

Strengthening Governance and Financial Sustainability of the National Protected Area System

Ukraine

**GEF Agency: United Nations Development Programme
Executing Agency: Department for Protected Areas, Ministry of Ecology and
Natural Resources
(formerly State Service for Protected Areas)**



**GEF Biodiversity Focal Area
GEF-4 Strategic Objective BD-1 / Operational Program 1, 2, 3, 4
Full-sized Project: GEF ID: #1027
UNDP Atlas ID: #59098 / UNDP PMIS: #1275**

Terminal Evaluation

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Acronyms

CBD	Convention on Biological Diversity
EA	Executing Agency
EU	European Union
FSP	Full-sized Project
GDP	Gross Domestic Product
GEF	Global Environment Facility
ha	hectares
IA	Implementing Agency
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MoENR	Ministry of Ecology and Natural Resources
MTE	Mid-term Evaluation
NEX-DEX	National Execution-Direct Execution
NGO	Non-governmental Organization
NNP	National Nature Park
NPD	National Project Director
PA	Protected Area
PDF-A	Project Development Funding Block A
PDF-B	Project Development Funding Block B
PIR	Project Implementation Report
RLP	Regional Landscape Park
SGP	Small Grants Programme
TNA	Training Needs Assessment
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
USD	United States dollars

I. Executive Summary

Project Title:	Strengthening Governance and Sustainability of the National Protected Area System			
GEF Project ID:	1027		<i>At endorsement (million US\$)</i>	<i>At completion (million US\$)</i>
UNDP Project ID:	1275	GEF financing:	\$1.80	\$1.80
Country:	Ukraine	IA/EA own:	\$0.05	\$0.04
Region:	ECA	Government:	\$3.12	\$2.50
Focal Area:	Biodiversity	Other:	\$0.90	\$0.10
FA Objectives, (OP/SP):	SP-1	Total co-financing:	\$4.07	\$2.63
Executing Agency:	Department of Protected Areas, Ministry of Ecology and Natural Resources (formerly State Service for Protected Areas)	Total Project Cost:	\$5.87	\$4.43
Other Partners Involved:	Multiple relevant stakeholders not directly responsible for execution.	ProDoc Signature (date project began):		March 6, 2008
		(Operational) Closing Date:	Proposed: March 31, 2012	Actual: October 31, 2012

1. The project “Strengthening Governance and Financial Sustainability of the National Protected Area System” is a Global Environment Facility (GEF) funded Full-sized Project (FSP), with \$1.80 million in GEF resources and planned co-financing of \$4.07 million, for a total budget of \$5.87 million. Implementation was planned for approximately 48 months (April 2008 – March 2012), but this has been extended to the end of December 2012. The United Nations Development Programme (UNDP) is the GEF Agency, and the project is executed under “National Execution-Direct Execution” (NEX-DEX) arrangements. The original national executing entity was Ukraine’s State Service for Protected Areas, but this government agency has been re-organized within the Ministry of Ecology and Natural Resources (MoENR) as the Department for Protected Areas.

2. According to the project document, the overall project goal is “to secure long-term conservation of biodiversity within Ukraine’s Nature Reserve Fund, specifically focusing on PAs of global, national or regional significance.” The project objective is “to enhance the financial sustainability and strengthen institutional capacity of the PA system in Ukraine.” The project’s three expected outcomes are:

Outcome 1: Development and implementation of a strategic vision for protected area financial sustainability;

Outcome 2: Improved governance of the national protected area system; and

Outcome 3: Capacity in place to replicate the improved management approach across the national protected area system.

3. Ukraine’s protected area system covers only ~5% of its national territory, but the central government has made expanding the protected area system a priority. There are national policy

measures seeking to increase protected area coverage in Ukraine, with a national target of 10% within the next 5 – 10 years. Yet the current protected area system is significantly underfunded, with only about 60% of budgetary needs met from government sources. Addressing this shortfall, and increasing management effectiveness throughout the national protected area system, is the rationale for this project.

4. According to GEF and UNDP evaluation policies, terminal evaluations are required practice for GEF funded FSPs, and the terminal evaluation was a planned activity of the monitoring and evaluation plan of the Ukraine PAs project. This terminal evaluation reviews the actual performance and progress toward results of the project against the planned project activities and outputs, based on the standard evaluation criteria: relevance, efficiency, effectiveness, results and sustainability. The evaluation assesses project results based on expected outcomes and objectives, as well as any unanticipated results. The evaluation identifies relevant lessons for other similar projects in the future in Ukraine and elsewhere, and provides recommendations as necessary and appropriate. The evaluation methodology was based on a participatory mixed-methods approach, which included three primary elements: a) a desk review of project documentation and other relevant documents; b) interviews with key project participants and stakeholders; and c) field visits to relevant project sites in Ukraine. The evaluation is based on evaluative evidence from the start of project implementation (April 2008) through September 2012 (with expected project closure in December 2012). The desk review was begun in August 2012, and the evaluation mission was carried out from September 24 – 28, 2012.

5. The project objective was relevant to Ukraine's national biodiversity conservation priorities and strategies, to implementation of the Convention on Biological Diversity (CBD), and to the GEF biodiversity focal area strategic priorities. The rating on this aspect is assessed as **relevant**.

6. Overall the project implementation approach has been strong in terms of carrying out the project workplan and activities. Following the change in government around the mid-point of the project there has been a breakdown in the level communication and coordination with the national executing body, the MoENR, which indicates a reduction in the level of ownership of the project results by the government. Overall, the project has been implemented in a cost-effective manner, in line with GEF, UNDP, and Ukraine national standards and procedures. The **efficiency** of the project is rated as **satisfactory**.

7. The project has made a number of important contributions to strengthening financial sustainability and improving management effectiveness, particularly at the demonstration site level. The establishment and ongoing operation of the national PA association is a critical element that should continue to contribute to improving the financial status and management effectiveness of Ukraine's PAs. At the same time, despite intensive efforts of the project team, the project was not able to fully reach a number of results that would have more significantly contributed to achievement of the project objective, including adoption and implementation of a national PA financing strategy, and broader uptake of business planning approaches within the PA system. There remains a long and arduous path to financial sustainability for Ukraine's PAs. Project **effectiveness** is considered **moderately satisfactory**.

