

**UNITED NATIONS ENVIRONMENT PROGRAMME**

**1999**

**ANNUAL EVALUATION REPORT**

**EVALUATION AND OVERSIGHT UNIT**

**AUGUST 1999**

# 1999 ANNUAL EVALUATION REPORT

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## FOREWORD

Evaluations by their very nature are high profile activities which tend to cause anxiety to programme implementers. Over the years the United Nations Environment Programme (UNEP) has learnt however that evaluation is not a fault-finding exercise but rather a strategic management tool that allows management and programme staff not only to review progress made but also to critically reflect on the constraints and challenges of delivering a quality global environmental programme. Given the fact that evaluation is an independent but high profile activity, UNEP has allowed independent consultants to speak about its achievements, constraints and challenges without fear. We want our Governing Council, donors, partners and collaborators to hear about our work from those who independently evaluate it. We in UNEP stand accountable to our Governing Council and donors for the resources entrusted to us and believe that evaluations are a transparent way of accounting for our activities to the global community.

Our global obligations, commitments and challenges are clear. The demand for UNEP's products and assistance continues to grow rapidly, with our services and technical expertise being called upon to deal with the increasing number of environmental emergencies, emerging environmental challenges and ongoing environmental work. Our resources, however, are only growing at a modest rate. The 1999 Annual Evaluation Report clearly spells out that UNEP's capacity to deliver a quality environmental programme is not constrained by lack of technical capacity but rather by inadequate resources.

The Annual Evaluation Report also clearly shows that UNEP has been able to deliver much more with limited resources. This is a demonstration of our commitment to the sustainable management of the earth's natural resources. UNEP's commitment to effective environmental management is growing by the day, while its catalytic role and collaborative efforts within the United Nations system and with the private sector and non-governmental organizations, are all very well amplified in the many evaluations analysed in the present report.

The 1999 Annual Evaluation Report challenges our Governing Council to match the approved programme of work with adequate financial resources. The independent evaluations have shown that UNEP is delivering a quality programme, which could be further improved by the provision of additional resources.

Klaus Töpfer  
Executive Director  
UNEP

## PREFACE

This is not just another annual evaluation report, but rather a historic document that articulates most vividly the achievements, constraints and challenges of UNEP. It is historic because it demonstrates not only how much UNEP has done with so little, but also how the UNEP management team has turned around what was traditionally viewed as "police work" and a "fault-finding exercise" to a strategic management tool. The evaluation contained herein also shows that UNEP is not only achieving its objectives and fulfilling its mandate but is confident about the future and its ability to deal with the challenges of today and tomorrow.

It can be seen from the 1999 Annual Evaluation Report that the struggles which UNEP has faced in many programme areas are bearing positive fruits. In the fullness of time, programme delivery, transparency and accountability have finally come together at the crossroads of a transformative collective development that ensures UNEP remains a global leader in catalysing environmental action.

The Annual Evaluation Report highlights the strategic and operational issues that impact on the delivery of the global environmental agenda. It shows how UNEP has forged partnerships, collaboration and joint activities with Governments, the private sector, non-governmental organizations and the United Nations system to deliver the global environmental programme. The strength of UNEP has remained its ability to catalyse and work with and through others, thereby multiplying considerably its products and services.

The evaluation shows that UNEP has the capacity and tenacity to overcome the many constraints and challenges facing it, while continuing to be the leader in the area of environment. Furthermore, UNEP's long-term investment in partnerships, expert staff and assessment capabilities is paying off and creating an impact in the environment arena.

The present intersessional Governing Council document, therefore offers UNEP's Governing Council, donors and partners an overview of UNEP's work in 1999. It discerns strategic policy and programmatic issues that UNEP is addressing and the challenges that it must address in order to further deliver the global environmental programme.

Backson Sibanda  
Chief, Evaluation and Oversight Unit  
UNEP

## ACKNOWLEDGEMENTS

The annual evaluation report of the United Nations Environment Programme (UNEP), is an important tool that provides UNEP with invaluable information relating to practical lessons drawn from experiences which serve as guidance for future goals and activities. The preparation of the report is therefore an extensive participatory enterprise involving independent consultants, programme and project managers, other UNEP division staff and the staff of the Evaluation and Oversight Unit.

The Evaluation and Oversight Unit, which initiates and coordinates the evaluation process, would therefore like to acknowledge the efforts of the following independent consultants:

|                       |                        |
|-----------------------|------------------------|
| Jenny Gregory         | M.B.K. Darkoh          |
| S.K. Imbamba          | Aldo G. Manos          |
| Dorothy Ongeso        | John A.Carter          |
| Stephane Doumbe-Bille | Etienne Sinatamboup    |
| Kifle Lemma           | Bob Munro              |
| T. Ngara              | P.K. Gupta             |
| Jason M. Mochache     | Julian Kinderlerer     |
| Grethel Aguilar       | Emilio Lebre La Rovere |
| Mohamed El-Raey       | Thomas Heim            |
| Frank Attere          | Teame Tewolde-Berhan   |

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

Lastly, the Evaluation and Oversight Unit expresses its appreciation to UNEP division Directors and staff whose comments have greatly enriched the present final report.

## LIST OF ABBREVIATIONS AND ACRONYMS

|          |   |
|----------|---|
| AMCEN    | African Ministerial Conference on the Environment                               |
| CGIAR    | Consultative Group on International Agricultural Research                       |
| CILSS    | Permanent Inter-State Committee on Drought Control in the Sahel                 |
| CITES    | Convention on International Trade in Endangered Species of Wild Fauna and Flora |
| CPI      | UNEP Communications and Public Information Branch                               |
| ECA      | Economic Commission for Africa  |
| ECOWAS   | Economic Community of West African States                                       |
| ELI/LAC  | Environmental Law and Institutions in Latin American and the Caribbean          |
| FAO      | Food and Agriculture Organization of the United Nations                         |
| GEF      | Global Environment Facility   |
| GIS      | Geographic Information System   |
| ICAM     | Integrated Coastal Area Management  |
| IFAD     | International Fund for Agricultural Development                                 |
| IPGRI    | International Plant Genetic Resources Institute                                 |
| IGAD     | Intergovernmental Authority on Development                                      |
| IUCN     | World Conservation Union  |
| MAP      | Mediterranean Action Plan   |
| NIEM III | Network for Industrial Environment Management - Phase III                       |
| OAU      | Organization of African Unity   |
| OECD     | Organisation for Economic Development and Cooperation                           |
| PAP/RAC  | Priority Action Programme/Regional Activity Centre                              |
| ROA      | Regional Office for Africa  |
| ROLAC    | Regional Office for Latin America and the Caribbean                             |
| RONA     | Regional Office for Northern America  |
| RIOD     | International Non-governmental Organization Network on Desertification          |
| SADC     | Southern African Development Community  |
| SOTER    | Soils and Terrain Digital Database  |
| UCCEE    | UNEP Collaborating Centre on Energy and the Environment                         |
| UNESCO   | United Nations Educational, Scientific and Cultural Organization                |
| UNEP     | United Nations Environment Programme  |
| UNIDO    | United Nations Industrial Development Organization                              |
| UNON     | United Nations Office at Nairobi  |
| UNICEF   | United Nations Children's Fund  |
| WCMC     | World Conservation Monitoring Centre  |
| WHO      | World Health Organization   |
| WMO      | World Meteorological Organization   |
| WRI      | World Resources Institute   |
| WWF      | World Wide Fund for Nature  |

## I. EXECUTIVE SUMMARY

1. The 1999 Annual Evaluation Report is a synthesis of evaluations relating to one management study, four subprogrammes, 12 in-depth project evaluations, two project desk evaluations and 79 self-evaluation fact sheets. It discerns and highlights strategic and operational issues that impact on the delivery of the global environmental agenda. The standard parameters employed in the analysis of both subprogrammes and projects are: appropriateness and relevance, effectiveness and efficiency, as well as the impact of strategies, objectives and outputs at the global and regional levels.
2. Overall, UNEP programme activities and projects were successful in 1999. The evaluation has established that the goals, objectives and outputs of the subprogrammes and projects evaluated were consistent with the mandate and objectives of UNEP. Their focus, target beneficiaries and priorities were in conformity with the programme of work approved by the pertinent Governing Council decisions and the requirements of the regional, subregional and national beneficiaries.
3. The conceptual approach adopted by UNEP to address environmental problems and issues has consisted in gathering, assessing and disseminating information on the basis of which a consensus has been built on the environmental policy at the global, regional and national levels, as well as supporting and catalysing the implementation of actions in order to realize the environmental objectives reached by consensus through a variety of activities and projects focusing, *inter alia*, on capacity-building, policy development, awareness-raising and the collection, assessment and dissemination of information. The strategies and activities employed by UNEP have largely been effective and efficient.
4. The evaluation highlights in particular that UNEP is effectively using collaboration with national governments, regional organizations, multilateral organizations and sister United Nations agencies, to further its mandate and mission at the regional and global levels by jointly developing projects, producing outputs, mobilizing funding and creating and sustaining networking to promote action on environmental problems.
5. With respect to impact, the evaluation has revealed that due to the catalytic role of UNEP, the subprogrammes and projects evaluated have resulted in action aimed at improving the quality of the environment. UNEP activities and outputs have had a significant and important influence on the formulation and internalization of environmental policies by national governments, regional intergovernmental organizations, United Nations sister agencies, and multilateral funding organizations.
6. There is, however, one strategic issue which should be brought to the attention of the Governing Council and UNEP and that is the need to address the structural deficiency in the prevailing UNEP programme funding mechanism. The Governing Council has so far not succeeded, under the existing funding mechanism, in matching the approved programme of work with the needed financial resources.
7. The management study on trust funds and counterpart contributions has revealed that the existing funding mechanism does not ensure a predictable financial flow for the implementation of programmes of work approved by the Governing Council. Governments have not been meeting their obligations and UNEP does not have a comprehensive and functional fund mobilization strategy to ensure stability in the implementation of programmes of work.
8. The management study has further established that trust funds have become an important source of funding for UNEP. Currently, however, the impact of the magnitude and growing role of trust funds, within the overall funding structure of UNEP, on the global environment programme and UNEP mandate is not sufficiently recognized, appreciated nor regularly appraised by the Governing Council. UNEP should therefore prepare a comprehensive strategy paper on predictable funding and resource mobilization for submission to the Governing Council.

9. Consequently, the discrepancy between the approved programmes of work and the available funds, has a negative impact on UNEP's programme delivery. Many approved activities are either postponed, reduced or abandoned, as a result of which the global environmental management impact envisaged by the Governing Council is not realized. Furthermore, UNEP's effectiveness, is curtailed.

## 1999 ANNUAL EVALUATION REPORT

### II. INTRODUCTION

10. The 1999 Annual Evaluation Report is a synthesis of evaluations relating to one management study, four subprogrammes, 12 in-depth project evaluations, two desk project evaluations and 79 self-evaluation fact sheets. It is aimed at providing information on how UNEP is implementing its programmes and projects in comparison to its mandated objectives. The evaluation's findings are based on past experience and show those areas where UNEP has fared well, while urging it to improve and forewarning where performance has been less than satisfactory. Management must use the evaluation results to help it plan future activities and make informed decisions.

11. As indicated in the report, overall, UNEP's programme and project activities were successful in 1999. The contribution by UNEP in terms of providing guidance, methodologies, coordination and general intellectual support was effective. UNEP has also generally succeeded in forging effective collaboration and partnerships in the implementation of environmental programmes at the global, regional and national levels. The annual evaluation has also noted some constraints which if left unchecked could continue to negatively impact on programme and project delivery. Such constraints pertain to structural as well as implementation issues. The evaluation carried out points to the need for UNEP to take on board the lessons learnt in order to avoid the same constraints in the future.

12. It has also been noted that self-evaluation fact sheets submitted in 1999 are substantively and qualitatively better than those of 1998, as a result of the programme managers' positive response to the information requirement. The proportion of the number of submissions to the number of active projects, however, still remains very low. The low return of the self-evaluation process is a matter of concern as it denies UNEP the possibility of having a complete picture of programme and project delivery.

#### A. Mission of the United Nations Environment Programme

13. The mission of UNEP is to provide leadership and encourage partnership in caring for the environment by inspiring and enabling nations and people to improve their quality of life without compromising that of future generations.

#### B. Mandate and objectives of the United Nations Environment Programme

14. The mandate and objectives of UNEP are set out in General Assembly resolution 2997 (XXVII) of 15 December 1972 and subsequent amendments adopted by the United Nations Conference on Environment and Development (Report A/CONF.151/26/Rev.1 (Vol. I), para. 38.22), as well as in the Nairobi Declaration on the Role and Mandate of the United Nations Environment Programme adopted at the nineteenth session of the UNEP Governing Council.

15. The above legislative sources and relevant Governing Council declarations and decisions mandate UNEP to act as the authority for environmental issues at the global and regional levels for the United Nations system. To that end, UNEP is mandated to catalyse and coordinate the development of environmental policy consensus by keeping the global environmental situation under review and bringing emerging environmental issues to the attention of the international community and Governments for action. It is therefore worth noting the following sources which shape UNEP's mandate.

#### C. The United Nations Conference on the Environment and Development – Earth Summit

16. The Earth Summit mandated UNEP to support Governments, development agencies and organizations upon request, in the integration of environmental aspects into their development policies and programmes. The

support was to include provision of environmental, technical and policy advice during programme formulation and implementation.

D. Decisions of the Governing Council adopted at its eighteenth session

17. In its decision 18/1 of 26 May 1995, the Governing Council gave guidance on the role of UNEP whose activities were to focus on the following areas:

- (a) Assessing and addressing existing and emerging critical issues in the field of the environment;
- (b) Promoting international cooperation in the field of the environment and recommending as appropriate policies to this end;
- (c) Acting as a catalyst to address major threats to the environment;
- (d) Monitoring the status of the global environment through the gathering and dissemination of reliable environmental information;
- (e) Facilitating the coordination of activities of all United Nations bodies on matters concerned with the environment, ensuring through cooperation, liaison and expert participation, that environmental considerations are taken into account in their activities;
- (f) Supporting, upon request, environment ministries and other national environmental authorities, in particular in developing countries and countries with economies in transition, in the formulation and implementation of their environmental policies and related capacity-building activities;
- (g) Furthering the development of international environmental law;
- (h) Providing expert advice on the development and use of environmental concepts and instruments;
- (i) Developing regional programmes for the environment.

18. The Governing Council also decided that the major results of the activities of UNEP should include:

- (a) International arrangements to enhance environmental protection;
- (b) Periodic assessments and scientifically sound forecasts designed to support decision-making and the creation of an international consensus on the main environmental threats and responses;
- (c) More effective coordination of environmental matters within the United Nations system;
- (d) Policy options and advice to Governments, multilateral organizations and others, which incorporate the environmental dimension into the sustainable development process and strengthen environmental protection;
- (e) Higher public awareness and greater capacity for environmental management and effective national and international responses to the threats of environmental degradation.

E. The Nairobi Declaration on the Role and Mandate of the United Nations Environment Programme

19. The Nairobi Declaration further elaborated the existing UNEP policy mandate as follows:

- (a) To provide policy advice based on the best scientific and technical capabilities available;
- (b) To advance the implementation of agreed international norms and policies;
- (c) To serve as an effective link between the scientific community and policy makers;
- (d) To provide policy and advisory services in key areas of institution-building, to Governments and other relevant institutions.

20. The 1998-1999 programme of work was then developed in line with the stated mandate and policy directions outlined, in addition to which a budget of \$75 million from the Environment Fund was approved by the Governing Council in its decision 19/22 of 7 February 1997, to implement the programme of work.

21. Subsequently, UNEP adopted the following subprogrammes in order to discharge its expanded mandate:

- (a) Sustainable management and use of natural resources;
- (b) Sustainable production and consumption;
- (c) A better environment for human health and well-being;
- (d) Globalization and the environment;
- (e) Global and regional servicing and support.

#### F. Revitalization, reform and strengthening of the United Nations Environment Programme

22. The Governing Council, in its decision SS.V/2. of 22 May 1998, emphasized that UNEP has been and must continue to be the principal United Nations body in the field of the environment and that its role is to be the leading global environmental authority that sets the global environmental agenda, promotes the coherent implementation of the environmental dimension of sustainable development within the United Nations system and serves as an authoritative advocate for the global environment.

23. The Governing Council further affirmed that the future reform of UNEP in the context of the United Nations reform should be predicated on the following considerations:

- (a) The future activities and organizational structure of the secretariat of UNEP should be fully in line with the mandate contained in the Nairobi Declaration;
- (b) Reform should aim at the further enhancement of the role of UNEP as the principal United Nations body in the field of the environment;
- (c) The further organizational reform of UNEP must ensure a more rational, efficient and cost-effective functioning of UNEP as a whole.

24. The Governing Council also endorsed the proposals of the Executive Director, in keeping with the spirit of the Nairobi Declaration, for areas of concentration of the activities of UNEP, namely:

- (a) Environmental information, assessment and research, including environmental emergency response capacity and strengthening of the early warning and assessment functions of UNEP;

- (b) Enhanced coordination of environmental conventions and development of environmental policy instruments;
- (c) Freshwater;
- (d) Technology transfer and industry;
- (e) Support to Africa;

as well as other priority areas of UNEP, as established by the Governing Council at its nineteenth session.

25. In the course of the 1998-1999 biennium, UNEP also changed from the above thematic and sectoral structure to a functional one and reorganized its substantive units. The full effect of the new structure will be felt in the 2000-2001 biennium. The new structure is composed of the following six functional divisions:

- (a) Environmental Information, Assessment and Early-warning;
- (b) Environmental Policy Development and Law;
- (c) Environmental Policy Implementation;
- (d) Technology, Industry and Economics;
- (e) Regional Cooperation and Representation;
- (f) Environmental Conventions.

### III. PURPOSE AND METHODOLOGY OF THE EVALUATION AND OVERSIGHT UNIT

#### Introduction

26. UNEP attaches great importance to evaluation as a management tool. The present evaluation provides information on how UNEP's programme was implemented in 1999, in addition to useful management information on the strengths and weaknesses of programme and project activities. Such comprehensive information helps UNEP determine to what extent it is meeting its mandate and mission, as well as how it is responding to global environmental challenges. It also helps UNEP plan its future activities basing them on concrete information.

27. Of the 287 ongoing projects in 1999, a total of 92 projects and four subprogrammes were evaluated. The in-depth and desk evaluations utilized regionally-based consultants thereby making significant savings.

28. The present Annual Evaluation Report deals with the Management study on trust funds and counterpart contributions separately. The summary findings, conclusions and recommendations are presented in chapter IV of the report, while the syntheses of evaluation reports of subprogrammes, in-depth project evaluations and self-evaluation fact sheets are combined and organized along the major parameters of evaluation in successive chapters.

29. The analysis of the subprogramme and in-depth project evaluations and self-evaluation fact sheets was conducted on the basis of the parameters of: appropriateness and relevance; effectiveness and efficiency; and impact. The foregoing parameters were further scrutinized and assessed in terms of their various relevant aspects. Detailed assessments included the following factors: approach, focus, structures, coordination

mechanisms, project timeliness, budgetary utilization, realization of objectives, achievement of outputs, impact and sustainability. For self-evaluation fact sheets statistical data was analysed and presented graphically.

#### A. Management study on trust funds and counterpart contributions

30. With the recognition of the growing volume of trust funds and counterpart contributions over the years in relation to the Environment Fund, UNEP launched the study to determine the actual role and impact of those funds within its overall funding structure. The consultants were also requested to establish whether the emerging funding structure is having an impact on UNEP's capacity to meet its mandate and mission.

31. The study has come out with important findings and conclusions, some of which have allayed certain misconceptions about trust funds, while others have justified the need for a major review of UNEP's current management practices relating to trust funds, at the Governing Council and UNEP secretariat levels.

32. The 1999 Annual Evaluation Report therefore presents a summary of the key findings, conclusions and recommendations made by the study. A committee (composed of senior and middle management staff of UNEP), invited by the Evaluation and Oversight Unit, is reviewing the study's findings and conclusions with the aim of making practical recommendations on how UNEP can enhance the effective management and utilization of trust funds in support of its mission and mandate.

#### B. Subprogramme evaluations

33. In 1999, the four following subprogrammes were evaluated:

- (a) Caring for biological resources;
- (b) Caring for land resources;
- (c) Energy;
- (d) Environmental law institutions in Latin America and the Caribbean.

34. The performance of the subprogrammes was evaluated by the standard parameters of appropriateness, relevance, effectiveness, efficiency, impact, as well as their contribution to the realization of UNEP's mandate and mission.

35. The present annual evaluation presents a synthesis of the key findings and concerns raised by the four evaluations. This focused presentation offers the UNEP management team an opportunity to address strategic issues that cut across subprogrammes concerning programme and project design, implementation and management.

#### C. In-depth project evaluations

36. The 1999 Annual Evaluation Report analyses 12 in-depth project evaluations and two desk evaluations. The list of those projects is attached as annexes III and IV. The analysis discerns the trends and patterns of the extent of project delivery as well as strengths and weaknesses in design, implementation and management of projects. The report does not present the summaries of each project, but rather the overall findings with respect to specific performance parameters, seeking to establish trends and underlining the importance of some issues by presenting particular examples and illustrations from the findings or conclusions of specific projects.

37. The analysis focuses on how UNEP projects are performing, assessed on the basis of the standard parameters mentioned earlier. It further seeks to identify the strategic issues that affect project delivery and their desired contributions to subprogramme objectives and the overall UNEP mandate and mission.

#### D. Self-evaluation fact sheets

38. Self-evaluation fact sheets are prepared for ongoing, completed and closed, as well as completed but not closed projects. The reports thereon contain management information, which largely focuses on progress in the achievement of project activities, including the following factors:

- (a) Variation on project duration;
- (b) Project costs and their variation;
- (c) Funding sources;
- (d) Relevance of the project to objectives of the subprogramme;
- (e) Project effectiveness;
- (f) Timeliness in realizing outputs;
- (g) Performance indicators.

39. The self-evaluation fact sheets were prepared by task managers and programme officers for projects under their supervision or management by using a standard format. As in 1998, all of the 1999 evaluations have also followed this standard format facilitating comparison and determining fairly the overall assessment of UNEP's performance in programme and project delivery. By failing to submit all self-evaluation fact sheets, UNEP was, however, still not able to meet one of the requirements of accountability. The 79 self-evaluations represent a mere 27 per cent of all ongoing projects. In 1998 only 25 per cent of the ongoing projects submitted self-evaluation fact sheets. Clearly UNEP is not meeting a Governing Council decision, which requires that all projects be evaluated.

40. Of the 79 self-evaluation fact sheets, 79 per cent were from the Sustainable management and use of natural resources subprogramme, 22.4 per cent from the Global and regional servicing and support subprogramme, 1.3 per cent from the Globalization and the environment subprogramme and 1.3 per cent from the subprogramme on A better environment for human health and well-being. One subprogramme, Sustainable management and the use of natural resources, did a sterling job, both in terms of quantity and quality of reports submitted, for which its management team should be commended.

41. The number of self-evaluation fact sheets submitted in 1999 increased by two (79 compared to 77 in 1998). The significant improvement made in 1999 is that fact sheets were more seriously filled and overall contained useful information that could help management take remedial action wherever needed. The number of fact sheets submitted for active projects, however, still remains low (50 per cent of the total submitted). The UNEP senior management group must not allow such lax supervision of project evaluation by the programme managers.

