capacity building efforts and awareness activities of this project are not alone sufficient to achieve these outcomes at a level that would guarantee progress towards the intermediate outcomes and impacts. In other words, the project can influence these conditions but cannot alone accomplish these.
132. Figure 8.2 in Annex 8 shows the results of the Review of Outcomes to Impact (ROtI). The assessed overall likelihood of impact achievement at this stage in the project is rated on a six-point scale as **moderately likely** (BC). This rating is based on the following observations:

- The rating on outcomes is B. The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding.
- The C rating on intermediate states reflects that measures have been designed to move toward intermediate states have started but have not yet produced results. This is reasonable considering the longer time frames needed for realizing impact.
- Impact: A rating for achievement of increased environmental efficiencies is not applicable at this stage since it is too early to have had any scale for GEB impact.

133. The BC and resulting **moderately likely** is consistent with opinions of almost all stakeholders in all countries - there is great potential in moving forward, there is good momentum, consistency with national government agendas on sustainable development and some seeds are planted.

B. Sustainability and catalytic role

B1. Sustainability

134. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance end. The ROTI analysis was utilized for this section as impact drivers are often the key to addressing barriers to achievement of project impacts as they relate to the sustainability or scaling of achievements. For this section, the strategies and project results to date were used; however the tool - the EU Flower - was considered more generically as eco-labelling. The main reason for this was the assessment that focusing on the EU Flower *alone* would be a barrier for sustainability of results and replication. Thus the ratings would be much lower for these dimensions.

Socio-political Sustainability

135. The Project Document identified the main socio-political factor that will contribute to the project sustainability as the development and implementation of sustainable procurement policies at national and local level including legislation on environmental standards for products/processes, trade export promotion, funding and investment instruments and GPP. Capacity building activities aimed specifically at government stakeholders was aimed at creating awareness of eco-labelling, specifically the EU Eco-label. A specific training module was developed, but the project had limited opportunities to engage with government stakeholders. In almost all of the countries there was a lack of interagency coordination between departments responsible for trade (and/or export), technology and environment. Overall, the interest from trade ministries was high with recognition of eco-labelling as a trade opportunity and competitiveness factor. However, in most countries, the GPP and eco-labelling strategies were under environmental ministries with little internal coordination for cross cutting projects. In addition, changes in governments often meant changes in key personnel, requiring a new outreach with each change. Several of the countries involved will be holding elections in the near future with possible personnel changes. Within the project there was little active support from government stakeholders with the exception of Brazil which was coordinated by a government representative.

136. A second key factor for socio-political sustainability identified was the development of the Roadmap to simplify the eco-labelling universe and increase the cooperation among developed and developing countries' bodies to increase the reliability of the eco-label as a marketing instrument. The project contributed to increased cooperation among Type I eco-labels. However, the role of the EU Eco-label scheme promoted in this project vis-à-vis national eco-labelling programs was unclear to some stakeholders or even perceived as a threat, particularly by government stakeholders. The focus of the project on one scheme was necessary for efficiencies (capacity building, awareness raising), but hindered the effectiveness of country ownership for national stakeholders.

137. A third socio political factor identified was the building of relationships with EU buyers and importer to create long term trade partnerships. However the project failed to attract and engage EU importers and buyers within the project, a factor which was identified by most country partners as a general weakness.
138. Finally, related to the question of ownership is stakeholder engagement. The extent of stakeholder engagement at the national level including of key actors in the public sector with a significant interest in and potential to influence development was mixed and will also be potentially affected by changes in government.
139. However, the strong interest in SCP and the fact that many of the countries have eco-labelling, environmental efficiencies and sustainable development on their agenda, prospects for national support of eco-labelling and resource efficiency are quite promising.
140. So while the project had minimal impact on the socio-political sustainability of the EU eco-label or other EU Type I labels, the overall global context is highly favourable. Thus, this dimension of sustainability is rated as **highly likely** for eco labelling in general, but **moderately unlikely** for the EU eco- label based on the Impact drivers and assumptions identified. Clarity on the role of national eco-labelling schemes in local, national and international markets and the potential for mutual recognition must be established for many government stakeholders. Market awareness/demand was outside of the scope of the project, but identified as core assumption for EU Eco-labelled products from emerging economies to be successful.

Financial Sustainability

141. There were several contributing factors for financial sustainability including establishment of markets for eco-labelled products (market pull), long term relationships established with EU buyers and importers, capacity building to industry to replicate the experience, financial mechanisms to offset compliance and certification costs and the creation of experts to offer consulting services.
142. Many of these conditions mentioned in the preceding paragraph did materialize within the project timeframe, most notably the creation of the expert network identified as a critical success factor. There was also capacity building with industry in all countries, but as only a few companies actually entered the process, this may have limited sustainability without additional resources (training, experts). UNEP did identify some funding to offset certification costs and in several countries (Ethiopia, Mexico and Brazil), mechanisms were identified to help offset compliance costs. The project partners and stakeholders mainly identified the lack of markets for eco-labelled products and relationships with market players as limiting factors. Thus the ability to continue essential activities to maintain momentum is uncertain. For several organizations, some level of work will continue as part of their overall mandate (e.g. India, Kenya, South Africa, and China) and some companies already in the process of obtaining the eco-label are highly likely to continue. About half of the experts can be expected to continue some level of continual work on the topic as part of their organizational mandate. A few (2 identified) anticipate offering some consulting services on the topic. UNEP is working with all of the partners to identify potential related projects that would build upon the results.
143. The Southern Cone regional project initiated by Brazil within the project is being implemented with the funding from Nordic Council of Ministers. The first activity was the final regional workshop of the project in Chile in November, which was organized to present the results of the project achieved in Brazil and initiate the consultation process whether the Southern Cone countries would be interested in developing a regional eco-labelling mechanism, eventually a type I eco-label as in Nordic Countries. Such regional cooperation is also the recommendation of the Roadmap on cooperation among eco-labelling programmes.
144. As mentioned above, prospects for national support of eco-labelling and resource efficiency are quite promising with many of the country governments including aspects of SCP and eco-labelling in national plans. Budgets and enabling fiscal policies are still open questions, but in

the medium term many government stakeholders indicated the likelihood of financial mechanisms and national budgets for SCP and eco-labelling.

145. This dimension of financial sustainability is rated as **moderately likely** reflecting the need for and risks associated with continued external funding but offset by the high profile the issues around SCP have on the international agenda and the continued interest of the international community in this area. As with socio-political sustainability - what label and what requirements is the concern and where the Roadmap could play a role.

Institutional Framework

146. The selection of national and international partners, associates and experts with complementary experiences and functions was a critical factor in ensuring in the institutional sustainability of the project results. While there is some uncertainty in Mexico due to recent organizational changes (and potential change in strategies), overall the project has built a strong foundation with the country partners. In Brazil, a clear mandate will be required for continual involvement of the project coordinator as GPP and eco-labelling are led in a different department.
147. Several of the national experts work in institutions that support the overall project objectives, facilitating on-going engagement of the trained experts for further replication. Since selection criteria for the experts included their experience and knowledge of the sector and the training was geared towards sector specific requirements, there is the risk that replication outside of the sector will be limited. (See paragraph 156 on cross learning for replication)
148. As mentioned previously, the project has increased the visibility of GEN and potential collaboration among eco-labelling bodies. More labelling programmes are going through the GENICES process including the one of Brazil and China. The South African programme is also considering it once it becomes operational. However, many stakeholders felt that the potential of the project to position GEN and the Global Ecolabelling Network's Internationally Coordinated Ecolabelling System (GENICES) process may not have been fully realized. Identified possible reasons include unclear objectives and roles of the different internal and external stakeholders, even though some were (mis)perceptions. The relationship with GEN was characterized as good, with high level of participation at almost every SC and event, including several back to back and joint meetings. From the perspective of some, the Roadmap was a GEN product; however based on feedback, GEN members did not feel ownership of this strategy or outputs. This is not to say they disagreed with it, but the work did not seem to be institutionalized (formally agreed upon, integrated into strategies or work plans) within the GEN network members. This may be due to the fact that "GEN is just a Network and not a legal entity" (GEN Board member March 2012) and/or that the work was managed by one EU label, also a GEN member.
149. UNEP's role in the Marrakech process and work on SCP will keep the visibility of the project results high on an international and regional level. The project did raise awareness with some government stakeholders even if not institutionalized and the role of UNEP and its regional offices will assist in ongoing partner efforts.
150. The rating on this dimension of sustainability is rated as **likely** reflecting the role of UNEP and the strong foundation laid with partner institutions.

Environmental Sustainability

The increased international attention to issues of SCP and resource efficiency in global markets will be a driver of need for eco-labelling schemes like the EU label that establish science based, life cycle approaches to products' environmental impact. As discussed in the ROTI analysis, there are several steps, assumptions and impact drivers. The success of matching demand

with supply and awareness of the costs/benefits will lead to increased uptake and replication (see next section) leading to a virtuous circle.

151. The rating on this dimension of sustainability is rated **highly likely**.

B2. Catalytic Role and Replication

152. The project was catalytic in demonstrating eco-labelling as a trade opportunity for emerging economies to large regional markets, instead of a trade barrier. At the same time, the use of an eco-label as a tool to reduce resource use and lower environmental impact was innovative for explicitly linking trade and environment. Cost benefit studies will help in providing evidence of these mutually supportive objectives (rather than trade offs).

153. The peer network facilitated through the SC meetings was an invaluable asset in the project but that was not fully utilized according to the project partners interviewed. Mainly due to time constraints, more cross learning and exchange using Information Technology and other related UNEP projects did not take place. It has strong potential for the replication in other sectors and countries through access to experts from other sectors or other countries. The challenge will be to have some sort of coordination to facilitate exchange as it is an informal network relying on the motivation (and time) of individuals.

154. As an indirect output, the project association with UNEP, EU and GEN raised the profile of many of the project partners with government stakeholders. This increases the likelihood of the partner being able to influence national action plans and government policies, particularly with respect to eco-labelling.

155. Partner coordinators (and in some cases their organizations) and many experts have become "champions" of eco-labelling and recognized experts providing an important catalyst for increased uptake and replication. Overall the project methodology has proven itself and with the tools, could be readily adapted for replication. A regional workshop was held for MERCOSUR based on the project.

156. As discussed above under *Sustainability*, the high level of international, regional and national interest in SCP and eco-labelling presents opportunities for external funding for replication, including through UNEP. The Final Report in preparation will include a review of the experiences and lessons learned from the project for a wider dissemination and learning.

157. Several country partners have already identified concrete replication sector priorities which could tap into the peer network of partners and experts. Already replication outside of the target sectors has occurred in the case of Brazil with a textile company applying for the EU eco-label, interest from the cosmetics sector and a session on cleaning products in the regional training workshop in Brazil (government GPP priority). The decision to focus the project on different product groups and different countries in different regions increases the possibilities for experience exchange. The shared information to date at national, regional and international events has already generated interest from seven countries regarding replication (source PM: Sri Lanka, Thailand, Malaysia, Turkey, Pakistan, Chile and Argentina).

158. Continual investment in technical experts and broadening skills will be a critical factor for scaling and replication. Discussed in *Lessons Learned and Recommendations*, there is an identified need to include markets and consumption in the equation.

159. The rating on catalytic role and replication is **highly satisfactory** based on the foundational nature of the project and potential for catalytic outcomes and replication.

C. Processes affecting attainment of project results

160. The questions and topics addressed in this section are defined in detail in Annex 1. The sub-questions and sources can be found in Annex 4: Detailed Questions and Sources.

C1. Preparation and Readiness

161. As per the work already done for the Inception report on Quality of Project Design, the overall assessment was Satisfactory based on clear objectives and pathways, practical and feasible within the time frame, effective and efficient governance and implementation mechanisms and relevant to other work. There were some concerns raised that the initial process was done quickly to meet donor deadlines, without enough time for thorough consultation with partners, but because well established partners with shared objectives were involved, these did not present issues during implementation.
162. The time constraints did potentially affect the limited support of national governments from the outset and by not utilizing regional UNEP offices and meetings to gain early national government buy in. Additionally, consultation with the EU DG Environment (EU Label responsibility) would have potentially identified some issues early on such as markets, consumer awareness and relationships with Competent Bodies.
163. The capacities of partners was a critical factor in selection and as mentioned in several sections, was a critical *success* factor in achieving results.
164. The Project Document included a detailed and comprehensive description of roles and responsibilities for each partner and associate including implementation arrangements and overall project coordination. These were validated at the 1st SC meeting and integrated into contracts. The role of the European partners with respect to logistical and administrative support, particularly for participation in international meetings was not as clear to the other country partners in the beginning. This was addressed within the first year.
165. The rating on preparation and readiness is **moderately satisfactory** based on the clarity of the Project Document and consistency of implementation. The time constraints limited the consultation process with partners, but more importantly with other key stakeholders including national governments and the EU DG Environment.

C2. Implementation Approach and Adaptive Management

166. The overall project implementation plan was clear and defined in detail of activities in the Project Document. This overall methodology was applied consistently throughout the project in all countries and has good potential for replicability (see section B2). Country annual activity and progress reports with plans were not evident, but submitted as funds were drawn down. Not all country reports were reviewed, but the reports reviewed did not include adjusted work plans as per Annex IV 2.2 of partner contracts. The project used very effectively a more informal adaptive management approach with discussion of activities for the upcoming year defined at SC meetings with approximate dates. This allowed some flexibility for partners to implement activities within an overall framework based on country contexts and leveraging other related events. An updated high level activity plan was submitted to the donor with each interim report (approximately once a year). According to the PM, there were no time bound reporting requirements to the EC, only when 75% of the previous instalment had been spent.
167. UNEP-DTIE was the responsible for the overall management and administration and from the perspective of partners was excellent. The change in staff about half way through the project was fairly seamless. The leaving of the Unit Head who was actively involved in the project design and participated in all meetings did not affect the operational side, but did leave a gap in that the replacement was not actively involved. The leaving of the Project Manager (PM) left a gap for several months that delayed some activities, including the Training of Trainers. However the commitment of the new PM enabled many of the activities to quickly regain traction and was instrumental for project partners to maintain momentum.

168. The relationship with InWent (GIZ), UBA and the EC was handled through UNEP and was considered good. Early requests to have more EU involvement at meetings were met. The tendency of government departments to work in silos -including the EU - could have been addressed with more cross coordination with the DG Trade and DG Environment but was out of the control of the project. Partner relationships were assessed from both directions as extremely good, as well as the peer network (south south relationships).
169. The Steering Committee role and function was defined in the Project Document and validated with partners at the first SC meeting in July 2007 as responsible for providing the overall direction of the project. Representatives plus an alternative from each partner was identified to ensure diverse and equal representation.
170. Although only three meetings were planned, six SC meetings were held annually from 2007-2010 in conjunction with other events to leverage learning opportunities and efficiency. The annual in-person meeting was considered a critical success factor in the project by many partners. However, it was noted that the use of information technology including videoconferencing could have enabled more frequent "check ins" and cross learning to save time, money and reduce the impact on the environment. Discussed in LL/REC. This will be one way forward for the peer network.
171. Overall there was consistency in project partner representatives who participated in the annual meetings and workshops, from the outset of the project with only a two exceptions (South Africa and China).
172. The partners' involvement in overall project management through the SC ensured more ownership of the project - along with responsibility for results. From SC minutes and SC member feedback, UNEP was very responsive in responding to the SC requests for adapting of activities to respond to lessons learned and/or stakeholder feedback.
173. Logistic difficulties and communication issues were identified as potential challenges in an early stage of the project due to the decentralized management structure, virtual nature of the project, multiple countries involved (time zones, cultural differences). The fact that most meetings were held in Europe and North America posed administrative (long lead time for visas) and logistical challenges for many partners. These issues were recognized and agreements that efforts would be made to provide longer lead times for planning and partners commit to timely confirmation and communication.
174. The rating on implementation approach and management is **highly satisfactory**. The overall management and implementation allowed a consultative and collaborative process with partners fairly represented in the overall project management. A flexibility to adapt activities and tools within the project framework ensured lessons learned and stakeholders' needs were addressed.

C3. Stakeholder Participation and Public Awareness

Engagement of Stakeholders

175. The Project Document identified and outlined the engagement of a wide range of target groups including in country, Europe and indirect beneficiaries.
176. In each country, target groups and their involvement:
- Industry representatives of selected product group: decision-makers including marketing managers of manufacturers/importers/service providers/traders/retailers companies; business associations (at least 8 decision-makers involved in training activities; at least 3 companies involved in technical assistance activities; at least 1 business association involved);
 - Industrial designers of the selected product group (at least 8 designers targeted by capacity building activities, at least the teams of 3 companies by technical assistance activities);

- Government decision-makers: managers of local and national administrations (at least 8 and 3 targeted by awareness raising and technical assistance activities respectively);
- Local eco-labelling bodies interested in improving cooperation with European schemes (at least 14);
- Other stakeholders as civil society/consumers organization, environmental NGOs (at least 1);

177. In Europe:

- Current/potential European importers/buyers of the selected product groups (at least 2 per product group);
- European eco-labelling bodies gaining benefit from the lessons-learnt of the project for improving their schemes and their reliability and/or interested in improving cooperation among eco-labelling schemes (at 2 least including the EU Eco-labelling board).