8. The project produced a number of valuable outputs under Outcome 1, but there remains a need for further progress toward achievement of this outcome, including adoption (and subsequent implementation) of the national PA financing strategy. Some of the most significant long-term results from the project have been achieved under Outcome 2, with perhaps the most important being the establishment of the national PA association for Ukraine. The project's work on vocational training for PA management has also been a highlight, and the project's contribution to the develop of an approach to cross-oblast cooperation on PA management is a notable achievement that is likely to have catalytic effects in Ukraine in the future. Outcome 3 primarily covered the project M&E activities, and the planned replication approach. Some activities supporting replication were carried out, but the actual extent of catalytic effects thus far is limited. There are opportunities for further replication and scaling-up of some project activities (e.g. business planning), but greater support will be required from the MoENR.

9. Based on the four components of sustainability, the **sustainability** of project results is considered ***moderately likely***. The main consideration with respect to financial sustainability is the future status of the PA association; the current outlook is cautiously optimistic. At the local level the project activities and results have strong support, and are likely to be sustained. The reduced support at the national level from the MoENR at the end of the project presents some risks in this regard, but at least the majority of project results are expected to be sustained. The institutional framework for PA management in Ukraine remains fragmented, and the project was not fully successful in strengthening PA governance under Outcome 2. By the nature of the project activities there are limited or no direct environmental risks to the sustainability of project results.

10. The main **lessons** identified in this evaluation are briefly summarized below, with greater detail on each provided in the lessons section of this report.

11. **Lesson:** Systemic change is rarely possible without the full support of all necessary stakeholders. In the case of the Ukraine PAs project, the level of support from the most critical government stakeholder, the MoENR, shifted following the change in government in 2010. As a result the project was not able to make significant progress in further institutionalization of some key results in the second half of the project.

12. **Lesson:** Any GEF projects that seek to invest in local stakeholder capacity through micro-finance or micro-grant facilities need to strongly consider the level of capacity in the target region, and assess the potential level of absorption of funds in the region. In the Ukraine PAs project the amount of funds to be invested, and the co-financing required, was far too ambitious for the conditions of the target area.

13. **Lesson:** Most, if not all, projects would benefit from a clearly defined and articulated Theory of Change during the project development phase. The practical aspects of project design can then be clearly linked with the necessary mechanisms for change within the Theory of Change.

14. **Lesson:** Project activities must be closely aligned with national strategies and priorities, and in some cases it may be necessary to make significant changes to project plans to adapt to changing conditions. In the case of the Ukraine PAs project, following the development and approval of the project the government of Ukraine announced an initiative to significantly

expand the national PA system by 2020. The project might have been able to contribute to more significant systemic changes if it had been able to become well-integrated with and relevant to the new PA expansion effort. At the same time, some of the project results, particularly the establishment of the national PA association, are expected to provide important support for the development of the new PAs being established.

15. The lessons identified in the mid-term evaluation also remain relevant, and are included below.

16. **Lesson:** Innovative public events that require relatively little financial investment, such as the hand hay-mowing tournament, can generate significant benefits in terms of public buy-in, awareness, publicity, and revenue generation.

17. **Lesson:** Building on previous initiatives, such as the protected areas training program, can increase the cost-effectiveness of investments and leverage greater results than would otherwise be possible if starting from scratch.

18. **Lesson:** A well-designed project with realistic goals and objectives can set the foundation for effective project management, leading to efficient achievement of results. The clarity of the Ukraine PA financing project document allowed the project team to make a strong start on implementing project activities and outputs on time and within budget, instead of having to spend a large amount of time at the beginning of the project trying to discern the objective.

19. The terminal evaluation identifies the following key **recommendations** for additional follow-up and for stakeholders following project closure. These recommendations are included with further detail at the end of this report, along with additional lower-level recommendations.

20. **Key Recommendation:** The stakeholders and government of Ukraine should urgently work to adopt a national financial strategy for the protected area system, using the strategy produced under the project as the major basis for a document that could be adopted by the government, with any necessary updates and revisions to ensure full conformity with necessary government approval procedures and legal requirements. [MoENR]

21. **Key Recommendation:** Apply whatever means necessary and possible to ensure the financial sustainability of the national protected areas association, upon which the sustainability of project results heavily depends. [PA Association, UNDP, MoENR]

22. **Key Recommendation:** There is still a significant opportunity to support establishment of additional protected areas. The government has laid out the PA expansion plan, but the oblast departments don't have the capacity to implement it. There is a need to seize the moment – this is potentially being supported by GIZ to some extent, but could likely use additional support. Ex: Rivne oblast department is tasked with reaching 15% coverage by 2015, but they only have 11%, and only 3 years to go. [UNDP, GEF, other donor organizations]

23. **Key Recommendation:** There should be further replication of the business planning process demonstrated in the two project pilot areas. This should be done through a multi-pronged approach, with continued support from the PA Association and the MoENR. The business planning approach was originally supported by the State Service on PAs through training and seminars, but this needs to be an ongoing process, including dissemination and

training with the tools (templates, guidelines, examples) required. In addition, PA business planning needs to be integrated with the PA management planning process through the relevant legislation. [PA Association, MoENR]

24. **Key Recommendation:** There needs to be an institutionalization of the training program supported under the project. The previous training modules, and the modules to be developed based on the Training Needs Assessment (TNA) feedback should be institutionalized through the Kaniv training center, if not other programs (e.g. government public servant professional development program). [PA Association, MoENR]

25. **Key Recommendation:** There should be further institutionalization of the Management Effectiveness Tracking Tool (METT), including the management of the METT database. Ideally this would be through the government, but lacking government capacity to take responsibility for it, it could also potentially be through the PA Association. It will also be necessary to continue developing capacity to further implement the METT in the PA system. [PA Association, MoENR]