#### IV. MANAGEMENT STUDY ON TRUST FUNDS AND COUNTERPART CONTRIBUTIONS

42. In this section of the 1999 Annual Evaluation Report a summary of the management study on trust funds and counterpart contributions is presented. The summary contains the study's important findings, conclusions, concerns and recommendations relating to operational and policy issues. As noted above, the study is being clearly examined by UNEP with the aim of preparing an appropriate and practical implementation plan on how UNEP can improve the utilization of trust funds to bring forward the global environmental programme.

## Introduction

43. UNEP launched the management study to establish whether or not supplementary funding mechanisms (trust funds and counterpart contributions) were an appropriate and complementary method of raising extra needed financial resources. The study was designed to determine how such resources have supported UNEP's catalytic role in addressing the environmental priorities, decisions of the Governing Council and the mandate of the organization. The study was further to establish how trust funds have impacted upon the work of UNEP and how critical they are to UNEP's work and the environmental priorities.

44. The study examined UNEP's four sub-organs, determining how they were established and their functions: the UNEP Governing Council; the UNEP secretariat; the UNEP Environment Fund; and the Environment and Co-ordination Board. In order to provide a clearer understanding of the current situation and effect on funding, the study was required to elaborate on the roles and functions of the regular budget, the Environment Fund, the Fund programme reserve and trust funds and counterpart contributions, as envisioned by the relevant United Nations General Assembly resolutions on UNEP.

45. By referring to the pertinent provisions of the legislative sources that established UNEP, the evaluation was then to specifically determine how trust funds currently affect or impact on the following:

- (a) UNEP's mandate and its ability to address priority environment issues;
- (b) The authority of the Governing Council;
- (c) Staff time, staffing and geographical representation within the secretariat;
- (d) Recruitment policy and procedures;
- (e) Procurement policy affected by tied money.

46. Under the terms of reference summarized above, the goal of the study was to provide UNEP with information that would enable it to establish the current state and trend of its funding structure and review and improve its programming, fund raising, as well as the management and administration of funds from various sources. The results of the study would assist in:

- (a) Streamlining and refocusing the use and management of trust funds;
- (b) Ensuring better management, improved accountability and timely reporting to donors;
- (c) Designing more efficient, effective and transparent administrative and financial support services to the trust funds, which must lead to improved programme delivery.

47. The evaluation has produced a useful study with significant findings that warrant serious consideration and action at various levels including at the level of the United Nations General Assembly, the UNEP Governing Council, the UNEP secretariat and the United Nations Office at Nairobi.

48. With regard to strategy, the study raises two related major concerns:

- (a) The study contends that the growing volume of trust funds and counterpart contributions in relation to the Environment Fund raises the question of whether the changes referred to above have an impact on the ratio between the global approach (which is UNEP's mandate) and capacity-building at the country level (which is not a UNEP mandate), as well as on the role of UNEP in the continuum of assessment, policy formulation and resource allocation for the implementation of environmental programmes;

(b) Consequently, the study raises fears that UNEP might be drifting towards a situation where it would be resource-driven, thus exposing itself to the danger whereby trust funds interfere with the Environment Fund mechanism, distorting its balance, allowing donors to introduce conditionalities and the earmarking of resources, in short, a situation which would infringe on the decisions and allocations made by the Governing Council. The study also views the earmarking of resources as undermining the Executive Director's authority.

49. The study admits, however, that trust funds and counterpart contributions have become a major source of funding for the global environmental programme and that UNEP's work cannot survive without these resources. It urges all those concerned to give trust funds the recognition they deserve and not continue to treat them as supplementary funding.

## A. Specific findings

### 1. The United Nations regular budget

50. The General Assembly, by its resolution 2997(XXVII), passed that the regular budget of UNEP would cover policy direction and management (which included the cost of servicing the Governing Council), as well as UNEP's role as focal point for environmental action and coordination of environmental activities within the United Nations system. The regular budget was to fund a small environmental secretariat.

51. The regular budget is no longer adequate to cover the core functions of the UNEP secretariat, which the General Assembly is obliged to finance. The 2000-2001 budget covers only the Executive Director, his secretariat and three professional posts. Additional posts are financed as part of the programme of work of the secretariat. While the point made by the study is correct, however, there is only a slight reduction in the number of posts that were envisaged for the small secretariat by the General Assembly at the inception of UNEP.

52. The decrease in the regular budget could be attributed to the increasing internalization of environmental issues by the United Nations specialized agencies in their own programmes and budgets. The study notes with concern that the failure of the regular budget to cover the secretariat skews the funding expectations as defined in General Assembly resolution 2997(XXVII). In analysing what has happened to the regular budget, the 1999 Annual Evaluation Report notes that the small secretariat envisaged in 1972 was composed of 98 staff. There is no indication anywhere that the General Assembly envisioned ever increasing the size of the small secretariat. Clearly shown in the General Assembly resolution establishing UNEP is the fact that the environment programme activities were to be funded by the Environment Fund. The posts funded by the regular budget have decreased from 98 in 1973 to 73 in 2000.

### 2. Environment Fund

53. The Environment Fund was also established by General Assembly resolution 2997 (XXVII) to provide extrabudgetary financing for environmental programmes and new environmental initiatives within the United Nations system. The Governing Council was assigned the responsibility of determining the structure, composition and level of the Fund programme. The Fund programme reserve was also established to address contingencies and emergencies under the authority of the Executive Director.

54. The Environment Fund ceased to be the major source of funding for UNEP when it was overtaken by trust funds, by \$52,842,215, in the 1998-1999 biennium, contrary to what had been envisioned by the General Assembly resolution. The Environment Fund provides funding for environmental activities and pays for staff who implement these activities in keeping with the General Assembly resolution on the development and funding of the environment programme.

### 3. Trust funds and counterpart contributions (Extrabudgetary resources)

55. The use of extrabudgetary resources, including trust funds, was authorized by the same General Assembly resolution to supplement the substantive work programme of UNEP, consistent with its objectives, policies, overall priorities and procedures and within the context of the decision setting the overall policy, programmes and priority of the intergovernmental body as expressed in the medium-term programme budget and other legislative decisions.

56. Trust funds, however, overtook the Environment Fund to become the major UNEP funding resource in the 1998-1999 and 2000-2001 bienniums. Staff recruited under trust funds now constitute 47 per cent of the secretariat and the hierarchy of sources of financing has become ill-defined. Although trust funds have become a major funding source for the environment programme, a large part of them provide funding for convention secretariats which control these funds. The trust funds that directly fund UNEP's programme of work are fewer and the resources more limited. This distinction is important because neither the UNEP Governing Council nor the UNEP secretariat control the large sums of convention trust funds. In 1999, trust funds giving direct support to UNEP amounted to \$28,466,687 (7 per cent) while those supporting conventions and protocols, as well as regional seas programmes were \$62,054,740 (14 per cent) of total trust funds.

57. The study suggests that trust funds are not pulling resources away from the Environment Fund. Furthermore, the levels of the Environment Fund and trust funds are not related because of their divergent sources, as well as the different and very often unrelated decisions and considerations pertaining to them. The study therefore concludes that the decline in the Environment Fund contributions is not due to an increase in trust funds.

58. It is clear that trust fund projects and personnel enhance the overall capability of UNEP to attract contributions to the Environment Fund. Trust funds help diversify and widen the resource base of UNEP and have thus become an important funding source for UNEP. In an extreme scenario, however, the closure of all trust funds would mean the departure of half the staff of UNEP and the end of all the regional coordinating units, as well as more than half of the ongoing activities. Therefore, the growing dependency of UNEP on trust funds causes serious concern. The Annual Evaluation Report recognizes that UNEP can no longer survive without trust funds and calls for a redefinition of the role and functions of trust funds and other sources. The report recognizes, in addition, that trust funds have a direct impact on the Executive Director's authority and flexibility, since they are earmarked resources.

59. The level of contributions to the Environment Fund is not constrained by a country's capacity to pay. In practice, some countries contribute nominal sums to the Environment Fund, but have no difficulty in meeting, for example, the \$4 million minimum contribution to the Global Environment Facility (GEF).

60. The trust funds supporting conventions and action plans do not affect the priorities set by the Governing Council, while those that support staff have only a limited impact on the work programme. Trust funds supporting the work programme may need to be reviewed by the Governing Council at the time of approval because they could easily impact on and change the percentages allocated by the Governing Council. Such trust funds also have the potential to change Governing Council priorities since they are earmarked.

### 4. Global Environment Facility funding

61. The focal areas of GEF overlap with UNEP's work programme and thus both the Environment Fund and GEF compete for the same resource base.

62. In the implementation of GEF, UNEP was charged with catalysing the development of scientific and technical analysis for advancing environmental management in GEF-financed activities and managing the independent body, the Scientific and Technical Advisory Panel.

63. UNEP's involvement in GEF-financed projects is at country level, related to capacity-building and operational in nature. Such projects divert UNEP from its global and regional mandate. While UNEP's programmes must have an impact at the country level, the activities must be planned as part of a regional strategy. The growth of GEF and the limited role of UNEP in GEF-financed projects have contributed to the marginalization of UNEP as the principal environmental authority within the United Nations system.

## B. Concerns

### 1. The policy-making role of the Governing Council

64. Activities supported by trust funds are carried out without prior serious debate by the Governing Council. The growing importance of trust funds within UNEP's prevailing funding structure, the negotiating process leading to their establishment and the areas of activities covered raise the issue of whether the mandate of the Governing Council has been infringed upon or not.

65. In the current use of trust funds by UNEP, there is need for a more systematic effort to relate trust funds to approved programme budget and medium-term plans, which are adopted by the Governing Council. While trust funds address UNEP's approved work programme, some of them have repercussions on the percentage allocations agreed to by the Governing Council. Trust funds can attach more priority to and fund an area which the Governing Council has allocated fewer funds to in its approved work programme because it attaches, in relative terms, less importance to it.

### 2. Composition and direction of the work programme

66. There is a perceived concern that the system of trust funds and counterpart contributions affects the composition and balance of the work programme and skews it in favour of the agenda of the developed donor countries which provide trust fund resources as earmarked money. Such countries can easily provide resources to areas of their choice creating a conflict between Governing Council priorities and individual donor priorities. While trust funds finance activities that are part of the approved work programme, they can provide funds to an area that in relative terms is less important.

67. The lack of an elaborate strategy for trust fund targeting prevents the secretariat from controlling and influencing the areas for which trust funds are solicited. Without such a system in place, the direction of the UNEP programme can be controlled by resources rather than by policy. A management system addressing the clarity of internal procedures governing negotiations and the justification for extension and closure would facilitate policy consideration at each stage in the decision-making process.

### 3. Staffing and procurement

68. The current practice of recruitment and job classification procedures related to staff designated by trust funds do not, by and large, adhere to United Nations procedures. Such practice creates apprehension among the other staff and causes inconsistency and disharmony in the system.

69. Junior Programme Officers are placed without going through the normal appointment procedures, contrary to requirements established by the Secretary-General's Bulletin on that subject. In some cases, the job descriptions and classification of posts are determined by the donor Governments to fit the proposed personnel and may result in the level of the post being inflated to fit the candidate's expected earnings which the donor Government is willing to cover. Such practice upsets the grading structure of the secretariat. In terms of job security, if the present trend of UNEP funding persists, those posts funded by trust funds would enjoy greater job security than those covered by the Environment Fund.

### C. Recommendations

70. It should be noted that while the recommendations of the study are presented here, the UNEP Evaluation and Oversight Unit has established a working committee which is studying the document with a view to providing UNEP management with a plan of implementable recommendations. It is that plan once adopted by UNEP management that will be used as the implementation document for the study. The recommendations of the working committee do not, however, alter the recommendations of the report as made by the consultants.

#### 1. Action to be taken by the Governing Council

71. In light of the findings and conclusions discussed in the preceding subsections, the study recommended that UNEP conduct a major review of Governing Council decisions on the use of trust funds and counterpart contributions. UNEP was to also improve on the principles and procedures determining the areas of activities trust funds cover, how they are solicited, negotiated, approved, extended, monitored and reported.

72. In the context of the review, the Governing Council was to be requested to:

- (a) Reconfirm the Executive Director's authority to negotiate and accept trust funds;
- (b) Re-state the authority of the Governing Council in determining the overall direction and coordination of the programme;
- (c) Reconfirm the primacy of the Environmental Fund in financing the environment programme;
- (d) Establish remedial measures for mitigating the undesirable effects of current practice.

#### (a) Reinstating the primacy of the Environmental Fund

73. The Environment Fund should retain its status as the major source of funding of UNEP's environment programme. To that end, the consultants recommended that UNEP should not accept trust fund contributions from member States that have not paid up their pledges to the Environment Fund. (This recommendation is being reviewed by the working committee as it has the potential to discourage donors from putting money into trust funds).

74. It was recommended that no trust fund activities be allowed outside approved budget lines, on new and emerging issues that the Governing Council has not had a chance to consider.

#### (b) Keeping the trust funds and counterpart contributions as a supplementary source

75. The approved budget percentages established in the plan of work as approved by the Governing Council should be maintained, as should the 20 per cent flexibility margin between budget lines applied by the Executive Director.

76. The study recommends that trust funds and counterpart contributions be limited to a maximum of 200 per cent of the approved subprogramme budget. Where the need arises for additional financing to meet environmental emergencies, the secretariat should then seek and accept such financing through the Committee of Permanent Representatives. (This recommendation too is being reviewed by the working committee because it has the potential to reduce funding to UNEP).

#### (c) Provision of equal access to information on the setting-up of trust funds to all potential donors

77. The negotiations and setting-up of trust funds for all projects should be open to all Governments, for instance through an appropriate UNEP web-site. Such transparency would not only encourage more countries to

join a proposed trust fund, but also provide information to those other member States that may not be party to the trust fund.

(d) Accountability and reporting

78. Activities funded under trust funds and counterpart contributions should form part of the regular reporting of activities by the Executive Director to the Governing Council. Such reporting would provide the Governing Council with a true and full picture of the work that the secretariat accomplishes during a given programme period.

2. Action to be taken by the United Nations Environment Programme

79. The study proposes that the following actions be taken by UNEP:

(a) UNEP should develop policy guidelines on the use of trust funds and counterpart contributions that facilitate implementation of the resolutions recommended above for consideration by the Governing Council. The consultants recommended that the guidelines should include:

- (i) Reporting requirements to the Governing Council;
- (ii) A strategy for their development within the medium-term plan and in support of the environment programme;
- (iii) Provision of access to information on trust funds by potential donors.

(b) A multi-year funding framework for trust funds should be developed, in line with the medium-term plans. Such an approach would allow potential donors to benefit from a broader and longer view of UNEP's planned activities when deciding their trust fund contributions.

3. Action to be taken by the United Nations Office at Nairobi

80. The study proposes that the United Nations Office at Nairobi (UNON):

(a) Consider initiating an internal study on the management of trust funds, addressing policy and operational aspects of overall funding, including treasury functions, treasury and personnel functions and support to convention secretariats, as well as the costs of administering trust funds;

(b) Prepare, in conjunction with UNEP, a manual on the negotiation, approval and management of trust funds and counterpart contributions for the use of staff and donors, in conformity with the actions recommended by the Governing Council and the UNEP secretariat.

81. The management study is seen as an important tool by UNEP whose management team is taking the recommendations seriously. As mentioned in the introduction to this section, a working committee has been established and is examining the management study with a view to developing an implementation plan that will be submitted to UNEP's senior management group for adoption. The plan will be used by UNEP to implement the recommendations and to monitor and report on progress made in the Annual Evaluation Report of 2000.

V. APPROPRIATENESS AND RELEVANCE

82. Appropriateness and relevance are ascertained by examining whether subprogramme or project activities are in line with the objectives and mandates of UNEP. The approaches, designs, objectives and strategies

adopted should support the mandate and mission of UNEP. Set out below are syntheses of the findings of subprogramme evaluations, in-depth evaluations and reports of the self-evaluation fact sheets bearing policy implications.

#### A. Subprogramme evaluations

83. In 1999, four UNEP subprogrammes were evaluated in accordance with the standard evaluation criteria required by the UNEP Evaluation and Oversight Unit:

- (a) Caring for land resources;
- (b) Caring for biological resources;
- (c) Energy;
- (d) Environment law and institutions/Programme Activity Centre, Regional Office for Latin America and the Caribbean.

84. UNEP's primary concern is to ensure that its activities are in conformity with its mandate and objectives. In that respect the evaluation established that the goals, objectives and outputs of the Caring for biological resources and Caring for land resources subprogrammes were consistent with the mandate and objectives of UNEP. Their focus, target beneficiaries and priorities were also in conformity with the programme of work approved by the pertinent Governing Council decisions and the requirements of the regional, subregional and national beneficiaries. The approach and implementation strategy adopted in realizing the objectives, results and outputs were by and large appropriate although the evaluation identified some problems and constraints.

85. The Caring for biological resources and Caring for land resources subprogrammes further enhanced the appropriateness of their activities by creating linkages and participating in related activities and environmental problems and issues addressed by related conventions and protocols. For instance the Caring for biological resources subprogramme addressed varying emerging biodiversity issues by supporting the implementation of related conventions such as the Convention on Biological Diversity, Convention on International Trade in Endangered Species and the Convention on Migratory Species of Wild Animals (CMS). It also dealt with monitoring and assessment at the global, regional and national levels, assisting the World Conservation Monitoring Centre in particular. The foregoing collaborative approach across conventions, coupled with the integrated management and sustainable utilization of the biodiversity of oceans and coastal areas, freshwater ecosystems as well as terrestrial ecosystems, was appropriate in implementing such a multidisciplinary and multi-sectoral subprogramme. It was also found to be appropriate and relevant as a response to chapters 15 and 16 of Agenda 21.

86. The subprogramme further explored modalities for establishing a synergy arrangement with biodiversity-related conventions, such as the United Nations Framework Convention on Climate Change, for the purpose of promoting programmes of the conventions. Such linkages make the subprogrammes's activities more relevant by offering opportunities to address emerging issues and avoiding duplication.

87. During its implementation, the Caring for land resources subprogramme kept shifting its focus of activities over the three bienniums. From assessment, awareness creation and dissemination of information on desertification and degradation during the 1994-1995 biennium, the emphasis shifted to the achieving of results through the promotion of actions such as consensus-building, partnership enhancement and the development of action plans during the last two bienniums (1996-1997 and 1998-1999). The approach and strategy adopted by the subprogramme was in response to emerging environmental and developmental issues, such as those spelled out in Agenda 21 and the United Nations Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa and were considered to be in line with UNEP's Agenda 21.

88. On the other hand, until late 1998, UNEP had been severely constrained in its attempts to generate prioritized activities and projects, provide direction and undertake effective follow-up to ensure the appropriateness of activities. The evaluation has found, for example, that UNEP was unable to adequately play its part in the partnership arrangement with the UNEP Collaborating Centre on Energy and the Environment, in directing the energy subprogramme, mainly due to the fact that the UNEP Energy subprogramme had only one officer to look after the responsibilities of UNEP. Future planning on partnerships and collaboration must draw a lesson from that experience.

89. Although the collaborative arrangements between the Riso National Laboratory in Denmark, the UNEP Collaborating Centre on Energy and the Environment and UNEP enjoyed a synergy of purpose and policy, with such minimal UNEP capacity, the evaluation has noted that it was difficult for UNEP to ensure that priorities and projects undertaken by the Centre reflected subprogramme goals. The evaluation has established that there were some projects which deviated substantially from the objectives and focus of the subprogramme and did not address the real needs of beneficiary countries. This is an issue which must be addressed if future activities in energy are to benefit the needy countries.

90. Since late 1998, however, the subprogrammes have employed full time experts and it is expected therefore that their appropriateness would be assured. In the global context, UNEP should create a unique role for its energy activities which could bring additional value and/or leverage activities of other organizations since there are various organizations involved in energy, competing for the same source of funding. A further improvement that needs to be carried out is for UNEP to develop a strategy or approach on how the cross-cutting nature of energy in other development fields, such as education, healthcare and industrial development, could be recognized and incorporated in energy planning, particularly by developing countries.

91. According to the findings of the evaluations, the Caring for land resources subprogramme, as well as the Caring for biological resources subprogramme, and the Energy subprogramme have proved appropriate as a means of achieving the goal and mission of UNEP by addressing vital environmental issues and problems.

92. The Energy subprogramme, however, needs to have its mission further revised by the identification of an appropriate role for it within the prevailing international conventions and agreements, notably within the United Nation Framework Convention on Climate Change. It is also recommended that UNEP play its role in developing appropriate projects, providing guidance and monitoring subprogramme activities and delivery to ensure conformity with objectives and strategic actions identified in the relevant Governing Council's approved programmes of work. The evaluation is aware that UNEP is taking appropriate action under the 2000-2001 programme of work to reassert its full role in managing the energy sector.

93. The Environmental law and institutions in Latin America and the Caribbean subprogramme suffered from a lack of a distinct prioritized programme. While UNEP's work programme responds to decisions of the Governing Council, not all of the topics addressed by such decisions are encompassed by the decisions of the Forum of Ministers of the Environment of Latin America and the Caribbean. The divergent decisions made by the Governing Council and the Ministers of the Environment of Latin America and the Caribbean over-burden the Regional Office for Latin America and the Caribbean with too wide a range of activities. For example, in the 1996-1997 biennium, there were 30 requests for technical assistance made by Governments in Latin America. There was no planning or prioritizing, however, of the possible subjects of such advice, nor guidance as to the extent to which such advice should be given. Moreover, the scarcity of funds made it difficult to realize such a broad range of activities. Therefore, the UNEP Regional Office for Latin America and the Caribbean should set clear priorities in environmental law issues of global significance and in regional demands in order to implement a coherent work plan.

## B. In-depth project evaluations

94. In 1999, 12 in-depth evaluations of projects and two desk evaluations were undertaken by UNEP in the context of the subprogrammes. At the project level, appropriateness and relevance are assessed in terms of whether the approaches, strategies and designs of projects have supported the goals and objectives of their respective subprogrammes.

95. In this section, appropriateness and relevance will be assessed in terms of the following parameters: structure and approach adopted in the projects implemented; use of local regional expertise; relevance of missions; assumptions made in the project design process; and sustainability.

96. Overall, the evaluation has established that 86 per cent of the projects evaluated, i.e., 12 out of 14 projects, were appropriate and relevant. Those projects adopted the right approaches and strategies to addressing the identified environmental problems and issues and contributed to the attainment of objectives of their respective subprogrammes.

### 1. Approach adopted by projects

97. Under the section on appropriateness and relevance, the evaluation will discuss the assessments made on:

- (a) The Environmental law and institutions in Africa;
- (b) The Regional Office for Africa (ROA);
- (c) The Regional Office for North America (RONA).

98. The analysis of the first project revealed that the approach and structure were appropriate in realizing the objectives of the project and subprogramme, while the approaches and structures adopted by the other two latter needed review and improvement in order to appropriately address the core long-term objectives of the projects. The findings of these particular objectives are specifically identified in the present report because they help to demonstrate the strategic nature and effect of approaches and structure in realizing the long-term objectives of projects, subprogrammes, as well as the UNEP mission and mandate itself.