178. Indirect beneficiaries:

- Local partners that will gain experience and capacity that could be used to replicate the experience;
- Local and international consumers that will receive better information on the products;
- Other local companies exporting to Europe willing to have their products eco-labelled benefiting of the awareness raised in the country

179. So while the project identified a wide range of stakeholders, the engagement of these were primarily limited to information dissemination (awareness raising) and consultation (needs assessment) and more limited basis active engagement in project activities and decision making. Active engagement was mainly industry and associations, with more limited designer engagement. Government stakeholders, with the exception of India, were generally actively informed stakeholders, receiving information about the project activities and objectives. In addition, in almost all of the countries, these stakeholders participated in at least one meeting or workshop. However, 4 of the partners expressed that these participants were not always the decision makers and to date there has been limited active support generated by these stakeholders in the form of concrete policies and/or funding mechanisms.

180. The main project activities were focused more on the production/supply side of the SCP equation and there was not much active engagement of the Consumption or market side. This also influenced the response of the stakeholders to national workshops. Most partners invited the range of stakeholders to workshops including civil society organizations, but perhaps the topic was not of interest and/or there was confusion of the technical nature of the topic.

181. As discussed in Section A, EU stakeholders were informed and consulted but not actively engaged. The Competent Bodies (CB) were involved in the search of trainers for the ToT workshop, a presentation was made in one of the CB Board meetings and a few articles were published in the EU Flower newsletter.

182. Through the activities of the Roadmap, most of the EU eco-labelling bodies were informed, some were consulted and a few were actively engaged. Discussed in *Recommendations*, an active engagement of the Competent Bodies from the outset of the project could have addressed some issues raised by partners and industry stakeholders.

Public Awareness Activities

183. The project website was created in 2007 and contains the project library and links to partner websites. The project library is up to date to 2010 with information mainly available only in English. A project logo was established in 2009.

184. Other communication efforts include:

- project flyer
- articles in SCP digital newsletter 2007/2008
- project annual newsletter 2009/2010 distributed to over 1300/200 people

- presented at related events including Eco-Labeling Board meeting, CSD 18/19 side events, WTO meeting, SCP Regional Roundtables
- country partners created public and industry awareness at national workshops and through Annual Reports

185. Communication efforts for information dissemination and outreach were overall a weakness, mainly because there was no specified budget for these activities and limited communication skill sets within the project partners.
186. There have been limited efforts towards general public awareness in this project with efforts to date focused on no cost opportunities including newspaper articles (e.g. Mexico, India) and even a television interview in Mexico. General public awareness activities were not planned in the project but could be part of follow up activities with tangible success stories and case studies.
187. The overall rating on stakeholder engagement can be considered **moderately satisfactory** based on the active engagement of only a limited set of the target stakeholders. However, considering the low baseline of general awareness on the subject of eco-labelling with many of the stakeholders in the countries, efforts for informing stakeholders lays a foundation for more active engagement going forward. The lack of market facing stakeholders involved in the project is addressed in several other aspects of the evaluation.

C4. Country Ownership and Drivenness

188. As discussed in the *Sustainability* section (Paragraph 132), the agenda of all of the country governments include aspects of GPP, SCP, resource efficiency, cleaner technologies and even eco-labelling. Also raised previously is the role of national eco-labelling schemes in terms of international schemes, specifically the EU Label. So at a macro level the project is consistent with relevant government plans and policies. There is a high visibility for the issue. However in terms of trade and markets, there is a risk aversion of linking specific market instruments to national policy.
189. Addressed in Section C1 Project Preparation and C3 Engagement of Stakeholders, national stakeholders has limited involvement in the planning and design of the project but were informed and actively engaged in some of the activities (capacity building, awareness raising).
190. There is a high degree of ownership with the project coordinators and organizations. This is partially due to the SC management structure which shared responsibility for activities and results. The linkage to a highly relevant topic with international institutions like UNEP and GEN and access to the peer network is an extremely motivating factor for both country coordinators and experts.
191. The rating on country ownership and drivenness is **moderately satisfactory** based on the role (current and potential) of the project partners. The national stakeholder involvement has been limited and the sustainability of the project is not firmly grounded beyond the project partners. However the interest and potential from governments is quite high.

C5. Financial Planning and Management

Application of Standards

Budgeting

192. The Project Document includes a detailed total and Year1 budget organised by expense category (Human resources, travel, etc) with breakdowns per country and activities identified within this framework. The total budget of Euros 1,919,142 reflects all contributions including UNEP and InWent contribution of 20%.

193. This budget served basically for the project life with a few smaller adjustments within sub-headings to respond to savings in an activity (see Efficiency) and one formal revision (see [Revisions](#)) as per the PM. However, a signed addendum with no date but signed Jan 24th, 2011 included a Revised Budget attached.

Expenditure and Reporting

194. Budget formats and currency (Euros) for the donor are different from the internal budget used for management purposes at UNEP. Information was provided piecemeal to the evaluator and is incomplete making it impossible to compare budgets to actual. Several requests resulted in approximately 75 files of over 150 MB being emailed individually the beginning of March. None of these contained an overall project expenditure comparable to the initial budget. The last interim report from December 2011 did not include financials, assuming those will be prepared in the next several months to include January - March 2012. The most recent donor financial report provided is through Oct 31st, 2010 showed project expenditures at around 70%, with the two major components - human resources at 65% and travel at 50%. The main difference was Studies and Research as 110% over budget. See Annex 7, Figure 7.1.
195. A final revised internal (UNEP format and breakdown) budget of expenses through the end of the project was in US\$ and a total per country was provided on March 15th, 2012 by the PM and is found in Annex 7. Figure 7.2. This format is too different from the donor format to compare budget against actual, either by activity or total. It is not clear how exchange fluctuations were accounted for in the translation of reporting to donors in Euros and managing and implementing the project in US\$. Nor is it clear what line item the extra SC meetings draw from.
196. According to the PM (skype communication), the project will finish under budget for the planned activities. Substantial savings were made on UBA staff (internal change) and meeting expenses allowing for reallocation to under funded activities and some additional activities.
197. Country partners were to provide annual financial reports, but because of timing of activities, they were done more on an as needed basis to draw down funds. The initial contract included a cash advance. Using a standardized format, partners submitted reports on the previous cash advance to request additional funds based on projected needs. Partners indicated that after the initial learning curve, requests were straightforward and relatively timely.
198. InWent initially provided quarterly financial reports as well as a certified annual financial reports to UNEP according to the contract. However, these were moved to an annual basis because of the administrative burden of quarterly statements, particularly when activities were not taking place.

Project Revisions

199. The extensions of the project by 6 and then an additional 2 months were no cost extensions. The revision was made to Kenya activities and expected outputs in 2011 to use remaining funds (around 25,000USD) for a baseline survey and a targeted training workshop on environmental practices in the leather industry including eco-labelling for key stakeholders including the government without a budget revision.
200. A signed addendum with no date but signed Jan 24th, 2011 included a Revised Budget attached and was found in the financial files uploaded by the PM. There is no cover letter or explanation for the revision.
201. A formal budget revision was made in December 2011. This included moving unused staff costs for UBA to an international training workshop in Thailand. Due to internal staff changes at UBA, the Roadmap activities were handled by an external consultant with significant savings which were used for other related proposed activities.
- total of subheading 1.1.2. Administrative support staff (India, China, Mexico, South Africa and Kenya) increased by 25% to cover the salaries of local partners'

administrative staff due to the project extension and ensure engagement through project end.

- The total of sub-heading 1.3.2 (local travel in country for technical workshops) was raised by 35% to reflect the actual costs of units for local travel of partners and delivery of national trainings
- The total cost of 2.1 International Travel for Follow up workshops (1.6) and SC meetings (2.5) was increased by 234% and 87% due to the increase of the unit's costs. this reflects the actual costs of international travel of UNEP staff and international experts who attended the national workshops and trainings.
- The total cost of sub-heading 2.1 International Travel for International Consultation Meeting was increased by 94% to reflect the actual cost and number of units. This activity also included the new training workshop held in March 2012 in Thailand.

All increases were financed from the corresponding surpluses generated on sub-headings "per diem" and "travel" from the activities related to trainings, technical assistance and regional conferences which had already been implemented.

A copy of the corresponding budget was not provided to the evaluator so actual numbers and deviations cannot be assessed. In addition, it is unclear from the above revision that funds were re-allocated from staff (as per the narrative cover letter).

Audit

202. No financial provision was made in the budget for audits.

Other Administrative Processes

203. Contracts with the project partners and a MoU with the Brazil associate were in place by October 2007. The first SC held in July 2007 included time for project partners to discuss administrative issues and concerns in person which can be challenging when done virtually and with different cultures.
204. Numerous consulting contracts have been issued during the course of the project for research studies (background assessments, roadmaps) and the training. Detailed terms of reference were developed by the PM in conjunction with the relevant partners and in many cases, all partners were given the possibility to provide input. Small Scale Funding Agreements were used. The selection of trainers was done through an open proposal process, national experts were selected by the country partners in line with overall UNEP guidelines and some experts were contracted based on recommendations of project partners or associates. There appears to have been limited recourse where consultants have failed to deliver adequate and timely deliverables.
205. For some partners, logistics and administrative requirements (visas) were a burden and complicated when travel needed approval and/or arranging through UNEP or its EU partners requiring more lead time and in some cases not being able to participate due to missed deadlines.
206. The administrative setting of the project in UNEP, with EU, InWent and UBA all having distinct rules and regulations posed some challenges and was time consuming.
207. A main concern regarding the financial management process is the burden of translating UNEP internal management and reporting formats- with different categories and line items, in US\$, to the donor format. The need to convert from two incompatible formats was beyond the control of the project and all measures were taken to manage the financials adequately. This appears to require an inordinate amount of time of the PM, who is not trained in financial management, but did an outstanding job despite the structural difficulties. There are opportunity costs at the expense of time spent in the project implementation, assisting partners, outreach to EU stakeholders and so forth. See Lessons Learned. Going forward, this issue has been

addressed through a blanket funding agreement recently negotiated between UNEP and the EC which should streamline financial management between the two organizations.

208. Good project management and efficient implementation has given the project plenty of buffer and flexibility and the project appears to be finishing up under budget with excess funds being used for additional activities. However, the rating on financial planning and management is **moderately unsatisfactory** mainly due to the lack of clarity on budgets versus actuals at a detail enough for proactive management and decision making and the undue burden on the project manager responsible for preparing reports.

C6. UNEP Supervision and Backstopping

209. The Project Document and initial SC meeting established the roles and responsibilities of UNEP as implementing agency, including overall management and administration. With the SC responsible for providing the overall direction. The project was developed together with project partners. The initial SC meeting outlined contractual and administrative requirements with in person meetings. so overall issues relating to project supervision were partially addressed in the outset by creating a common understanding of all for their roles and responsibilities.
210. The support from the PM was considered instrumental for all partners in achieving outputs and outcomes. Communication on progress and access to materials was also reported as excellent.
211. The rating on UNEP supervision and backstopping is **highly satisfactory**. This was mainly due to the individual PM who was willing to be flexible and responsive to partner country needs.

C7. Monitoring and Evaluation

M&E Design

212. The project logframe matrix included a specific objective that was really an indicator of one of the expected results and 5 expected results that were a mixture of outputs and project outcomes.
213. Objectively verifiable indicators (OVIs) as well as sources of verification were provided for each of the expected results, specific objective and overall objective level. A few of the indicators for the results are actually outcomes. None of these had targets assigned. Some, not all, could be considered SMART (specific, measurable, achievable, relevant and time bound (end of project assumed)).
214. No baseline was established, nor were targets given.
215. Procedures for monitoring, reporting and evaluation are described on page 26 of the Project Document. Basically monitoring of progress was assigned to the partners and payments to be made contingent upon satisfactory submission by partners of semi annual reports. Activities were to be monitored against the logical framework and Objectively Verifiable Indicators.
216. Partners' reports were in standardized format to be submitted annually. This format did not include a reporting against the OVIs explicitly, Reports were submitted based on a financial needs basis.
217. The rating on M&E design and arrangements is **moderately unsatisfactory** even though the low number of indicators and simplistic nature made data mining possible for reporting. Monitoring and reporting against the logframe and OVIs was not set up, targets were not set and a baseline was not defined.

Budgeting and funding for M&E activities

218. No budget could be identified for monitoring and reporting activities. A budget for the terminal evaluation was defined, but not for ongoing project monitoring for adaptive management. For smaller projects, according to the UNEP EO offices (email communication 25 April, 2012), monitoring through reporting systems is on occasion covered by project management costs.
219. The amount of funding allocated to M&E was based only on a final evaluation with no funds allocated specifically for ongoing monitoring, reviewing of assumptions and results for adaptive management. While UNEP projects, particularly larger projects, are expected to have budgets for ongoing monitoring, this was addressed informally through project management activities for this smaller project. Thus the rating is **moderately satisfactory**.

M&E Implementation.

220. The M&E procedures described in the Project Document were basic and limited to a one line statement of monitoring against the logframe and OVIs. It did not provide for a system of implementation and budget such as a standardized reporting format to be submitted on an annual basis with all of the OVIs, including disaggregation by stakeholder type, gender, etc. The Annual Progress Report Format, Annex IV of partner country contracts does include line "1.1.4 Final Beneficiaries and/or target groups (including numbers of men and women)." This was not filled out in any of the reports reviewed, although some of this information could be found in the narrative text. This narrative varied in detail and quality across partners and years.
221. Data mining allowed the donor reports to be submitted with some degree of reporting on progress against OVIs, however this was not consistent either (no specific format used such as a table reflecting the logframe) and the numbers reported to donors are not always consistent with the country reports (could be a question of timing) and/or the country/UNEP presentations. No gender disaggregation was made (but also not requested by the donor). Reporting was made to donors and in external presentations, but numbers are inconsistent.
222. In addition, the project logframe identifies a number of assumptions (some of which are not assumptions as they are within the control of the project), including the repeated, but quite common assumptions such as *interest of partners and stakeholders.....* These assumptions do not appear to be revisited in terms of reviewing their relevance or new risks.
223. However, the project did very well on supervision and backstopping, efficiency and achievement of outputs as discussed in previous sections. Although monitoring should be more formally planned based on UNEP guidelines, proactive informal monitoring took place in the form of regular communications and meetings, partner updates and Steering Committee meetings. There is a lesson for UNEP, particularly for small projects, to recognize informal monitoring as an effective tool.
224. The rating on M&E implementation is based on the use of an informal monitoring system rather than a formally planned and implemented monitoring system. The rating for the implementation is **moderately satisfactory**.

D. Complementarities with the UNEP Medium Term Strategy & Programme of Work

Linkage to UNEP's Expected Accomplishments and POW 2010-2011

225. The Eco-labelling project was designed several years prior to the publication of the UNEP Medium Term Strategy (MTS) 2010-2013 and related Programme of Work (PoW) for the period 2010-2011. Nevertheless, there are complementarities with the expected accomplishments outlined in the Strategy under a number of themes. Specifically the project is expected to contribute to the following accomplishments:

- *Under the climate change objective:* policy, technology and investment choices focus on clean and renewable energy sources, energy efficiency and energy conservation; improved technologies are deployed and obsolescent technologies phased out, financed through private and public sources including the Clean Development Mechanism
- *Under the environmental governance objective:* mainstreaming environmental sustainability through SCP and GPP; improved access of stakeholders to science and policy advice through the eco-labelling and life cycle frameworks.
Under the harmful substances and hazardous waste objective: technical advice for States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices can be promoted through eco-labelling
- *Under the resource efficiency objective:* the project can continue to contribute to ensure that resource efficiency is increased and pollution is reduced over product life cycles and along supply chains. That investment in efficient, clean and safe industrial production methods is increased through public policies and private sector action particularly around eco-labelling.

226. No work was done towards the resource efficiency expected accomplishment: "That consumer choice favours more resource efficient and environmentally friendly products". The project was not specifically designed to cover the consumer side as well as outside of the scope of the UNEP mandate and budget constraints.

227. The project set the stage for the UNEP's Programmes of Work (PoW) 63P2 (Internationally recognized information tools) at both normative and capacity building.

Alignment with the Bali Strategic Plan (BSP) and South-South Cooperation.

228. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of UNEP BSP. The exchange of resources, technology, and knowledge between developing countries should also be given specific consideration.

229. The project is very aligned with the Bali Strategic Plan for Technology Support and Capacity-building adopted in December 2004, in the project activities and outputs directly contribute to Objective b, technology support. The project has also contributed to objective d and f through the establishment of bottom up multi-stakeholder dialogues and country ownership. A direct project output has been objective g, identification and dissemination of best practices and fostering partnerships.

230. Under strategic considerations, the project implementation plan was aligned with the basic approach:

- capacity building tailored to individual countries based on a bottom-up needs - assessment process (BSP III5b)
- ensuring that activities under the plan had national ownership to ensure that built capacities are sustained (BSP III5b)
- Training and support of existing partners in national Cleaner Production Centres (BSP IVB)
- Promotion and support of peer networking (South-South cooperation BSP IV B)
- Information, Awareness Raising and Dissemination (Exchanges of best practices and lessons learned BSB IVB);

South-South Cooperation

231. The project has fostered exchange of resources, technology and knowledge between the partner countries throughout the project life including through SC meetings, workshops and trainings.
232. At the project management level, the SC made up of the country representatives were responsible for the overall project direction and provided input and feedback based on their own lessons learned. As a whole, the group made decisions on activities and priorities.
233. Several of the experts from one country participated in conferences and trainings of other partner country projects (e.g. India/Mexico to Brazil, Mexico via videoconferencing at Thailand training). Many project partners actively reached out directly to other country resources (coordinators, experts) for input and knowledge on specific technical topics or to understand lessons learned by the other country within that sector.
234. A follow up Southern Cone project, initiated by Brazil within the project includes regional country participation for collaboration on eco-labelling in the region.