Summary Terminal Evaluation Ratings Table

Criteria	Rating
Project Formulation	
<i>Relevance</i>	<i>R</i>
Conceptualization / design	S
Country-drivenness	S
Stakeholder involvement in design	S
IA & EA Execution	
<i>Quality of UNDP Implementation</i>	<i>S</i>
<i>Quality of Execution – Executing Agency</i>	<i>MS</i>
<i>Overall Quality of Implementation / Execution (Efficiency)</i>	<i>S</i>
Use of the logical framework	MS
Financial planning and management	S
Adaptive management	S
Use and establishment of information technologies	S
Operational relationships between the institutions involved	MS
Technical capacities	S
Monitoring and Evaluation	
<i>M&E Design at Entry</i>	<i>MS</i>
<i>M&E Plan Implementation</i>	<i>MS</i>
<i>Overall Quality of M&E</i>	<i>MS</i>
Stakeholder Participation	
Local resource users and civil society participation	HS
Involvement and support of governmental institutions	MU
Assessment of Outcomes	
Outcome 1: Implementation of a strategic vision for PA financial sustainability	MS
Outcome 2: Improved governance of the national PA system	S
Outcome 3: Enhanced capacity to replicate the project's PA management approach throughout the national system	MS
<i>Overall Project Outcome Rating</i>	<i>MS</i>
Progress Toward Project Objective ("To enhance the financial sustainability and strengthen institutional	MS

Criteria	Rating
capacity of the PA system in Ukraine”) (Effectiveness)	
<i>Sustainability</i>	
<i>Financial Resources</i>	<i>ML</i>
<i>Socio-political</i>	<i>ML</i>
<i>Institutional Framework and Governance</i>	<i>ML</i>
<i>Environmental</i>	<i>L</i>
<i>Overall Likelihood of Sustainability</i>	<i>ML</i>
<i>Progress Toward Impact</i>	
<i>Environmental Status Improvement</i>	<i>N</i>
<i>Environmental Stress Reduction</i>	<i>M</i>
<i>Progress Towards Stress/Status Change</i>	<i>N/A</i>
Overall Project Results	MS

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation and Execution 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS): moderate shortcomings 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	Sustainability Ratings 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	Relevance Ratings 2. Relevant (R) 1. Not relevant (NR) Impact Ratings 3. Significant (S): Large-scale impacts 2. Minimal (M): Site-based impacts 1. Negligible (N): Little or no impacts
Additional ratings where appropriate Not Applicable (N/A) Unable to Assess (U/A)		

II. Introduction: Evaluation Scope and Methodology

26. According to GEF and UNDP evaluation policies, terminal evaluations are required practice for GEF funded FSPs, and the terminal evaluation was a planned activity of the monitoring and evaluation plan of the Ukraine PAs project.¹ The UNDP Ukraine office initiated the terminal evaluation near the completion of the project's four-plus year implementation period. This terminal evaluation reviews the actual performance and progress toward results of the project against the planned project activities and outputs, based on the standard evaluation criteria: relevance, efficiency, effectiveness, results and sustainability. The evaluation assesses project results based on expected outcomes and objectives, as well as any unanticipated results. The evaluation identifies relevant lessons for future similar projects in Ukraine and elsewhere, and provides recommendations as necessary and appropriate.

27. In addition to assessing the main GEF evaluation criteria, the evaluation provides the required ratings on key elements of project design and implementation. Further, the evaluation will, when possible and relevant, assess the project in the context of the key GEF operational principles such as country-drivenness, and stakeholder ownership, as summarized in Annex 3.

28. The evaluation methodology was based on a participatory mixed-methods approach, which included three primary elements: a) a desk review of project documentation and other relevant documents; b) interviews with key project participants and stakeholders; and c) field visits to relevant project sites in Ukraine. The evaluation is based on evaluative evidence from the start of project implementation (April 2008) through September 2012, and includes an assessment of issues prior to approval, such the project development process, overall design, risk assessment and monitoring and evaluation planning. The desk review was begun in August 2012, and the evaluation mission was carried out from September 24 – 28, 2012. The list of stakeholders interviewed is included as Annex 4 to this evaluation report.

29. All evaluations face limitations in terms of the time and resources available to adequately collect and analyze evaluative evidence. Also, as is understandable, some documents were available only in Ukrainian or Russian language, although all key documents were available in English, and the evaluator's ability to request English translations of key documents ensured that language was not a barrier to the collection of evaluative evidence. Altogether the evaluation challenges were not significant, and the evaluation is believed to represent a fair and accurate assessment of the project.

30. The evaluation was conducted in accordance with UNDP and GEF monitoring and evaluation policies and procedures, and in-line with United Nations Evaluation Group norms and standards.

31. The intended users of this terminal evaluation is the government of Ukraine, the UNDP Ukraine country office and Bratislava regional office, the GEF Evaluation Office and GEF Secretariat, and other key stakeholders such as civil society organizations. Once finalized, the terminal evaluation is expected to be made public.

¹ The terminal evaluation was carried out by the same evaluator who conducted the mid-term evaluation (May 2010), and the content of some portions of this evaluation report has been drawn substantially from the mid-term evaluation report, for example in sections of the terminal evaluation where there is no change from the mid-term assessment, such as project relevance and design.

III. Project Overview and Development Context

A. Development Context

32. Although Ukraine's economy has been growing since approximately 2000, it has suffered in the recent global economic downturn. While salaries can be higher in urban areas, in rural areas wages are typically quite low. Ukraine's estimated per capita Gross Domestic Product for 2011 is \$3,621 dollars, ranking 109th globally. Of Ukraine's population of approximately 46 million, 68% lives in cities or towns, with the remainder in rural areas. Ukraine is the second largest country on the European continent, with a total area of 603,628 sq km. Around 70% of Ukraine's land area is considered agricultural land, and about 19.7% is relatively undisturbed natural area, with 12.7% of this considered natural. According to the project document, Ukraine has three main geographic zones: mixed-forests in Ukrainian Polissya (25%), forest-steppe (35%) and steppe (40%). The project's three pilot sites cover more than 110,000 ha in the Polissya region, a unique biogeographic region encompassing the northwest of Ukraine, along with portions of Poland, Belarus, and Russia. The region is characterized by flat landscapes, and a combination of forests and wetlands due to the naturally high water table and a relatively wet climate.

33. As in many countries, PAs are one of the main approaches to environmental conservation and biodiversity protection in the Ukraine, but at the time the present project was developed, the country's PAs covered only 4.6% of the national territory, compared to the global average of 12.2% of terrestrial area protected, and a European average of 20% for the Natura 2000 network. The national PA system of Ukraine consists of more than 7,000 PAs covering 2.8 million ha, although more than half of these are nature monuments and city parks and recreation areas with minimal geographic area. There are fewer than 100 PAs of international, national, or regional importance. Ukrainian legislation establishes three primary objectives for PAs: the protection of nature, increasing public environmental awareness and recreation opportunities, and supporting science. The 40 PAs of national importance are managed by seven institutions such as the State Committee on Forestry and the Ukrainian Academy of Sciences, although the greatest number are managed by the Department for Protected Areas (formerly the State Service for Protected Areas), under the MoENR. The fragmented nature of the PA system is a key challenge in Ukraine. Each state body responsible for PAs has its own approach to PA management, and the overall system is unbalanced in ecosystem coverage. With multiple institutions involved, reporting and analysis of system-wide data is lacking.