99. The Environmental law and institutions in Africa project adopted an appropriate approach which delivered impressive achievements and which could be summed up as follows:

- (a) The participating countries set their own priorities and activity workplans;
- (b) The knowledge and skills of local lawyers and other relevant experts were developed through challenging assignments;
- (c) The ownership and capacity-building process was encouraged through the participation of diverse stakeholder groups;
- (d) New subregional and national structures evolved for reviewing, formulating, harmonizing and implementing environmental legislation.

100. The evaluation has revealed on the other hand, the need for a review of the approach adopted by the projects "Strengthening of the UNEP regional presence in Africa in implementing its mandate in the African

region" through regional and subregional cooperative frameworks and advisory services, implemented by ROA and "Support to regional and subregional cooperation: North America", implemented by RONA.

101. The primary functions of RONA, before it was stripped of the liaison functions, were: regional liaison, environmental awareness in North America, inter-agency affairs and international liaison with the United Nations and its subsidiary bodies, including the Economic and Social Council and permanent missions. The evaluation concluded that although the functions of international liaison and inter-agency affairs are critical for UNEP in New York, they are growing at the expense of the regional functions, which are as equally important for UNEP.

102. The evaluation has recommended that the regional functions of UNEP be separated from the international liaison and inter-agency affairs functions in order to maintain equal focus on both types of functions. This recommendation has already been implemented with the Regional Office moving to Washington and the liaison functions remaining in New York.

103. The Governing Council singled out Africa for greater focus under decision 20/28 of 4 February 1999 in the context of the need for stronger regional offices for UNEP. This special focus was in line with United Nations decisions to accord greater attention to Africa in view of the general economic and development problems it is facing. The approach by ROA through the regional advisory services and the African Ministerial Conference on the Environment (AMCEN) as a strategy for implementing the regional cooperative framework has not been appropriate because it has failed to address key environmental issues in Africa. The regional advisory services have been used in meetings, seminars and workshops at national and subregional levels. Contacts have also been made with subregional bodies including the Economic Commission for Africa (ECA), the Inter-Governmental Authority on Development (IGAD) and the Southern African Development Community (SADC). These activities, however, have not addressed key environmental issues in Africa during the review period for the following main reasons:

- (a) Countries have divergent priorities;
- (b) The regional advisory services did not institute follow-up activities with the relevant bodies;
- (c) The regional advisory services' activities were not backed by resources and thus did not succeed in securing sufficient commitments from Governments.

104. The second approach adopted was to use AMCEN as the voice of Governments in addressing the environmental challenges in Africa. The role of AMCEN has been mainly one of advocacy for improving environmental action in Africa. The main means of interaction among member countries has been the biennial ministerial meetings, where policy issues and reports have been deliberated and decisions taken. The AMCEN approach has not been relevant for the following reasons:

- (a) AMCEN has not been able to create funding for its activities, but has rather depended on UNEP contributions, a fact which has weakened the mechanism;
- (b) Major follow-up activities to AMCEN meetings and decisions were not effectively implemented during the period under review because of shortage of staff at ROA which acts as AMCEN's secretariat. As a result, there has been little activity between biennial sessions.

105. For AMCEN to be relevant in the effort to mobilize environmental policy action, it must develop flexibility beyond its current structure so that at subregional levels, action can be designed and undertaken without necessarily involving all African countries. AMCEN should remodel itself to respond to subregional environmental challenges. Such an approach can result in realistic programmes by building consensus and securing the commitment of countries relatively easily. Forging practical linkages with regional and subregional

inter-governmental bodies such as IGAD, the Economic Community of West African States (ECOWAS), SADC, Organization of African Unity (OAU) and the Permanent Inter-State Committee on Drought Control in the Sahel (CILSS) can further improve the relevance of the role of AMCEN in initiating policy action in Africa.

106. The evaluation recognizes that efforts are being made to revitalize AMCEN and which, at the time of writing the present report, these had already resulted in an improvement in the funding. ROA, however, should focus more on reviewing its approaches to accomplish its mission in Africa. Most of the recommendations made in the ROA evaluation report remain valid.

107. The evaluation has further noted various design and implementation-related issues that could improve and enhance the relevance and appropriateness of projects in relation to UNEP's mission and mandate. These design and implementation issues must be addressed by programme managers and incorporated into UNEP's future activities.

## 2. Use of local regional expertise

108. The Environmental law and institutions in Africa and NIEM Phase III project were exemplary in extensively using local expertise, wherever possible, in implementing the projects. Institutions supporting NIEM provided back-up support at the first level and NIEM-UNEP provided support to those institutions. This resulted in a much more stable pyramid-like structure which produced a change in cleaner production assessments that is likely to be permanent. Such use of local institutions has also become a conducive basis for strengthening the networking in the relevant subregions. The same is true of the Environmental law and institutions in Africa project where African expertise provided invaluable support.

## 3. Need to review missions and approaches

109. Those objectives or goals of programmes and umbrella projects which, due to their very nature (scope and duration) are extended successively every year, ought to be revisited in light of changing contexts, including: experiences accumulated, development of emerging environmental issues or shifting priorities. A case in point is the Priority Action Programme/Regional Activity Centre which is a national support organization managed by the Croatian authorities within the framework of the Mediterranean Action Plan. It implements activities under the guidance of the UNEP/ Mediterranean Action Plan coordinating unit and should now, according to the evaluation, revise its mission to focus on integrated coastal area management, in order to make good use of new opportunities and face new environmental challenges. This recommendation flows from the Priority Action Programme's experience in integrated coastal area management and related fields and particularly in the integrated approach to planning and decentralized implementation, which has proved successful in the implementation of the Convention for the Protection of the Marine Environment and the Coastal Region of the Mediterranean (Barcelona Convention) and associated protocols. The evaluation revealed that the Programme has played a pioneering role in promoting sustainable coastal management in the Mediterranean region. Its experience has resulted in amendments to the Convention extending its geographical scope to coastal areas and including the commitment to promote the integrated management of the coastal zones. These two specific amendments provide the Programme with the opportunity to review its mission.

110. The evaluation further recommends that the revised mission should position the Programme strategically, enabling it to focus its activities exclusively on coastal area management, while responding to the expanded mandate that now covers all Mediterranean coastal areas and not just a few selected target areas. This expanded mandate, adopted by a protocol, could serve as the basis for the Programme to accordingly revise its mission to be the regional centre for sustainable coastal management in the framework of Mediterranean Action Plan and UNEP. Such a focus would give it the international profile that it deserves, provide it with a landmark opportunity to consolidate the experience gained over the greater part of the last three decades and enable it to catalyse and mobilize policy action in the target interregional countries and beyond. The evaluation also notes

that because of the Programme's present national status, a feasibility study on legal and financial implications of the proposed new mission should be conducted.

#### 4. Assumptions made in project design

111. During the project design process, assumptions are often made for example, on the expected extent of material support, level of commitment of participating or partner organizations, which often impact on project performance in terms of timely completion and quality of outputs. Many projects, for instance, were not able to correctly assess, during the project formulation phase, the relevant minimum knowledge, local institutions, institutional infrastructure and government procedures necessary to launch projects.

112. The evaluation found that it was unrealistic to set out six months as the time-frame for completion of the project "Assistance to Selected Non-Annex I Parties for the Preparation of Initial National Communications - Mauritius". In fact the project completion was actually delayed by almost one year. Furthermore self-evaluation fact sheets have similarly revealed that the average delay of such ongoing projects in nine countries is already about a year, which further corroborates the fact that assumptions made during the project design process are not necessarily the result of the best assessments of key factors. Future project designing must address this issue and make sure that such weaknesses do not recur.

#### 5. Sustainability approach

113. The concept of sustainability of project outputs and results is one of the core principles in the design of UNEP's projects. Ensuring the participation of a broader spectrum of stakeholders in the design and implementation of projects and highlighting the capacity-building components are two of the most generally used and considered appropriate approaches and strategies. Thus all UNEP subprogrammes and projects are embedded with elements or components in their project design addressing sustainability. One of the projects that has incorporated specific components, elements or activities addressing sustainability in its project document and workplan is the project: Use of geographic information systems in agricultural research – Phase II. The project started developing a new concept and structure from the date of the commencement and at its completion a consortium composed of interested parties was formed to take charge of the continuity of the project in a more advanced manner. UNEP needs to learn from this and incorporate this sustainability approach into future projects.

114. A further exemplary performance in this aspect of project implementation is that achieved by the project: Establishment of a network for industrial environmental management (NIEM III), whose beneficiaries were seven Asian countries. The objective of the project was to improve national capabilities in environmental management by initiating and supporting cleaner production assessments with the aim of demonstrating the feasibility and advantages of adopting cleaner production in mills. The project has gone reasonably far in ensuring the sustainability of the results achieved upon its completion. The evaluation revealed that the project ensured sustainability by institutionalizing the activities and results in the following manner:

(a) Cleaner production activities were continued in 46 out of a total of 52 core mills which participated in the project;

(b) The capacity of national and subregional institutions which provide technical assistance to industry in cleaner production has been enhanced;

(c) There is increased awareness and readiness on the part of industry and related sectors to provide and develop cleaner production programmes for their staff and member industries respectively;

(d) The attitude of regulatory agencies has been significantly changed from a reactive to a proactive one.

115. The two projects referred to above have gone beyond the mere attainment of results and created a capacity that has enabled the impact to continue being felt, while ensuring better management of the environment.

### C. Self-evaluation fact sheets

116. Of the 287 ongoing projects 79 (27 per cent) submitted their self-evaluation fact sheets. Of those submitted 90 per cent were considered relevant to the mission of UNEP - an improvement of 3 per cent in relation to the figures in the 1998 Annual Evaluation Report. In addition, this year's self-evaluation fact sheets were better prepared than those of 1998.

117. The self-evaluation reports also indicate that over 85 per cent of the projects reported are from developing countries and countries with economies in transition. In terms of scope, 37 per cent are regional or subregional, 30 per cent are global and 20 per cent national (Figure 1). The ranking conforms with the UNEP mandate of global and regional focus.

118. Furthermore, in functional terms, the projects that submitted self-evaluations are largely policy development or capacity-building-based projects that support the implementation of environmental conventions. Seventy five per cent (75 per cent) are from the Sustainable management and use of resources subprogramme and 22.4 per cent from the Global and regional servicing and support subprogramme (Figure 2).

119. From the above findings, the evaluation concludes that the projects which submitted self-evaluation fact sheets are not only relevant and appropriate to the attainment of the objectives of their respective sub-programmes, but also appropriate and consistent with UNEP's environmental mission, global and regional mandate and functional focus.

Figure I: Scope of project

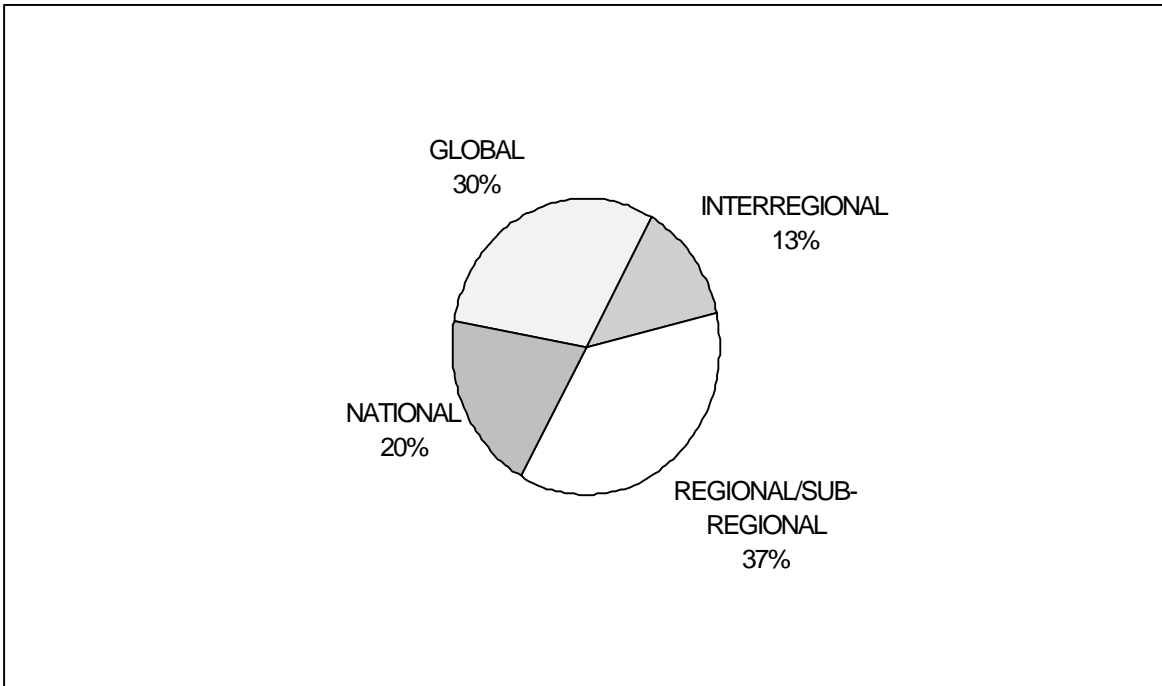
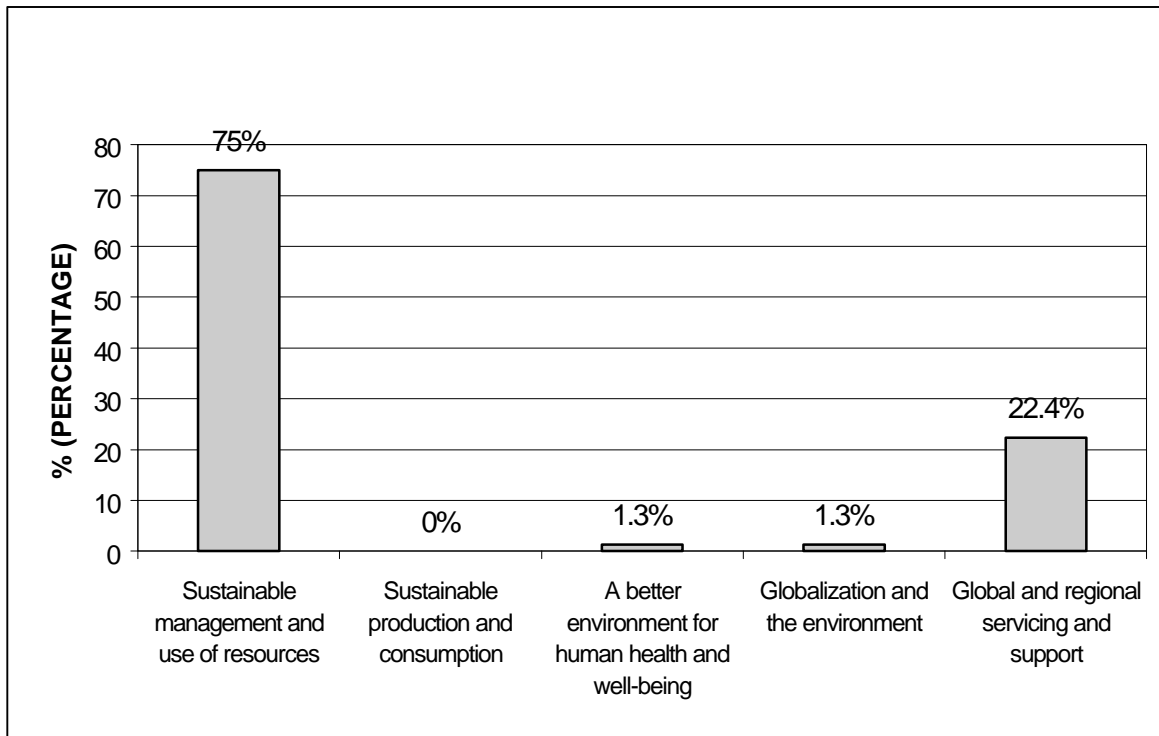


Figure II: Distribution of projects across subprogrammes



## VI. EFFECTIVENESS AND EFFICIENCY

120. Effectiveness is a parameter UNEP uses to measure the extent to which a subprogramme or project is successful in achieving intended results and the impact that these results have. UNEP measures how effectively subprogramme activities respond to identified environmental problems and what contribution these make to a better managed environment.

121. In the present report, effectiveness is determined by assessing the management and financial systems, which affected subprogramme and project delivery such as: operational mechanisms UNEP employed to support activities and projects, administrative procedures, financial systems and institutional arrangements as well as UNEP collaboration with other organizations. Efficiency has to do with whether the resources allocated for an activity or project were effectively utilized to achieve planned outputs or results.

### A. Subprogramme evaluations

#### 1. Extent to which expected outputs and results have been achieved in relation to the planned budget and time-frame

122. UNEP has addressed environmental problems and issues by adopting the following pattern of conceptual approach:

- (a) Gather, assess and disseminate information;
- (b) Develop consensus on policy development at the global, regional and national levels;
- (c) Support and catalyse the implementation of actions to realize the environmental objectives reached by consensus, through a variety of activities and projects, including those addressing capacity-building, awareness-raising, as well as collection, assessment and dissemination of information.

123. All of the three subprogrammes evaluated have realized important outputs in the areas of policy development and promotion of action; capacity-building; assessment, information collection and dissemination; and awareness-raising.

124. Overall, the activities of all the subprogrammes reviewed have effectively supported the objectives of UNEP.

#### (a) Assessment, development of databases and dissemination of information

125. The assessment tools, methodologies, databases, metadata and information systems developed as well as the documents produced on identified environmental problems, have helped countries to develop plans, strategies and actions to prevent and mitigate the negative effects of environmental problems.

126. The Caring for biological resources and Caring for land resources subprogrammes have promoted efforts to develop relevant information systems as a key instrument in building and enhancing national capacity for planning and developing strategies to address environmental issues.

127. In collaboration with the World Conservation Monitoring Centre, the UNEP Caring for biological resources subprogramme has developed a biodiversity-data-management capacity in networking biodiversity information in developing countries. Guidelines to support information management, as well as the compilation of national resources inventories (meta-databases) had been completed by the end of the 1998–1999 biennium.

This initiative helps countries to develop plans, strategies and actions for the conservation and sustainable use of biodiversity. During the biennium, ten developing countries were involved: Bahamas, Chile, China, Costa Rica, Egypt, Ghana, Kenya, Papua New Guinea, Poland and Thailand. In some countries, updated biodiversity data management plans had also been already prepared.

128. In the area of national desertification assessment, the Caring for land resources subprogramme undertook activities in China, Kenya, Pakistan and West Asia. The subprogramme improved information on the status, trends, cause, effects and interlinkages of the degradation process in dryland ecosystems and their resources. It also enhanced the effectiveness of various conventions, action plans and global, regional and national policies. Some of its achievements were in the form of better methodologies (including benchmarks) and mechanisms for the monitoring, review and assessment of causes, extent and effects of dryland degradation.

129. The Caring for land resources subprogramme has also established three regional world soils and terrain digital databases (SOTER) in Africa, Eastern Europe and West Asia, for training purposes and rendering data on soils and terrain resources available to policy makers, resource managers and the scientific community.

130. The Environment law and institutions in Latin America and the Caribbean subprogramme has developed an information system on environmental law for Latin America and the Caribbean, which by 1995, contained 5,559 sets of regulations from 20 countries of the region. The system has also responded to environmental law information requests from different government agencies, non-governmental organizations and individuals.

131. In order to ensure the effective use of the databases and information systems, such issues as facilitating access to all users, responsibility for the regular updating of the dynamic elements and relationships of the data collected and assessments made, as well as the scope and focus of these systems, need to be further addressed.

(b) Policy development and promotion of action

132. UNEP subprogramme outputs that support policy development and promote actions at the global, regional and national levels, usually include: multilateral environmental conventions, regional arrangements, development and application of various analytical tools and methodologies used for assessment and policy development, guidelines, action plans, frameworks, studies and implementation approaches.

133. The two subprogrammes - Caring for land resources and Caring for biological resources - produced, as planned, such outputs as technical guidelines, reports on relevant economic issues related to valuation and the protection of biodiversity, project documents on global policies, strategies and action plans. The subprogrammes were successful in achieving their stated results which had a direct positive impact on the identified environmental problems. UNEP needs, however, to take these issues further when planning its future activities and build mechanisms that will measure and monitor the contribution that is being made by UNEP activities to the quality of environmental management. At present the system only measures the achievement of results but does not measure the impact of those results on the environment.

134. In the 1994–1995 biennium, the most significant achievement of the Caring for land resources subprogramme was the completion of the negotiation of the Convention to Combat Desertification, within two years of the 1992 Earth Summit, on 17 June 1994, in Paris, where it was signed by 85 countries. UNEP's role in the process of negotiation was prominent and thereafter UNEP provided the start-up funds for the interim secretariat, organized pilot studies and mobilized administrative and technical support for the interim secretariat. The Convention to Combat Desertification now serves as the global, regional and national action framework desertification control, mitigation and adaptation. It can therefore be concluded that UNEP was effective in its role as the prime mover of that Convention. The activities of the Convention directly address the environmental problems of desertification.

135. The Caring for land resources subprogramme has also developed a conceptual framework to assist Governments and subnational organizations to develop policies for the integrated management of dryland ecosystems. The Governments of Chile, Mexico, Mongolia and Pakistan were given assistance to complete their respective national desertification control strategies in collaboration with the Food and Agriculture Organization of the United Nations (FAO) and United Nations Development Programme (UNDP) during the biennium under review.

136. As a catalytic effect of the Convention to Combat Desertification, UNEP and the UNDP office to Combat Desertification and Drought signed an agreement to transform a long-standing joint venture into a partnership to combat desertification and drought, for the purpose of developing joint programmes and mobilizing resources. The Caring for land resources subprogramme also successfully concluded new collaborative arrangements with non-governmental organizations, in particular, with the International Non-governmental Organization Network on Desertification, RIOD.

137. The UNEP International Technical Guidelines for Safety in Biotechnology (1996) are, for example, an outcome of seven regional and subregional consultations and an apex global consultation meeting attended by various United Nations entities, representatives from industries and government designated experts. To ensure wider distribution and use, the guidelines were produced in six languages – Arabic, Chinese English, French, Russian, and Spanish. Consequently, they were used to build a global consensus by serving as a broad reference for developing and developed countries to couch relevant policies.

138. The Environmental law institutions in Latin America and the Caribbean subprogramme offered technical assistance to nine countries in the region to develop environmental legislation. Many of these technical assistance efforts encouraged processes for drafting environmental laws and raised awareness on the need to implement international conventions like the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) or the Convention on Biological Diversity. It is true to say today that thanks to the contribution of the programme, most of the Latin American countries have environmental codes and legislation.

139. The Caring for biological resources, Caring for land resources and Environmental law institutions in Latin America and the Caribbean subprogrammes can therefore be said to have been effective because they were successful in achieving the goal of attaining improved capacities to develop environmental policies. It has also been demonstrated that the results achieved by them are in line with the identified environmental problems.

(c) Capacity-building

140. All the subprogrammes evaluated have developed and implemented capacity-building, mostly through workshops, expert meetings, conferences and consultations. The target groups have ranged from regional parliamentarians, legal practitioners and regulators who have benefited from ROLAC programmes to scientists, technicians, and policy makers who have participated in the Caring for biological resources and Caring for land resources subprogrammes. Overall, the subprogrammes evaluated executed about 75 per cent of their planned capacity-building activities, within the budget and planned time-frame. The evaluations have also observed that these activities had some influence in terms of galvanizing action on the environmental issues they addressed.