Gender

235. There is no evidence of consideration of gender during the project design or implementation, nor were gender disaggregated indicators tracked.
236. Project country sub-documents do state:
- On the gender aspect, in terms of project implementation, the project shall seek the participation of women, both in the implementation and coordination team, and in the stakeholders' involvement process.
 - Within the targeted groups, special attention will be given to women according to the recommendations of the Commission's communication on "The European Union's role in promoting human rights and democratization in third countries" (comm.(2001) 252 final) and according to UNEP's recommendations (Agenda 21 and the Johannesburg Plan). The target of this special attention will be to advance women's participation in the capacity building and technical assistance activities.
237. Considering that half of the project coordinators were women, a quarter of the experts trained and several of the trainers (including the lead) were female is a good indication of access even if not actively supported. Workshop participation was not reported on by gender. The general feedback from stakeholders was that they did not perceive gender inequalities although there is in some cultures a bias towards men in the sciences (as expressed by some interviewees) and based on some of the participants lists included in reports and photos, there were women represented at workshops, in some cases in fairly small numbers. However no conclusions can be drawn without monitoring data.

Part III. Conclusions and Recommendations

A. Conclusions

238. The Eco-Labeling Project was designed to fill in a critical gap identified by developing countries on the needs and challenges to enable them to seize the win-win opportunities presented by eco-labels in reducing the environmental impact in manufacturing industries, while increasing the international competitiveness and market access. The project addressed three main challenges:
- Information: access to coherent, credible and clear information about eco-labelling programs, requirements and markets
 - Capacity building: comprehensive, coordinated and needs-based support to develop sustainable enterprises
 - Policy framework: integration in supportive policy framework
239. The key questions for this evaluation concern how well the project achieved its results and is progressing towards achievement of the project objectives to address those challenges. The reasons for the evaluation are for accountability, but more importantly, to promote feedback, learning and knowledge sharing. Achievement of outputs and activities and progress towards attainment of objectives is addressed in Part II Section A of this report. Explanatory factors and challenges are addressed in Part II Section C.
240. The satisfactory ratings on attainment of outputs and planned results and effectiveness (Part II Section A) reflect high level and quality of outputs for making progress towards project outcomes and longer term impact.
241. The project has had great success in positioning eco-labelling as a market opportunity that can also bring resource efficiency and reduced environmental impact benefits, rather than a "green barrier" to emerging economies. A strong interest has been generated with national governments for SCP as a conceptual framework.
242. The decentralized implementation within a global project framework, with joint capacity building and training is a strong example of thinking global but acting local. The SC meeting comprised of representatives from each country held responsibility for driving the project and its results. A functioning peer network for South-South cooperation has been established.
243. Overall a strong foundation has been laid with country partners (knowledge, methodology, commitment, tangible outputs) and interest has been generated with industry and governments. The *moderately likely* rating for sustainability (Part II, B1) will be leveraged by the high catalytic nature of the project results (Section II, B2). There is an excellent foundation laid and momentum in all of the countries, coupled with a high degree of interest globally on the topic (Sustainable Development, Green Economy, Rio +20). The potential is there. How to seize this momentum will be the challenge going forward as the project support ends.
244. Turning to challenges, the issue of label proliferation has become even more relevant 5 years later at national and international levels. The Roadmap activities were designed to provide some guidance in addressing these issues and could have taken a more practical approach through re-design of some activities. The draft document was delayed, limiting its value within the project. The misinterpretations of the strategy and activities around label cooperation, including the potential of Mutual Recognition with the EU Flower has created some serious concerns with industry and government stakeholders.
245. The role of the EU Flower scheme promoted in this project vis-à-vis national eco-labelling programs was unclear to some stakeholders or even perceived as a threat, particularly government stakeholders. The focus of the project on one type of label (Type I) and one specific label (the EU Flower) had practical project implementation rationale, including the role of the project as a demonstration. However in terms of trade and markets, there is a risk aversion of linking specific market instruments (EU Type I labels) to national policy and investment by industry - that is highly dependent on market demand. In addition, several government

stakeholders indicated a need to consider socio-cultural issues in a labelling scheme which was outside of the scope of this tool.

246. Other challenges affecting performance that are addressed in the lessons and recommendations include:

- lack of engagement of market facing stakeholders, including EU importers and buyers and consumer groups. The project did not address the C in the SCP equation.
- Insufficient buy in of government stakeholders from the outset for the majority of the countries

247. The overall rating for this project based on the evaluation findings is **Satisfactory**. The ratings in Table 4 reflect consideration of the full set of issues affecting or characterising project performance and impact that are discussed in Part II of the report. The summary comments highlight aspects of the assessment that best illustrate the rationale for the rating given.

Table 4: Summary of Ratings based on Performance Criteria described in Part II

Criterion	Summary Assessment	Rating
A. Attainment of project objectives and results		
1. Effectiveness	The rating balances concerns with assumptions to reach the overall objective (MS) but a high level of output related activities to lay the groundwork (HS)	S
2. Relevance	The project is relevant to numerous mandates on SCP for UNEP including the MTS, Bali Strategic Plan and the Marrakech process and the EU <i>Programme on Environment for Developing Countries</i> . The focus on a specific label was not as relevant considering the needs and constraints of the target countries	S
3. Efficiency	The project built upon existing in country partners' expertise and work in SCP, eco-labelling and/or standards with highly qualified and committed staff.	HS
B. Sustainability of project outcomes (See B1)	<i>The overall rating on this criterion is based on the weakest rating for sub-criteria</i>	ML
1. Financial	The rating is based on the high interest of national governments in SCP and eco-labelling in general for sustainable development.	ML
2. Socio-political	The rating is based on the high interest globally and with national governments on eco-labelling in general, however moderately unlikely for the EU label based on the Impact drivers and assumptions identified	MU
3. Institutional framework	The rating on this dimension of sustainability is rated as likely reflecting the role of UNEP and the strong foundation laid with the majority of partner institutions.	L
4. Environmental	The process of meeting science based life cycle approach requirements will lead to improved environmental benefits. the successful uptake and replication will create a virtuous circle.	HL
C. Catalytic role (See B2)	The rating on catalytic role and replication is highly satisfactory based on the foundational nature of the project, demonstrated interest in replication and potential for catalytic outcomes.	HS
D. Stakeholders involvement (See C3)	The overall rating on stakeholder engagement can be considered moderately satisfactory based on the active engagement of only a limited set of the target stakeholders	MS
E. Country ownership / drivenness (See C4)	Based on the dependence on project partners, the overall rating is moderately satisfactory.	MS
F. Achievement of outputs and activities (See A)	All planned activities were carried out and all project outputs were reached. No targets were set, but the level and quality of outputs seem sufficient for making progress toward project outcomes and eventually impacts (see ROTI).	S
G. Preparation and readiness (See C1)	The clarity of the Project Document and consistency of implementation was excellent, but the time constraints limited the consultation with key stakeholders including national governments and EU DG Environment.	MS
H. Implementation approach (See C2)	The overall management and implementation allowed a consultative and collaborative process with partners fairly represented in the overall project management and demonstrated responsiveness to lessons learned and stakeholder needs.	HS

Criterion	Summary Assessment	Rating
I. Financial planning and management (See C5)	The rating on financial planning and management is moderately unsatisfactory mainly due to the lack of clarity on budgets versus actuals and burden of translating internal management reports into external donor reporting.	MU
J. Monitoring and Evaluation (See C7)	<i>The overall rating on this criterion is based on rating for M&E Implementation</i>	MU-MS
1. M&E Design	The rating on M&E design and arrangements is moderately unsatisfactory to satisfactory as monitoring was not formally designed.	U
2. M&E Plan Implementation	This rating reflects the lack of an overall plan to implement and inconsistencies in reporting.	MS
3. Budgeting and funding for M&E activities	No specific funds were allocated for setting up a simple system, setting baselines and targets, ongoing reporting and annual review and adaptive management.	MS
K. UNEP Supervision and backstopping (See C6)	The rating on UNEP supervision and backstopping is highly satisfactory. This was mainly due to the individual PM who was willing to be flexible and responsive to partner country needs	HS

General Ratings

HS = Highly Satisfactory
S = Satisfactory
MS = Moderately Satisfactory
MU = Moderately Unsatisfactory
U = Unsatisfactory
HU = Moderately Unsatisfactory

Ratings for sustainability sub-criteria

HL = Highly Likely: There are no risks affecting this dimension of sustainability
L = Likely: There are minor risks affecting this dimension of sustainability
ML = Moderately Likely: There are moderate risks that affect this dimension of sustainability
MU = Moderately Unlikely: There are significant risks that affect this dimension of sustainability
U = Unlikely: There are severe risks that affect this dimension of sustainability
HU = Highly Unlikely: There are very severe risks that affect this dimension of sustainability

Rating of Attainment of project objectives and results. A compound rating is given to the category based on the assessment of relevance, effectiveness and efficiency. This aggregated rating is not a simple average of the separate ratings given to the evaluation criteria, but an overall judgement by the consultants. Relevance and effectiveness, however, will be considered as critical criteria. *This means that the aggregated rating for Attainment of objectives and results may not be higher than the lowest rating on either of these two criteria.*

Ratings on sustainability. According to the UNEP Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions.

Ratings of monitoring and evaluation. The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design) as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.
Satisfactory(S): There were minor shortcomings in the project M&E system.
Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.
Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.
Unsatisfactory (U): There were major shortcomings in the project M&E system.
Highly Unsatisfactory (HU): The Project had no M&E system.

M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, *the overall rating for M&E will not be higher than the rating on M&E plan implementation.*

B. Recommendations

248. As the project has ended, recommendations are limited to a few actions related to concrete issues within the project scope. Recommendations for future related work from specific lessons learned are contained in the next section Lessons Learned.
249. Going forward there are several actions that can be undertaken and some are already in process. The project has demonstrated successes and can build upon these by leveraging the assets created within the project. The **UNEP network and brand** can bring high visibility through fairly low cost dissemination of the final report, project case studies and e-tools such as the e-learning tool for the online training component (see Paragraph 250).
250. UNEP can leverage their "brand" to help partners **gain government support**. For replication activities, consultation with government stakeholders should be done first, including departments responsible for Trade *and* Environment to help create understanding of eco-labelling as a mutually supportive mechanism. The final report and case studies will be valuable tools for this.
251. An online version of the technical Train the Trainers manual was launched in draft in March 2012 and may be a possible resource but has not yet been tested. It is recommended that UNEP, with project partners, have several experienced experts **test the tool** and provide feedback to ensure it's value and/or make adjustments. Project partners may be able to identify national experts willing to perform this for an acknowledgement on the webpage or some other no cost recognition.
252. Project case studies should include examining the ability of SMEs to seize these eco-labelling opportunities. The examples from the project include China (large TV makers already had label motivating the SME), Brazil and India (follow the leader or herd effect). Mexico and South Africa have demonstrated that SMEs can also achieve the label, so documenting those cases is still critical (see next). There is some discussion whether the Final Report will cover this or the partner country organizations may take this responsibility on.
253. The partners are a springboard for further sector work and replication in related sectors. There has already been the identification of using the **peer network** to gain technical expertise in other project countries (e.g. footwear from Mexico to South Africa). **Regional clustering** for peer learning and sharing resources is recommended. UNEP can help identify opportunities through its networks and SCP work.
254. The **use of Information Technology** such as video conferencing, webinars or even Skype can be a low cost delivery mechanism. UNEP and other organizations may already have webinars on specific topics developed related to the project. Project results and specific lessons learned could be disseminated through UNEP or project partners, with UNEP managing the software.
255. UNEP with some many relevant activities around SCP is well suited to carry out such projects, given the nature of SCP which requires application of various approaches. Through the various activities (eco-design, LCA, SPP, cleaner production, lifestyles), it is recommended that UNEP capitalize on their work and create linkages among our different projects for greater outcome.

C. Lessons Learned

Many lessons learned from problems in Processes are highlighted in Part II C. The following lessons are based on the above findings which have the potential for wider application and use. Lessons learned relate to good practices and successes which should be replicated problems encountered and mistakes which should be avoided for future related work.

#1. Selecting and building the right partners and individuals for project implementation is fundamental for building long term relationships and internalization of results. B2 and C2

256. The selection of partners with shared objectives and experience in the issues was a critical success factor. Clearly defined roles and responsibilities in the Project Document and validation of these in the initial SC meeting laid an important foundation for implementation and reduced the overall management time for UNEP. The commitment of the organizations and individuals was demonstrated by a high degree of continuity over the life of the project and a good institutionalized national capacity going forward. The project developed strong partners, but there is the risk that these are dependent on individuals or continued institutional support. There is the risk of the loss of this knowledge and support.
257. Building national expertise was a critical success factor for ownership, credibility and for achieving longer term outcomes. The technical experts trained were selected by the partners under UNEP guidelines but with the intent that they would be able to carry on the project activities (either through their institutions or paid as consultants) beyond the project life. About half of the experts trained are not active or accessible. Some attrition is normal, but a strategy to build a stronger relationship with national experts was not identified.
258. The think global, act local approach to tools and training allowed for standardized approaches, with the flexibility for local adaption. This also creates the potential for replication in other countries with trainers that have the same basis of expertise.

Key learning for future work:

- a. *clearly define roles and responsibilities and ensure clarity of expectations on all sides*
- b. *Ongoing training for existing partners and trainers in new techniques such as environmental foot printing and LCA, will not only increase the value of the experts, but can be a mechanism to create a strong relationship to the project objectives. This and other incentives for commitment can be cost effective.*
- c. *Building out Trainer capacity and create a larger pool of trainers and experts, available to other countries even, for future work is highly recommended.*
- d. *Think global (for standardization and efficiencies) but act local (adaption and flexibility)*

2: Upfront commitment and investment in a democratic governance structure increases potential impact not just through effective management, but adaptive management and transparent exchange of experiences. (Relevance, Socio-political sustainability, C4)

259. The SC was defined in the Project Document to ensure partner representation in providing the overall direction of the project. Clearly defining the roles and responsibilities, including agreed upon Governance Principles in an initial face to face all day meeting was a key success factor. The ongoing investment in annual meetings led to a well functioning SC that moved beyond governance to create a peer network for sharing of experiences and adaptive management. Many of these were on a South-South basis.
260. The high ownership of results and high commitment by partners was facilitated by the responsibility entrusted in managing the project and allowed for a high degree of flexibility in the project management. The 6th and final SC dedicated 2 days to sharing of lessons learned and identification together of defining impact drivers and follow up actions needed at end of the project.
261. The use of information technology including videoconferencing could have enabled more frequent "check ins" and cross learning to save time, money and reduce the impact on the environment.

Key learning for future projects:

- a. *investing and actively supporting a democratic SC should be a part of any project working in multiple countries*
- b. *facilitating the creation of peer networks has short term project benefits and long term impacts for sustainability and replication of results*
- c. *build the use of IT into budgets to bridge the virtual nature of the projects*

#3 Focusing on one scheme reduced potential impact.

#4 Lack of practical approach to strategy on cooperation and Mutual Recognition between schemes limited effectiveness and created misperceptions

262. The narrow focus of the project on the EU Flower or EU Type I labels as an end was a limiting factor in achieving results, but also affected stakeholder buy in and commitment (see next).
263. The role of the EU Flower scheme promoted in this project vis-à-vis national eco-labelling programs was unclear to some stakeholders or even perceived as a threat, particularly by government stakeholders. The focus of the project on one scheme enabled efficiencies (capacity building, awareness raising), but hindered the effectiveness of country ownership for national stakeholders.
264. A common understanding of “cooperation and mutual recognition” within the realm of eco-labelling is critical for managing expectations of partners and stakeholders. There was an assumption that a national eco-labelling scheme aligned and harmonized completely with the EU Flower could have mutual recognition, which is not allowed under the current regulation. (Paragraph 97).
265. The lack of a practical approach to the strategy on cooperation (Roadmap) limited its ability to address the increased interest in regional cooperation and reducing the "proliferation" of eco-labelling.

Key learning going forward and future projects:

- a. *focusing on improving the environmental and financial performance of companies should take higher priority than a specific market scheme.*
- b. *The Roadmap be further developed to identify how country national eco-labelling schemes can be used in international trade (through MR or other mechanisms).*

#5 Eco-labelling is a market based tool and should be considered in a holistic manner with other mechanisms.

266. Eco-labelling is primarily a market based instrument. Any policies using eco-labelling for SCP or GPP would have to be contextualized and go through national stakeholder consultation (e.g. national eco-labelling schemes). While it can be used as a framework for industry innovation or policy, a specific scheme, like the EU flower is relevant when there is demand for that labelled product from that country.
267. Not enough attention was given to markets, including the lack of consultation and engagement of consumer facing stakeholders, particularly EU buyers and importers and consumer organization.
268. With respect to markets, there are several lessons learned related to different issues but revolve mainly around two themes:
- a) a need to take a **holistic value chain approach** of both down and upstream actors actively engaged in the design and implementation.
 - b) **market pull not market push** - focus on implementing change and not on a specific tool - i.e. don't focus on specific markets unless there is a specific demand for the product with a specific label
269. In the first instance a), this includes a value chain preparedness assessment. if the supply chain is fragmented or not prepared to meet compliance requirements, then the work should focus on that aspect rather than the eco-label as the end. This was exemplified in Kenya.

270. For b), while creating market awareness campaigns is not in the scope of UNEP (or the EU for that matter), engaging buyers/importers and CBs early on to identify potential markets and labelling requirements can be done. The EU Flower may be able to play a role here, but this was not explored. EU retailers were invited to the initial kick off meetings, but none expressed interest in participating. A clear value added benefit would need to be identified to generate interest.
271. While the UNEP mandate is focused on SMEs, there is the argument to be made of using market leaders (large companies with resources) for creating models. These companies are better positioned to bear the risks as first movers, can bring in resources, including marketing, can be used for training grounds and can create a pull effect for the rest of the market.
272. The project has weak linkages to sustainable lifestyles, responsible consumption and education (the C in the SCP equation, Focusing only on the production side limited its relevance for national and international stakeholders.