34. The government of Ukraine has indicated its intention to expand the PA system – legislation passed in 2000 established a target of 10% of national territory for PA expansion by 2020. Multiple recent presidential decrees have supported the strengthening and expansion of the PA system, including presidential decrees #774/2008: "About exigent measures for expansion network of national natural parks," #1129/2008: "About expansion of the network and territories of national natural parks and other protected areas," and #611/2009: "About additional measures for development of protected areas management in Ukraine." Decree #1129 calls for the establishment of 19 new national level PAs, while #611 includes measures to consolidate the PAs system under the MoENR, but this has yet to be implemented.

B. Concept Background and Project Description

i. Concept Background

35. According to individuals involved in the early stages of the project development, the project concept originated as early as 1999 through discussions between UNDP and the respective governments as a regional project involving the Polissya ecosystem shared by Ukraine and Belarus. For simplicity of process, following initial feedback from the GEF Secretariat, the regional concept was eventually split into two separate national projects, though both projects share the same GEF pipeline entry date. Following submission of revised project concepts, the Belarus project (GEF ID #2104) was approved before the Ukraine project, and began implementation approximately two years earlier. During the development and approval process the Ukraine project was again fully revised to focus on the financial sustainability of the PA system, while retaining the demonstration sites in the Polissya border region.

ii. Project Description

36. According to the project document, there are two main barriers to establishing an effective and bio-geographically representative system of protected areas in Ukraine. First is the insufficient financial resources allocated for protected area management – at the time the project was developed, Ukrainian protected areas received approximately 95% of their funding from the government, but this only met approximately 60% of their financing needs. Second, protected area management is fragmented among a variety of national institutions, which results in a governance system with weaknesses and operational inefficiencies. To address these barriers the project sought to establish systematic and diverse revenue capture mechanisms to supplement the government allocated budget.

37. The project is a GEF FSP, with \$1.80 million in GEF funding and planned co-financing of \$4.07 million, for a total budget of \$5.87 million. As stated in the project document, the overall project goal is *“to secure long-term conservation of biodiversity within Ukraine’s Nature Reserve Fund, specifically focusing on PAs of global, national or regional significance.”* The objective of the project is *“to enhance the financial sustainability and strengthen institutional capacity of the PA system in Ukraine.”* To meet the overall goal and immediate objective, the project’s strategy is *“the systematic emplacement of ear marked revenue capture mechanisms to complement budgetary subventions to the PA system, and through improvements to PA governance that ensure PA revenue streams are employed efficiently so that impact is optimized per unit of investment.”*

38. The project objective is to be achieved through three expected outcomes:

Outcome 1: Development and implementation of a strategic vision for protected area financial sustainability;

Outcome 2: Improved governance of the national protected area system; and

Outcome 3: Capacity in place to replicate the improved management approach across the national protected area system.

39. An important element of the project design was a mini-grant facility for public-private partnerships, which was planned to disburse \$350,000 in grants of up to \$5,000 each. There were three demonstration sites selected for on-the-ground piloting of the various project activities: Shatsk National Nature Park (NNP), Pripyat-Stokhid National Nature Park, and Pripyat-Stokhid Regional Landscape Park (RLP).² The characteristics of the three demonstration sites are summarized in Table 1 below.

Table 1 Ukraine National Protected Area System Project Demonstration Sites

	Shatsk NNP	Pripyat-Stokhid NNP	Pripyat-Stokhid RLP
Hectares	48,977	39,315.5	22,330
IUCN Category	II	II	V
Managing Authority	State Committee on Forestry	MoENR	MoENR
Land tenure	Core zone primarily state owned, other areas mixed state and private	Mixed state (6,000 ha) and private	Mixed state and private
Number of staff	150	75	No management unit
Exact location	51° 18' – 51° 41' N 23° 28' – 24° 09' E	51° 44' – 51° 56' N 24° 48' – 25° 42' E	51° 47' – 51° 51' N 25° 22' – 26° 07' E
Gazetted	April 2, 1984	2007 (Not officially gazetted at project development)	November 23, 1995
Nearby Population	~12,000	~10,000	Not available

40. There are activities planned (and currently being carried out) at the local and national levels, and there are relevant stakeholders at a range of levels. At the level of the demonstration sites, the protected area management teams of the demonstration protected areas, and the local government are the main direct stakeholders, as well as the local population as indirect stakeholders. The regional government and environmental authorities in Rivne and Volyn oblasts are also important stakeholders. At the national level, the executing agency, the Department for Protected Areas of the MoENR, is the main institution concerned. There are multiple institutions that have responsibility for managing part of Ukraine's national protected area system, and these, such as the State Forestry Committee, are also key partners.

iii. Project Timing and Milestones

41. Implementation began in April 2008, with the inception workshop held August 5-6, 2008, and the project wrapped up operational activities in October 2012. Table 2 below shows key project milestone dates. From PDF-A approval to project operational completion was 136.5 months, or approximately 11 ¼ years; this for a project with a planned 48 months implementation period...!

42. The project was unusual among GEF projects because it had both PDF-A and PDF-B development funding (the exact details of why are unavailable), which may have contributed to an extended development period. PDF-As are typically used for the development of GEF

² The original project design called for the project to support the addition of the RLP to Pripyat-Stokhid NNP. However, these areas are in two different oblasts (sub-national administrative regions), and the project determined that it would be more feasible to support the upgrading of the RLP to national status as its own entity. This process is ongoing and will create the Nobelsky National Nature Park; completion is expected in 2013-2014.

medium-sized projects, while PDF-Bs are used for FSPs. In addition, the project approval process spanned the transition from GEF-3 to GEF-4, during which many projects that had been pipelined were delayed. If the time from PDF-A to PDF-B is taken into account, the project's development and approval period was almost two years longer than the GEF average for FSPs. If only the period from the PDF-B to project implementation is considered, the project reached implementation start around 10 months faster than the average GEF FSP. Table 3 shows development time frames for this project compared to the GEF average. From the table we see that the period from PDF-A to PDF-B approval for this project accounts for all of the above average development period. Once the PDF-B was approved, it moved through the GEF project cycle approval process faster than average.