141. The Caring for biological resources subprogramme spent more than 50 per cent of its resources on the development of human capacities through workshops, expert group meetings, conferences and consultations. The activities included hosting global, regional and subregional consultations, working groups and workshops, as well as organizing conferences and lending support to the implementation of national biosafety mechanisms. The evaluations established that more than 10,822 participants attended meetings organized or sponsored by UNEP during the 1996–1997 biennium broken down as follows: 6,818 participants in expert group meetings, 3,948 in workshops and seminars and 56 in training courses on biological risk assessment and biodiversity data management.

142. The evaluation was not able, however, to assess the effectiveness of the individual activities. As noted in previous annual evaluation reports, the lack of follow-up action on training programmes continues to constrain the effectiveness of capacity-building activities of UNEP. The issue of follow-up needs to be addressed since capacity-building is a major activity of UNEP.

143. UNEP could ascertain the effectiveness and efficiency of its capacity-building activities, more positively if a thorough study were conducted to:

(a) Determine what type of capacity-building methodology suits a particular level of training at the regional and national levels;

(b) Assess the feasibility and effectiveness of UNEP giving more emphasis to the capacity-building of regional and national institutions rather than individual persons.

144. There is need to determine whether individual training is more effective and creates more impact than institutional capacity-building.

145. The rationale for UNEP responding to the need to forge a strategic alliance with regional or subregional institutions for implementing capacity-building, should be seriously addressed in order to ensure the sustainability of human and institutional capacities at the regional and national levels. Indeed one of the pillars of sustainability is human and institutional capacitation.

146. The evaluation recommends that UNEP should conduct a comprehensive study in the year 2001 on the capacity-building activities it has carried out over the last ten years (1990-2000), across subprogrammes, sectors, functions and regions, to assess their effectiveness in terms of achieving sustainable capacity. Through that study, UNEP will be able to determine the impact that is being created by such activities on better environmental management.

(d) Awareness-raising

147. The subprogrammes evaluated have, to varying degrees and levels of priority, implemented awareness-raising programmes based on their respective plans. The findings of the evaluation is that most of the planned outputs were achieved within their respective allocated budgets and planned time-frame. The failure to attain awareness-raising in some cases is attributed to financial and staffing constraints.

148. In its raising awareness on various environmental issues and problems, UNEP targets appropriate stakeholders: the general public, special interest groups, the youth, women, peasants, industrialists, workers and policy makers. UNEP uses various means, such as films, leaflets, publications, awards and media events to inform, educate and influence stakeholders in order to raise their awareness with the final aim of mobilizing support for its activities and triggering action, at the global, regional and national levels, to address particular environmental issues and problems. The evaluations conclude that UNEP has been very effective in raising environmental awareness at the global, regional and national levels, as demonstrated by the many environmental efforts and activities that have been initiated at all levels.

149. In carrying out such awareness activities, UNEP enters, where possible, into partnership with donors, local and international non-governmental organizations and other national and governmental bodies. Such linkages enhance relevance and ensure the relative commitment of partners in the implementation of programmes and projects.

150. One awareness project which does provide relatively adequate information on which to base judgement on project effectiveness is the Success stories in desertification project implemented by the Caring for land resources subprogramme. This joint project by UNEP and IFAD seeks to raise global awareness that land

degradation in the drylands can be both prevented and corrected. The project encourages the replication of promising approaches by disseminating information. Following an examination of information on the project, the evaluation has established that success stories have been evaluated and awards given to 18 winning projects. Pamphlets and brochures published on success stories in desertification and land degradation control have been published, distributed and disseminated through papers and articles in the UNEP Desertification Control Bulletin.

151. The outputs have been distributed to target audiences and in some cases even beyond such groups. The evaluation could not establish, however, whether the outputs (leaflets, publications, films) were an effective means of raising awareness or even whether they were applied by the target groups involved. UNEP should introduce follow-up activities to assess the effectiveness of individual methods and activities carried out to raise awareness of identified environmental concerns. Awareness-raising seems to be an area where UNEP has done well, a follow-up study should be carried out by the Evaluation and Oversight Unit in collaboration with the Division of Environmental Policy Implementation in 2001 so that this success can be widely shared.

(e) Reports and policy documents

152. The evaluation has established that UNEP policy documents are produced by the subprogrammes evaluated as valuable reference documents for other United Nations entities as well as international and national institutions which are involved in policy development and the implementation of relevant environmental programmes at the regional and national levels. Such documents contribute to the development of policy consensus in dealing with environmental issues, which is the major mandate of UNEP.

153. During the three bienniums, the Caring for land resources and the Caring for biological resources and the Environmental law institutions in Latin America and the Caribbean subprogrammes, produced important documents for use by stakeholders.

154. The Caring for land resources subprogramme produced about 17 one-off publications on topics ranging from World Atlas of Desertification to Directory of Arid Lands Institutions. A number of workshop proceedings on policy-related issues were also published and distributed.

155. The Caring for biological resources subprogramme has also produced environmental policy documents, such as, "Ways and means to promote and facilitate access to, and transfer the development of technology" (1977) and Capacity-building for Biosafety: Options for Action. These documents were prepared in the context of article 8 (g) and article 19 of the Convention on Biological Diversity and are being used by the Convention's Parties to regulate and manage the risks associated with the use and release of living modified organisms into the environment. The subprogramme has also been responsible for the UNEP forest policy and proposed action programme for the period 1996-2000 and led to the issuing of: Linking Global Environmental Issues with Human Needs: opportunities for Strategic Intervention, which was produced by UNEP, the National Aeronautics and Space Administration of the United States and the World Bank.

156. An important policy-related document produced and distributed by the Caring for biological resources subprogramme is the 800-page volume Cultural and Spiritual Value of Biodiversity. The publication targets the general public, addressing information on the application of traditional knowledge as well as religious and moral issues related to the conservation and sustainable use of biodiversity.

157. A publication which has been dubbed as the flagship activity of the Caring for biological resources subprogramme is the UNEP Biodiversity Programme and Implementation Strategy – A Framework for Supporting Global Conservation and Sustainable Use of Biodiversity, which addresses the objectives, programmed areas and implementation strategy.

158. The Environmental law institutions in Latin America and the Caribbean subprogramme has also produced important policy-related documents that could contribute to environmental national policies and enhance the regional harmonization of environmental policies. The documents have included:

- (a) A comparative study on access to environmental justice (1999);
- (b) A report on environmental impacts of economic policies in Central America (1999);
- (c) Four environmental handbooks on environmental policy and law in EL Salvador, Honduras, Guatemala and Panama (1999).

159. These documents deal with issues including strategic opportunities for intervention that link environmental matters with development, and have been distributed to government policy makers, scientists, relevant convention secretariats and international organizations. Publications in UNEP form one of the major pillars of the organizations' outputs. It is essential for a follow-up study to be carried out in 2001, to determine who uses such publications and the impact they have on environmental action by Governments and other users.

(f) Publications, journals and bulletins

160. All the subprogrammes evaluated produce journals, bulletins and publications targeted at various stakeholders. The publications were up to standard and have served as a forum for the exchange of information, awareness-raising and consensus-building on relevant environmental policies. Some of the publications are scientific and research based while others address the socio-economic dimension of environmental issues and problems. Some are regular while others are one-off publications. In 1996 and 1997, the Caring for biological resources subprogramme alone issued a total of 44 publications, studies and reports. The quality of these publications has been up to standard and they have been produced according to schedule. The targeted audience of the publications includes: researchers, development scientists, lecturers, government officials and non-governmental organizations. It has to be said, however, that uncertainty of continuing financial support poses a problem to forward planning and dynamism. For instance, at the time of evaluation, there was no budget for the next issue of Desertification Control Bulletin.

161. The project on Environmental law institutions in Latin America and the Caribbean started publishing a bimonthly bulletin *Misiva Ambiental* in 1997. The content of the publications was assessed as excellent by the evaluation and has the potential to make a significant impact on government environmental policy makers, particularly in the development of laws and promotion of environmental law education. The publication, however, was distributed by ROLAC mainly to selected government officials of the countries in the region. The impact of this publications can only be limited under such an informal distribution system.

162. Most of the UNEP publications are now distributed by a UNEP distribution centre, based in the United Kingdom of Great Britain and Northern Ireland, including those of the Caring for land resources and Caring for biological resources subprogrammes. At the time of evaluation, the publications of the Energy subprogramme were distributed by the UNEP Collaborating Centre on Energy and the Environment and not by the UNEP distribution agency.

163. It is vital for UNEP to channel the distribution of its publications through such a specialized agency in order to facilitate wider and targeted distribution aimed at a maximum use of its publications. Such a specialized private agency, with a profit motive, can be a valuable means of wider distribution, as it relieves the UNEP units, which do not usually possess the required expertise, from the burden of distribution.

164. UNEP could further maximize its benefit if it requested the agency to submit regular reports on institutional buyers and subscribers of the publications. Such reports could then help UNEP to assess whether the intended targets are having access to its publications. Furthermore, the Evaluation and Oversight Unit

should design a questionnaire on its website as part of the study to establish the impact of reports and publications on the environment.

## 2. Extent of collaboration with other partners

165. The effective execution of UNEP's catalytic role very much depends on how UNEP effectively raises environmental awareness in the international community at large, develops consensus and influences Governments, non-governmental organizations, United Nations agencies and other international and intergovernmental organizations into action.

166. The two subprogrammes – Caring for biological resources and Caring for land resources - have effectively collaborated with pertinent partners in the development and implementation of the subprogramme activities. They have forged partnerships in order to:

- (a) Jointly develop projects;
- (b) Produce outputs;
- (c) Mobilize funding;
- (d) Create and sustain networking.

167. One of the strong features of the programme execution of the Caring for land resources and Caring for biological resources subprogrammes has been their capacity to forge linkages and collaboration. Many of the outputs (guidelines, studies, scientific reports and policy reports) of the Caring of biological resources subprogramme were jointly sponsored by UNEP and other United Nations entities as well as international organizations. Such partners included: FAO, the African Centre for Technology Studies, the Consultative Group on International Agricultural Research (CGIAR), CITES, the Convention on Biological Diversity, the Organisation for Economic Development and Cooperation, NASA, the Conservation Monitoring Centre, the Commission on Sustainable Development, the International Plant Genetic Resources Institute (IPGRI), the World Conservation Union, the Smithsonian Tropical Research Institute, the United Nations Educational Scientific and Cultural Organization, the World Wide Fund for Nature (WWF), United Nations Industrial Development Organization (UNSCO), World Conservation Monitoring Centre, the World Resource Institute, the World Health Organization (WHO) and the World Bank.

168. The Caring for land resources subprogramme activities have also been planned and implemented in partnership with other stakeholders from both within and outside UNEP. The subprogramme's partners have included Governments, communities, non-governmental organizations and United Nations agencies (e.g. UNDP Office to Combat Desertification and Drought, United Nations University, World Meteorological Organization, Global Environment Facility (GEF), and FAO) and other international organizations, such as CGIAR. These collaborative efforts have engendered beneficial activities such as:

- (a) Formulation and ratification of the Convention to Combat Desertification;
- (b) Development of national environmental action plans;
- (c) Awareness-raising;
- (d) Joint funding of projects.

169. The Environmental law institutions in Latin America and the Caribbean subprogramme cooperated with various national, regional and international organizations, in an effort, in particular, to strengthen the

information system developed by the subprogramme. The subprogramme formed a new organization called the Consortium for Judicial Environmental Information (CONLEX), comprising ROLAC, IUCN, Central American Commission for Environment and Development, Organization of American States the Mexican Environmental Law Centre and the Latin American Association for Environmental Law. Unfortunately, for lack of funds the association did not become operational. ROLAC needs to exert greater efforts to forge linkages with other sister United Nations agencies and other regional and international organizations to collaborate with UNEP in funding, developing and implementing environmental programmes and projects.

170. The evaluation views these UNEP collaborative efforts very positively. The collaborative efforts enable UNEP to impact on the global environmental agenda more strongly because the collaborators and partners are major global and regional players and UNEP thus has an opportunity to influence their work while increasing environmental awareness.

171. The Energy subprogramme, however, did not forge many interactions with such United Nations agencies and bodies as UNDP, UNESCO, UNIDO and GEF which have activities involving sustainable energy. Neither did it interact with bilateral cooperation agencies and development banks to influence and promote support for investment on sustainable energy. The evaluation concludes that the lack of such linkages has meant lost opportunities for the Energy subprogramme. One of the core aims of the Energy subprogramme should be to influence policy makers to incorporate environmental considerations, as well as appropriate technology and economic considerations, in the planning of the energy and non-energy sectors, such as healthcare, education and industrial development. The Energy subprogramme has yet to forge such partnerships with appropriate national, regional and international institutions in the development of sustainable energy technology, training, policy development and investment.

172. The evaluation is aware that there has been much improvement in staffing, as well as in the communication and dialogue between the Energy subprogramme and the UNEP Collaborating Centre on Energy and the Environment. This positive development is expected to enhance the effectiveness of future subprogramme activities.

### 3. Effectiveness of structure and management

173. The structural and operational mechanisms, institutional and financial arrangements, inter-subprogramme cooperation and the change in UNEP's institutional structures introduced over the last three bienniums have had diverse effects on the effectiveness of outputs and results.

174. The last three bienniums have been characterized by rapid structural changes in UNEP. The effect on programme delivery of the latest change from a sectoral to a functional structure is too early to determine. The evaluation has, however, observed that the management and coordination of ongoing projects falling under the new structure, but developed under the previous structure, seemed to have posed operational difficulties. In the context of the functional structure it is already evident that thematic evaluations will become more difficult. Many activities which were started during the previous structure have not been followed up and have fallen between the cracks. Many of the recommendations directed at Caring for land resources and Caring for biological resources subprogrammes in previous evaluations could not be implemented because of the structural changes. This is the undesirable side effect of continuous restructuring which negatively affects programme delivery. Furthermore, many of the lessons learnt from these evaluations are being lost because many of the staff who were involved in the activities are either doing different things or have moved on.

175. With respect to management and coordination, the Caring for biological resources subprogramme seemed to have developed and practised an effective follow-up mechanism. Team leaders provided leadership and guidance in the management and execution of project activities grouped under themes. Regular meetings to review progress in the management of individual projects were held at the subprogramme level where decisions

on corrective measures, review of approaches, extensions and inclusion, postponement and suspension of activities were made. It is clear that subprogramme delivery has benefited from such management strategy.

176. The Caring for biological resources and Caring for land resources subprogrammes have effectively benefited from close internal collaboration which has contributed to their programme delivery. The need for inter-subprogramme cooperation within UNEP is necessary because cross-cutting issues need to be addressed jointly and subprogrammes can also provide relevant inputs into the development of projects thereby ensuring comprehensiveness.

177. The timely provision of finance for implementing the programme of work and budget approved by the Governing Council has been a major constraint in the efforts to achieve successful subprogramme delivery. During the bienniums under review, a number of approved activities could not be implemented due to the overall reduction in the Environment Fund caused by reduced voluntary contributions by Governments. In the early to mid-1990s, Governments did not provide UNEP with matching resources to enable it to effectively implement the approved programme of work.

178. This structural problem often calls for radical rephrasing, postponing or reduction of activities to match available resources. Although subprogrammes often make substantial efforts to secure funding from extrabudgetary resources, they have often been unsuccessful in covering the funding gaps. UNEP recognizes the implications of the changing financing structure and the recurring mismatch between approved programmes and available resources as a structural problem. There is a clear lack of financial stability which disrupts activities and upsets subprogramme priorities. In that respect, it may be appropriate for UNEP to impress upon the Governing Council the need to review UNEP's funding structure. The findings and recommendations of the management study on trust funds and counterpart contributions, whose summary is presented in section four of the present annual evaluation report, could serve as a basis for a major review. Other efforts such as the resource mobilization proposed for a fully funded core programme are steps in the right direction. On its part, the Governing Council cannot afford to continue to ignore this chronic problem that negatively affects UNEP's ability to deliver a quality environment programme.

## B In-depth project evaluations

### 1. Extent to which planned outputs and results have been achieved

179. In-depth evaluations have established that about 75 per cent of the projects evaluated have achieved 85 per cent of their planned outputs and results and about 10 per cent have exceeded their remit. Under this section, the report will present a synthesis, through broad areas of activities, of the factors that impacted on the level of effectiveness in project implementation. The high level of achievement, however, shows UNEP's improved delivery even under very difficult conditions.

#### (a) Policy development projects

180. Such projects are typically involved in assisting countries to develop policy instruments through for example: a methodological framework for calculating the cost of climate change mitigation activities; the establishment of an initial framework for the assessment of mitigation options and strategies at the regional level such as that conducted for SADC and Andean Pact countries; the development of environmental law projects for the African and Latin American countries; support to the preparation of national biosafety frameworks for 18 countries; the development and implementation of policies, plans and regulations on coastal and marine resources management in Egypt and Yemen; support to the intergovernmental negotiation process and implementation of conventions; and initial national communications related to the United Nations Framework Convention on Climate Change.

181. Typically, policy development outputs – studies, frameworks, environmental laws and legislation that translate policies into laws – serve as a basis for implementation and enforcement. In-depth project evaluations have identified the following factors impacting on the degree of effectiveness of policy development outputs: availability of adequate qualified human and financial resources; the scope and level of participation of relevant stakeholders in the process of developing policy instruments; the involvement of higher government authorities in the planning and follow-up of implementation; correct assessment of the requisite policy needs at the national and regional levels; determination of the right time-frame for project implementation at the time of project design.

182. The evaluations have found that UNEP through such activities has significantly contributed to policy and legislation development which have effectively impacted on environmental management. Thus UNEP can be considered to be successful in this area in its effort to address some of the most pressing environmental concerns.

(b) Assessment development of databases and information dissemination

183. Assessment and information activities were also carried out under projects focusing on policy development and awareness-raising. The first and second Global Environment Outlook (GEO-1 and GEO-2) processes desk evaluation assessed this critical area of UNEP activities.

184. The GEO process products, the GEO-I and GEO-2 assessment reports, are the flagship publications of UNEP. The evaluation has identified the following strengths in the GEO process which impact on the continuing improvement of the effectiveness of the GEO reports :

- (a) The consultative and participatory approach boosts a sense of ownership and leads to the production of a widely accepted and authoritative report;
- (b) The report demonstrates the link between proper environment management and sustainable development as well as the appropriateness of a multisectoral approach to resolving environmental issues and implementing sustainable development at the regional and global levels;
- (c) The application of an integrated assessment methodology and the networking of national, subregional and regional institutions;
- (d) The development of an institutional capacity for the collaborative centres in developing countries and the expansion of the capacity of the networks to conduct environmental assessment;
- (e) The GEO process has catalysed the creation of an important multidisciplinary research partnership among scientists as well as policy makers at national, regional and global levels around the crucial issues of environment and development.

185. The evaluation concluded that the GEO process and reports have effectively served UNEP's objective of providing assessments and information to develop policy consensus and promote action at the global and regional levels. Furthermore, they have been demonstrated to be an effective means by which UNEP keeps the global environment under review. In order to further improve the quality and utility of the GEO reports, however, UNEP should address the following areas:

- (a) Strengthen staffing at the head office to enhance the effectiveness of coordination;
- (b) Involve the other divisions of UNEP in the GEO process;

(c) Develop capacity-building components through the entire GEO process at the national and regional levels;

(d) Workout a strategy for wider dissemination and use, including reviewing the cost and mode of production and distribution and facilitation of access to various potential users.

(c) Awareness-raising

186. Awareness-raising is also one of the tools UNEP uses to influence public awareness at various levels in order to create a constituency which advocates for the development of positive policies and action that deal with environmental problems. The project on the use of geographic information systems in agricultural research jointly sponsored by UNEP and CGIAR, is one of the projects which had a distinct component of awareness-raising activity in the application of geographic information systems in agricultural research. The target was the technical staff as well as the senior managers of CGIAR institutions and the objective was to influence policy makers of CGIAR institutes to invest in geographic information systems technology and capacity-building, with the aim of instituting an effective management tool that could foster comprehensive understanding through geographically referenced information on environment, natural resources and socio-economic issues.

187. The awareness-raising package produced, contained 43 examples of varying geographic information systems applications and was found to be an effective means of informing and educating the beneficiaries about the diverse uses of such systems in agricultural research which promote an integrated approach to environmentally sustainable agriculture.

188. The fact that over 50 per cent of the CGIAR institutes voluntarily formed a consortium to continue the aims of the reviewed projects demonstrates that the awareness package has effectively influenced policy makers into recognizing the importance of geographic information systems technology as a tool for integrated planning towards sustainable agriculture. This commitment proves the effectiveness of the means used to raise awareness and nurture attitudes of policy makers towards positive change.

(d) Capacity building

189. Most of the projects evaluated had capacity-building components or activities and some were capacity-building focused. An analysis of the in-depth evaluations would lead to the conclusion that on the whole about 85 per cent of capacity-building activities were successfully executed - within the set time-frame. In some countries, the capacity built through some projects had already been used in the design of concrete policies and measures in directly or indirectly related fields, such as in the development of climate change mitigations. As also noted in the analysis of subprogramme evaluations, in about 80 per cent of the cases, a follow-up activity procedure is required to determine their level of application on the ground, hence the impact being created.

190. The capacity-building activities included: training individuals in different aspects of environmental law and its application, such as drafting, enforcement, research and dissemination; training in assessment methodologies and the development of frameworks; and technical and scientific aspects of understanding and dealing with environmental problems. In all these areas, the evaluation recognized that UNEP's capacity-building activities have helped many countries to achieve a minimum critical mass of skilled human resources in various environmental issues. The following aspects of capacity-building need to be taken on board, however, in order to further enhance effectiveness and sustainability:

(a) UNEP should develop general criteria on the selection of participants and follow up their activities after the training course. This follow-up can be done by mail or e-mail to minimize costs;

(b) Offer a follow-up training or capacity-building programme to upgrade the participants' knowledge and performance at reasonable intervals;

(c) Wherever possible, use experts from the region since such experts would be more familiar with the broader environmental contexts and socio-economic conditions obtaining in a specific region;

(d) In substantive terms, where applicable, emphasis must be given to case studies to ensure relevance and practicality;

(e) There is need for a regular review of methodological guidelines and training packages in light of experience and regional diversities.

191. The other important point that came out from in-depth project evaluations is the suggestion that capacity-building support to relevant regional institutions is in the long-run a more effective and cheaper approach for enabling regions achieve capacity. In future, UNEP should seriously review the effectiveness of its approach and the specific methods it applies in its capacity-building activities. The follow-up study on capacity-building in 2001 should provide solid material for a new strategy.

## 2. Extent of collaboration with other partners

192. Most of the in-depth evaluations have revealed that projects have collaborated with partners, such as national and international non-governmental organizations, national and regional institutions, and United Nations bodies. The scope of collaboration has covered: advocacy and awareness-raising, the development of projects, co-financing, joint implementation of projects, assessment and dissemination of information and capacity-building.

193. The majority of the evaluations of the projects have revealed that project effectiveness could further improve if for instance, the roles of partners, were more clearly specified in order to avoid delays in vital decisions, which sometimes occur due to confusion in responsibilities.

194. Overall, the evaluation recognizes that UNEP is effectively using collaboration to further its mandate and mission at the regional and global levels.