Key learning for future projects:

- a. *take a more holistic approach in project design considering markets and upstream suppliers-constraints, engagement, etc*
- b. *identify partners with shared objectives that work on the consumer and market side*

#6 Changing mindsets takes time and persistence. Consulting and engaging stakeholders from the initial project design would have facilitated buy in and avoided some issues.

273. With the exception of China, all of the countries began the project with a very low awareness and capacity levels on eco-labelling, specifically ISO Type I. There was a need to change mindsets on eco-labelling as an opportunity rather than a barrier. Due to time constraints, most of the target group of stakeholders were not consulted or engaged in project design and activity plans.
274. There was insufficient buy in from government stakeholders from the outset (see previous). Enabling support mechanisms such as policies, take a long period to gain support and actually get written and passed. Changes in government often meant the change of key champions or personnel, requiring repeating awareness raising efforts. (P87) In addition, in many of the countries, there was minimal cooperation across agencies responsible for environmental (eco-labelling) and trade (competitiveness, exports) issues with these viewed historically as trade-offs.
275. The project engaged Competent Bodies⁵ (CBs) on a limited basis, but would have benefited by partners sitting down with CBs in the first year to discuss market opportunities and technical requirements. There was little awareness within CBs on the project or its objectives. It was not clear to partners that the CBs selected could have significant impact on the ease and speed of the application. The different organization/legal structures (government, NGO, for profit) affected their interest; and different sector expertise, affected their ability to respond to technical questions.
276. There was also a long process from company commitment through submitting the application and getting approval from the CB. This was partially due to the lack of responsiveness and/or incorrect information from CBs due to internal issues or lack of sector experience. This discouraged some companies because of delays or the necessity to redo paperwork.
277. The cost benefits of eco-labelling are not clear and with no certain markets, committing to a specific label is risky for both industry and governments. A lot of project time was spent on educating and "convincing" them to be involved. A lack of case studies and project monitoring, including no baselines, limited the ability to make a strong business case for eco-labelling.
278. Creating successes catalyzes changing attitudes and has a spill over effect. Once companies realized some of the economic benefits of making changes (e.g. reduced waste, water and

⁵ Competent Bodies are independent and impartial organizations, responsible for implementing the EU Eco-label scheme at national level and are the first point of contact for any questions and applications.

energy costs), efforts really took off. If governments and other companies were aware of these costs/benefits in real terms, uptake would increase quickly.

Key learning going forward and future projects:

- a. *investing the time and resources in project design to actively engage (influence) all stakeholders, particularly governments and CBs (specific to EU Flower) is critical*
- b. *creating evidence on the costs/benefits through monitoring (with baselines) and case studies will attract industry and governments (including providing evidence of the win win of trade and the environment)*

#7 A more practical approach to realize potential

279. While the project results were achieved, most partners recognized that the full potential of the project was not realized. Some of this was due to the long time frames needed (see Lesson 6), but also due to the conceptual nature of some of the activities rather than a practical approach.

280. It was previously mentioned that a re-design of activities under the Roadmap could have been more practical and useful. The technical training should have taken also had a more practical focus. Stakeholders particularly identified the need for more practical information with respect to meeting technical requirements and filling out applications. It is recommended that information related to background and legal aspects in the training be reduced to allow hands on exercises with Competent Bodies regarding specific requirements.

Key learning going forward and future projects:

- b. *Technical training activities should take a practical approach with concrete examples of real products and processes, case studies and hands on exercises (such as filling in applications).*

#8 The institutional setting created challenges and opportunity costs (C5 Other)

1. The administrative setting of the project in UNEP, with EU, InWent and UBA all having distinct rules and regulations was time consuming for InWent and UNEP. The different systems and currencies used required managing both internal (UNEP/InWent) and external (EU) formats and currencies.
2. These responsibilities required an inordinate amount of time of the PM, who is not trained in financial management. There are opportunity costs at the expense of time spent in the project implementation, assisting partners, outreach to EU stakeholders and so forth.

Key learning for future projects:

- a. *administrative support for managing complex projects and preparing donor financial reports should be budgeted*

List of Annexes

1. Terms of Reference for the Evaluation including evaluation criteria
2. List of interviewees
3. Evaluation timeline
4. Detailed Questions and Sources
5. List of documents reviewed / consulted
6. Summary of Achievement of outputs and activities
7. Finances
8. Review Outcome to Impact ROtI analysis
9. Project Logframe
10. On-Line Survey
11. Brief CV of the consultant
12. Comments

Annex 1. Terminal Evaluation Terms of Reference

A. Objective and Scope of the Evaluation

15. In line with the UNEP Evaluation Policy and the UNEP Evaluation Manual⁶, the terminal evaluation of the Project “Enabling developing countries to seize eco-label opportunities – Capacity building and technical assistance for industries and governments in developing economies” should be undertaken at the end of the project to assess the project’s performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, InWent, UBA, the EC and other partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of key questions, based on the project’s objective and intended outcomes, which may be expanded by the consultants as deemed appropriate:

1. How successful was the project in increasing the environmental efficiency of key export products and related industrial processes in the target countries?
2. Did the project succeed in increasing the number of items produced by target countries which are eco-labelled (according to the European Union (EU) or other European countries’ standards), in the EU as well as in the target countries’ national and global markets?
3. How successful was the project in increasing stakeholders understanding and knowledge on eco-labelling diffusion, market penetration, barriers and capacity building needs in target countries through the establishment of multi-stakeholders dialogues?
4. How successful was the project in increasing stakeholder’s capacity on eco-labelling and its application and promotion among industry and government representatives, as well as local trainers in target countries?
5. Has the project succeeded in reaching the stage where at least one product in each target country is in the process of obtaining the EU or another European country eco-label?
6. How successful was the project in increasing the attention of government decision-makers to the question of promoting eco-labelling?
7. How successful was the project in developing a roadmap towards mutual recognition of eco-labelling schemes through increased cooperation among developed and developing countries eco-labelling schemes?
8. How successful was the project in sharing lessons-learned from the project at regional and global level with as many potential users of eco-labels and eco-labelling bodies as possible, leading to maximized possibility of replication of the experience?

d) Overall Approach and Methods

16. The terminal evaluation of the project “Enabling developing countries to seize eco-label opportunities – Capacity building and technical assistance for industries and governments in developing economies” will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with UNEP DTIE Office (Paris, France) and the EC.

⁶ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

17. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.
18. The findings of the evaluation will be based on the following:
- a) A desk review of project documents⁷ including, but not limited to:
 - Relevant background documentation by UNEP, the EC and others, including -inter alia - the 10-Year Framework on SCP⁸, the EC Programme on Environment in Developing Countries, international and national policies (in the target countries), strategies and programmes pertaining to eco-labelling (such as – for example - those implemented by GEN) and sustainable production and consumption
 - Project design documents; annual work plans and budgets or equivalent, revisions to the logical framework and project financing;
 - Project reports, such as progress and financial reports from participating countries, from UNEP and EC;
 - Steering Committee meeting minutes; and relevant correspondence;
 - MOUs between UNEP and partner organisations and other documentation related to the project;
 - Documentation related to project outputs and relevant materials published on the project web-site, including: assessment studies, awareness raising material, training kits, the roadmap document, conference reports, and newsletters.
 - b) Interviews⁹ (including on the occasion of field visits to target countries) with:
 - UNEP project management (DTIE) and Fund Management Officer (Paris and Nairobi); EC staff as appropriate;
 - Selected local partners;
 - Representatives from UBA and InWent;

The consultant shall determine whether to seek additional information and opinions from representatives of other organizations.

e) Key Evaluation principles

19. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned¹⁰. Analysis leading to evaluative judgements should always be clearly spelled out.
20. The evaluation will assess the project with respect to a minimum set of evaluation criteria grouped in four categories: (1) **Attainment of objectives and planned results**, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) **Sustainability and catalytic role**, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) **Processes affecting attainment of project results**, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) **Complementarity with the UNEP and EC strategies and programmes**. The consultant can propose other evaluation criteria as deemed appropriate.

⁷ Documents to be provided by the UNEP are listed in Annex 5.

⁸ www.uneptie.org/pc/sustain/10year.home.htm

⁹ Face-to-face or through any other appropriate means of communication

¹⁰ Individuals should not be mentioned by name if anonymity needs to be preserved.

21. All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP and EC strategies and programmes is not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
22. In attempting to attribute any outcomes and impacts to the project, the evaluator should consider the difference between what has happened with and what would have happened without the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases, this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluators to make informed judgements about project performance.
23. As this is a terminal evaluation, the evaluators should pay particular attention to learning from the experience. Therefore, the “why?” question should be at front of the consultants’ mind all through the evaluation exercise. This means that the consultants needs to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance turned out the way it did, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today.
24. The evaluation will ascertain to what extent gender issues have been considered in the project design, implementation and monitoring, to the extent relevant. The evaluation will also appreciate whether the project is likely to have any lasting differential impacts on gender equality in the target countries and the relationship between women and the environment.

g) Evaluation criteria

1. Attainment of Objectives and Planned Results

25. The evaluation should assess the relevance of the project’s objectives and the extent to which these were effectively and efficiently achieved or are expected to be achieved. The evaluation will assess whether any delay in project implementation has affected the achievement of project outputs and efficiency and, if so, in what ways and through which causal linkages. The evaluation will finally indicate if any change with respect to the project plan occurred and whether those changes were approved.
 - a) *Achievement of Outputs and Activities:* Assess, for each component, the project’s success in producing the programmed outputs both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section 3 (which covers the processes affecting attainment of project objectives).
 - b) *Relevance:* Assess, in retrospect, whether the project’s objectives and implementation strategies were consistent with the UNEP and EC mandates and policies at the time of design and implementation, their strategic priorities and relevant operational program(s), as well as needs and constraints in the target countries for what refers to export promotion and environmental efficiency through eco-labelling.
 - c) *Effectiveness:* Examine to what extent the project has achieved its main objective to increase the environmental efficiency of key export products and related industrial processes in the target countries, taking into account the schedule of project operations and the achievement of indicators specified in project documents. Briefly explain what factors affected the project’s success or failure in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section 3.

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

Review of Outcomes to Impacts (ROtI): Reconstruct the logical pathways from project outputs over achieved objectives towards impacts, taking into account performance and impact drivers, assumptions and the roles and capacities of key actors and stakeholders, using the methodology presented in the GEF Evaluation Office's ROtI Practitioner's Handbook¹¹ (summarized in Annex 5 of the TORs). Examine to what extent the project has contributed to date, and is likely to contribute in the future to further changes in stakeholder behaviour as regards i) the development of products with eco labels, and ii) the likelihood of this leading to improved environmental impacts more widely.

2. Sustainability and catalytic role

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

27. Four aspects of sustainability will be addressed:

- a) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national stakeholders sufficient to allow for the project results to be sustained? Is the policy context favourable to the diffusion of eco-labelling and the persistence/spread of project benefits? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, etc. prepared and agreed upon under the project?
- b) *Financial resources*. To what extent is any follow-up to the project as well as its impact dependent on continued financial support? What is the likelihood that adequate financial resources will be or will become available to implement the programmes, plans, agreements, etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- c) *Institutional framework*. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources? Has the project envisaged any exit strategy, to the extent relevant?
- d) *Environmental sustainability*. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?

¹¹ http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RotI_handbook.pdf

28. **Catalytic Role and Replication.** The catalytic role of UNEP is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative, and showing how new approaches and market changes can work. UNEP and the EC also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:
- a) *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) tools and approaches show-cased by the demonstration project; and ii) strategic programmes and plans developed;
 - b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
 - c) contributed to *institutional changes* and changes in institutional behaviours;
 - d) contributed to *policy changes* (on paper and in implementation of policy);
 - e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, EC or other donors;
 - f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).
29. Replication, in the context of UNEP projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). What are the factors that may influence replication and scaling up of project experiences and lessons?

3. Processes affecting attainment of project results

30. **Preparation and Readiness.** Were the project's objectives and components clear, practicable and feasible within its timeframe? Was the project document clear and realistic to enable effective and efficient implementation? Were lessons from other relevant projects incorporated in the project design and a value-added approach with reference to existing schemes and project adopted? Were the capacities of international and local partners properly considered when the project was designed? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.?
31. **Implementation Approach and Adaptive Management.** This includes an analysis of approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:
- a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
 - b) Evaluate the effectiveness and efficiency of project management by UNEP-DTIE, and the role of execution arrangements at all levels. How well the management was able to adapt to changes during the life of the project? How well did the relationship between UNEP, InWent, UBA, EC and other partners work?
 - c) Assess the effectiveness of the Steering Committee to the project (stemming from its composition, representativeness, regularity and frequency of meetings) and the extent to which project management responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations.

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

32. **Stakeholder¹² Participation and Public Awareness.** The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

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

b) the degree and effectiveness of any public awareness activity undertaken during the course of implementation of the project (including consultative meetings, workshops, distribution (and translation) of project materials through the website and other channels);

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

33. **Country Ownership and Driven-ness.** This is the relevance of the project to national development and environmental agendas, recipient country commitments, and regional and international agreements. The evaluation will focus on the following aspects:

- a) Project's consistency with relevant Government plans and policies in selected countries;
- b) National (public and private) stakeholders' involvement in the project formulation, planning and implementation;
- c) Whether, and how, awareness and capacity development activities have contributed to the set up of a conducive institutional environment for replication of other initiatives relevant for eco-labelling by public and private stakeholders;
- d) The extent to which the effectiveness of the methods developed finally depends on political and institutional frameworks (this would largely be addressed under the sustainability criterion).

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

- a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- b) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;

¹² Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- c) Present to what extent co-financing has materialized as expected at project approval. Report co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components.
 - d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective¹³.
35. **UNEP Supervision and Backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:
- a) The adequacy of project supervision plans, inputs and processes;
 - b) The emphasis given to outcome monitoring (results-based project management);
 - c) The realism and candour of project reporting and ratings;
 - d) The quality of documentation of project supervision activities; and
 - e) Financial, administrative and other fiduciary aspects of project implementation supervision.
36. **Monitoring and Evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:
- a) *M&E Design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART¹⁴ indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should concentrate on the following M&E design aspects:
 - Quality of the project log frame as a planning and monitoring instrument, including definition of targets and indicators; analyse/compare log frame in Project Document any eventually revised one; ;
 - SMART-ness of indicators: Are there specific indicators in the log frame for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
 - Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
 - Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments

¹³ Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

¹⁴ Specific Measurable Achievable Relevant Time-bound

appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?

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

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

- the M&E system was operational and facilitated timely tracking of results and progress towards project objectives throughout the project implementation period;
- annual project reports and any other progress reports were complete, accurate and with well justified ratings;
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
- projects had an M&E system in place with proper training, instruments and resources for parties responsible for M&E.

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

4. Complementarities with the UNEP strategies and programmes

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

- a) *Linkage to UNEP's Expected Accomplishments and Programme of Work (PoW) 2010-2011*. The UNEP Medium Term Strategy (MTS)¹⁵ specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROTI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP projects designed prior to the production of the UNEP (MTS) POW 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist.
- b) *Alignment with the Bali Strategic Plan (BSP)¹⁶ and South-South Cooperation*. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of UNEP BSP. The exchange of resources, technology, and knowledge between developing countries should also be given specific consideration.

E. The Consultants' Team

38. The evaluation will be carried out by an independent consultant. The evaluator should have at least 10 years experience in international business management and marketing, corporate social and environmental practices with understanding of sustainable consumption and production and development and trade related issues. Experience in project evaluation is required. Knowledge of English is essential. Spanish, Portuguese also useful. The evaluator will conduct the entire evaluation including data collection and analysis and preparation of the main report and ensure that all evaluation criteria are adequately covered.

¹⁵ <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

¹⁶ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

39. The consultant will work under the overall responsibility of the UNEP Evaluation Office and they will consult with the Evaluation Office on any procedural and methodological matter related to the evaluation. It is, however, the consultant's responsibility to arrange for their travel, obtain documentary evidence, organize meetings with stakeholders and any other logistical matters related to the assignment. The consultant will liaise with UNEP/DTIE project management, who will provide full support on any logistical issue, allowing the consultant to conduct the evaluation as independently as possible.
40. By undersigning the service contract with UNEP/UNON, the consultant certifies that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests in cooperating with the project's partners within six months after completion of their contract.

F. Evaluation Deliverables and Review Procedures

41. The main evaluation report should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 1. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate.
42. The consultant will submit the zero draft report to the UNEP Evaluation Office and first revise the draft following the comments and suggestions made by the Evaluation Office. When found acceptable, the Evaluation Office will share the first draft report with the UNEP DTIE Office, and other relevant UNEP Divisions for review and comments. The UNEP DTIE office will forward the first draft report to the other project stakeholders. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Comments would be expected within three weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation. The Evaluation Office will provide the comments to the consultant for consideration in preparing the final draft report. The consultant will submit the final draft report no later than two weeks after reception of stakeholder comments. The consultant will prepare a response to all comments that contradict the findings of the evaluation and could therefore not be accommodated in the final report. This response will be shared by the Evaluation Office with the interested stakeholders to ensure full transparency.
43. Consultations will be held between the consultant, Evaluation Office staff, the UNEP DTIE and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.
44. The final report shall be submitted by email to:

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

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

Sylvie Lemmet
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75441 Paris Cedex 09, France
Tel: 33 (0) 1 44 37 14 50
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Project: <http://ecolabelling.unep.fr>

45. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou and may be printed in hard copy.
46. As per usual practice, the UNEP Evaluation Office will prepare a quality assessment of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against UNEP criteria as presented in Annex 3.
47. The UNEP Evaluation Office will also prepare a commentary on the final evaluation report, which presents the Evaluation Office ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report.