Table 2 Ukrainian PA Financing Project Milestone Dates

Milestone	Expected date	Actual date	Months (total)
PDF-A Approval	Not Applicable	June 4, 2001	N/A
Pipeline Entry	Not Specified	June 18, 2003	24 (24)
PDF-B Approval	Not Applicable	May 9, 2005	23 (47)
PIF Approval	N/S	November 15, 2007	30 (77)
CEO Endorsement / Approval		January 31, 2008	2.5 (79.5)
Agency Approval	N/S	March 6, 2008	1 (80.5)
Implementation Start (first disbursement)	N/S	April 4, 2008	1 (81.5)
Mid-term Evaluation	March 2010	May 2010	25 (106.5)
Project Operational Completion	March 30, 2012	October 31, 2012	29 (135.5)
Terminal Evaluation Completion	May 31, 2012	November 2012	1 (136.5)
Project Financial Closing	March 30, 2013	December 31, 2012	1 (137.5)

Table 3 Comparison of Project Cycle Timeframes (months)

Project Development Time Period	This Project	GEF Average*	Difference
PDF-A Approval to Pipeline Entry	24	14	10 months slower
Pipeline Entry to PDF-B Approval	23	3	20 months slower
PDF-B to Project Approval	30	31	1 month faster
Project Approval to CEO Endorsement	2.5	10	7.5 months faster
CEO Endorsement to Agency Approval	1	1.4	0.4 months faster
Agency Approval to Project Start-up	1	2.4	1.4 months faster
Total Time to Project Start-up	83.5	61.8	21.7 months slower

*Average figures are for the GEF-3 period, which is primarily the period in which this project was developed, although the concept started in GEF-2 and was approved in GEF-4. Source: GEF Evaluation Office. 2007. "Joint Evaluation of the GEF Activity Cycle and Modalities," Evaluation Report 33, May 2007. Washington, D.C.: GEF Evaluation Office.

C. Ukraine PA Financing Project Relevance

i. Relevance at the national level

43. The project objective and approach is relevant to Ukraine's national policies and priorities for biodiversity conservation. At the time of project development, biodiversity and landscape conservation was among Ukraine's top environmental priorities, according to a resolution of the Board of the MoENR in April 2006. The main goals of the National Biodiversity Strategy and Action Plan, which are clearly supported by the project, include:

a). conservation, improvement and restoration of natural and disturbed ecosystems, landscape components, and habitats of some species; b). promoting a transition to sustainable, well-balanced use of natural resources; c). minimizing any indirect negative influences on ecosystems, their components and ecological complexes; d). strengthening public awareness, improving availability of information on biodiversity, involving more of local population in conservation activities; and e). defining and strengthening responsibility for biodiversity conservation, especially the responsibilities of institutions, organizations, land users, companies and individuals that use or affect natural resources.

44. Other national laws and policies are also supported by the project, such as the National Program for the development of Ukraine's national ecological network for the period 2000-2015, the Environmental Protection Act, and the Protected Areas Act. There is also a national Action Program for Biodiversity Conservation and Protected Area Management in Ukraine through 2020, which is supported by the project.

ii. Relevance to Multilateral Environmental Agreements

45. The GEF is a designated financial mechanism for the United Nations CBD, and as such, projects funded by the GEF must be relevant to and support the implementation of this convention. Broadly speaking the project supports Ukraine's implementation of the convention, which the country ratified in 1995. Although relevant to many aspects of the CBD, the project specifically supports the CBD's program of work on protected areas. The project also meets CBD objectives by supporting the Convention's Articles 6 (General Measures for Conservation and Sustainable Use), 7 (Identification and Monitoring), 8 (In-situ Conservation), 10 (Sustainable Use of Components of Biological Diversity), 11 (Incentive Measures), 12 (Research and Training), 13 (Education and Awareness), and 17 (Exchange of Information).

46. At the 10th Conference of Parties to the CBD, in 2010, in decision X/2, member nations of the convention adopted the Strategic Plan for Biodiversity 2011-2020, which included the Aichi Biodiversity Targets.³ The Russia MCPAs project is broadly supportive of most, if not all of the targets, but is specifically relevant to the following targets:

- *Target 2: By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.*

³ See <http://www.cbd.int/decision/cop/?id=12268> for the full text of the decision, including the Aichi Targets.

- *Target 5: By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced.*
- *Target 11: By 2020, at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes.*
- *Target 14: By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable.*
- *Target 19: By 2020, knowledge, the science base and technologies relating to biodiversity, its values, functioning, status and trends, and the consequences of its loss, are improved, widely shared and transferred, and applied.*

47. The project is relevant to numerous other multilateral environmental agreements to which Ukraine is a party, including the Ramsar Convention on wetlands, and the Convention on Migratory Species, which aims to conserve terrestrial, aquatic and avian migratory species throughout their range. Also relevant is the Convention on the Conservation of European Wildlife and Natural Habitats (i.e. “Bern Convention”).

iii. Relevance to GEF Strategies, Priorities and Principles

48. The GEF’s strategic priorities for biodiversity were similar during GEF-3 (July 2002 – June 2006) (the period of project development) and GEF-4 (July 2006 – June 2010),⁴ (under which the project was approved). The project has also partially been implemented during GEF-5 (July 2010 – June 2014). The project is aligned under the first GEF-4 Strategic Objective for the biodiversity focal area: “Catalyzing the Sustainability of Protected Areas”, and under this objective, it is focused on the first Strategic Program: “Sustainable financing of PA systems at the national level.” By strengthening the institutional capacity of Ukraine’s protected area institutions, partnering with private sector actors in key sectors such as tourism and agriculture, and improving the financial sustainability of Ukraine’s protected areas, the project is relevant to the GEF’s policies and priorities in the biodiversity focal area.