## 3. Efficiency of structure and management

195. Many projects have successfully delivered intended results by adopting hierarchical structures at the national level in the development, implementation, monitoring and evaluation process.

196. The level of effectiveness of the structure that impacted on project implementation, however, widely varied from project to project and country to country. But the following patterns can be discerned:

(a) Internal and national structures lacked support from a mature local professional community (scientific, legal, economic, etc.);

(b) There was a lack of appropriate established internal structures;

(c) Generally there was a low awareness of the specific environmental problems and the need for mitigation;

(d) Delays were incurred in the commencement of projects due to bureaucratic procedures;

(e) Political problems relating to government instability arose;

(f) There were problems relating to collaboration from government bodies outside the focal points, in the provision of information, especially when policies and strategies were being developed through multidisciplinary or integrated approaches.

197. The following improvements are recommended to rectify constraints observed by the evaluations:

(a) Strengthen the support of the national collaborating agency in the implementation of projects through the use of domestic consultants;

(b) Monitor progress in project implementation;

(c) In the course of project design, a careful assessment of the capacities and reliabilities of government bodies identified must be undertaken to provide a realistic time-frame for project execution and production of outputs;

(d) A clear definition should be established of the roles of the various components of the national structure implementing the project (i.e. detailed terms of reference including time-frame for outputs).

### C. Self-evaluation fact sheets

198. Under this section, the evaluation presents an analysis of parameters for measuring effectiveness on the basis of the commencement and completion date and funds utilization. The evaluation also analyses the causes of time and financial variances which have occurred, based on the reports of the self-evaluation fact sheets. Self-evaluations are viewed as subjective by many. UNEP considers them as important since they provide an opportunity to project implementers to reflect and review their own activities and hence assess their achievement against stated results.

#### 1. Project commencement and completion

199. Whereas 22.4 per cent of the projects that submitted self-evaluation reports were started before 1994, 30.3 per cent were started between 1995 and 1997, 38.1 per cent in 1998 and 9.2 per cent in 1999 (Figure III below). Most of the projects that have been extended are umbrella projects that expand and contract their activities according to the availability of funds.

Figure III: Project commencement date

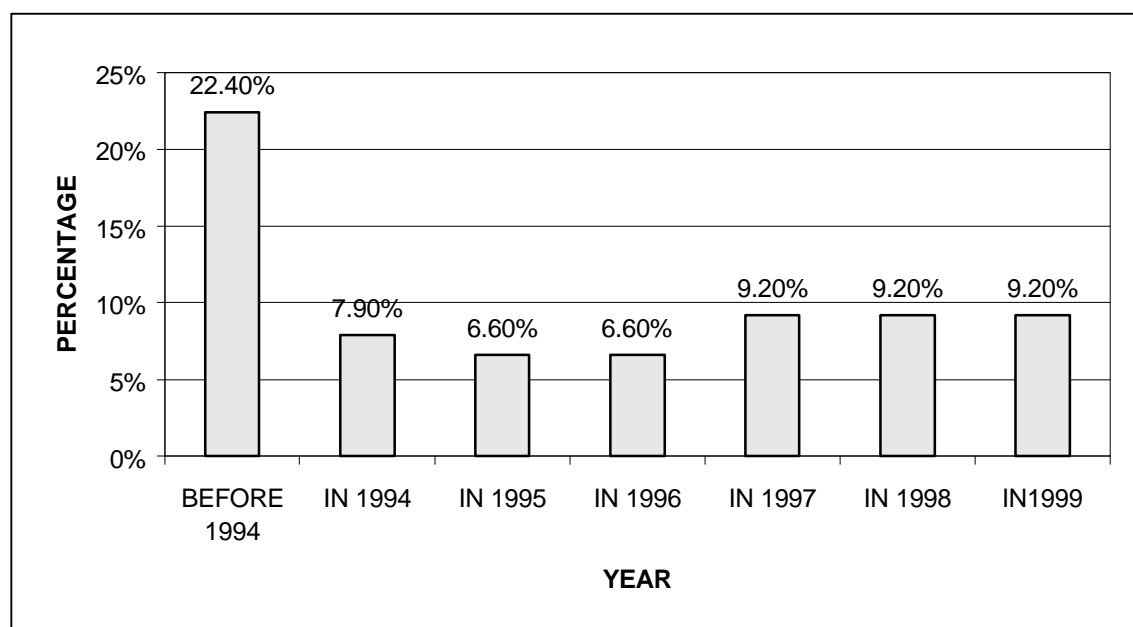
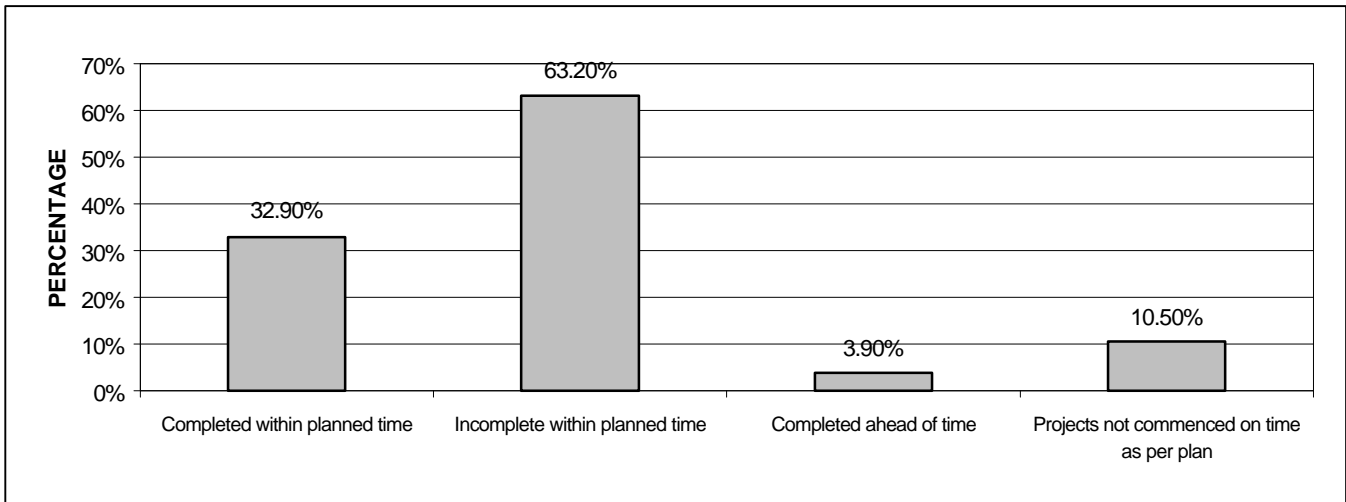


Figure IV: Project completion efficiency



200. Project duration varied from 5 to 96 months (save for the Regional/Quarterly Bulletin on Wildlife which ran from August 1982 to 1993). In 1999, 32.9 per cent of the projects were completed within the planned time, compared to 25 per cent which had been on schedule (Figure IV). This was a significant improvement of 50 per cent over that of 1998, even though the ongoing projects are represent 26.3 per cent of the total and those completed but not closed account for 23.7 per cent of the total projects which submitted their self-evaluation fact sheets (Figure V).

Figure V: Project status represented in self-evaluation

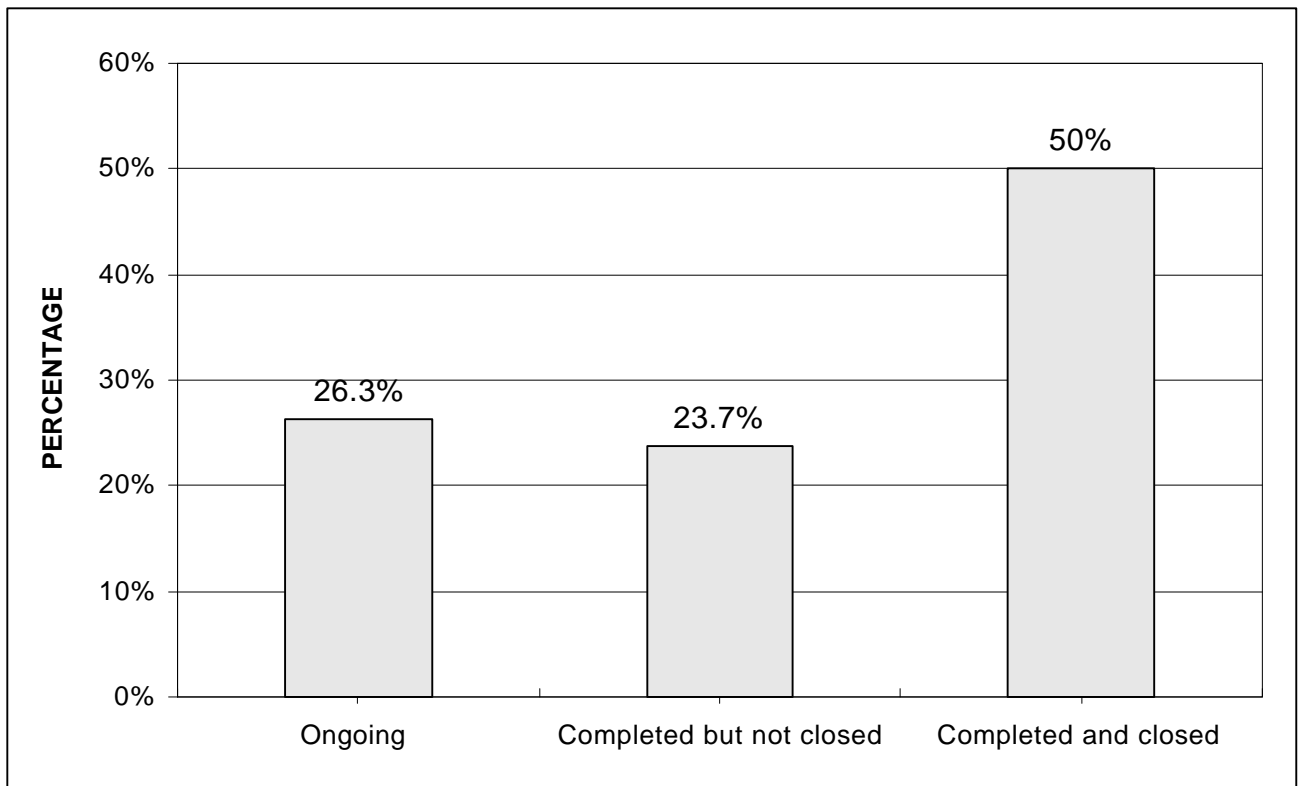
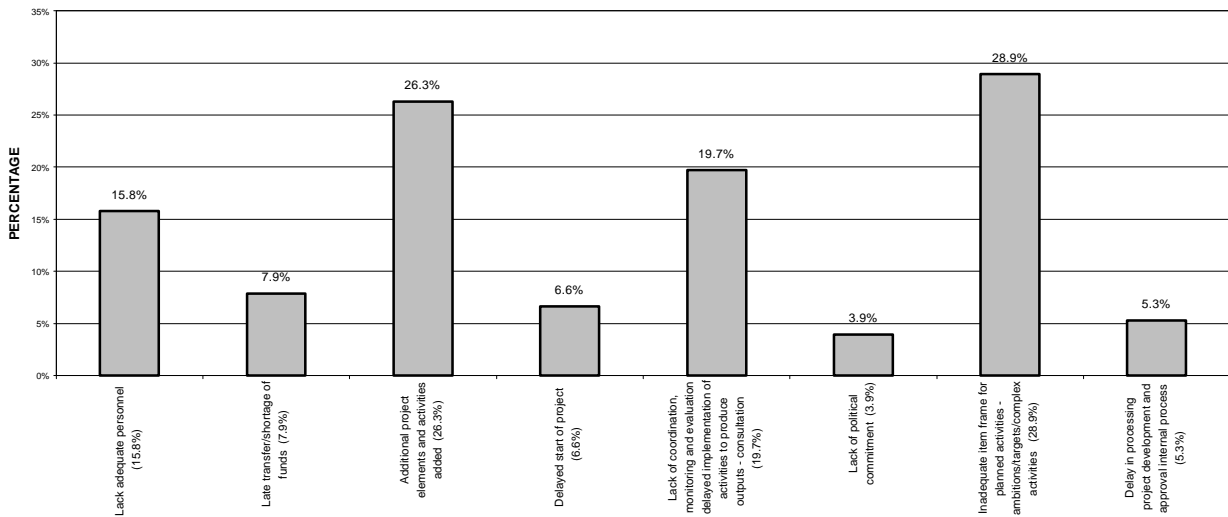


Figure VI: Reasons for delay in project completion



201. It should also be noted that 63.2 per cent of the projects were not completed within the planned time-frame, 3.9 per cent completed ahead of time while 10.5 per cent did not commence on the date originally planned. Overall, the most recurring reasons reported for such variances are shown in Figure VI below.

202. According to the self-evaluation fact sheets, delays in project completion can be largely attributed to weaknesses in project design as well as coordination and management. The first two reasons, which account for 55.2 per cent of the cases, (additional project elements and activities as well as inadequate time-frame for planned activities, ambitious target and complex activities) are caused by design weaknesses, while the rest are caused by inefficient coordination and management. Most of the constraints identified have also been mentioned by the subprogramme and in-depth evaluations, further justifying the need for serious consideration thereof by the UNEP management.

203. The issue of design weakness has been raised before by previous annual evaluation reports, and needs to be addressed through the staff training programme as well as strict review and approval processes. It is a weakness which can be addressed without much difficulty and management must take concrete steps to resolve it.

204. Of the 73.7 per cent of the projects ( the total number of those completed but not closed and completed and closed (see Figure V above), over 80 per cent of them have achieved over 70 per cent of the intended needs, results and outputs (Figure VII).

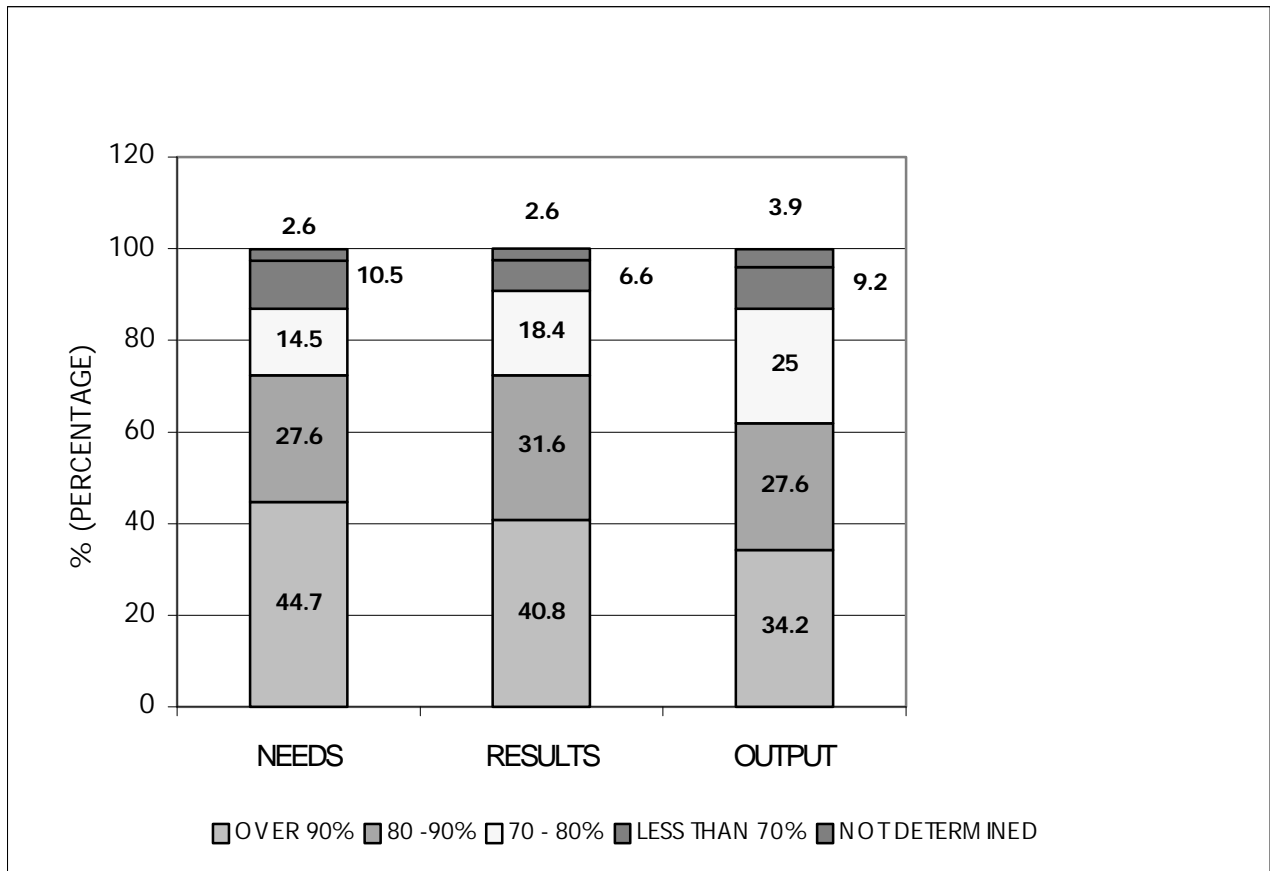
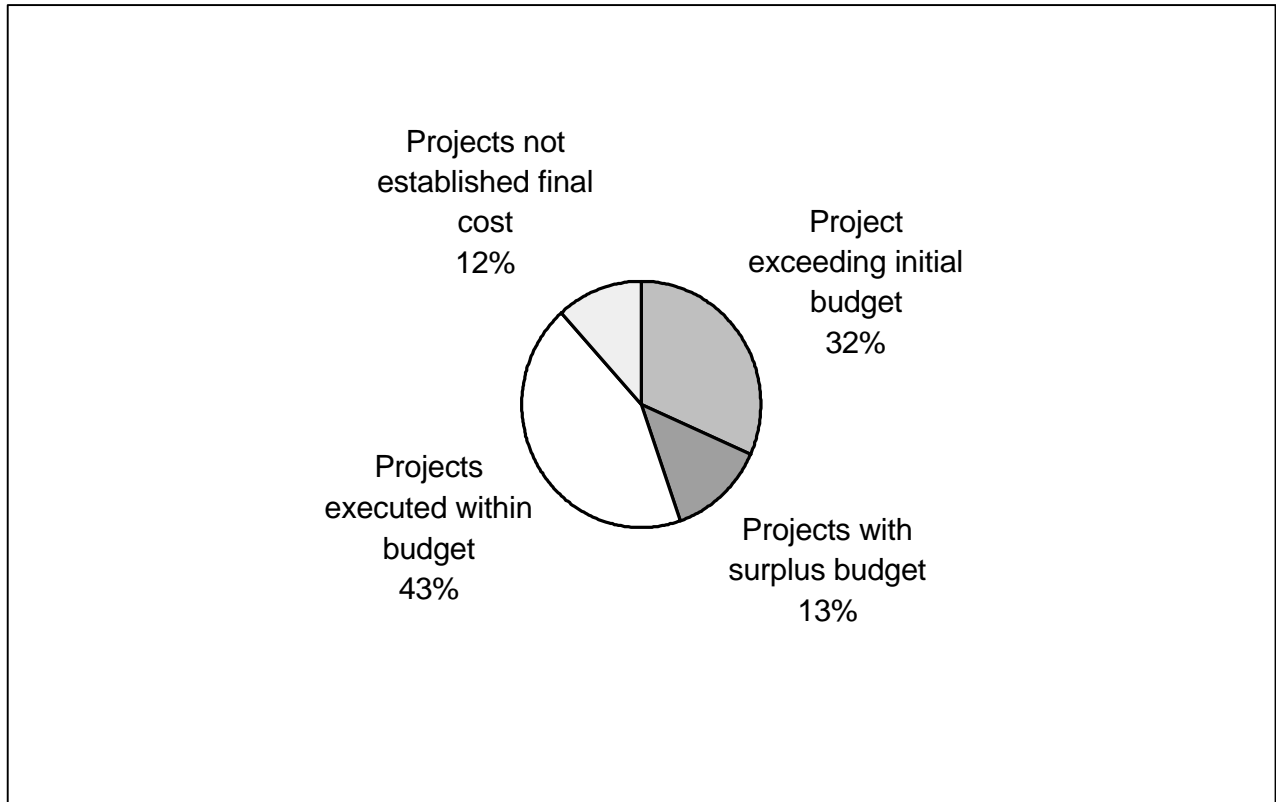


Figure VII: Extent of achievement

## 2. Utilization of funds

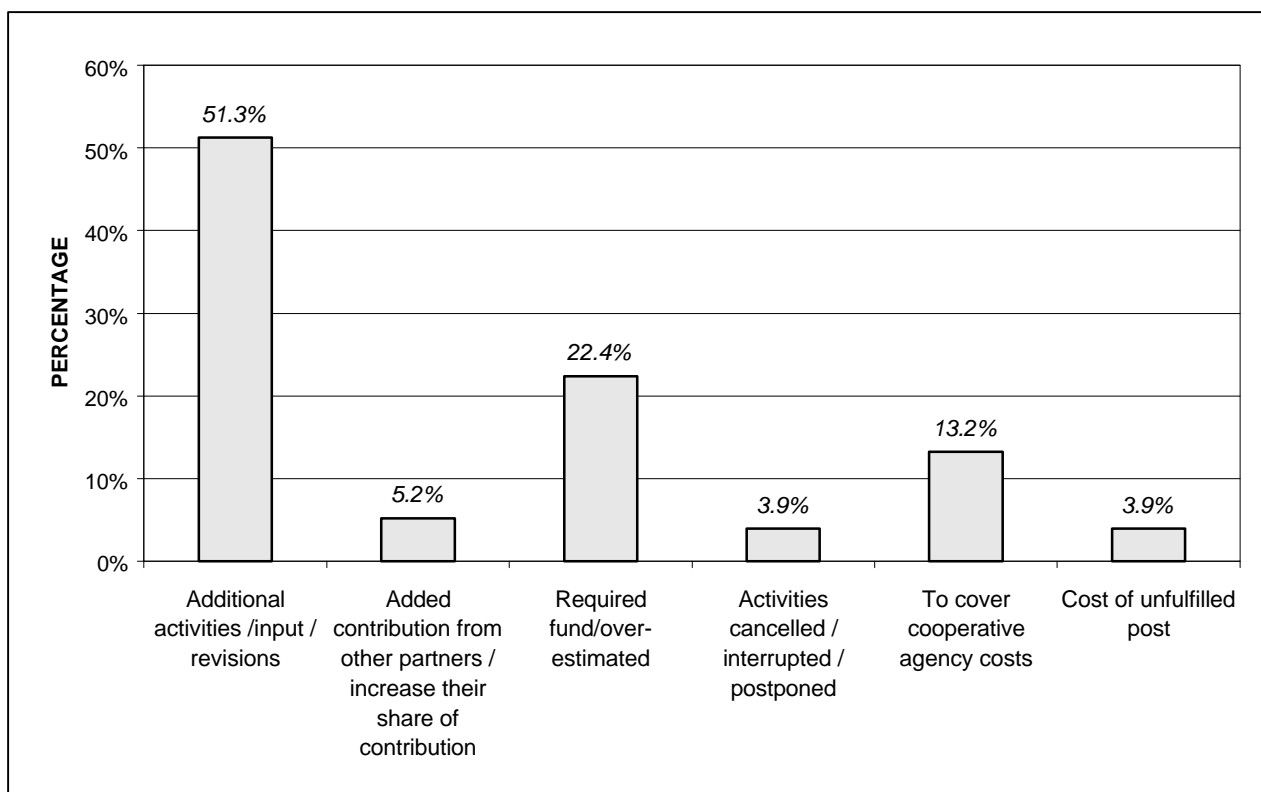
205. Financial performance is related to projects completed and closed, which constitute 50 per cent of those that submitted their self-evaluation fact sheets ( see Figure V above). Of the projects completed and closed, 43 per cent were executed within the budget, 13 per cent had a surplus budget on the completion date, while 32 per cent exceeded the initial budget (Figure VIII). This issue of projects exceeding their budget allocations must be addressed, as it is also raised by the external auditors. Management needs to insist on strict adherence to approved allocations. Any variances must be approved by management, reflected in revisions and adequately explained in self-evaluation fact sheets.