G. Resources and Schedule of the Evaluation

48. This final evaluation will be undertaken by an independent evaluator contracted by the Evaluation Office, UNEP. The contract for the evaluator will begin on January 4th and end on April 27th 2012 covering 29 days spread over 4 months. After an initial telephone briefing with the Evaluation Office and the UNEP Project Manager, the evaluator will conduct initial desk review work. In the inception report, to be completed by February 15th, she will select the country to be sampled in the field visit. The field visit and desk based phone/email interviews will be carried out in February and March. In mid March the consultant will travel to Paris to meet with project staff and attend the final project steering committee meeting. The evaluator will submit a draft report latest by March 26th to UNEP Evaluation Office and revise the draft following comments and suggestions made by the Evaluation. The Chief of the Evaluation Office will share the draft report with the UNEP DTIE office, and key partner representatives. Any comment or response to the draft report will be sent to UNEP Evaluation Office for collation and the consultant will be asked to include them to the extent they deem relevant by April 20th. The consultant will submit the final report no later than April 27th.

Annex 1: ToR Annex 1. Annotated Table of Contents of the Main Report

Project Identification Table	An updated version of the table in I.A. of these TORs
Executive Summary	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table), as well as the most important lessons and recommendations. Maximum 4 pages.
I. Evaluation Background	
A. Context	A. Overview of the broader institutional and country context, in relation to the project's objectives.
B. The Project	B. Presentation of the project: rationale, objectives, components, intervention areas and target groups, milestones in design, implementation and completion, implementation arrangements and main partners, financing (amounts and sources), modifications to design before or during implementation.
C. Evaluation objectives, scope and methodology	C. Presentation of the evaluation's purpose, evaluation criteria and key questions, evaluation timeframe, data collection and analysis instruments used, places visited, types of stakeholders interviewed, and limitations of the evaluation.
II. Project Performance and Impact	
A. Attainment of objectives and planned results B. Sustainability and catalytic role C. Processes affecting attainment of project results D. Complementarity with UNEP programmes and strategies	This section is organized according to the 4 categories of evaluation criteria (see section D of these TORs) and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.
III. Conclusions and Recommendations	
A. Conclusions	This section should summarize the main findings of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with the overall assessment of the project. Findings should be cross-referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here (see Annex 2).
B. Lessons Learned	Lessons learned should be anchored in the main findings of the evaluation. In fact, no lessons should appear which are not based upon a conclusion of the evaluation. The number of lessons learned should be limited. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons

	should briefly describe the context from which they are derived and specify the contexts in which they may be useful.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing, and their number should be limited to 3 or 4. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyze the pros and cons of each option.
Annexes	<p>These may include additional material deemed relevant by the evaluator but must include:</p> <ol style="list-style-type: none"> 1. Evaluation TORs 2. Evaluation program, containing the names of locations visited and the names (or functions) of people met 3. Bibliography 4. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs) 5. Details of the project's 'impact pathways' and the 'ROtI' analysis 6. Technical working paper 7. Brief CVs of the consultants <p>TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.</p>

Examples of UNEP Terminal Evaluation Reports are available at www.unep.org/eou.

ANNEX 1 TOR: ANNEX 2. EVALUATION RATINGS

The evaluation will provide individual ratings for the evaluation criteria described in section II.D. of these TORs. Some criteria contain sub-criteria which require separate ratings (i.e. sustainability and M&E). Furthermore, an aggregated rating will be provided for Relevance, effectiveness and efficiency under the category “Attainment of project objectives and results”.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report. Please note that the order of the evaluation criteria in the table will be slightly different from the order these are treated in the main report; this is to facilitate comparison and aggregation of ratings across UNEP project evaluation reports.

Criterion	Summary Assessment	Rating
A. Attainment of project objectives and results		HS → HU
1. Effectiveness		HS → HU
2. Relevance		HS → HU
3. Efficiency		HS → HU
B. Sustainability of project outcomes		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
C. Catalytic role		HS → HU
D. Stakeholders involvement		HS → HU
E. Country ownership / driven-ness		HS → HU
F. Achievement of outputs and activities		HS → HU
G. Preparation and readiness		HS → HU
H. Implementation approach		HS → HU
I. Financial planning and management		HS → HU
J. Monitoring and Evaluation		HS → HU
1. M&E Design		HS → HU
2. M&E Plan Implementation		HS → HU
3. Budgeting and funding for M&E activities		HS → HU
K. UNEP Supervision and backstopping		HS → HU
1. UNEP		HS → HU

Rating of Attainment of project objectives and results. A compound rating is given to the category based on the assessment of relevance, effectiveness and efficiency. This aggregated rating is not a simple average of the separate ratings given to the evaluation criteria, but an overall judgement by the consultants. Relevance and effectiveness, however, will be considered as critical criteria. This means that the aggregated rating for Attainment of objectives and results may not be higher than the lowest rating on either of these two criteria.

Ratings on sustainability. According to the UNEP Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions.

Ratings of monitoring and evaluation. The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design) as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

Annex 1: TOR.

Annex 3. Quality Assessment of the Evaluation Report

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

UNEP Report Quality Criteria	UNEP EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

$$\text{Quality} = (2*(0.3*(A + B) + 0.1*(C+D+E+F)) + 0.3*(G + H) + 0.1*(I+J+K+L))/3$$

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of Terminal Evaluation reports: A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

Annex 1: ToR

Annex 4. Documentation list for the evaluation to be provided by the UNEP Project Manager

- Project design documents
- Project log frame
- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project workshop/conference reports
- Training kits
- Training reports
- Certification information for eco labels developed?
- Project newsletters
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Extension documentation. Project revision documentation.
- Budget revision documentation.
- Project Terminal Report (if available)

Annex 5. Introduction to Theory of Change / Impact pathways, the ROTI Method and the ROTI Results Score sheet

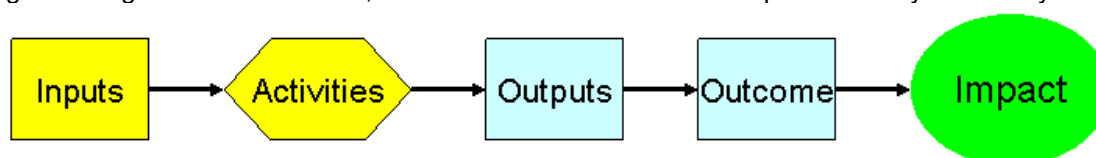
Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

Theory of Change (ToC) / impact pathways

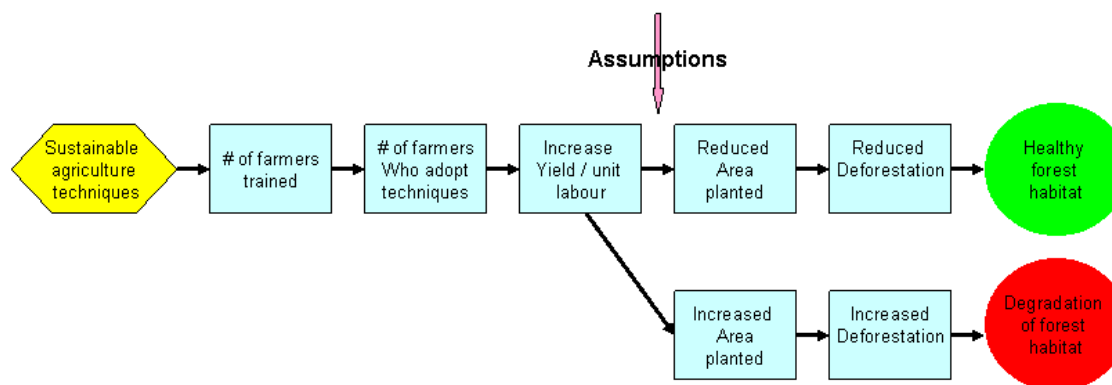
Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.



The GEF Evaluation Office developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)¹⁷ and has three distinct stages:

- a. Identifying the project's intended impacts
- b. Review of the project's logical framework
- c. Analysis and modelling of the project's outcomes-impact pathways

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method¹⁸. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure 3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the project.

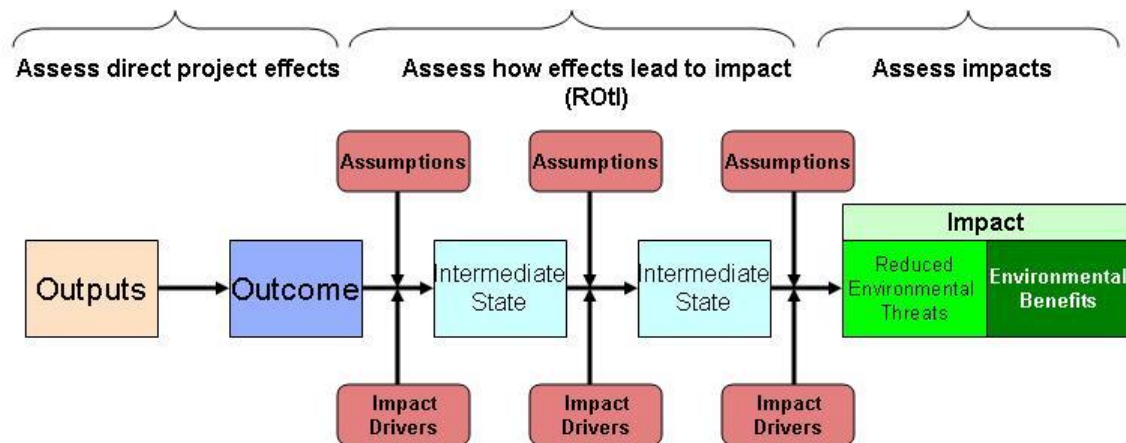
Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each 'step' in the impact pathway.

Figure 3. A schematic 'impact pathway' showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009).

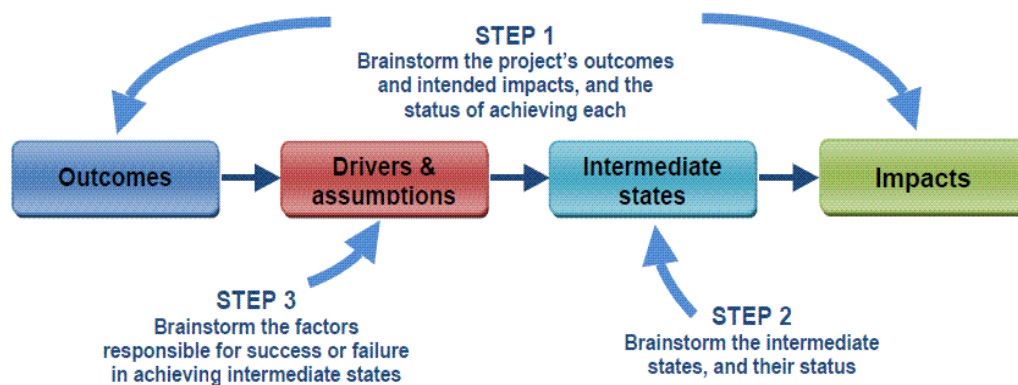
¹⁷ GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf

¹⁸ Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project's theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the project is complete the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The ROtl method requires ratings for outcomes achieved by the project and the progress made towards the 'intermediate states' at the time of the evaluation. According to the GEF guidance on the method; "The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be "penalized" for not achieving impacts in the lifetime of the project: the system recognizes projects' forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks." For example, a project receiving an "AA" rating appears likely to deliver impacts, while for a project receiving a "DD" this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

Table 1. Rating scale for outcomes and progress towards 'intermediate states'

Outcome Rating	Rating on progress toward Intermediate States
D: The project's intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a '+' notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Table 2. Shows how the ratings for 'achievement of outcomes' and 'progress towards intermediate states translate to ratings for the 'Overall likelihood of impact achievement' on a six point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

In addition, projects that achieve documented changes in environmental status during the project's lifetime receive a positive impact rating, indicated by a "+". The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROTI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the 'results metrics' for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Results rating of project entitled:							
		Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediary		Impact (GEBs)		

1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	Rating justification:		Rating justification:		Rating justification:		

Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These were not rated: projects generally succeed in spending their funding.

Outcomes, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they have gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

Examples

Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved.

People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score – D)

Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

Outcomes plus explicit linkages forward. Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

Intermediary stages:

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

“Outcomes” scored C or D. If the outcomes above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended

intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. **(Score = D)**

The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist. In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. **(Score = C)**

Barriers and assumptions are successfully addressed. Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

Scaling up and out over time is possible. Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

Impact: Actual changes in environmental status

“Intermediary stages” scored B to A.

Measurable impacts achieved at a globally significant level within the project life-span. .
(Score = ‘+’)

Annex 1: ToR
ANNEX 6. LIST OF INTENDED ADDITIONAL RECIPIENTS OF THE FINAL EVALUATION

Name	Affiliation	Email
Donors		
Mr. Michel VAN DEN BOSSCHE,	Unit DEVCO.DGA1.C-2 «Climate Change, Environment, Natural Resources, Water» European Commission	Michel.Van-Den-Bossche@ec.europa.eu
Government Officials		
Antônio José Juliani	Brazil Ministry of Development, Industry and Trade	Antonio.Juliani@mdic.gov.br
Executing Agencies		
Mr. Berthold Hoffman (recently left but still contactable through Ute Jaskolski GIZ (former Capacity Building International (InWent))	Division 4.04 Business Development and Infrastructure	ute.jaskolski@inwent.org
Mr. Hans-Hermann Eggers,	Federal Environmental Protection Agency (UBA)	hans-hermann.eggers@uba.de Tel. +49 340 2103 3831
Zhang Xiaodan Deputy General manager,	Environmental Certification Center of SEPA China Environmental United Certification Center Co.,Ltd	E-mail: xdzhang@sepa.gov.cn ; zhangxd@sepaccc.com Tel: + 86 10 59205802
Ms. Simi TB	Consumer Unity & Trust Society (CUTS)	e-mail: stb@cuts.org / cuts@cuts.org Tel. 91.141.228 2821
Ms. Angelica Contla Rodriguez	Mexican Institute for Standardization and Certification (IMNC, A.C.)	Tel. +52 55 55 46 45 46; E-mail : a_normaliza@inmc.org.mx
Ms. Jane Nyakang'o, Director Kenya National Cleaner Production Centre (KNPC) PO BOX 1360 – 00200 City Square, Nairobi Kenya.	Kenya National Cleaner Production Centre (KNPC)	jnyakang'o@cpkenya.org , Tel: +254-(0)-20-604870
Mr. Ndivhuho Raphulu Director National Cleaner Production Centre -South Africa P.O. Box 395, Pretoria, 0001	Council for Scientific and Industrial Research (CSIR) (SA NCPC)	nraphulu@ncpc.co.za ; nraphulu@csir.co.za Tel: +27 12 841 3634 APage@csir.co.za
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Annex1 ToR

Appendix 7. Template for the assessment of the Quality of Project Design – UNEP Evaluation Office

Relevance		Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?			
Does the project form a coherent part of a UNEP-approved programme framework?			
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?			
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?		
	ii) the UNEP mandate and policies at the time of design and implementation?		
	iv) Stakeholder priorities and needs?		
Overall rating for Relevance			
Intended Results and Causality			
Are the objectives realistic?			
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?			
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?			
Are the activities designed within the project likely to produce their intended results			
Are activities appropriate to produce outputs?			
Are activities appropriate to drive change along the intended causal pathway(s)			
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?			
Overall rating for Intended Results and causality			
Efficiency			
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?			
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?			
Overall rating for Efficiency			

Sustainability / Replication and Catalytic effects			
Does the project design present a strategy / approach to sustaining outcomes / benefits?			
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?			
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?			
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?			
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?			
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?			
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches showcased by the demonstration projects;		
	ii) strategic programmes and plans developed		
	iii) assessment, monitoring and management systems established at a national and sub-regional level		
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]			
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?			
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?			
Does the project design foresee adequate measures to create opportunities for			

particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?		
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?		
Overall rating for Sustainability / Replication and Catalytic effects		
Risk identification and Social Safeguards		
Are critical risks appropriately addressed?		
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?		
Are potentially negative environmental, economic and social impacts of projects identified		
Overall rating for Risk identification and Social Safeguards		
Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?		
Are roles and responsibilities clearly defined?		
Are supervision / oversight arrangements clear and appropriate?		
Overall rating for Governance and Supervision Arrangements		
Management, Execution and Partnership Arrangements		
Have the capacities of partner been adequately assessed?		
Are the execution arrangements clear?		
Are the roles and responsibilities of internal and external partners properly specified?		
Overall rating for Management, Execution and Partnership Arrangements		
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning		
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential		
Financial and administrative arrangements including flows of funds are clearly described		
Overall rating for Financial Planning / budgeting		
Monitoring		
Does the logical framework: <ul style="list-style-type: none"> capture the key elements in the Theory of Change for the project? have ‘SMART’ indicators for outcomes and objectives? have appropriate ‘means of verification’ adequately identify assumptions 		
Are the milestones and performance indicators appropriate and sufficient to foster		

management towards outcomes and higher level objectives?		
Is there baseline information in relation to key performance indicators?		
Has the method for the baseline data collection been explained?		
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??		
Has the time frame for monitoring activities been specified?		
Are the organisational arrangements for project level progress monitoring clearly specified		
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?		
Overall, is the approach to monitoring progress and performance within the project adequate?		
Overall rating for Monitoring		
Evaluation		
Is there an adequate plan for evaluation?		
Has the time frame for Evaluation activities been specified?		
Is there an explicit budget provision for mid term review and terminal evaluation?		
Is the budget sufficient?		
Overall rating for Evaluation		