IV. Project Design and Implementation

A. Project Design and Development Process

49. As stated in the mid-term evaluation, at the time of its development the project document represented the “new generation” of GEF projects that have been developed based on the clear requirements and specifications of the GEF and UNDP, as well as the lessons learned from the previous generations of GEF projects. The project document has some areas that could have been improved, but on the whole it sets a solid foundation for project

⁴ For the focal area strategic approach for GEF-4, see GEF Council document GEF/C.31/1, “Focal Area Strategic and Strategic Programming for GEF-4,” July 16, 2007.

implementation. The document covers all of the necessary elements related to the GEF's operational principles, such as stakeholder participation and monitoring and evaluation. According to the project document, project preparation included broad consultation with a full range of stakeholders through interviews, group discussions and workshops, and Table 29 of the project document outlines the details of stakeholder involvement. Stakeholders interviewed for this evaluation stated that they felt adequately involved and consulted in project preparation, and that the project addressed local, regional, and national priorities.

50. The project objective is well-defined, and not overambitious – a problem of many GEF projects. By applying the terms “enhance” and “strengthen” the objective is framed to focus on improvement over time rather than an absolute final status - an important distinction considering the small size and short time frame of the project. At the same time, the logframe provided concrete and measurable indicator targets to assess the project's results. The project document includes an analysis of threats and root causes to biodiversity in the Ukraine, but the “Threats, root causes and solutions matrix” fails to demonstrate how the project strategy and expected outcomes have been developed to address these threats and root causes. The barrier removal portion of this analysis does not adequately link the proposed strategy to the threats and root causes, and an improved threat analysis in the project document would have provided a more clear rationale for the project strategy and chosen components.

51. As described in Section III.B.iii above, the project development process was far longer than the GEF average. Because the project concept was targeted at Ukraine's national PA system as a whole, the approach remained relevant despite the long amount of time from initial concept development to project implementation. As the period from project approval to project start-up was relatively short, few changes were made to the project document and logframe during the inception workshop. On the other hand, because the project concept went through an evolutionary process before reaching approval (going from a site-based to nationally-focused project), there is not a clear framework for the strategic value of activities implemented at the demonstration site level. While all demonstration site activities have value for biodiversity conservation, the strategic value of site level activities in terms of feeding up to the project's larger overall objectives are not clearly rationalized.

52. The third main project outcome is the replication and dissemination of the lessons and results from the project fully within Ukraine's protected area system. This is a critical element related to the required catalytic role of the GEF whereby results must be replicated and scaled-up to achieve Global Environmental Benefits, based on the small size of GEF investments which are limited by available resources. The project document includes a well-developed section on replicability, with a replication strategy for the first two project outcomes. To replicate lessons and results under each project outcome the replication strategy includes specific proactive approaches that will be undertaken, such as specific agreements and steps that will be taken by the project team and the national, regional and local institutions involved in protected area management. This is in contrast to the passive replication approach of many older GEF projects, whose project documents simply state that the project approach is replicable and lessons will be disseminated. Including an explicit and active replication approach at the outcome level should be considered best practice for GEF projects.

B. Project Management and Cost-Effectiveness (Efficiency)

53. Overall the project implementation approach has been strong in terms of carrying out the project workplan and activities. Following the change in government around the mid-point of the project there has been a breakdown in the level communication and coordination with the national executing body, the MoENR, which indicates a reduction in the level of ownership of the project results by the government. Overall, the project has been implemented in a cost-effective manner, in line with GEF, UNDP, and Ukraine national standards and procedures. The **efficiency** of the project is rated as **satisfactory**.

i. Ukraine PA Financing Project Implementation and Management

54. The project was executed under a hybrid UNDP implementation approach, termed NEX-DEX (short for “National Execution” and “Direct Execution”), whereby the Department for Protected Areas of the MoENR is the designated national authority, and the National Project Director (NPD) is a high-level official in this body, and is responsible for general oversight. During the course of the project the position of NPD changed due to the change in government in Ukraine and the associated institutional restructuring of the former State Service for Protected Areas.

55. The project team was contracted by UNDP. The project coordinator and a project assistant constituted the management portion of the project implementation unit, which also includes the national technical staff supporting project implementation. Stakeholders at the local, regional and national levels emphasized the excellent qualifications and participatory, partnership-focused approach of the project team. The project team prepared and submitted quarterly progress implementation reports to UNDP and the executing agency. Following a recommendation of the mid-term evaluation, the project team increased the comprehensiveness and organization of these progress reports to enhance ongoing risk assessment, monitoring for adaptive management, and complete documentation of implementation.

56. The project document stated (paragraph 113) that the executing agency will establish a Project Steering Committee to be chaired by the NPD, involving representatives from other relevant organizations such as the State Committee on Forestry, the Frankfurt Zoological Society (one of the co-financing organizations) and the European Union’s (EU) TACIS program. According to the project document, “The [Project Steering Committee] will monitor the project’s implementation, provide guidance and advice, and facilitate communication, cooperation, and coordination among stakeholders and other project partners.” The proposed Project Steering Committee was never established, and instead project oversight was carried out by a smaller “Project Board” consisting of the NPD, the UNDP Senior Program Officer for environment in Ukraine, and a representative of the Shatsk NNP demonstration site (representing project beneficiaries). The project board met approximately twice annually.

57. The Project Board appears to have adequately fulfilled the main project oversight responsibilities, in terms of reviewing and approving annual work plans and budgets, and monitoring project implementation progress. However, having a full Project Steering Committee with a range of stakeholders would have provided greater stakeholder participation, buy-in, visibility, transparency, and political support for the project. This in turn

would have minimized a variety of risks, and further strengthened sustainability. The steering committee would also have been particularly useful in the context of Ukraine where the management of protected areas is fragmented among multiple agencies.

58. The most significant issue with respect to project execution has been the reduction of communication and cooperation between the project team and the executing agency (Department of Protected Areas of the MoENR) during the second half of the project. Following the change in government in the 2nd quarter of 2010, the State Service for Protected Areas was re-organized under the MoENR, and the position of NPD changed. During the first half of implementation the project benefited from exceptionally good communication and a good working relationship between the NPD and the project team. For various and multiple reasons, following the change of government and change of NPD, there was a deterioration of communication between the project team and the executing agency, and a reduction in support for the project (but not for the project objective) from the MoENR. The NPD did not attend the Project Board meeting in late 2011, and declined to sign the financial record of the Combined Delivery Report for 2011 and 2012. As further discussed in Section V on results, this situation has created headwinds for the completion of some project activities, such as the adoption of a national financing strategy. While such a situation indicates a low level of country ownership for the project results, which reflects negatively on likelihood of sustainability, there remains strong support for the project activities and results among other key national stakeholder constituencies.

ii. Financial Management

59. With the NEX-DEX implementation approach, UNDP retained control of the project's financial resources, and manages financial aspects such as disbursement. This approach was implemented to reduce risks of financial mismanagement during implementation. The project team did not report any issues related to disbursement (i.e. delays, bureaucracy), likely thanks to the close working relationship with the UNDP country office. The project team used UNDP's ATLAS system to handle project financial management, and the project conforms to UNDP accounting standards and practices. The project's monthly Combined Delivery Reports track expenditures against the planned budget for the workplan. Comprehensive financial reports were prepared annually and shared for discussion with the executing agency and UNDP. The project team had the ability to procure items up to \$2500 USD, while the UNDP country office handled items above this benchmark. Exchange rates moved slightly in a manner favorable for the project budget in terms of local currency since project approval; thus, this was not a constraint for the project as it was for some GEF projects in recent years. One budget revision was required, to extend the project activities from 2011 into 2012.