Figure VIII: Utilization of funds



206. According to the evaluation fact sheets the reasons for the variation in the use of funds are mainly design weaknesses, such as the addition of activities while the project is in progress, the over or under-estimation of the required funds and the cancellation, interruption or postponement of activities due to unforeseen circumstances (Figure IX below).

Figure IX: Reasons for variation in use of funds



207. The analysis of the reasons reported (Figure IX) points to the need for more rigour in the design process. Such variations show that to some degree the efficient management of funds is being affected by poor design. As indicated earlier, the issue of poor programme and project design has been raised by evaluations since 1995. The senior management team does not seem committed to effectively addressing this weakness.

## VII. IMPACT

208. At the higher level, impact is measured by the extent to which the implementation of subprogrammes or projects bring about change in the environment. At the lower level, impact is determined by examining how activities have influenced policies, strategies and other activities of the cooperating agencies, Governments and partners. The foregoing intended changes can, in most cases, be conclusively determined through a follow-up process or activity which would include the opinions of recipients and beneficiaries.

### A. Subprogramme evaluations

209. Evaluations have revealed that through the catalytic role of UNEP, the results and outputs of the subprogrammes evaluated have helped galvanize action to improve the quality of the environment. UNEP activities and outputs, especially of the Caring for land resources and Caring for biological resource subprogrammes, have had a significant and important influence on the formulation and internalization of environmental policies by Governments and international bodies. The evaluation has noted, however, that it was not possible to assess the impact of each activity or output because of limited available related information and little follow-up action to determine the effects of activities or outputs which had been carried out. On this latter front, the pattern has been that subprogrammes have carried out little serious follow-up efforts except on rare

occasions when some programme officers have distributed programme or project post-completion questionnaires to beneficiaries. Such questionnaires have in fact rarely been fully responded to and have thus not often resulted in conclusive findings that can determine the degree of impact.

210. When determining the usage and impact of activities, outputs and results, UNEP mainly assesses whether its programme has in any way caused or contributed to desirable change in policies that have resulted in the improvement of identified environmental problems at the global, regional and national levels. Measurement of impact has not been particularly easy for UNEP as, in most cases, effects on the environment can only realistically be determined in the longer-term rather than in the short-term and certainly not during or within the span of implementation of subprogrammes or projects. Furthermore, it is difficult to attribute all environmental changes to UNEP activities.

211. Given these circumstances, the present annual evaluation report will attempt to discern patterns on the more realistically measurable impact of activities on policy changes at the global, regional and national levels. A synthesis of the findings of the evaluations on impact is provided below in terms of: capacity-building; assessment, database and dissemination of information; and policy development activities and outputs.

#### 1. Capacity-building (training programmes, workshops, meetings and conferences)

212. The subprogrammes evaluated have carried out extensive capacity-building activities at the regional and national levels with some apparent positive results. For example, the evaluation has established that the training in formulating conceptual frameworks and developing policies for the integrated management of dryland ecosystems, offered to participants from Latin America and Asia, has enhanced the capacities of those participants in diagnosing, formulating and implementing policies and action programmes in the development and sustainable management of dryland resources. In UNEP's approach to executing capacity-building activities, the following pattern is discerned:

- (a) Training is offered to individuals nominated by Governments. Often there is no guarantee that such individuals will stay in their jobs to implement the training they acquired;
- (b) Institutional capacity-building is often the exception rather than the rule;
- (c) Limited follow-up activities are conducted to assess the extent of the impact of such activities in general or specific types of activities to determine the most appropriate type of capacity-building methods, which could deliver the desired impact;
- (d) It is rare for UNEP to forge cooperation and strategic alliances with regional and subregional institutions of excellence, especially in Africa, that could assist UNEP in its efforts to build regional or subregional capacities to address environmental problems sustainably.

213. UNEP should address the above issues in order to improve the effectiveness of and the level of sustained impact of its support to capacity-building, especially in developing countries and countries with economies in transition. It should perhaps also develop good practices for and an approach to capacity-building in light of the positive and negative lessons learnt from carrying out capacity building activities over the years. Such a framework of good practices as an outcome of action research, recommended in the preceding section, could serve as a general flexible guideline for future UNEP capacity-building activities. It could also be continuously improved in light of reviews based on the findings of the post-implementation follow-up which should be fed into the project design process.

## 2. Assessment, development of database development and dissemination of information

214. The evaluation has established that outputs - assessments, methodologies and databases - are used in varying degrees by Governments, non-governmental organizations and other stakeholders. It has not been possible, however, to assess their specific application because very few or no follow-up activities were carried out by the subprogrammes to determine the extent to which these outputs have been applied.

215. UNEP attaches great value to assessment, the development of databases and dissemination of information on prevailing and emerging environmental problems and issues. Information and knowledge is the tool UNEP employs to execute its mandate. Some of the major outputs produced by the caring for biological resources and caring for land resources subprogrammes In conformity with UNEP's approach, is worth noting:

(a) The UNEP International Register on Biosafety (also on the worldwide web site on the Internet). It serves as a mechanism for the exchange of information between national biosafety focal points and was expected to facilitate the exchange of general information about genetic research of value to risk assessment and risk management;

(b) Biodiversity data management capacity-building activity jointly carried out by UNEP and the World Conservation Monitoring Centre, to mobilize data for enhancing national capacity for planning biodiversity strategies and activities for conservation and sustainable use;

(c) The Caring for land resources subprogramme on the other hand developed benchmarks and impact indicators of desertification aimed at monitoring, reviewing and assessing the causes, extent and effects of dryland degradation and published the second edition of World Atlas of Desertification.

216. As the findings of the evaluations indicate, the impact of the above and other similar outputs very much depend on:

- (a) The extent of their dissemination to pertinent target groups;
- (b) The extent to which they are put into use;
- (c) The extent to which the assessments and databases are regularly updated;
- (d) The appropriateness and accessibility of the medium of dissemination.

217. It is also often the case that access to such information and the capacity to use it is not often easily available to all interested parties, particularly in developing countries. Information technology and the Internet are not yet sufficiently introduced in many developing countries. Therefore the often inadequate knowledge infrastructure and the weak institutional capacity inhibit such databases and assessments from making a positive impact in those countries.

## 3. Policy development activities and outputs: conventions, special initiatives, national action plans and country framework studies

218. The adoption of the Convention on Biological Diversity and the Convention to Combat Desertification has helped galvanize action to address the respective environmental issues and problems. These conventions have developed a global consensus and directly caused action geared at tackling specific environmental problems at the global, regional and national levels. UNEP's role in the negotiations leading to their adoption and its support in the subsequent implementation of their provisions have put UNEP on the global map.

219. UNEP has also developed concepts including, national action plans and country framework studies, to assist countries develop relevant policies in a systematic manner in conformity with the provisions of the conventions. In that area, national action plans to combat desertification have been launched and priority projects developed by 11 countries in Asia, Europe and Latin America. The Caring for biological resources subprogramme has also assisted countries to conduct biodiversity country studies in gathering information on the status and trends of species, genetic materials and ecosystems, the status and use of current conservation and use mechanisms as well as the monetary and non-monetary costs and benefits involved.

220. The foregoing activities support UNEP's goal to catalyse action and develop policy consensus. Their impact, however, can only be ascertained when such policy instruments are implemented on the ground. In the case of national action plans to combat desertification, for example, it seems that few countries have made a serious effort to implement the national action plans which UNEP helped to develop. The same is true in the country studies on biodiversity.

221. The extent of the impact of the policy instrument and frameworks can only be determined by follow-up activities which assess their rate of application. In the absence of such mechanisms, the evaluation could not accurately measure how the individual activities and outputs produced by the subprogrammes are being used and the impacts they create. The development of such instruments, in cooperation with regional and national institutions is, however, an important exercise in itself that enhances awareness and capacity at the levels of policy makers.

#### B. In-depth evaluations

222. The findings of the in-depth evaluation on the impact of project activities and outputs are similar to the findings of the subprogramme evaluations elaborated above. In-depth evaluations also found it difficult to determine impact because most project documents do not incorporate monitoring and evaluation systems, which contain information:

- (a) On the achieved impact of the project output;
- (b) The extent of the application of a policy instrument at the national or regional levels, as the case may be;
- (c) A follow-up activity to assess the impact of a specific project on identified environmental problems.

223. The above constraints notwithstanding, project results and outputs have enhanced the capacity of Governments to develop environmental policies through learning by doing. In the following paragraphs, the evaluation report presents a discernible pattern of project impact on:

- (a) Targeted policies of the project beneficiaries;
- (b) Regional institutions;
- (c) Donor countries and multilateral funding organizations.

##### 1. Impact on targeted policies of beneficiary Governments

224. It is clear that the impact of results and outputs of the majority of projects take some time to materialize and even then it may not be easy to measure and assess. Ninety per cent of the projects evaluated are involved in assisting Governments to develop policies, including: the assessment of the current state of a specific environmental problem to use as a basis for policy development; the formulation of action plans; the drafting of

environmental legislation; and the implementation of the provisions of specific conventions. In-depth evaluations have established that 85 per cent of the projects have enabled the beneficiary Governments to gain a better understanding of pertinent local issues related to particular environmental problems, the development of baseline data for use in policy development and the preparation of framework action plans for the implementation of policies.

225. Overall, in-depth evaluations have established that UNEP projects have assisted Governments to improve their respective capacities to develop environmental policy, regulatory and enforcement mechanisms and the implementation of the provisions of environmental conventions.

226. For example, the UNEP/UNDP/Dutch Joint Project on Environmental Law and Institutions in Africa assisted seven African countries (Burkina Faso, Kenya, Malawi, Mozambique, Tanzania, Sao Tome and Principe and Uganda) to prepare drafts (some of which were enacted) of a total of 48 legal instruments, framework legislation, decrees and regulations related to various environmental issues, including: environmental auditing, environmental crime, transit of toxic wastes, creation of environmental protected areas, prevention of marine and coastal pollution, regulation for the control of Chlorofluorocarbons, water standards and impact assessment regulations. These national activities, essentially based on a learning-by-doing process, have enhanced the capacity of judges, legal practitioners, lawyers, government officials and other technicians in areas of environmental law and management.

227. Similarly, the UNEP/GEF - Pilot Biosafety Enabling Activity Project assisted 18 countries from Africa, Eastern Europe and Asia to prepare national biosafety frameworks. Some of those countries have already passed or drafted new laws to control the use of living modified organisms, based on the national biosafety frameworks developed by the project.

228. The evaluation cannot, however, establish how many such drafted legislative acts have been decreed or to what extent the biosafety framework studies or action plans, for example, have been implemented since the completion of those projects. UNEP should include follow-up activities, in its project documents, to assess and measure the impact of such activities on policy development and implementation of beneficiary Governments, within a specific period after project completion.

## 2. Impact on regional institutions

229. It is apparent that UNEP cannot be omnipresent at the regional level and address all environmental issues and problems. It is to mitigate this critical limitation that UNEP deliberately chose to adopt the catalytic approach to the promotion of awareness, development of policy consensus and environmental action. Through such a strategy, UNEP basically seeks to discharge its mandate by catalysing and enabling Governments, organizations and peoples to address environmental problems. In that regard, however, especially in the developing countries, a lot of ground has yet to be covered in the strengthening of specialized regional institutions, particularly with regard to: collaborating centres for the GEO process, the harmonization of regional biodiversity policies, desertification issues, the sound management of hazardous chemicals, integrated coastal zone management and environmental law. In order to make a difference in the national efforts to prevent and manage environmental problems, the key measure is to build appropriate regional institutions which can closely assist Governments of the region in facilitating technology transfer, developing policies and formulating legislation within a regional strategy.

230. The Basel Convention Regional Training Centre for Eastern and Central Europe, situated in Bratislava has, for example, proved to be a useful institution for implementing the Basel Convention provisions at the regional level. The evaluation has established that the regional training institute in Bratislava has helped State Parties of the region to share experience and knowledge among themselves and develop harmonized national policies in the implementation of the Basel Convention.

### 3. Impact on donor countries and multilateral organizations

231. The impact of UNEP's projects can also be measured by the extent to which they influence policies of donor Governments and multilateral funding organizations to support UNEP activities. Overall, the general trend of UNEP funding growth over the last three decades demonstrates that UNEP's efforts and activities have built a global consensus on the need for sustained and concerted action to prevent and manage environmental problems at the global, regional and national levels.

232. UNEP's financial contribution from the Environment Fund towards environmental activities is minimal compared to that of trust funds, counterpart contributions and contributions of collaborating United Nations and other agencies. Its involvement is more on the intellectual side of project conceptualization, design, coordination, preparation and provision of guidelines and methodologies.

233. It means that more countries, multilateral funding organizations and collaborating organizations feel comfortable and confident to contribute their money to the implementation of environmental activities coordinated or implemented by UNEP.

#### C. Self-evaluation fact sheets

234. As stated in the preceding sections, self-evaluation fact sheets have also revealed that projects have made impacts by: enhancing UNEP's role as the environmental authority within the United Nations system; improving the capacities of Governments and national institutions to deal with environmental issues; catalysing United Nations agencies and other international organizations, such as non-governmental organizations to support UNEP's environmental agenda at the global, regional and national levels; and also catalysing donor countries and multilateral and intergovernmental regional organizations into committing resources to fund environmental programmes and projects. An outline of positive impacts of project activities and outputs reported by evaluation fact sheets follows.

##### 1. Impact on the role of the United Nations Environment Programme

235. The role of UNEP during the period under review has been impacted in the following manner:

(a) Regional projects have been offered opportunities to strengthen collaboration between Governments and institutions and provide UNEP with a much better regional presence on issues of environmental policy;

(b) UNEP's interagency activities have been expanded;

(c) Some projects have identified gaps in knowledge that suggest the need for further research action;

(d) UNEP's role as the authority that sets the environmental agenda, promotes coherent implementation and acts as an advocate for the global environment has been strengthened;

(e) The visibility of UNEP has been enhanced, for example as a result of the Communications and Public Information Unit's new media and communication strategy;

(f) The sharing of information with Governments, non-governmental organizations and the private sector on UNEP's priorities and urgent global environmental issues has been facilitated.

## 2. Impacts on Governments and national institutions

236. Governments and national institutions have been impacted in the following manner:

- (a) There is now an institutionalization of methodologies - e.g. the GEO methodology for national environmental reporting;
- (b) Information contained in project reports is used by national institutions other than national focal points for particular environmental issues;
- (c) National institutes of higher learning use country studies on various environmental issues conducted by UNEP projects;
- (d) Project activities and methodologies have been used as a basis for further academic research, such as, doctoral thesis;
- (e) New protocols on particular environmental problems have been signed and, in some cases, existing ones strengthened;
- (f) Countries have been able to upgrade their capacities, particularly in environmental areas addressed by the project.
- (g) Major regional action plans developed by UNEP over the years, such as Mediterranean Action Plan, are being taken as a model by other regions to develop their own regional programmes.

## 3. Impact on United Nations system agencies and other organizations

237. United Nations system agencies and other organizations have been impacted in the following manner:

- (a) Projects conceptualized and developed by UNEP - approaches, activities, methodologies and training materials – have been replicated;
- (b) Environmental considerations have been institutionalized in their project design processes.

## 4. Impact on funding for environmental programmes and projects from Donors and multilateral funding organizations

238. The impact in this area was reflected in following manner:

- (a) Projects provided seed money, which stimulated local and national governments to launch more comprehensive follow-up projects;
- (b) Sufficient donors were attracted to support successive phases or similar projects encouraged by the performance of projects implemented;
- (c) Resource mobilization activities engendered voluntary collaboration by the private sector, banks, companies, foundations and individuals;
- (d) UNEP's donor base and increase in voluntary contributions from selected countries increased.

## VIII. LESSONS LEARNT

239. In this subsection, the evaluation presents major positive and negative lessons learnt from the subprogramme and project development, management and monitoring, as well as the findings of the subprogramme, the in-depth project evaluations and self-evaluation fact sheets analysed in the present annual evaluation report:

(a) The inability of UNEP to provide and maintain adequate and qualified staff poses a critical constraint to successful subprogramme delivery, even when a substantial portion of subprogramme activities are implemented by UNEP partners. The situation of the Energy subprogramme during the last two bienniums is a case in point;

(b) Despite the growing investment by UNEP in monitoring and evaluation, evidence from the evaluation of the three subprogrammes suggests that the capacity to capture and share learning remains limited. For instance, the evaluation has reported that no project has been evaluated for the Energy subprogramme in the last two bienniums. In such cases UNEP only benefits marginally from the experience;

(c) The integrated approach adopted in the implementation of the Caring for land resources subprogramme activity during the last three bienniums, facilitated the planning and management of dryland ecosystems at global, regional and national levels. The strategy promoted policy frameworks that allow environmental goals to be integrated in sustainable development. While the substantive aspect of the approach is realistic, the conceptual linkage with the benefits that could be accrued from a structured or modular programme methodology should be explored for better results;

(d) A positive and encouraging lesson learnt from the subprogramme evaluations, in-depth project evaluations and self-evaluation fact sheets was that their activities were planned and implemented in partnership with other stakeholders from both within and outside UNEP; the latter included Governments, communities, non-governmental organizations and other United Nations agencies. The establishment of core teams, from among the collaborating stakeholders, for the development and implementation of projects has helped to pool a mixture of expertise, resources and experience. This approach has enhanced the appropriateness, relevance and effectiveness of activities of the subprogrammes and projects by ensuring a sense of ownership and commitment in stakeholders;

(e) The evaluation has established that UNEP has been very effective in raising environmental awareness at the global, regional and national levels. This is demonstrated by the many environmental efforts and activities that have been initiated at all these levels further to UNEP's awareness programmes. A follow-up study should be carried out by the Evaluation and Oversight Unit in collaboration with the Division of Environmental Policy Implementation in 2001 so that UNEP's success in awareness-building can be widely shared.

## IX. CONCERNS

240. From the analysis presented in the foregoing sections, the present annual evaluation discerns the following structural and management concerns of strategic importance affecting subprogramme and project delivery. As described in the main body of the present report, the following are of strategic importance.

## A. Structural concerns

### 1. Funding

241. In the area of funding, the main problem has been the unpredictability of the financial flow for the implementation of programmes of work approved by the Governing Council. Governments have not been meeting their obligations and UNEP does not have a comprehensive and functional fund mobilization strategy to ensure stability in the implementation of programmes of work.

242. Such a precarious funding situation, reflected particularly by the shrinking Environmental Fund, poses the question as to whether UNEP is being empowered to take up the environmental challenges as mandated by the General Assembly of the United Nations. This structural funding deficiency raises important concerns.

243. While admitting that trust funds and counterpart contributions have become a major source of funding for the global environmental programme to the extent that UNEP's work cannot survive without these resources, the management study has underlined the following strategic concerns:

(a) Trust Funds have become the major funding source for UNEP activities. Nevertheless, under the current policy and management practice and coupled by the fact that such funds are voluntary and earmarked, they do skew the programme of work, i.e. the agreed priorities, approved by the Governing Council;

(b) Consequently, there are fears that UNEP might be drifting towards a situation in which it would be resource-driven and thus expose itself to the danger whereby trust funds would interfere with the Environment Fund mechanism, distorting its balance, allowing donors to introduce conditionalities and earmark resources, i.e., a situation which would infringe on the decisions and allocations made by the Governing Council. Such a situation could eventually raise the question as to whether or not the UNEP mandate and mission would be best served by the current trend in the funding structure and mechanism.

244. In that vein, the evaluation contends that it is crucial for the Governing Council to initiate a major rethinking and study on its programme funding and mechanisms in the face of the changing funding structure, as established in the findings of the management study summarized in chapter IV and the increasing demand on UNEP given the growing challenges at the global, regional and national levels. The key to improving the structural funding deficiency lies in the Governing Council's ability to find more innovative ways of ensuring that Governments meet their obligations and match the approved programme with adequate funds.

### 2. Maintenance of prioritization at the design level

245. Under such an environment of unpredictable funding the exercise of prioritizing and maintaining prioritization through the life cycle of the subprogrammes has become difficult. As a consequence of the reduced flow of resource commitments, subprogramme activities and projects are often wholly postponed or suspended or are partially reduced. Such imposed revisions affect the ranking of the prioritization frame set in the programme of work, thereby degrading the overall intended impact of subprogramme and project activities originally set and hence negatively impacting UNEP's delivery capacity.

246. Therefore, in addition to the need to review the current funding structure and management with a view to ensuring funding stability, UNEP could perhaps also look into new subprogramme and project design methodologies and approaches that could potentially minimize the negative effect of random disruptions, postponements, suspension or non-performance of subprogramme components, elements, activities and projects.

### 3. Sustainability

247. Sustainability refers to a future situation where the continuity of a project activity or use of project output by a beneficiary community, Government or organization, is assured independent of the project input. The evaluation in fact contends that the real value of UNEP's investment should largely be determined by whether or not the project or activity will continue to attain the intended objectives.

248. In UNEP, the concept of sustainability is a core consideration in project implementation. Few projects, however, explicitly incorporate any activity or activities that implement sustainability and thereby enable measures or follow-up action whether or not the particular project will ensure the sustainability of activities or outputs upon completion of the project.

249. In this important area, although most project evaluations have revealed the implementation of activities or use of outputs by targeted Governments or institutions, it is not clear, in most cases, whether Governments have incorporated such activities and policies in their respective national priority structures and thus ensured budgetary allocations (from public or private sources or through cooperation). Similarly, it is not clear whether the integrated approach to the mitigation of most environmental problems at the national level has been sufficiently internalized by ministries other than the focal ministry.

250. UNEP should, therefore, address the issue of sustainability at the subprogramme and project design level, by incorporating follow-up activities in the project document that seek to establish the extent of sustainability achieved by a particular process initiated by a project, with the ultimate aim of maximizing the added value of UNEP's investment.

### 4. Managing change

251. The last three bienniums have been characterized by rapid structural changes in UNEP, it is too early to determine the effect of the latest change from a sectoral to a functional structure.

252. The evaluation has, however, observed operational difficulties in the management and coordination of ongoing projects within the framework of the new structure, but that were developed under the previous structure. Given the circumstances, clear and effective transitional modalities that fuse existing and new procedures, should be developed and put into effect on time.

#### B. Management and coordination

253. UNEP activities, as noted in previous annual evaluation reports, have been constrained by some internal managerial arrangements and limitations pertaining, in particular, to staffing and recruitment procedures monitoring, evaluation and reporting.