Annex 2. List of Interviewees

Name	Role
UNEP	
1. Liazzat Rabbiosi	Project Manager
2. Silvia Ferratini	(Inception phase) Former Project Manager
3. Fatou Sarr	Fund Management Officer
4. Bas de Leeuw	Former Unit Head
5. Marina Bortoletti	UNEP Brazil Office (survey only)
EU	
6. Michel van den Bossche	EU Development and Cooperation (EuropeAid)
Silvia Ferratini	EC DG Environment EU Flower
7. Benjamin Caspar	EC DG Environment EU Flower
Mexico	
8. Angeilica Contla Rodriquez	Project administrator, IMNC
9. Ms Nydia Suppen*	Director LCA Center, <i>national expert</i>
10. Ramon Noriega Lopez	Advisor Tannery Chamber/ <i>national expert</i>
11. Raul Martinez Juarez	Consultant leather footwear/ <i>national expert</i>
12. Antonio Martin Ruiz Mariscal	CIATEC (lab)/ <i>national expert</i>
13. Mercedes Irueste Alejandre	retired ED IMNC, independent consultant
14. Hortensia VillaVicencio	Technical Director IMNC
15. Isaac Roberto Reyes Rosales	Director Admin IMNC, acting Director General
16. Fatima Villalobos	GTO(Guanajunto State Environmental Agency)
17. Enrique Kato Miranda	Director General GTO
18. Juan de Dios Velazquez	Elefante, Marketing
19. Marcela Perez Ruenes	Elefante, Export
20. Luis Sanchez	Director General, Elefante
21. Eng. Aurora Posadas	Commercial Manager Caborca Boots EU Flower Project Leader
22. Sergio Ponce Lopez	Technical consultant implementation EU Flower Project Caborca Boots
Brazil	
23. Antonio Jose Juliana*	Ministry of Industrial Trade and Development (MDIC)/ <i>national expert</i>
24. Alfonso Moura	Brazil Pulp and Paper (ABTCP)
25. Celso Foelker	CNTL/ <i>national expert</i>
26. Guy Ladvocat	Brazilian Standards Association/ <i>national expert</i>
27. Sergio Canela	Managing Director, International Paper
28. Wanderlei Eduardo Peron	Coordinator, International Paper (email)
29. Arnold Jacques de Dixmude	EU Delegate Sustainable Development
30. Alexandre Comin	MDIC
31. Armando Caldeira-Pires	University of Brazil, LCA expert

Name	Role
32. Jorge Rincón	SEBREA (works with SMEs)
33. Ana Maria Neto	Ministry of Environment
India	
34. Simi TB*	CUTS/ <i>national expert</i>
35. Rahul Bhajekar	Director, Texanlab Laboratories, <i>national expert</i>
ECO-Labels Type 1	
36. Evan Bozowsky	Former GEN Secretariat consultant for Roadmap
37. Linda Chipperfield	Vp Marketing, Green Seal
South Africa	
38. Andre Page*	SA CSIR NCPC/ <i>national expert</i>
39. Zubeida Zwavel Tasseim	Consultant/ <i>national expert</i>
40. Susan Barclay/Mercer	Consultant/ <i>national expert</i>
Kenya	
41. Jane Kyakango*	KNPCPC Kenya/ <i>national expert</i>
Ethiopia	
42. Melaku Tigabe*	Ethiopia CPC, <i>national expert</i>
43. Lelissa DABA	Director ENPCPC, <i>national expert</i>
China	
44. Zhang Xiaodan*	Deputy Director, CEC
InWent (GIZ)	
45. Berthold Hoffman	Project Manager
46. Ute Jaskoiski	Coordination/administrator
UBA	
47. Hans Hermann Eggers*	Federal Environment Agency (UBA)
Others	
48. Patricia PROIA	AFNOR certification; EU Competent Body

Other stakeholders met in the course of the site projects visits included:

- Mexican Environmental Ministry representative (Sermanat) - Silvia Trevino
- EU Delegation in Mexico representative Annabel Boissonnade-Fotheringham

* technical project manager

Annex 3. Evaluation Timeline

The Terminal Evaluation took place between Jan 18th and April 30th, 2012.

Activities	Date
Start contract	January 18th
Document compilation and initial review. submit Inception Report.	Feb 15th
In depth Document review	February 15th - March 15th
Assemble list of interviews, email intro and semi structured interviews	Feb 20th
Webinar to all partners on TE, introduction email	Feb 21st
Country visit: Interview partners Interview target groups	Feb 27-29 Mexico March 2nd - 6th Brasilia
Webinar to all partners on TE	March 5th
Desk based phone/email interviews. On-line Survey invite	Week of March 5th and 12th
Compile interviews and surveys, writing	March 18th - March 26th
SC meeting Paris. Preliminary results presented to SC for input and feedback Interview partners	March 15-16
Revise draft and incorporate feedback. Zero draft to Evaluation Office	March 26th
Comments back EOU	March 28th
Incorporate comments from EOU. revised draft to EOU	March 30
Commenting period with internal and external stakeholders. EUO collate comments	April 20th
Incorporate comments. submit final report	April 27th
End contract	April 30

Annex 4. Detailed Questions and Sources

Ecolabelling Project Detailed Questions and Sources

Evaluation criteria (from ToR (g))	Sources -->	Background documentation	UNEP General strategic documents	UNEP Eco Labelling specific documents	Project Financial documentation	Project documentation / progress reports	SH short Survey	Programme Staff interviews	UNEP Financial Liasons	Donor Interviews	Partner Interviews	SH Govt	SH Industry	SH NGO	UNEP regional offices	CBs Europe	External Training Contractors	GEN	
	Key questions																		
1. Attainment of Objectives and Planned Results																			
A. Achievement of Output and activities (links to #3): for each component: output quality and quantity, timeliness and usefulness?																			
	overall assessment of project from your perspective (high level).				x	x		x		x	x	x	x	x	x	x	x	x	
#1	role in project design. Response to ToC and indicators? Realistic? Ambitious?							x			x								
	stakeholders involved in ws - the right ones, how to reach, obstacles.							x			x								
	what would you have done differently in the beginning							x			x								
#2-3	selection of participants, representation of target groups, balance of experience, interest, gender							x			x	x	x	x	x			x	
	materials: received in advance, input from target groups, quality							x			x								
	overall goals of workshop clear to participants, achieved?							x			x								
	specific target groups: industry - scale 1-10, govt scale, designers? SMEs? Appropriate groups, whose missing?							x			x	x	x	x	x				
	are the trainers now accessible and active?							x			x	x	x						

	pipeline of applications for eco labels? Why/why not?						x			x								
	govt policies changed? Attitudes/accessibility? Role of NGOs?						x			x								
#4 MR	did you share the goals of MR? Why important? Barriers? How did the project address these?						x			x							x	
	level of MR activity in/within and globally within your country			x		x	x			x							x	
#5: dissemination	general dissemination - web based. Appropriate? Accessible? How did you leverage this?						x			x								
	regional conferences - location appropriate/accessible? Who attended? Missing?					x	x			x								
overall	level of activity. Usefulness of products (TT handbook, etc)				x		x	x			x	x	x	x				x
B. Relevance: were strategies and objectives consistent with UNEP and EC policies?																		
	project objectives and strategy responded to and been consistent with UNEP's overall mandate and strategic objectives?	x	x	x				x		x					x			
	how did the project contribute to existing programs and policies - specifically the UNEP MTS, SCP program, Bali, Makresch Process, EC programme on Developing Countries, etc	x	x	x				x		x					x			
	is UNEP seen as the leader in this field																	
	to what extent did the project contribute, complement or leverage your national policies, priorities or programs? Be specific			x		x		x			x							
c. Effectiveness: did the project achieve its main objective to increase EE?																		
	how was EE measured? Achieved?					x		x			x							
	what was the baseline? Was the goal realistic in the time frame			x		x		x			x							
	did the background assessment identify the right roadmap, obstacles and challenges? How useful was it as the project moved forward?			x		x		x			x	x	x		x			
	which countries advanced the most? Why do you think?							x		x?								
	which of the components did you see the biggest change? Why?																	
D. Efficiency: assess the cost effectiveness and timeliness of project execution																		

[illegible]

	To what extent are the results and continued progress towards impact dependent on issues relating to institutional frameworks and governance?			x		x		x			x								
	have workshop participants taken on more EE role in their jobs?							x			x	x	x						
	How strong are the governance structures and processes, accountability frameworks etc.?			x		x		x			x	x	x	x	x				
	the legal and policy frameworks?			x		x						x	x	x	x				
	Is there an exit strategy or relevant? What happens if no more support from UNEP or partners?			x		x		x			x								
d) environmental sustainability																			
	Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there potential risks you envision in reaching your goals in developing a sustainable and profitable X market?																		
	how do project outputs or higher level results that affect the environment, might affect sustainability of project benefits?							x			x	x	x						
Catalytic Role and Replication																			
	was the project innovative, demonstrating new approaches?							x			x	x	x	x	x	x	x		x
	were there changes in terms of use and application by the relevant stakeholders of: i) tools and approaches show-cased by the project; and ii) strategic programmes and plans developed. Look at timeline of key events and innovations in the sector and what do you think caused these? the project? role?					x		x			x	x	x	x	x				
	did the project provide incentives (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behavior					x		x			x	x	x	x	x				
	did the project activities and results contribute to institutional changes and changes in institutional behaviors					x		x			x	x			x				
	contributed to policy changes (on paper and in implementation of policy). Examples					x		x			x	x							
	contributed to sustained follow-on financing (catalytic financing) from Governments, EC or other donors					x		x			x	x			x				

[illegible]

	to what extent were project implementation mechanisms followed and were they effective in delivering project outputs and outcomes? Were pertinent adaptations made to the approaches originally proposed?	x		x		x		x			x								
	comment on the quality/effectiveness of the project management. What worked well? What were issues? How did these get addressed?							x		x	x				x				
	how did management deal with changes (staff, economics) or resistance from stakeholders?							x			x								
	How well did the relationship between UNEP, InWent, UBA, EC and other partners work? Were their conflicting views/communications?							x			x								
	how would you rank the quality of communications from the project managers (timely, accurate, complete)							x			x								
	SC - member? Receive communications? Effectiveness? Meeting in person/phone - what worked, what didn't. Did management take in recommendations?							x			x								
	do you experience any administrative (contracts, payments), operational (logistics, workshops) and or technical problems that hindered your effectiveness? Who did you notify? Response?							x			x	x	x	x					
	what would you do differently in the management and implementation structure from today's perspective?							x			x				x				
Stakeholders Participation and Public Awareness																			
	what approach(es) were used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?							x			x								
	What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?																		
	were you kept regularly informed about the project? How? Did you feel up to date? Or did you wish to know/understand more?							x		x	x	x	x	x				x	

[illegible]

	were there additional resources brought into the project later - either \$ or in kind - from govt, NGOs, other donors, etc					x?			x	x		x							
	were there any issues/factors in reporting financials or requesting funds?											x							
UNEP Supervision and Backstopping: assess the effectiveness of supervision and administrative and financial support provided by UNEP																			
	did project management provide clear plans, guidance and reporting guidelines ?								x			x							
	were realistic goals and objectives set? Clear and agreed upon?								x			x							
	were project reporting requirements clear? Adhered to? Challenges or issues?								x			x							
	were communications related to project oversight and control from project management timely and appropriate?								x			x							
	comments on financial, administrative, legal or other oversight issues?								x			x							
Monitoring and Evaluation: assessment of the M&E tools including risk																			
Design	involvement in the design of the log frame and selection of indicators? Familiarity with targets								x			x				x?			
	are they realistic? SMART? Adequate for understanding progress towards objectives for performance assessment?								x			x				x?			
	how could they be improved or did you use alternatives?								x			x				x?			
	describe your monitoring and reporting system								x			x				x?			
Implementation	describe your monitoring and reporting system								x			x				x?			
	how would you rate the project progress reporting requirements in terms of usefulness? Accurate? Timely?								x			x				x?			
	how did you measure within your organization "success"?								x			x				x?			
4. Complementaries with UNEP strategies and programmes (links to 1B)																			
	how well does this project complement other UNEP programmes implemented in your country/sector/issue area?				x?				x			x							
	conflicts or duplication?								x			x							

B. Lessons Learned - describe the context and how they could be applied																			
	what would be the important lessons learned from the project that you will use for other work or that you would recommend to others going down this path?							x			x				x				
	if a negative - what would be a solution? Or how would you have done things differently?							x			x				x				
	if a positive- how would you replicate this?							x			x				x				
	what was the most challenging thing - that surprised you?							x			x				x				
	what are you most proud of from being involved in the project?							x			x				x				
C. Recommendations- actionable proposals to resolve concrete problems affecting the project or sustainability of the results																			
	what one recommendation would you make if you were head of this project and just starting out? What would you have done differently? Or what would you propose to ensure project results are expanded?							x			x				x				

Annex 5. List of documents reviewed or consulted

UNEP Eco Labelling Project Documents for TE

due to the volume of documents provided (over 350), not all documents may be listed, but were provided by the PM to the Evaluator via Drop Box

Background documentation		Project Document 63-P2 Internationally recognized information tools - standards, labels, reporting - to enable individual and institutional consumers to make informed choices		
		UNEP UNEP project manual: formulation, approval, monitoring and evaluation 2005		
		UNEP Eco Labelling project website http://ecolabelling.unep.fr/sites/eco-label/default.asp?site=eco-label&page_id=06370494-8F8D-4856-9106-5717477807F9		
		UNEP SCP website		
		EC Programme on Environment in Developing Countries		
		strategies and programmes pertaining to eco-labelling	GEN website	
		international and national policies	background documents	
UNEP General strategic documents		UNEP Medium Term Strategy 2010 - 2013		
		Bali Strategic Plan for Technology Support and Capacity-building 2004		
UNEP Eco Labelling Specific documents		Terms of Reference Terminal Evaluation "Enabling developing countries to seize eco-label opportunities - Capacity building and technical assistance for industries and governments in developing economies"		
		EU Project Contract Annex 1		
		Contract Annex 3 LogFrame		
		Project design document and revisions		Kenya case: email correspondence with Michel (forwarded by email)
		Project Workshop Background Document IOEW. Jan 2008		
	SC reports	1st SC report minutes 2-3rd July, 2007 including agenda, list of participants, planning activities 2007 and project Principles		
		2nd SC meeting minutes		
		3rd steering committee mtg notes 3 Oct 2008, Canada. including Action plan, list of participants		
		4th SC meeting notes, Sept 2009, Bonn. Including Minutes, action plan, list of participants and agenda		
		5th SC meeting notes, Washington DC, Nov 2010. including agenda only		
	Project progress reports	Annex VI Interim Narrative report to the EU 1 Feb 2007- 30 June 2008		
		Annex VI Interim Narrative report 2 to the EU 1 July 2008- 30 Oct 2009		
		Annex VI Interim Narrative report 3 to the EU 1 Oct 2009- 30 Oct 2010		
		Fourth interim report – Dec 2010 - December 2011 INWent		
		Project update Jan 2012 no date or author. Sent to project partners	Countries/partners	
	Partner Progress reports	III. PARTNERS OF THE APPLICANT PARTICIPATING IN THE ACTION. no date		UNEP=B; InWent= 1; UBA=2; EDC=3, CUTS=4, IMNC=5, KNCP=6, CSIR=7,

				SECEX=A1, GEN=A2
		2007	1, 4,5, 6	
		2008	1, 3, 4,5, 6, 2, 7	
		2009	1, 3,4,5, 7	
		2010	1, 3,4,5, 6, 7	
	Conferences and other meetings	Bonn Start Up meeting report 3- 4 December, 2007 including Agenda, list of participants and evaluation		
		ROADMAP TOWARDS INCREASED COOPERATION AND MUTUAL RECOGNITION OF ECOLABELLING SCHEMES REPORT ON THE NOVEMBER 17TH GEN WORKSHOP SESSION (2009)		
		GREATER ECO-LABELLING COOPERATION AND MUTUAL RECOGNITION PRE-WORKSHOP HANDOUT DOCUMENT IN PREPARATION FOR THE THREE (3) DISCUSSION GROUP SESSIONS Consultation Workshop, 28-29 October, 2010, Washington D.C.		
		WS Summary Meeting notes		
	Partner workshops	1st National Workshop report. CUTS JAIPUR, INDIA, 23-24 JUNE 2008	4	reports, ppts, photos, inputs
		India Summary report 5 regional trainings.including agenda and list of participants	4	reports, ppts, photos, inputs
		2nd ECOLABELLING WORKSHOP COIMBATORE, INDIA, JULY 27, 2009. incl agenda and participants	4	reports, ppts, photos, inputs
		China EDC First national Workshop June 2008	3	reports, ppts, photos, inputs
		China EDC National Training Workshop april 2010. incl agenda and list of participants	3	reports, ppts, photos, inputs
		InWEnt – Evaluation Report: Training of Trainers, Bonn, 14-17 September 2009	1	survey, analysis
		KNPCPC REPORT OF THE REGIONAL WORKSHOP ON ECO-LABELLING 17-18TH SEPTEMBER 2008. Nairobi. Incl agenda and list of participants	6	
		KNPCPC National training workshop April 2010. curriculum, timetable and list of participatns	6	
		Leather survey proposal July 2011 KNPCPC	6	
		baseline leather sector Survey Sept 2011 KNPCPC	6	
		Capacity Building ecolabelling April 2008. Nairobi KNPCPC	6	reports, ppts, photos, inputs
		Brazilian Eco-labelling Workshop Report June 2008.minutes, agenda and list of participants	A1	reports, ppts, photos, inputs
		REGIONAL TRAINING WORKSHOP on ECO-LABELLING for Latin American countries, with focus on MERCOSUR members and associates. Aug 2010. incl agenda and participants	A1	reports, ppts, photos, inputs
		Courses (Workshops) for Developing Skills on Eco-Labelling Brazil / March 2010. Braisila and Sao Paulo. Incl agenda	A1	reports, ppts, photos, inputs
		NCPC. Training & Capacity Building Workshop March 23rd to 25th 2010. SOUTH AFRICA. Incl agenda and list of participants	7	reports, ppts, photos, inputs
		NCPC. National Ecolabelling Workshop. May 2008 SOUTH AFRICA. Incl agenda and list of participants	7	reports, ppts, photos, inputs
		Mexico. REPORT OF THE FIRST WORKSHOP ON ECO-LABELLING OCTOBER 2008,including agenda and list of participants	5	reports, ppts, photos, inputs
		Mexico. National Training Workshops, Guanajuato, Mexico, January and March 2010	5	reports, ppts, photos, inputs