60. On the whole, the financial planning and management of the project has resulted in a cost-effective use of resources. As further discussed below, the project's management budget was planned for only 4.3% of GEF funding, and actual management expenditures equaled 9.7% of GEF resources, below the 10% cap mandated by the GEF. It appears there are, however, opportunities for strengthening the project workplan budgeting process for UNDP projects in Ukraine to increase visibility and openness for all stakeholders, particularly in the case of this project where the primary oversight mechanism was the Project Board with only three

members instead of a project steering committee with broader membership. According to the project team, workplan budgeting was conducted through internal discussions between the project team, UNDP and the NPD. In accordance with the project's results focus and project document, activities planned for each year were discussed and agreed, and then the corresponding budget was estimated based on the project's experience and market research, in the case of expected procurement. Once agreed, the Project Board approved the project workplan and budget. The current NPD has questioned the project's cost effectiveness in light of a lack detailed budget information and the internal workplan budgeting process. While this evaluation has no doubts about the propriety or cost-effectiveness of the use of project funds, a more explicit workplan budgeting process would have provided the project with a fully defensible position with respect to budget transparency.

61. The workplan budgeting was also inadvertently obscure because the UNDP Ukraine Country Office financial management procedures did not require budget revisions for budget changes if the changes were within the same broad ATLAS budget line category, regardless of the size of the shift of use of resources. For example, the project document originally foresaw \$350,000 USD for the mini-projects program under the Public-Private Partnerships aspect of the project; however, only approximately \$75,000 was ultimately used due to capacity constraints at the ground level, leaving a balance of approximately \$275,000 USD. The Project Board discussed the potential alternative uses of these funds and decided on appropriate activities to be supported, in-line with the project's outcomes and objective; but, an official budget revision was never required or processed because the funds were still to be used within the "Service contracts – individuals" ATLAS budget line. This shift of the use of planned funds represented approximately 15% of the project's GEF resources, and in the experience of the evaluator, this would have required an official budget revision in other countries.

62. The project document was unclear about the required project audit procedures. The project document states, "Financial transactions, reporting and auditing will be carried out in compliance with national regulations and established UNDP rules and procedures for national project execution" and the monitoring and evaluation plan in the project document includes \$8,000 for auditing, and qualifies the timeframe as "yearly". The project monitoring and evaluation plan audit clause states "[Government of Ukraine] will provide the Resident Representative of UNDP Ukraine with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in the Programming and Finance manuals," but this appears to be standard text that would relate to NEX-only implementation arrangements.

63. The UNDP Ukraine country office is audited annually, during which the protected areas project could have been one of UNDP's projects selected for specific detailed inspection, but this did not occur as the larger projects in UNDP's portfolio tend to be those selected for individual review. An audit was conducted in the final months of the project, and did not identify any critical issues of financial management. The audit did identify some issues for correction in the project's financial management related to accounting entries on incorrect budget lines, disposal of fixed assets, and VAT reimbursement. This evaluation does not consider that any of these issues indicate any substantive problems with project financial management, and this evaluation does not see a need for any further follow-up by the GEF.

iii. Financial Planning, Delivery, and Co-financing

64. The project's planned and actual expenditure by outcome is broken down in Table 4 below. Outcome 1 was budgeted for 41.4% of GEF funding, including the \$350,000 mini-grant facility, which alone makes up 19.4% of GEF funding. Outcome 2 was planned for 44.2% of GEF funding, and Outcome 3 was planned for 10.1% of GEF funding. The budgeted project management costs were only 4.3% of GEF funding. This is well below the planned management costs for many GEF projects (often 8% - 9%) and below the GEF mandated ceiling of 10% of GEF funding. Actual project management costs ended up being 9.7%, but this is still below the required 10%. Monitoring and evaluation is budgeted at 2% of total funding under Outcome 3, but it is unclear if funding was from GEF financing or co-financing.

65. Estimated delivery of the project budget by project completion is expected as 100% of GEF resources. Figure 1 below shows the planned vs. actual delivery by year. As can be seen, the project delivery was roughly on-track until 2011, with the portion remaining from 2011 extended to 2012. Figure 2 shows planned delivery by outcome by year, and Figure 3 shows actual delivery by outcome by year. The most significant difference of actual vs. planned expenditure is from the mini-projects program, as previously discussed. However, also under Outcome 3 the project only used ~10% of the planned resources. In addition, actual expenditure on project management was more than double the originally planned amount, from 4.3% of GEF resources to 9.7%.

66. Table 5 below shows the project's expected and actual co-financing through September 2012. The total planned co-financing was \$4.07 million USD. At the time of the mid-term evaluation the project had received 59% of the expected co-financing during the 2008-2009 period, which was a strong positive indication for expected total financing to be received by the end of the project. However, based on information provided by the project team, the project only received an additional \$0.23 in co-financing in the 2010-2012 period, resulting in total actual co-financing of \$2.63 million USD, or only 64.6% of the expected co-financing. This equates to a co-financing ratio of 1:1.46. It is not fully clear why actual co-financing dropped so significantly in the second half of the project, but one contributing factor was the status of the mini-grants program, which had been expected to contribute \$0.70 million USD in co-financing, but due to the restructuring of the program only contributed around \$0.05 million USD. Had the co-financing from the mini-grants program been realized as planned, the project would have reached 80% of the expected co-financing. In addition, the decreasing support for the project by the MoENR in the second half of implementation may have contributed to reduced levels of co-financing, or at least reduced data availability on co-financing.