##### 1. Staffing and recruitment procedures

254. The lack of sufficient qualified staff has been cited at subprogramme and project levels as a critical constraint to subprogramme and project delivery. The root problem has not only been a lack of funding but also the cumbersome procedures which make it difficult to create and fill new permanent positions. In special cases, where the contracting external consultants for up to six months is not adequate, UNEP should use staff on short-term contracts for up to 11 months until the positions are filled.

##### 2. Monitoring, reporting and evaluation

255. Another major problem related to programme and project development and management is the failure to internalize follow-up and monitoring procedures in the implementation of subprogramme activities.

At the project level, although the self-evaluation fact sheets filled annually by programme officers are improving in terms of substance and number, they are still filled for less than 30 per cent of active projects. The semi-annual progress reports also provide useful managerial information such as activities undertaken, including outputs produced, levels of fund utilization, problems encountered and other operational data.

256. The monitoring, reporting and evaluation mechanisms are not universally adhered to and often do not include information on effectiveness, quality or impact of outputs on targeted environmental problems. Such reports, in most cases, do not include the impact of, for example, awareness-raising, capacity-building and policy development activities on actual sustainable changes made on the ground.

257. The evaluation has therefore established that there is a clear need to strengthen the strict application of this management tool to both improve the performance of subprogrammes and assess the effectiveness and impact of subprogramme and project outputs. The latter aspect, which attempts to ensure the successful accomplishment of UNEP's mandate can then be fed into the project design process as an input to improve future performance. Only through sufficiently internalized follow-up procedures can UNEP improve subprogramme delivery.

258. At the subprogramme level, information needs to be collected and synthesized to determine:

- (a) Whether a desired regional focus has been realized;
- (b) The extent to which the programme of work was implemented;
- (c) The effect of implementing the subprogramme activities on the overall prioritization;
- (d) The effectiveness of the overall design concept adopted to develop the subprogramme;
- (e) Whether the basic assumptions made in the formulation of the subprogramme had been realistic.

### C. Activities

#### 1. Capacity-building

259. Capacity-building is one of the major activities of UNEP. Concern has been expressed in the evaluation, however, that UNEP is not doing much to help build appropriate regional institutions which can closely assist Governments of the region by facilitating technology transfer, developing policies and formulating legislation within a regional strategy. There is also a need for project implementation reports to attempt to provide information that could assist management to conclusively establish the effectiveness of individual activities. Furthermore, UNEP needs to determine whether individual training is more effective and creates more impact on sustainability than institutional capacitation, in dealing with environmental problems. Such assessments can largely be established by post-implementation follow-up activities.

#### 2. Publications and policy documents

260. UNEP publishes numerous regular and one-of quality publications, journals, bulletins and policy documents for use by various target groups: researchers, development scientists, lecturers, government officials and non-governmental organizations. Publications in UNEP form one of the major pillars of the organization's outputs. The extent of the impact of the various types of mediums used on policy development has, however, not been conclusively established. The question that may be asked is whether UNEP is attaining value for money.

261. It is therefore important for a follow-up study to be carried out in 2001 to determine who uses the publications and the impact they have on environmental actions by Governments and other users.

### 3. Assessment, development of databases and dissemination of information

262. UNEP develops assessment tools and methodologies, databases and metadata as well as information systems to help Governments formulate policies, strategies and action plans to prevent environmental problems or mitigate their effects. Subprogramme evaluations, in-depth project evaluations and self-evaluation fact sheets have all revealed that such information is used to varying degrees by the targeted users.

263. Evaluations have, however, raised some concerns, including the need: to assist the developing countries to effectively access such information by providing technical assistance; ensure the regular updating of the dynamic elements and relationships of the data collected and assessments made; and to regularly review the scope and focus of such assessments and management information systems to ensure regional relevance.

### 4. Policy development and promotion of action

264. UNEP assists Governments to develop environmental policies and activities at the global, regional and national levels through:

(a) The development of multilateral environmental conventions and assistance with their implementation;

(b) Regional arrangements;

(c) The development and application of various analytical tools and methodologies used for assessment and policy development;

(d) Guidelines, action plans, environmental legislation, frameworks, studies and implementation approaches.

265. The concerns raised under the three levels of evaluation analyzed in the present report, i.e. subprogramme, in-depth project evaluation and self-evaluation fact sheets, relate to: the often inadequate financial and human resources; lack of participation of all relevant stakeholders in the process of developing national policy instruments; a failure to solicit political commitment at the highest level possible throughout the project cycle; less than satisfactory assessment of the requisite policy needs at the national and regional levels; and underestimation of time-frames for project implementation at the time of project design.

## X. EVALUATION AND STRATEGIC MANAGEMENT

266. In strategic terms, the evaluation function has an important role in the ongoing effort UNEP is making to improve its programme delivery. In support of the UNEP policy, successive annual evaluation reports have continuously identified important findings and have proposed useful recommendations for the UNEP senior management to adopt in order to further bring forward programme and project delivery. One of the strategic issues consistently underlined by the 1996, 1997, 1998 and 1999 Annual Evaluation Reports, has been the need to address the issue of the weak design of programmes and projects in UNEP. Notwithstanding these findings, little serious action has been taken to rectify this weakness. The evaluation contends that most of the concerns discussed in the preceding section will continue to impact on programme and project delivery for as long as the weakness in programme and project design remains.

267. Some of the manifestations of the programme and project design weaknesses, as identified by the evaluations, are:

(a) Budget overruns and the extension of completion times of projects as a result of: lack of participation of relevant stakeholders; failure to solicit political commitment at the highest level from early on in the project design process; failure to take into account institutional and organizational weaknesses of partner countries or agencies and accordingly plan mitigation measures; failure to reasonably assess the time required to complete projects by using rigorous forecasting tools; aiming for over-ambitious activities and results; and unforeseen addition and subtraction of programme elements and project activities during the implementation of programmes and projects;

(b) Lack of rigour in establishing practical and measurable indicators associated with evaluation parameters of appropriateness, effectiveness, efficiency, impact and sustainability of processes initiated by UNEP programmes or projects, as well as outputs and results in the project documents. Such a lack of identified performance indicators in project documents inhibits the desired precision in evaluation conclusions to the level required by management;

(c) In most cases, project design does not incorporate specific activities that follow-up on sustainability, impact and catalytic effects, which are the ultimate measures of the added value of UNEP's role in addressing global environmental problems. Ensuring sustainability is strategic for UNEP. As indicated in the relevant section of the main body of the present report, it may not be possible to collect data or information about a particular programme's or project's environmental impact on UNEP projects and processes, while the projects are in progress, until some years after the completion of the projects. The level of UNEP's knowledge on the status of sustainability, impact and catalytic effect could, however, be significantly improved by:

- (i) Incorporating a specific activity that implements and monitors the internalization of the particular sustainability strategy adopted in the design process and incorporated in the programme or project document;
- (ii) Incorporating, in the project document, provision for a follow-up activity to conduct assessments of the catalytic effects, impact, and sustainability of UNEP projects and processes, after their completion. It is a positive step in the right direction to note that "sustainability" is being included as a criteria for project review;

(d) The other area of importance is the prevailing insufficient level of adherence to the Governing Council and senior management decision requiring all projects to be self-evaluated at the end of each year. The six-month progress report required by project documents from all active projects, is not complied with either by most of the programme managers. Such a situation obviously denies UNEP valuable information both at the management level for the improvement of performance and at the strategic level as a useful input to project design;

(e) Senior management staff need to ensure that there is a clear link between the projects and UNEP's mandated agenda and work programme, so that there is a clear added value for UNEP from any project.

268. At a policy level, UNEP should be seen to recognize the evaluation as an accountability requirement of the General Assembly and the Governing Council and as a management tool for UNEP senior management, which ought to be adhered to for every project and programme.

269. In 1999 one project dealing with the Prior Informed Consent procedure was evaluated but agreement on the evaluation findings could not be reached with the substantive office. While the evaluation report was completed the whole process was suspended and the report was neither distributed nor included in the present annual evaluation report. This situation has not only undermined the accountability process, but also denied management an independent assessment of the performance of that project and should never be allowed to happen again.

## XI. FINDINGS AND RECOMMENDATIONS

### A. Structural findings and recommendations

#### 1. Funding the environmental programme

##### (a) Finding

270. In this area, the main problem has been the unpredictability of financial flows for the implementation of programmes of work approved by the Governing Council. Governments have not been meeting their obligations in so far as they give UNEP a programme of work to execute, but do not endow the organization with adequate financial resources to implement that programme. UNEP does not have a comprehensive and functional fund mobilization strategy to ensure stability and continuity in the implementation of programmes of work.

271. The report of the management study summarized in chapter III established the following findings regarding the extrabudgetary sources, including trust funds, counterpart contribution and the Environment Fund:

(a) Trust funds have overtaken the Environment Fund as the primary UNEP funding resource since the 1998-1999 biennium, becoming a major funding source for the environment programme. The greater portion of the global environmental programme is being funded by trust funds, which are not directly controlled by the UNEP Governing Council. The Executive Director does not have flexibility in the use of trust funds either since these are earmarked;

(b) Trust funds are not, however, drawing money away from the Environment Fund. The decline in the Environment Fund contributions is not due to an increase in trust funds because they result from different and very often unrelated decisions and considerations;

(c) The report recognizes that UNEP can no longer survive without trust funds;

(d) Under the current policy and management, trust funds could impact on and change the percentages allocated by the Governing Council. Since trust funds are earmarked, they do to a certain degree skew the Governing Council's approved priorities;

(e) Finally, trust funds are not being managed in a manner commensurate with their role and size within the overall funding structure of UNEP's global environmental programme. They should no longer be taken as a supplementary funding source to the Environment Fund, as originally envisioned by the relevant General Assembly resolution. The evaluation recognizes that the proposed UNEP resources mobilization strategy is a positive step in the right direction.

##### (b) Recommendation

272. It is recommended that in line with the management study, UNEP should initiate a comprehensive study that reviews the principles and procedures related to the determination of the areas of activities trust funds and counterpart contributions cover and how they are solicited and negotiated. Another complementary study addressing procedures governing the approval, extension, monitoring and reporting of these extrabudgetary resources should also be carried out. The aim of the two complementary studies should be to make recommendations that enhance stability in funding and the effective utilization of these resources in order to implement the global environmental programme. The resulting proposals should be discussed with donors and the relevant issues subjected to Governing Council decisions.

273. The proposed studies should take into account the UNEP draft strategy for resource mobilization in order to avoid duplication and consider policy and procedural areas not addressed by other parallel studies.

274. It is recommended that the intended review should include a comprehensive strategy paper on predictable funding and resource mobilization, for submission to the Governing Council, on the basis of the proposals made in the draft strategy for resource mobilization and taking into account the results of the management study on trust funds and counterpart contributions, the outcome of the two complementary studies proposed by the present annual evaluation report and lessons learned from the experiences of other United Nations agencies, such as FAO and United Nations Children's Fund (UNICEF).

275. The present recommendation recognizes the recommendations put forward by Governing Council members at the recent Global Ministerial Environment Forum/sixth special session of the Governing Council, held in Malmo from 29 to 31 May 2000, calling for the consolidation of the excessive number of trust funds UNEP currently operates and for UNEP to develop a strategy on trust funds.

276. The issue of non-predictable funding for UNEP must also be taken beyond the Governing Council back to the General Assembly, which established the Environment Fund as a voluntary contribution. The General Assembly should be requested to address this issue and come up with a more reliable funding mechanism for the programme on environment. Present experience shows that the arrangements as they stand are inadequate for funding a global environmental programme.

## 2. Prioritization considerations at the design level

### (a) Finding

277. Under the current environment of unpredictable funding, the exercise of prioritizing and maintaining priorities through the life cycle of the subprogrammes has become difficult. As a consequence of the reduced flow of resource commitments, subprogramme activities and projects are often wholly postponed, suspended or are partially reduced. Such imposed revisions affect the ranking of the prioritization frame set in the programme of work, thereby degrading the overall intended impact of subprogramme or project activities originally set in the programme of work.

### (b) Recommendation

278. Project design processes could help to mitigate or minimize the effect of such imposed measures by applying programme and project design approaches that isolate the effects of disruption, postponement, suspension or non-performance of subprogramme elements and components to those directly affected only. The structured or modular design approach offers such an advantage.

279. Conceptually, the prioritization frame of subprogrammes and projects designed on the basis of the structured design approach, where appropriate (considering the size and duration of implementation of projects), could minimize the effects of disruption on specific components to the overall ranking of priorities of the subprogramme or the UNEP programme.

280. Therefore, UNEP may need to explore and experiment additional subprogramme and project design approaches, including the structured or modular design approach, that could mitigate the negative effects on the prioritization of programmes of work approved by the Governing Council.

281. While the above remains relevant in the short term, the long-term solution is for the Governing Council to match the approved programmes of work with the needed financial resources.

### 3. Sustainability

#### (a) Finding

282. In UNEP, the concept of sustainability is a core consideration in project implementation. Few projects, however, explicitly incorporate any activity or activities that implement sustainability and that would engender measures or follow-up action whether or not the particular project will ensure the sustainability of activities or outputs upon completion of the project.

283. In this important area, although most project evaluations have revealed the implementation of activities or use of outputs by targeted Governments or institutions, it is not clear, in most cases, whether Governments have incorporated such activities and policies in their respective national priority structures and thus ensured budgetary allocations (from public or private sources or through cooperation). Similarly it is not clear whether the integrated approach to the mitigation of most environmental problems at the national level has been sufficiently internalized by the other ministries other than the focal ministry. In other words UNEP does not know whether its activities and outputs have resulted in real changes that translate into better improved environmental management.

#### (b) Recommendation

284. UNEP should, therefore, address the issue of sustainability at the subprogramme and project design level, by incorporating follow-up activities in the project document that seek to establish the extent of sustainability achieved by a particular process or activity initiated by a project, with the ultimate aim of maximizing the added value of UNEP's investment.

285. The follow-up exercise should seek to determine sustainability by assessing such indicators as: institutional capacity, enabling environment and financial sustainability. Above all, these mechanisms must measure whether or not UNEP's activities and outputs result in a policy change, which translates into improved environmental management.

### 4. Managing change

#### (a) Finding

286. Although the last three bienniums have been characterized by rapid structural changes in UNEP, it is too early to determine the effect of the latest change from a sectoral to a functional structure.

287. The evaluation has, however, observed operational difficulties in the management and coordination of ongoing projects within the framework of the new structure, which developed under the previous structure.

#### (b) Recommendation

288. In future, whenever new structures are introduced, clear and effective transitional modalities that fuse existing and new procedures should be developed and put into effect on time. The performance of thematic and functional areas of activities has to be continuously monitored and reviewed in order to ensure synergy, throughout the design, implementation and evaluation of subprogramme and projects.

## B. Broad activities

### 1. Capacity-building

#### (a) Finding

289. Capacity-building is one of the major activities of UNEP. Concern has been expressed in the evaluation however, that project implementation reports do not provide information that could assist management to conclusively establish the effectiveness of individual activities. Furthermore, UNEP needs to determine whether individual training is more effective and creates more impact on sustainability than institutional capacity-building in dealing with environmental problems. UNEP needs to know what mix to apply between traditional training workshops and institutional capacity-building.

#### (b) Recommendation

290. The evaluation recommends that the UNEP Evaluation and Oversight Unit, in collaboration with the programme, conduct a comprehensive study in the year 2001 on capacity-building activities it has carried out over the past 10 years (1990-2000), across subprogrammes, divisions, sectors, functions and regions, to assess their effectiveness in terms of achieving sustainable capacity.

291. The study should develop a framework for an appropriate approach to capacity-building in light of the positive and negative lessons learnt from carrying out capacity-building activities over the years.

292. When such a study is undertaken, the following points may be considered:

- (a) A clear definition of capacity-building;
- (b) The establishment of indicators to assess the performance of capacity-building projects;
- (c) The appraisal of capacity-building projects conducted by other agencies for comparison purposes;
- (d) The full involvement of all UNEP divisions concerned;
- (e) Useful lessons and experiences learnt from other agencies (e.g. the ongoing study on the capacity-building aspect of GEF projects implemented by UNEP).

### 2. Publications and policy documents

#### (a) Finding

293. Publications in UNEP form one of the major pillars of the organization's outputs. UNEP publishes numerous regular and one-off quality publications, journals, bulletins and policy documents for use by various target groups: researchers, development scientists, lecturers, government officials and non-governmental organizations. There is no conclusive finding, however, as to what extent these publications are used and the impact they create on environmental action by Governments and other users.

#### (b) Recommendation

294. The evaluation recommends that the Evaluation Oversight Unit in collaboration with Communication and Public Information and the relevant divisions, conduct a follow-up study to be carried out in 2001 to determine the range of users of the various UNEP publications and the impact of such publications on the

development of appropriate environmental policies and the promotion of action. Furthermore, the Evaluation and Oversight Unit should design an e-mail questionnaire, as part of the proposed study, to establish the effectiveness and impact of reports and publications on the environment.

295. The Evaluation Oversight Unit and Communication and Public Information should ask the UNEP publications distribution agency, based in the United Kingdom, to submit regular reports on the analysis of particulars of institutional buyers and subscribers of the publications. Such reports could then be used by the study to assess whether or not the intended targets are having access to its publications.

### 3. Assessment, development of databases and dissemination of information

#### (a) Finding

296. UNEP develops assessment tools and methodologies, databases and metadata as well as information systems to help Governments formulate policies, strategies and action plans to prevent environmental problems or mitigate their effects. Subprogramme evaluations, in-depth project evaluations and self-evaluation fact sheets have all revealed that such information is used to varying degrees by the targeted users.

#### (b) Recommendation

297. The evaluation recommends that UNEP facilitate the effective access to such information by the developing countries by providing technical assistance, including information technology transfer, in cooperation with partners (United Nations and non-United Nations) that have expertise in this area.

### 4. Policy development and promotion of action

#### (a) Finding

298. UNEP supports the building of a consensus on environmental issues at the global, regional and national levels through: its role as coordinator in the development of multilateral environmental conventions and provision of assistance in their implementation; regional arrangements; the development and application of various analytical tools and methodologies used for assessment and policy development; guidelines and action plans; environmental legislation, frameworks, studies and implementation approaches.

299. The evaluation has observed inadequate financial and human resources, a lack of participation of all relevant stakeholders in the process of developing national policy instruments, a failure to solicit political commitment at the highest level possible throughout the project life-cycle as constraints negatively impact on the effective delivery of policy instruments. During the bienniums under review, these problems resulted in project budget overruns and an extension of completion dates.

#### (b) Recommendation

300. The evaluation recommends that during the design process, project documents should try to appraise estimates and assumptions based on a thorough analysis of current situations, using more precise and appropriate forecasting tools. Such a thorough appraisal is particularly necessary when the environmental policy development process adopts an integrated and multidisciplinary approach involving many stakeholders.

## C. Management

### Self-evaluation fact sheets

#### (a) Finding

301. In pursuance of Governing Council decisions GC 2/15 of 28 May 1984, 13/1 of 23 May 1985 and 14/1 of 17 June 1987, all UNEP projects must be evaluated. In order to meet this requirement UNEP requires all projects to prepare end-of-year self-evaluation reports.

302. Although self-evaluation fact sheets are improving in terms of substance and number, less than 30 per cent of active projects submit their self-evaluation fact sheets, which indicates that UNEP is not benefiting from its experience.

303. The evaluation reiterates that there is a clear need to strengthen the strict application of this management tool in order to both improve the performance of subprogrammes and assess the effectiveness and impact of subprogramme and project outputs.

304. The evaluation therefore concludes that UNEP is not sufficiently using the evaluation mechanism to learn from experiences gained from the implementation of programmes and projects to improve policies and project delivery. The UNEP management team is not systematically learning from its past and present experience with a view to improving the design and implementation of future programmes and projects.

#### (b) Recommendation

305. UNEP should make it clear that division directors are responsible for ensuring that their staff prepare self-evaluation fact sheets for all projects under their management. Not fulfilling this requirement means UNEP is not adhering to Governing Council decisions.

306. Each division must write into their programme of work the preparation of self-evaluation fact sheets as part of the programme outputs and deliverables. The divisional directors must hold all their programme officers accountable for producing these self-evaluation fact sheets.

307. It is recommended that at the beginning of each year, the Evaluation and Oversight Unit on behalf of the Deputy Executive Director provide each division director with a list of all active projects in the division which must be accompanied by self-evaluation fact sheets at the end of the year. The Evaluation and Oversight Unit will update the list at the beginning of each quarter.