		Report on Ethiopian Eco-labelling training workshop April 12 – 13, 2010. list of participants	Ethiopia	
	Communications	Project Newsletter 2007		
		Project Newsletter 2008		
		Project Newsletter 2009		
		Project Newsletter 2010		
		UNEP Project Webpage		
		SCP.net newsletter, #61. June 2006		
		Project Flyer. No date		
		Ecolabelling powerpoint general. No date		
		"Another Way" ppt. No date		
		10SFerratini presentation Addis Ababa. No date		
	Project Monitoring Plan			
Project Outputs		Training Handbook Eco-labelling: What it is & How to do it. No date		
		Results testing of training not found	n/a	
		Roadmap mutual recognition survey - tools, cl, intro, etc	2	
		Results/report on survey		dropbox 'Train the trainee Bonn 2009'
		Project Background Document Jan 2008		
	Country/sector Roadmaps	MARKET INFORMATION AND ECO-LABELLING ROADMAP PACKAGE PRINTING AND WRITING PAPER FROM BRAZIL. Jan 2009	A1	
	Country/sector Roadmaps	MARKET INFORMATION AND SUGGESTED ROADMAP FOR THE SUCCESSFUL PLACING ON THE EUROPEAN MARKET OF ECO-LABELLED TELEVISIONS FROM CHINA. Nov 2008	3	
	Country/sector Roadmaps	MARKET INFORMATION AND SUGGESTED ROADMAP FOR THE SUCCESSFUL PLACING ON THE EUROPEAN MARKET OF ECO-LABELLED TEXTILES FROM INDIA DRAFT. June 2008	4	
	Country/sector Roadmaps	MARKET INFORMATION AND ECO-LABELLING ROADMAP PACKAGE FOOTWEAR PRODUCTS FROM MEXICO. Nov 2008	5	
	Country/sector Roadmaps	MARKET INFORMATION AND ECO-LABELLING ROADMAP PACKAGE LEATHER FOOTWEAR PRODUCTS. Jan 2009	6	
	Country/sector Roadmaps	South Africa Textiles, no title. Oct 2007	7	
Project Administrative				
	Project Financial Documentation	Annex B Budget for the Action no date		
		budget revision documentation. No cost exentions: 6 months Feb 2011. Request Dec 2011 (2 additional months)		
	Partner Contracts	partner agreement	1, 2, 3, 4,5, 6, 7	
	Annual Budgets, financial reports			
		partner financial reports	1, 3,4,5, 6, 7	
		advance requests	1, 3,4,5, 6, 7	
		financial reports	1, 3,4,5, 6, 7	
		narrative reports	1, 3,4,5, 6, 7	
		Donor financial reports		

	Other	Draft Work programme Roadmap towards mutual recognition of eco-label schemes through increased cooperation among target countries and European eco-label schemes.	2	
		project key correspondence		
		Mission reports		drop box Mission Reports

Annex 6. Summary of Achievement of Outputs and Activities

The following summary of progress on activities and outputs complements Part II, Section A of the report. Outputs and activities come from the Project Document, Interim Reports and presentation made by UNEP March 15th, 2012. Some reports are inconsistent with respect to number of workshops and participants from donor, country reports and presentations. Numbering is taken from UNEP documents. *Modified or additional outputs and activities are in italics.*

Summary of Achievement of Activities and Outputs		
Outputs	Milestones and Comments	Rating
OUTPUT <i>Create a Strong Peer Network for Implementation</i>		
Activity 1.1 Establish a firm project foundation	<ul style="list-style-type: none"> - signed contracts and MoUs with country partners/associate by Oct 07 - ToR for Background study and needs assessment - project website established - nominate Steering Committee 	HS
Activity 1.2 First steering Committee meeting	<ul style="list-style-type: none"> - held in Paris, July 2007 - all project partners and associates met face to face for first time - created a common understanding about project objectives, activities and related responsibilities including governance structure - planning of activities 2007 including Start Up Workshop and needs assessment 	HS
Activity 2.5 Second Steering Committee meeting	<ul style="list-style-type: none"> - held back to back with Train the Trainers session in Germany December 2007 - feedback and lessons learned from ToT workshop reviewed - work plan 2008 established 	HS
Activity 5.2 Third Steering Committee meeting	<ul style="list-style-type: none"> - held back to back with GEN annual meeting Oct 2008 - lessons learned sharing among partners - agreement on capacity building and technical assistance activities including ToT, follow up national training - discussion on contents of Roadmap - 	HS
<i>Activity Fourth Steering Committee Meeting</i>	<ul style="list-style-type: none"> - held in September 2009 in Bonn, Germany back to back with ToT workshop with focus on feedback - agreed upon next activities w/capacity building and TA - clarified role of roadmap was not about actual implementation but a document outlining the rational and how to achieve it 	HS
<i>Activity Fifth Steering Committee Meeting</i>	<ul style="list-style-type: none"> - held back to back with GEN annual meeting and Roadmap Consultation in Washington DC, USA November 2010 - lessons learned shared among partners on progress for peer learning - preparation for Roadmap consultation 	HS
Output 1 Improved understanding and knowledge on eco-labelling diffusion, market penetration, barriers and capacity building needs in target countries through the establishment of multi-stakeholder dialogues		

Summary of Achievement of Activities and Outputs			
Outputs		Milestones and Comments	Rating
Activity 1.3	Assessing eco-labelling diffusion, market penetration possibilities and related policy framework	<ul style="list-style-type: none"> - Background assessment drafted for each target country and product - Market information and suggested roadmap for each country developed with input from partners - distributed at Start Up WS 	S
Activity 1.4	Assessing the needs to overcome barriers to the diffusion of eco-labels	<ul style="list-style-type: none"> - Assessment study on private sector barriers and related needs conducted and presented in December Start up WS - Needs Assessment Study deemed not necessary and 5 documents were drafted "Market Assessment and Roadmap" for each product sector 	S
Activity 1.5	Organization of a start-up workshop	<ul style="list-style-type: none"> - start up workshop in Germany December 2007 included 67 representatives from all partner countries and good cross section of stakeholders except for industry representatives - lack of EU representation: labelling program, importers and buyers 	HS
Activity 1.6	Organization of follow-up local workshops	<ul style="list-style-type: none"> - 2 day follow up national workshops held in 2008/2009 in Brazil (60 participants), China (35), 2x India (40/30), Mexico (26) and Kenya/w/Ethiopia (50), South Africa (50). - good cross section of stakeholder participation although not all decision makers. no gender reporting - most countries report lack of strong government buy in/support - MEROSUR regional workshops held in 2009 in conjunction with project objectives but outside of the project support 	HS
Output 2: Strengthened capacity on eco-labelling and its application and promotion among key industry representatives, industrial designers and government decision-makers as well as local trainers in target countries.			
Activity 2.1	Preparation of training kits for trainers	<ul style="list-style-type: none"> - InWent coordinate the development of 4 training modules (Intro, Sector, Marketing, Government and CSO promotion tools) - training handbook on Eco Labelling developed - training kit including materials and guidance developed - distributed in CR format, on web page (2009) and as e-learning tool (draft march 2012) - training programme template developed for partners 	HS
Activity 2.2	Organization and realization of training for trainers	<ul style="list-style-type: none"> - 8 trainers contracted including one lead trainer for overall coordination (3 out of the 8 including the lead trainer female). - 23 experts (7 female) trained including project partners and national experts selected by the partners - 	HS
Activity 2.3	Preparation of follow-up national training sessions	<ul style="list-style-type: none"> - Small Scale Funding Agreements (SSFA) set up with national experts for implementing national training workshops including adaptation - Training materials adapted under SSFA - training plans devised 	HS
Activity 2.4	Realization of follow-up trainings	<ul style="list-style-type: none"> - National workshops held 2010: <ul style="list-style-type: none"> o China (20) mainly industry o Brazil for industry (22)/government (70?) 	S

Summary of Achievement of Activities and Outputs			
Outputs		Milestones and Comments	Rating
		<ul style="list-style-type: none"> ○ Ethiopia (38) cross section ○ Kenya (25) cross section ○ India (104) 5 one day geographical mainly industry/associations ○ Mexico (81) 1x industry/associations; 1 local govt; 1 national govt ○ South Africa (36) excluding preparatory ws, cross section <ul style="list-style-type: none"> - Regional MERCOUR workshop in Brazil including India and Mexico experts - excellent interest and feedback from participants - 30 companies expressed interest in the EU Label 	
Output 3: In each target country at least one product in the process of obtaining the EU or another European country eco-label and increased attention of government decision-makers to the question of promoting eco-labelling			
Activity 3.1	Technical assistance for awarding the EU Eco-label or another European country eco-label	<ul style="list-style-type: none"> - process and template defined by UNEP for requesting technical assistance with project support - 15 companies interested, 11 submitted business proposals - decision that Kenya would focus on consolidation activities with the sector rather than pursue the eco-label as a project result - 1 awarded the eco label (Brazil 2011), 4 applications in process and 7 companies compiling the application - costs of making changes to meet requirements and certification costs with no identified markets seems to be main barrier for uptake - additional funds identified for covering certification and testing costs through SSFA with partners (Oct 2010) 	S
Activity 3.2	Technical assistance to governments for the development of policies for eco-labelling	<ul style="list-style-type: none"> - 4 governments demonstrated strong interest in using eco-labelling in the their environmental and SCP policy mix: South Africa, China, Brazil, Mexico but not necessarily attributable to the project - project contributed in Kenya to the adoption of fiscal incentives for the leather sector and institutional reforms in Leather Council 	MS
Output 4: Roadmap developed towards mutual recognition of eco-labelling schemes through increased cooperation among target countries' and European eco-labelling schemes			
Activity 4.1	Assessment of the opportunities of increased cooperation among eco-labelling schemes	<ul style="list-style-type: none"> - first draft Roadmap circulated 3rd SC meeting - final draft March 2012 	MS
Activity ¹⁹	<i>Develop a rational baseline on cooperation and mutual recognition with State-of-the-Art examples</i>	- <i>background document prepared by UBA and presented at 4th SC</i>	S
Activity ¹⁹	<i>Explorative survey on the strategic</i>	- <i>41 survey respondents of which 25 from eco-labelling programmes</i>	S

¹⁹ from UBA workplan

Summary of Achievement of Activities and Outputs			
Outputs		Milestones and Comments	Rating
	<i>needs for cooperation and mutual recognition</i>		
Activity ¹⁹	<i>Workshop 1 on cooperation and mutual recognition</i>	<ul style="list-style-type: none"> - 40 people attended the GEN consultation session in Kobe Nov 2009 - revision made at SC 3 meeting to hold an event back to back with GEN annual meeting to launch the roadmap and foster cooperation - Additional Training workshop held in March 2012 with Asia Productivity Organization: 24 practitioners 	S
Activity ¹⁹	<i>Roadmaps on cooperation and mutual recognition on bi-/multi-lateral levels (by mid 2010)</i>	<ul style="list-style-type: none"> - consultation workshop held Oct 2010 with 30 participants (20 from labelling schemes) - 	S
Activity ¹⁹	<i>Recommendation for a global framework (global framework agreement) on cooperation and mutual recognition and Roadmap for Implementation</i>	<ul style="list-style-type: none"> - Final Draft Roadmap 	MS
Output 5: Lessons-learned from the project shared at regional and global level with as many potential users of eco-labels and eco-labelling bodies as possible, leading to maximized possibility of replication of the experience			
Activity 5.1	Organization of 3 Regional conferences	<ul style="list-style-type: none"> - decision made at 5th SC (Oct 2010) to use existing global or regional conferences for higher visibility and cost savings - presented at related events including Eco-Labelling Board meeting, CSD 18/19 side events, WTO meeting, SCP Regional Roundtables 	HS
Activity 5.3	Dissemination of project results on semi-annual newsletter	<ul style="list-style-type: none"> - project website established 2007 with links to partners and project documents - articles in SCP digital newsletter 2007/2008 - project annual newsletter 2009/2010 distributed to over 1300/200 people - project logo established in 2009 - resource limitation on creation of branded materials and use of IT minimal (fairly static website) 	S
Activity 5.4	Drafting, reviewing, uploading and printing of project report	<ul style="list-style-type: none"> - consultant hired, draft outline presented to Steering Committee for input and feedback 	n/a
Activity	<i>Sixth Steering Committee Meeting</i>	<ul style="list-style-type: none"> - held in Paris March 2012 with all project partners and associates - focused on lessons learned from each country and overall findings of the evaluation - identified potential ways forward to continue the momentum - most of the project coordinators had been with the project since the beginning 	HS

Annex 7. Financials

Figure 7.1 Original Project Budget, Addendum January 2011?, Actual expenditure through Oct 31st, 2012. All in Euros

	Original Budget from Project Document FULL	Addendum no date, signed 24Jan 2011 FULL		3rd Interim Report to Donor as of Oct 31, 2010	
Total Human Resources	1,128,553	1,034,088	-8%	740,995	
Total Travel	452,625	394,547	+13%	221,598	
Total Equipment	0	1,835		1,835	
Total Publications	10,450	10,450	n/c	5,014	
Total Studies/Research	113,000	235,534	+110%	232,968	
Total Evaluation	20,600	20,600	n/c	0	
Total Translation/Interpret	30,582	30,582	n/c	14,490	
Total Follow up ws	19,781	47,955	+140%	23,991	
Total Website	18,000	18,000	n/c	0	
Admin	125,551	125,551	n/c	86,862	
TOTAL in Euros	1,919,142	1,919,142	n/c	1,327,753	70%

Sources: Project Document Annex III, addendum no date, 3rd interim financial report to donor

Figure 7.2 Internal Expenditure projections through March 31st, 2012. All figures in US\$

	IMIS No	Initial budget with PSC	Initial budget without PSC	Actual budget without PSC
UNEP	3A13	943,954	882,199	882,199
InWent Germany	3A74	455,030	425,262	425,262
UBA	3636	98,153	91,732	47,187
EDC	3A75	97,243	90,881	90,881
CUTS	3A21	84,745	79,201	79,201
IMNC	3A23	130,163	121,648	121,648
CSIR	3A73	121,308	113,372	113,372
KNPC	3A22	103,893	97,096	97,096
Subtotal		2,034,489	1,901,391	1,856,846
UNEP (InWent Cont.)	3A14	273,224	273,224	280,115
TOTAL in US\$		2,307,713	2,174,615	2,136,961
Income reconciliation in US\$				
Funds received				
2007	632218.92			
2009	453713.55			
2010	415577.95			
2011	495098.29			
Total		1,996,609.00		
Deduct PSC 7%		139,762.61		
Total available		1,856,846.00		
Overall cash advance given to 2011		1,856,846.00		

Source: from PM 22 March, 2012.