Annex I

IMPLEMENTATION PLAN FOR THE RECOMMENDATIONS OF THE 1998 ANNUAL EVALUATION REPORT{PRIVATE }

| <u>Findings</u>   | <u>Recommendations</u>   | <u>Action required</u>   | <u>Expected results</u>   | <u>Date of completion</u>   | <u>Responsible Unit</u>  |
|---|--|--|---|---|--|
| <p><b>1. Personnel</b></p> <p>1.1 Coordination of projects operated jointly with partners continued to be one of the greatest challenges for UNEP. This was particularly true where UNEP had to rely on busy government personnel engaged in other activities who could may not find enough time to manage UNEP projects.</p> | <p>1.1 (Management)</p> <p>(a) Before UNEP commissions a project with partners, a thorough search should be conducted for project personnel in the areas where the project is located. Furthermore, UNEP should not rely entirely on government personnel who are busy on other projects and in full-time employment and then expect the efficiency required on their projects. Project coordinators should, as far as possible, work on a full-time basis on the project so as to keep track of the project so as to keep track of the project at all times.</p> <p>(b) UNEP task managers should be limited in the number of projects they can manage at any time so that they are able to give due attention to all projects.</p> <p>(c) UNEP should consider offering improvements on benefits for personnel who are employed by other organizations but seconded to UNEP projects. This would increase their interest in the work and improve efficiency.</p> | <p>(d) Create a database of institutions/projects which would establish institutions which have performed badly or not delivered, so that they are not used in future.</p> <p>(e) Consider the possibility of using the UNOPS mechanism to manage project implementation at the national level.</p> <p>(f) Project personnel from Governments should receive an incentive to perform better (with government agreement).</p> | <p>(a) Personnel from partners will spend adequate time on UNEP projects.</p> <p>(b) Better management by UNEP.</p> <p>(c) Policy developed to deal with issues of seconded staff and topping up of salaries.</p> | <p>During project approval.</p> <p>At submission of project for approval.</p> <p>30 June 2000</p> | <p>PCMU and Programme.</p> <p>PCMU and Programme.</p> <p>Division of Policy Development and Policy Implementation.</p> |

| <u>Findings</u>  | <u>Recommendations</u>  | <u>Action required</u>  | <u>Expected results</u>  | <u>Date of completion</u>                                     | <u>Responsible Unit</u>                                   |
|--|---|---|--|---|---|
| 1.2 Some UNEP instruments such as the IETC, although serving the developing world, have most of their personnel input drawn from the locality where the institution is situated. This may make it difficult to spread the message IETC is developing since the staff do not have a thorough knowledge of developing countries. | 1.2 (Programme)<br><br>(a) Projects run by UNEP, although located in a certain region, should as far as possible be open to the international community so that personnel, irrespective of their activities may be able to communicate and operate with a wide global outlook.<br><br>(b) Such projects must develop appropriate consultative machinery and use international consultants in order to improve project relevance and impact. | Management will ensure that:<br>(a) All professional posts are subject to normal United Nations open competition.<br>(b) Guidelines for a consultative process are developed and enforced by the Division of Policy Development. This process will utilise the findings of the management study on trust funds. | Competent international staff will be hired.<br><br>Enforceable guidelines provided and project relevance ensured. | Effective 1 January 2000.<br><br>Guidelines by 30 April 2000. | SMG.<br><br>Division of Environmental Policy Development. |

| <u>Findings</u>  | <u>Recommendations</u>   | <u>Action required</u>  | <u>Expected results</u>  | <u>Date of completion</u>   | <u>Responsible Unit</u>                     |
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| <p><b>2. Project design and documentation (policy and fund management)</b></p> <p>2.1 Although UNEP has come of age in management as an organization, the evaluation noted some bureaucratic handicaps faced by projects during implementation. Problems have been experienced with finance disbursement procedures resulting in delays in the implementation of projects.</p> <p>2.2 Problems have also been experienced with formats of project documents which are at variance with the formats of UNEP's major partners such as Governments and the United Nations, making it difficult to establish linkages.</p> | <p>2. (a) It is recommended that a critical analysis of disbursements to projects be carried out with a view to streamlining the procedures. The aim must be to facilitate easy disbursement and reporting.</p> <p>(b) UNEP should re-examine its project document format with a view to harmonizing it with those of its major United Nations collaborating agencies.</p> | <p>Fund Programme management and PCMU to review and develop less bureaucratic disbursement guidelines.</p> <p>PCMU to review project document preparation guidelines on the manual and make recommendations to PAG.</p> | <p>SMG to approve new disbursement guidelines and enforce them.</p> <p>PAG to approve recommendations as appropriate and then enforce new project format. Amend UNEP manual accordingly.</p> | <p>30 June 2000</p> <p>30 August 2000</p> <p>15 December 2000</p> | <p>BFMS, PCMU and SMG.</p> <p>PCMU, PAG</p> |

| <u>Findings</u>   | <u>Recommendations</u>  | <u>Action required</u>   | <u>Expected results</u>   | <u>Date of completion</u>   | <u>Responsible Unit</u>  |
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| <p><b>3. Partnerships (Policy)</b></p> <p>3.1 Partnership continued to be the main mode through which UNEP accomplished its work in 1998. The key partners involved were Governments, institutions, non-governmental organizations, private corporate organizations and community-based organizations. To manage projects with all these partners, however, continued to be a daunting challenge, which UNEP has not been able to master fully. Governments in particular produced the strongest partners but with critical needs which needed to be addressed. Personnel problems, inadequate management structures, equipment and other infrastructure needs form the key problem areas especially in the less developed countries.</p> | <p>3. (a) UNEP needs to develop a better management model for incorporating partners into its work. There is a need particularly to design improved personnel arrangements with Governments so that UNEP work is not viewed as an appendage to the main work of the officers attached to the projects. It is important that UNEP sets clear rules for collaboration so that once a project is co-implemented with Governments, the personnel involved in the project are seconded on a full-time basis, and their additional needs are managed by UNEP.</p> <p>(b) As a matter of policy, UNEP must organize project management training for all the staff from collaborating partners who manage projects. This training would guarantee the efficient management of projects.</p> | <p>UNEP will negotiate and discuss the need for new and more specific collaboration rules with its partners. UNEP will develop these rules and let each collaborating partner sign them when accepting to implement projects on behalf of UNEP. These rules will be part of the arrangements on staff seconded to manage UNEP projects.</p> <p>The training of staff from collaborating agencies will be part of the criteria for approving projects if collaborators are involved. The Division of Policy Implementation is to ensure training is done and PAGs to monitor training through progress reports.</p> | <p>Collaboration rules will be developed. A collaborative agreement which includes the new rules will be signed in all new cases of projects where UNEP collaborates with others.</p> <p>Personnel trained to collaborate manage projects more efficiently.</p> | <p>Effective 30 March 2000<br/>On each new collaborative initiative</p> <p>Effective January 2000</p> | <p>Environmental Policy Development, Environmental Policy Implementation, advised by UNON, HRMS and collaborating agencies.</p> <p>Division of Programme Implementation<br/>PCMU/PAG</p> |

| <u>Findings</u>   | <u>Recommendations</u>  | <u>Action required</u>  | <u>Expected results</u>   | <u>Date of completion</u>   | <u>Responsible Unit</u>   |
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| <p><b>4. Coordination (Policy)</b></p> <p>4.1 Coordination of UNEP activities in the various regions continued to be a major challenge. In a number of cases, partners were used although not with the best of results. An increasing number of UNEP pilot projects are being implemented at the country level. At present UNEP has no structures or strategies for coordinating and managing country-level activities. This has led to a poor supervision of projects as demonstrated by some of the Climate Change and BDM projects.</p> <p>Delays in project implementation are experienced because local expertise is not immediately identified at the time when the project is expected to start. These delays result in project time overruns.</p> | <p><b>4. Partnerships and coordination</b></p> <p>(a) Since UNEP has no country-level representation, the organization needs to find a way of managing pilot country-level projects. UNEP should consider using UNOPS to provide management backup to its projects.</p> <p>(b) As suitable coordinators are not easy to come by, UNEP needs to develop regional rosters of experts from which projects could draw expertise, so as to avoid time wasting during project implementation. This would reduce the current project time overruns experienced by many projects in developing countries.</p> | <p>Management will follow through and use UNOPs where possible to manage UNEPs projects.</p> <p>Each regional office to develop a regional roster of various experts. Office of regional representation to maintain the main roster to facilitate programme implementation.</p> | <p>Clear policy and guidelines on how to manage country level-projects. Fully explore the use of UNOPs.</p> <p>Database of experts in each region and the global one at the Division on Regionalization and Representation.</p> | <p>30 April 2000</p> <p>30 June 2000</p> <p>30 September 2000</p> | <p>Division of Environmental Policy Development, Division of Environment Implementation, SMG.</p> <p>Division of Regionalization and Regional Offices</p> |

| <u>Findings</u>   | <u>Recommendations</u>  | <u>Action required</u>  | <u>Expected results</u>   | <u>Date of completion</u> | <u>Responsible Unit</u>     |
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| <p><b>5. Sustainability (policy and programmes)</b></p> <p>Most United Nations Environment Programme (UNEP) projects do not have an inbuilt sustainability programme to ensure the continuation of activities after project completion. As a result Governments or institutions which receive assistance to develop projects are left without a clear programme to sustain the activities after project completion.</p> | <p>5. (a) UNEP's Project Approval Group (PAG) must make sustainability one of its project approval criteria. PAG must insist that each project document should include a sustainability strategy, an indication of how the project will assist the partner to sustain activities after project completion.</p> <p>(b) The Evaluation and Oversight Unit must monitor the implementation of the sustainability strategy by including it as a criteria in the self-evaluation fact sheets and in the evaluation terms of reference.</p> | <p>Sustainability is covered in the UNEP manual. PCMU should incorporate sustainability in the manual as an approval requirement/criteria.</p> <p>Evaluation Unit to amend self-evaluation fact sheet to include sustainability. Evaluation Unit to include sustainability in all terms of references for desk and indepth evaluations.</p> | <p>Sustainability will become a requirement for project approval as contained in the manual. PAG enforcement on project approval. PCMU to monitor the adherence to criteria. Develop indicators for sustainability. Revised self-evaluation fact sheet. Sustainability made part of the Annual Evaluation Report.</p> | <p>2000</p> <p>2000</p>   | <p>PCMU, PAG</p> <p>EOU</p> |
| <p>6. The evaluations carried out in 1998 do not mention gender and yet gender is one of the criteria used in project development and approval. This is true of all the in-depth and self-evaluations carried out in 1998.</p>  | <p>5. It is recommended that the Evaluation and Oversight Unit should include 'gender' as part of the evaluation criteria, as well as ensuring that it is included in all self-evaluations as well.</p>   | <p>Revised self-evaluation fact sheets and to include gender in all TORs. Incorporate gender in evaluation criteria in the Manual annex.</p>  | <p>Revised self-evaluation fact sheets. Gender included in the Manual Annex on Evaluation. TORs to include gender. Monitor implementation of Gender criteria by analysing all self-evaluations which are done on an annual basis.</p>   | <p>28 February 2000</p>   | <p>EOU</p>                  |

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|------------|---|
| <b>Key</b> |   |
| UNOPS      | - United Nations Office for Projects Services   |
| PCMU       | - Programme Coordination and Management Unit    |
| IETC       | - International Environmental Technology Centre |
| SMG        | - Senior Management Group                       |
| PAG        | - Project Approval Group                        |
| BFMS       | - Budget and Funds Management Service           |
| HRMS       | - Human Resource Management Service             |
| BDM        | - Biodiversity Data Management                  |
| TOR        | - Terms of Reference                            |
| EOU        | - Evaluation and Oversight Unit                 |

## Annex II

### LIST OF SUBPROGRAMME EVALUATIONS

1. Sub-Programme Evaluation on Reduced Environmental Impacts of Energy Utilization - New York requirement
2. Sub-Programme Evaluation on Caring for Land Resources (New York Requirement)
3. Sub-Programme Evaluation on Caring for Biological Resources (New York Requirement)
4. Sub-Programme Environmental Law and Institutions/LAC. ROLAC (New York Requirement)

### Annex III

#### LIST OF IN-DEPTH PROJECT EVALUATIONS

1. In-depth Evaluation of Regional Activity Centres (RACs) Operation Under UNEP/MAP.
2. CP/1100-96-34 – Indepth evaluation on Strengthening the Capabilities for Managing Coastal and Marine Environmental Resources in the Wider Caribbean Region.
3. EL/0702-94-05/EL/0702-94-06/EL/0702-94-40 - UNEP/UNDP Joint Project on Environmental Law and Institutions in Africa - External Evaluation and Report of the Review Panel on the External Evaluation.
4. Indepth Evaluation of project GF/2200-97-16 - Assistance to Selected Non-Annex 1 Parties for the Preparation of Initial National Communications - MAURITIUS
5. Indepth Evaluation of project MH/1202-94-14 - Establishment of a Network for Industrial Environmental Management (NIEM) - Phase I, II and III.
6. Indepth Evaluation of project GF/2200-96-15 - Economics of Greenhouse Gas Limitations - Phase I: Establishment of a Methodological Framework for Climate Change Mitigation.
7. FP/5250-96-01 - Support to Regional and Sub-Regional Cooperation: North America
8. FP/5210-96-01 - Strengthening of UNEP's Regional Presence in Africa in Implementing its Mandate in the Africa Region Through Regional and Subregional Cooperative Frameworks and Advisory Services
9. Indepth Evaluation of project CG/5400-96-02 - Use of Geographic Information Systems in Agricultural Research Management Phase II
10. Indepth Evaluation of project GF/1200-98-03 - UNEP/GEF Pilot Biosafety Enabling Activity.
11. Indepth Evaluation of project CP/0401-95-02 - Red Sea Regional Framework Plan.
12. BS/3100-97-01 - Establishment of the Regional Centre of the Basel Convention for Training and Technology Transfer in the Slovak Republic.

## Annex IV

### LIST OF DESK PROJECT EVALUATIONS

1. GEO Evaluation (10 sub-projects)
  - FP/CP/5100-97-72– Global Environment Outlook 2: Participation of the Central European University (CEU) in GEO 2.
  - FP/CP/5100-97-73 – Global Environment Outlook 2: Participation of the Arab Centre for the Studies of Arid Zones and Drylands (ACSAD) in GEO 2.
  - FP/CP/5100-97-75 – Global Environment Outlook 2: Participation of the University of Chile in GEO 2.
  - FP/CP/5100-97-78 – Global Environment Outlook 2: Participation of the India Musokotwane Environment and Resource Centre for S. Africa (IMERCSA).
  - FP/CP/5100-97-81 – Global Environment Outlook 2: Participation of the Asian Institute of Technology.
  - FP/CP/5100-97-84 – Global Environment Outlook 2: Participation of the Tata Energy Research Institute (TERI).
  - FP/CP/5100-97-86 – Global Environment Outlook 2: Participation of the GEO Collaborating Centre National Institute for Public Health and the Environment in the Netherlands (RIVM).
  - FP/5100-96-18 – Global Environment Outlook: Review of GEO I by the Moscow State University (MSU).
  - FP/5100-96-25 – Production of GEO I.
  - FP/5100-96-37 – GEO I on INTERNET
2. Desk evaluation of the project FP/3100-96-04 – Prior Informed Consent Project (PIC).

## Annex V

### LIST OF SELF-EVALUATION FACT SHEETS AND TERMINAL REPORTS FOR 1999

1. ET/5240-96-02 - Environmental Training Network for Latin America and the Caribbean - EFS.
2. FP/5330-98-02 - Resource Mobilization Unit - EFS.
3. FP/CP/5100-97-75/Rev.2 - Global Environment Outlook 2: participation of the University of Chile in GEO-2. - EFS
4. CP/5100-97-76/Rev. 1 - Global Environment Outlook 2: participation of the Brazilian Institute of the Environment and Renewable Natural Resources (Ibama) - EFS.
5. FP/CP/5100-97-77 - Global Environment Outlook 2: Participation of the University of Costa Rica, Foundation for Research (FUNDEVI) on Behalf of the University of Costa Rica - EFS.
6. FP/5510-98-07 - Co-ordination of Regional Inputs into GEO-2, Including a Regional Policy Consultation on GEO-2 for Latin America and the Caribbean - EFS.
7. CP/FP/9101-87-90 - Utilization of Locally Adopted Genetic Resources, Renewable Energy and Other Resources for Agricultural Production in El Ammam, Egypt.
8. CA/CP/FP/ME/5101-89-02 - The Mediterranean Action Plan 1990-1995 - EFS. (End of year report for ME/1100-98-09 - Technical Support to the Implementation of MEDPOL Phase III Programme.
9. GF/0313-94-62/Rev. 4 - Assistance for the Preparation of a Biodiversity Country Study in Namibia - EFS
10. GF/6105-92-61/Rev. 4 - Assistance for the Preparation of a Biodiversity Country Study in China - EFS.
11. FP/6105-93-03 - Assistance to Two Developing Countries for the Preparation of Biodiversity Country Study: Mozambique (GF/1200-96-46) and Papua New Guinea (GF/6105-92-68) - EFS.
12. GF/6105-92-64 - Guidelines for National Biodiversity Strategies and Action Plans (NBSAP) - EFS.
13. GF/0313-94-63 - Assistance for the Preparation of a Biodiversity Country Study in Madagascar - EFS.
14. FP/0322-95-05 – Plan of Action for the Kalahari-Namib Region. Integrated land use planning, rangelands monitoring, protection and rehabilitation: Preparatory phase for land conservation programme: Zambia - EFS.
15. FP/0322-95-06 – Plan of Action for the Kalahari –Namib Region. Integrated land use planning, rangelands monitoring, protection and rehabilitation: Preparatory phase for land conservation programme: Botswana – EFS.
16. PA/6102-93-01 – Programme for the Integrated Management of Andean Ecosystems (Cajamarca) – EFS.
17. PA/6103-84-01 – Integrated Pilot Project on Environmental Management and the Protection of Andean Ecosystems – EFS.
18. CP/FP/ME/CA/5101-89-02 – The Mediterranean Action Plan: 1990-1995 – EFS.
19. ME/5102-84-02 – Support to the Regional Activity Centre for Specially Protected Areas of the Mediterranean – EFS.

20. FP/CR/5102-87-08 – Assessment of Contamination by Hydrocarbons and Other Pollutants in the South-Eastern Waters of the Caribbean Sea – EFS
21. FP/RA/0505-94-01 (Joint UNCHS/UNEP Task Force on the Continuum from Relief to Development (JTF/CRD) - EFS
22. FP/EL/0702-94-05 (3083) [EL/0702-94-40 & EL/0702-94-06] - Environmental Law and Institutions in Africa (Implementation of Montevideo II Programme - EFS.
23. FP/3210-96-01/Rev. 9 - Support for Subprogramme Elements 3.2 Urban Areas (except the International Environmental Technology Centre and 3.4 Mitigating the Effect of Environmental Change and Environmental Emergencies) and 3.3. Emerging Environmental Health Issues - EFS.
24. HA/HL/CP/5324-98-04 - Support to the meetings of the High-Level Committee of Ministers and Officials (HLCOMO) - EFS
25. FP/5320-98-06 - Inter-Agency, Policy Affairs and Gender - EFS.
26. CP/1200-98-71 - Gigiri Nature Trail - EFS.
27. FP/EA/0401-93-01 - Eastern African Coastal and Marine Environment Resources Database and Atlas (Phase One: Kenya) - Final report.
28. FP/CP/5300-96-01/Rev. 7 - Coordination of public awareness, education and outreach to major group activities - EFS including documents.
29. FP/9101-96-56/Rev. 9 - Support and Service Environmental and Natural Resources Environmental Networks (ENRIN) - Capacity Building for Environmental Assessment, Reporting and Georeferenced Database Management in Latin America and the Caribbean - EFS.
30. FP/5201-92-03/Rev. 6 - Preparation of Synthesis Reports on Scientific and Technical Knowledge on Groundwater Contamination - EFS.
31. FP/0202-94-11/Rev. 4 - Development of Guidelines for Environmentally-Sound Management of Watersheds in Asia so as to Maintain Wetland Benefits - EFS.
32. FP/9101-87-92 - Promotion of Environmentally Sound Management of Lakes - EFS.
33. FP/1100-99-10 - Application of Planning Guidelines for Integrated Coastal Area and River Basin Management to the Cetina River Basin and associated coastal areas - Phase I: Preparation of Environmental and Socio-Economic Profile - EFS.
34. FP/1100-99-11: Enhancing Capacity to Address Environmental Factors Contributing to Impacts of Yangtze River Flood Events - EFS.
35. FP/1200-98-01/Rev. 1 - Caring for Biological Resources - EFS.
36. ME/CA/CP/1100-98-02 - Operation Budget for the Coordinating Unit for the Mediterranean Action Plan and Secretariat of the Barcelona Convention and Its Protocols (MED UNIT) - EFS.
37. CR/FP/0401-94-16/Rev. 4 - Integrated Planning and the Institutional Development for the Management of Marine and Coastal Resources (IPID) - EFS
38. CR/FP/JA/0401-94-18/Rev. 4 - Overall Coordination and Common Cost of the Caribbean Environment Programme (OCCC)

39. CR/CP/1100-96-34/Rev. 1 - Strengthening the Capabilities for Managing Coastal and Marine Environmental Resources in the Wider Caribbean Region - EFS.
40. GF/CR/1100-99-04/Rev. 1 - Reducing Pesticide Runoff to the Caribbean Sea - EFS.
41. JC/FP/3220-96-07/Rev. 5 - IETC Information Bulletin (Annex 11-1 of IETC Project) - EFS.
42. FP/1200-98-06/Rev. 3 - Information Dissemination and Training for Technology Transfer in Domestic Animal Genetic Resources - EFS.
43. FP/1200-98-08/Rev. 2 - Partnership in Capacity Building for Sustainable National Plant Genetic Resources Programmes - EFS.
44. FP/1200-98-14/Rev. 1 - Support to Cairo MIRCEN for Enhancing the Microbial Culture Collection Service and for Manpower Training and Research in Applied Environmental Biotechnology - EFS.
45. FP/1200-98-07/Rev. 1 - Support for Training Workshop on Microbial Biofertilizers and Plant Molecular Biology and Biotechnology - EFS.
46. FP/1200-99-05 - Integrated Community Based Biodiversity Conservation - EFS.
47. CT/1200-99-08 - Provision of Trade Monitoring Technical Services to CITES Secretariat - EFS.
48. ME/1100-98-06 - Support to the Regional Activity Center for Environment Remote Sensing (ERS/RAC) of MAP - EFS.
49. ME/MX/1100-98-05 - The Mediterranean Action Plan: Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea - EFS.
50. ME/CP/1100-98-04 - Support to Regional Activity Centre for Specially Protected Areas (SPA/RAC) - EFS.
51. ME/XM/1100-98-10 - Support to the Regional Activity Centre for the Priority Actions Programme - EFS.
52. GF/1200-98-73 - Support to the Preparation of a National Biosafety Framework - EFS.
53. ME/XM/1100-98-07 - Support to the Blue Plan Regional Activity Centre (BP/RAC) - EFS.
54. CP/5220-97-02 - Research and Training for Measuring and Monitoring Ecosystem Health in Large-Scale Ecosystem - EFS
55. GF/1200-98-75 - Support to the Preparation of a National Biosafety Framework, Cuba - EFS.
56. GF/1200-98-71 - Support to the Preparation of a National Biosafety Framework, Bolivia - EFS.
57. GF/1200-98-72 - Support to the Preparation of a National Biosafety Framework, Bulgaria - EFS.
58. GF/1200-98-73 - Support to the Preparation of a National Biosafety Framework, Cameroon - EFS.
59. GF/1200-98-76 - Support to the Preparation of a National Biosafety Framework, Egypt - EFS.
60. GF/1200-98-77 - Support to the Preparation of a National Biosafety Framework, Kenya - EFS.
61. GF/1200-98-78 - Support to the Preparation of a National Biosafety Framework, Hungary - EFS.

62. GF/1200-98-82 - Support to the Preparation of a National Biosafety Framework, Namibia - EFS.
63. GF/1200-98-84 - Support to the Preparation of a National Biosafety Framework, Poland - EFS.
64. GF/1200-98-87 - Support to the Preparation of a National Biosafety Framework, Uganda - EFS.
65. GF/1200-98-89 - Support to the Preparation of a National Biosafety Framework, IRRO/MSDN - EFS.
66. FP/1200-97-11 - Monitoring Genetic Diversity Through Ethnobotanic and Genetic Erosion Studies for Effective Conservation Strategies of Crop Genetic Resources - EFS.
67. FP/6105-81-04 - Study Tour on Protected Areas and Wildlife in the USSR - EFS.
68. FP/6105-82-01 - Regional/Quarterly Bulletin on Wildlife, National Parks and Wildland Conservation and Management for Africa (Nature Et Faune) - EFS.
69. FP/6105-83-01 - Directory of African Wetlands of International Importance - EFS.
70. FP/ST/6105-85-02 - Wildlife Management Fellowships - EFS.
71. FP/6105-78-01 - Assistance to the Mongolian People's Republic in the Establishment of the Great Gobi National Park, Mongolia - EFS.
72. FP/6105-81-03 - International Conference on Biosphere Reserves, Minsk - EFS.
73. FP/ME/5102-76-06 - The Mediterranean Programme: Regional Oil Combating Centre for the Mediterranean - MED XIII - EFS.
74. CP/5100-97-86 - Global Environment Outlook 2: participation of the National Institute for Public Health and the Environment, the Netherlands (RIVM) - Terminal Report.
75. GF/1300-97-04 - Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa - Botswana, Kenya, Mali - Final report for internal projects.
76. GF/1300-99-01 - Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa - Final Report for Internal Projects.
77. FP/5100-96-16 - Global Environment Outlook: Review of GEO-1 by the Centre of Environment and Development for the Arab Region and Europe (CEDARE) - EFS.
78. FP/CP/5100-97-80 - Global Environment Outlook2: Participation of the Centre for Environment and Development for the Arab Region and Europe (CEDARE) - EFS.
79. FP/CP/5100-97-81 - Global Environment Outlook 2: Participation of the Asian Institute of Technology (AIT) - Terminal Report.

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