Annex 8. Review of Outcomes to Impacts
Figure 8.1: Theory of Change Eco-Labeling Project

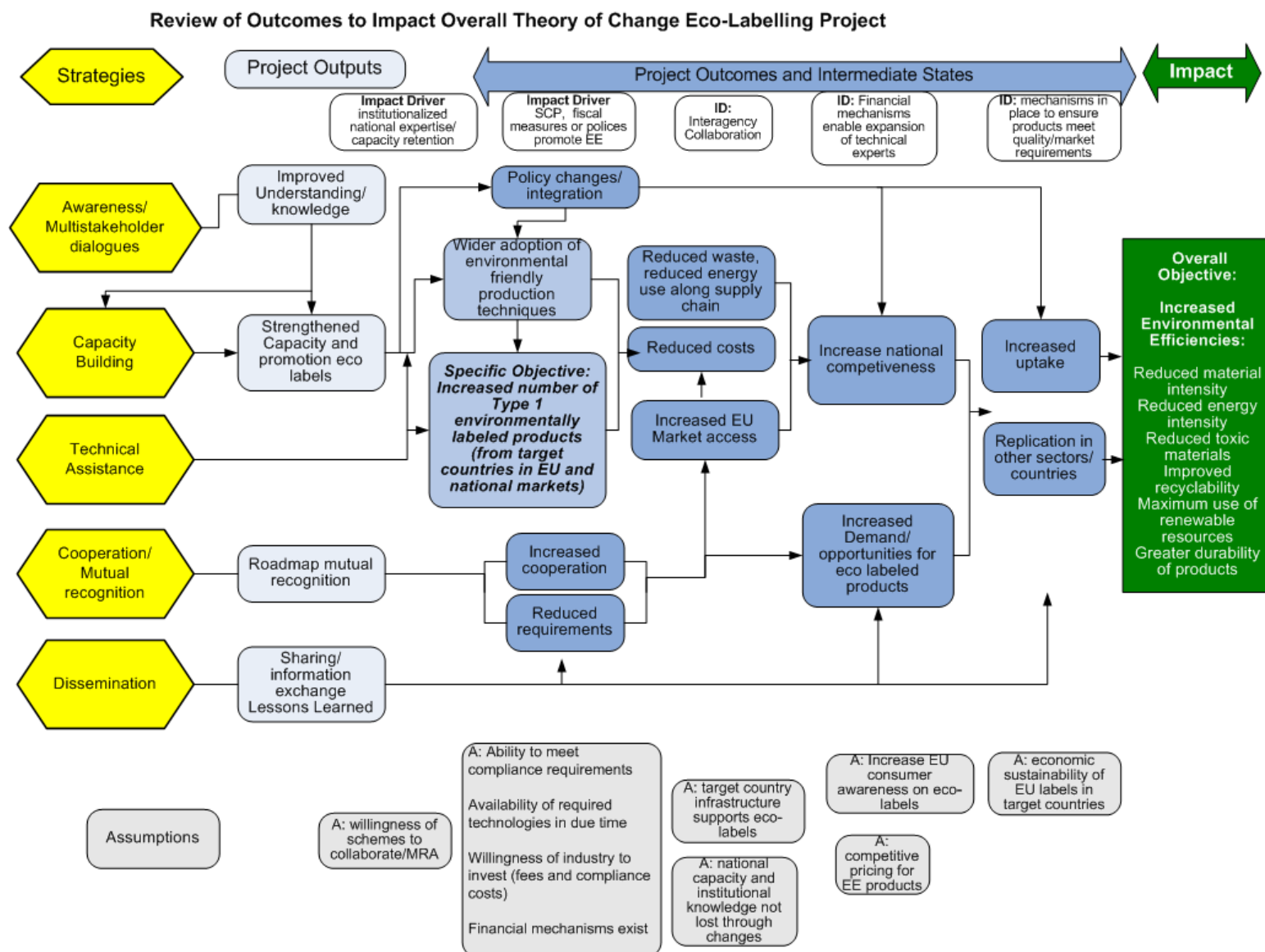


Figure 8.2. Results and ratings of Review of Outcome to Impact (ROtI)

Results rating of project entitled:		Enabling developing countries to seize eco-label opportunities - Capacity building and technical assistance for industries and governments in developing economies.					
Project Objective: to increase the environmental efficiency of key export products and related industrial processes in the target countries, supporting their industry and government's active contribution to the 10-Year Framework of Programmes on Sustainable Consumption and Production (Marrakech process)							
		Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediary		Impact (GEBs)		
Improved understanding and knowledge on eco-labelling diffusion, market penetration, barriers and capacity building needs	Prioritized Capacity building and technical assistance Improved awareness and support among decision makers	B	Policy changes and integration (Increased) Demand for eco-labelled products from target countries (EU)	C	Increased Resource (Environmental) Efficiency Specifically for UNEP: reducing the total environmental impact of the production and consumption of goods and services, from raw material extraction to final use and disposal.	n/a	Moderately Likely
Strengthened capacity of industry, industrial designers, governments and local trainers on the application and promotion of eco-labels	Policies being developed include SCP to promote eco-labelling Companies developing business plans for eco-labelling		Increased uptake in value chains, other sectors and countries Reduced environmental impact				
One product from each country in process of obtaining the EU label and increased government attention to promotion of eco-labelling	Increased Successful application of EU label Increased cooperation among schemes		Reduced requirements/MRA Increased competitiveness of EU labelled products Documented business case				
Roadmap towards cooperation	Increased interest from other companies, sectors and countries						
Lessons learned shared							
	Rating justification: Outputs and general outcomes were delivered but there was not a clear strategy to continue the momentum with the current foundation		Rating justification: The C rating reflects that measures have been designed to move toward intermediate states and have started but have not yet produced results		Rating justification: The BC rating corresponds with moderately likely and discussed in the evaluation.		

Notes: Outputs are based on the Project Document, logframe. Outcomes are based on the Indicators of Achievement in the logframe and the desktop ROtI assessment, Figure 8.1.

Ratings:

Rating scale for outcomes and progress towards 'intermediate states'

Outcome Rating	Rating on progress toward Intermediate States
D: The project's intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a '+' notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Six point scale for translation of ratings for 'achievement of outcomes' and 'progress towards intermediate states to ratings for the 'Overall likelihood of impact achievement'.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

Annex 9. Project Logframe from Project Document

LOGICAL FRAMEWORK OF THE ACTION (ANNEX IV Project Document)				
	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall objective	Increase the environmental efficiency of key export products and related industrial processes in the target countries supporting their industry and government active contribution to the 10-Year Framework of Programmes on Sustainable Consumption and Production (Marrakech process)	<ul style="list-style-type: none"> • Reduced environmental impacts per unit of target countries' key export products and associated industrial processes. 	<ul style="list-style-type: none"> • Countries reports to the UN • National economic and environmental statistics 	
Specific objective	Increase the N of products from target countries in the EU as well as in their national and global markets ecolabelled with the EU Eco-label or other European countries' 'Type I' * environmental labels	<ul style="list-style-type: none"> • Increased N of products from target countries in the EU as well as in their national and global markets ecolabelled with the EU Eco-label or other European countries eco-labels. 	<ul style="list-style-type: none"> • Eco-labelling schemes registries and web-sites 	<ul style="list-style-type: none"> • Economic sustainability of the process of having products awarded by the EU Eco-label or other European countries eco-labels in the target countries • Target countries infrastructure supports eco-labelling of products
Expected results	1.Improved understanding and knowledge on eco-labelling diffusion, market penetration, barriers and capacity building needs in target countries through the establishment of multistakeholders dialogues	<ul style="list-style-type: none"> •Contributions to the Assessment Study provided by the discussions of the Needs Assessment Cards prepared by leader stakeholders at the local follow-up workshops. 	<ul style="list-style-type: none"> • Assessment Study • Project report 	<ul style="list-style-type: none"> • Provision in due time of contribution to the Need Assessment Cards by stakeholders
	2. Strengthened capacity on eco-labelling and its application and promotion among key industry representatives, industrial designers and government decision-makers as well as local trainers in target countries.	<ul style="list-style-type: none"> • N of brief business plans for the eco-labelling (with the EU or another European eco-label) of their product(s) presented to UNEP by industry representatives trained • N of government stakeholders declaring interest in developing policies including sustainable procurement ones to promote eco-labelling 	<ul style="list-style-type: none"> • E-mail exchanges with partners and with industrial stakeholders and government stakeholders trained 	<ul style="list-style-type: none"> • Interest of industry stakeholders, government stakeholders and industrial designers in implementing what learnt on eco-labelling

	<p>3. In each target country at least one product in the process of obtaining the EU or another European country eco-label and increased attention of government decision-makers to the question of promoting eco-labelling.</p>	<ul style="list-style-type: none"> • N of successful applications presented by target countries' industry representatives to the EU Eco-label or other European country eco-label competent bodies. • N of government stakeholders developing policies including sustainable procurement ones to promote eco-labelling 	<ul style="list-style-type: none"> • Registries/websites of eco-labelled products of the EU Eco-label or of other European countries schemes • Feedback by industry representatives involved in technical assistance activities • Feedback by government decision makers on policies under development to promote eco-labelling 	<ul style="list-style-type: none"> • Possibility of complying with eco-labelling schemes' criteria in due time • Availability of required technologies in the countries/adaptability of the existing in due time • Financial availability of company for fees and compliance costs • Governments decision makers interest in developing policies to promote eco-labelling
	<p>4. Roadmap developed towards mutual recognition of eco-labelling schemes through increased cooperation among target countries' and European eco-labelling schemes.</p>	<ul style="list-style-type: none"> • N of different European and target countries' eco-labelling bodies representatives participating in the consultation meeting; • N of practical recommendations and practical steps identified in the Roadmap 	<ul style="list-style-type: none"> • Roadmap towards the mutual recognition of eco-labelling schemes • Project report 	<ul style="list-style-type: none"> • Eco-labelling bodies interest in increasing cooperation between them

	5. Lessons-learnt from the project shared at regional and global level with as many potential users of eco-labels and eco-labelling bodies as possible, leading to maximized possibility of replication of the experience.	<ul style="list-style-type: none"> • Lesson-learnt presented to the Regional Conferences that can be useful to improve the present Eco-label or other European countries eco-labelling schemes as well as developing countries' capability to have product awarded. • N of participants to the Regional Conferences (stakeholders from the target countries and from neighbour countries; relevant EU importers/buyers; eco-labelling bodies) • N of copies of project documents including semi-annual newsletter downloaded/distributed 	<ul style="list-style-type: none"> • Regional conferences reports • Project website • Project report 	<ul style="list-style-type: none"> • Stakeholders interest in attending the final conferences and visiting the project web-site
Activities		Means:	Sources of information:	Preconditions for the actions:
	1.1 Establish a firm project foundation	Human resources, translation	<ul style="list-style-type: none"> • Project website and linked project partners websites • Partners e-mail exchange • Semi-annual newsletters • Steering committees minutes • Conferences reports • Project documents published (Project Background Document, Assessment Study on needs to overcome barriers to the diffusion of eco- 	<ul style="list-style-type: none"> • National stakeholders interest in participating in the project • Private sector interest continues to grow in ecolabelling as a key instrument for promoting Sustainable Consumption and Production • Governments persuaded by private sector interest, growing markets for eco-labelled goods, and capacity building activities on eco-labelling to adjust trade export promotion and investment policies to support domestic industry in its efforts to have eco-labels awarded to products • Conditions Outside Beneficiary control • Political stability in the
	1.2 First Steering Committee meeting	Human resources, travel and subsistence.		
	1.3 Assessing eco-labelling diffusion, market penetration possibilities and related policy framework	Human resources.		
	1.4 Assessing the needs to overcome barriers to the diffusion of eco-labels	Human resources		
	1.5 Organization of a start-up workshop	Human resources, travel and subsistence, venue, publication of documents.		
	1.6 Organization of follow-up local workshops	Human resources, travel and subsistence, venue, simultaneous translation, publication of documents.		
	2.1 Preparation of training kits for trainers	Human resources.		

	2.2 Organization and realization of training for trainers	Human resources, travel and subsistence.	labels, Assessment on the opportunity of increased cooperation among eco-labelling schemes)	countries
	2.3 Preparation of follow-up training sessions	Human resources, translation.	• Project report	• Adequate funding
	2.4 Realization of follow-up trainings	Human resources, travel and subsistence.		• Commitment to the project by industry representatives, industrial designers and government stakeholders.
	2.5 Second Steering Committee meeting	Human resources, travel and subsistence.	Costs:	
	3.1 Technical assistance for awarding the EU Eco-label or another EU country ecolabel.	Human resources, travel and subsistence.	Human resources	1154599
	3.2 Technical assistance to governments for the development of policies for eco-labelling promotion	Human resources, travel and subsistence.	Travel	435675
	4.1 Assessment of the opportunities of increased cooperation among eco-labelling schemes	Human resources, travel and subsistence, document publication.	Equipment and supplies	0
	5.1 Organization of 3 Regional conferences	Human resources, travel and subsistence, venues, simultaneous translation, documents publication.	Local office/Action costs	0
	5.2 Third Steering Committee meeting	Human resources, travel and subsistence.	Other costs, services	203317
	5.3 Dissemination of project results on semi-annual newsletter	Human resources, documents publications.	Administrative costs	125551
	5.4 Drafting, reviewing, uploading and printing of project report	Human resources, documents publications.	Total	1919142
<p>* According to the International Organization of Standardization (ISO), 'Type I environmental labels' are "Voluntary, multiple-criteria based third party programmes that award a licence authorizing the use of environmental labels on products. These indicate the overall environmental preferability of a product within a particular product category based on life cycle considerations. These labels provide qualitative environmental information" (ISO 14024: 1). The project focuses on this type labels and thereafter the 'Type I environmental labels' will be referred to as 'eco-labels'.</p>				

Annex 10. Online Survey

UNEP Eco-Labeling Project survey for the Final Evaluation

Thank you for your time in taking this short survey. All responses are confidential to the project evaluator. please do not hesitate to contact me if you have any questions:

Aimee Russillo arussillo@liseed.com skype: aimeerussillo
Consultant for UNEP Eco Labelling project Final Evaluation

1. About You. (information will be used for acknowledgements and follow up and for no other purposes. all answers are confidential).

Your name:

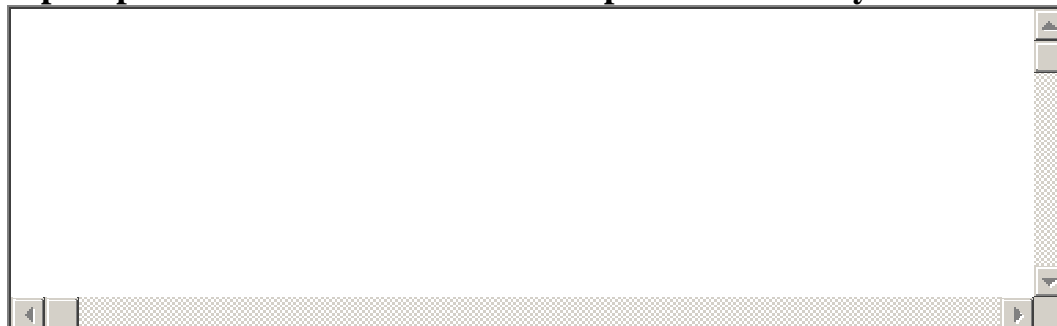
Contact email:

Organization:

Country:

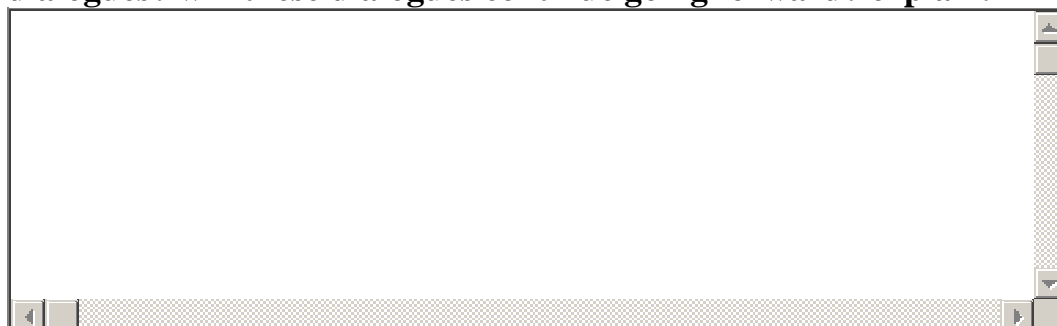
2. From your personal experience or awareness of the Enabling developing countries to seize eco-label opportunities - Capacity building and technical assistance for industries and governments in developing economies project:

How successful was the project in increasing the environmental efficiency of key export products and related industrial processes in the your countries?



3. From your personal experience or awareness of the Eco-Labeling project:

How successful was the project in increasing stakeholders understanding and knowledge on eco-labelling diffusion, market penetration, barriers and capacity building needs in target countries through the establishment of multi-stakeholders dialogues? will these dialogues continue going forward? explain.



4. From your personal experience or awareness of the Eco-Labeling project:

Do you have evidence or experience of the project being the cause of a useful change in the way you do your work, or governments, national institutions and industry promote or apply eco-labelling (in demonstrating progress towards targets, improving policy, etc)? Please describe.

5. From your personal experience or awareness of the Eco-Labeling project:

If you are able to, please name at least (a) one strength and (b) one weakness in the way the project was organised and managed. (Elaborate as much as you wish).

6. From your personal experience or awareness of the Eco-Labeling project:

What (if anything) will keep momentum and interest and capacity in eco-labelling high after the end of the project in March 2012? (Comment also, if necessary, on whether you think it is all still relevant).

7. Do you have any specific recommendations for going forward or lessons learned?



Annex 11. Brief CV of Consultant

Aimee Russillo

KEY QUALIFICATIONS

Twenty plus years of management experience specializing in Impact Monitoring & Evaluation systems; Strategic and Business Planning and Sustainability Assessments, including CSR metrics. Involvement in developing landmark sustainability efforts such as the Bellagio Principles of Sustainable Development and the ISEAL Impacts Code. Specialization in natural resource based sustainable development including agriculture, forestry and tourism certification schemes and not for profit management.

Work Experience

Associate with the International Institute for Sustainable Development in the Natural Capital Group. 2009 - present

Managing partner of Liseed Consulting. Clients include CATIE (Tropical Agriculture Research and Higher Education Center), Center for EcoTourism and Sustainable Development, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), ISEAL, MARS, PUMA AG, Rainforest Alliance, FairTrade, United Nations Foundation, UNCTAD, UN International Trade Centre, UTZ Certified, World Bank. 2005- present.

Rainforest Alliance Business Manager. 2001- 2005

Consultant. 1987- 2001. Project design and set up. Institutional strengthening. Project team member World Bank, USAID. Clients include Charles Darwin Research Station (Galapagos, Ecuador), University of Chile, Wella (Venezuela, Chile and Argentina) and Audubon.

EDUCATION

University of South Carolina	May 1987	International MBA	IMBA
Virginia Commonwealth University	May 1985	Business Administration	BS

Annex X. Consolidated comments & response by the evaluator