Figure 1 Ukraine PAs Financing Project Planned vs. Actual Delivery by Year

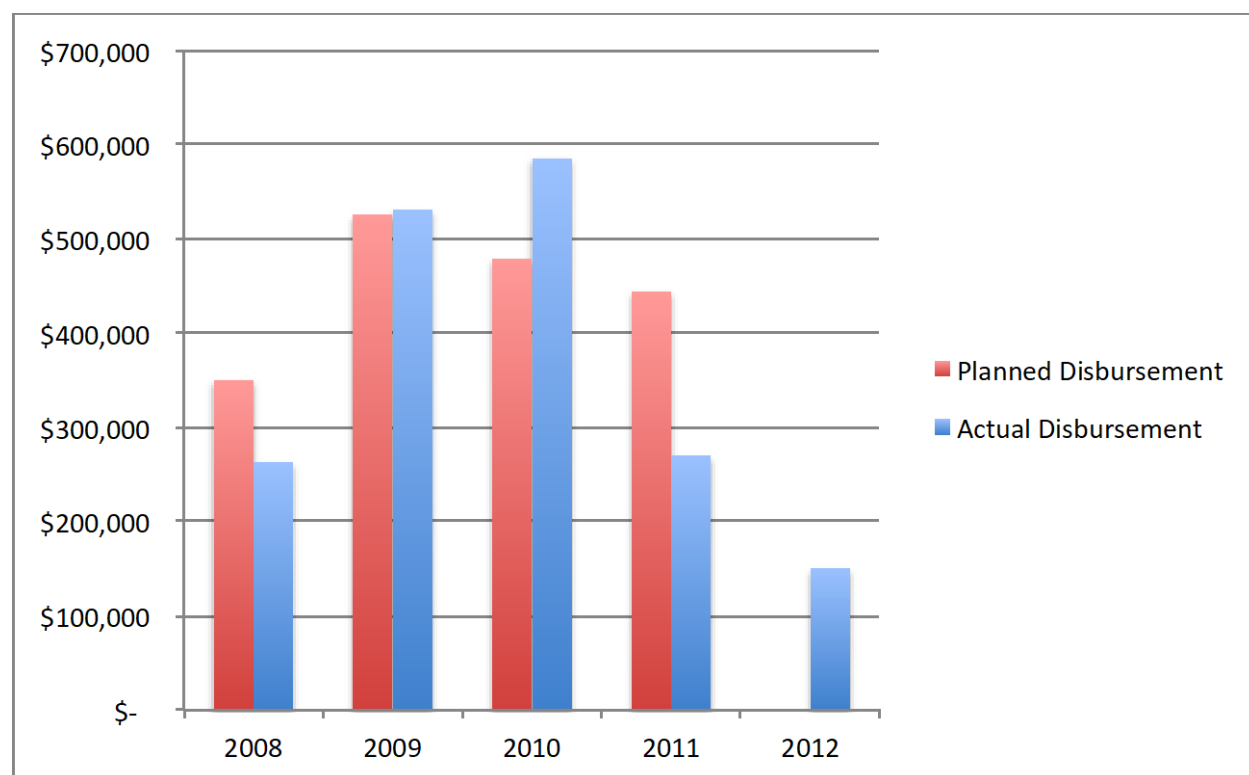


Figure 2 Ukraine PAs Financing Project Planned Disbursement by Outcome by Year

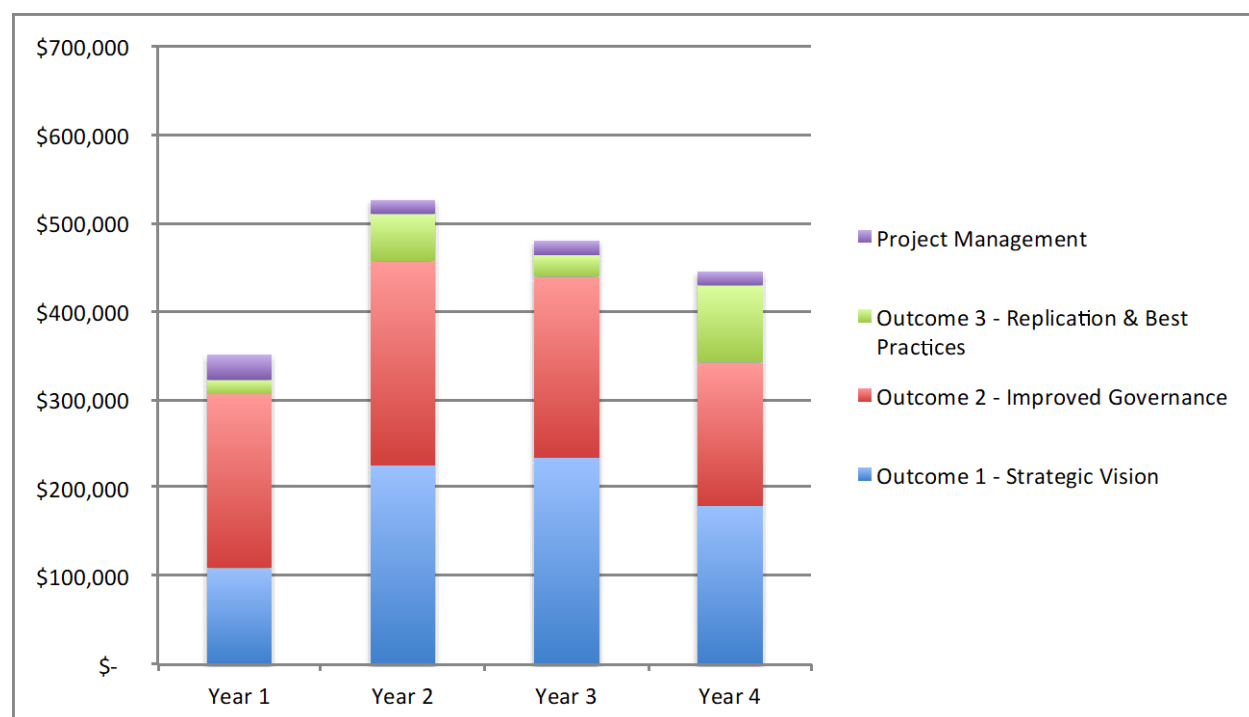


Figure 3 Ukraine PAs Financing Project Actual Disbursement by Outcome by Year

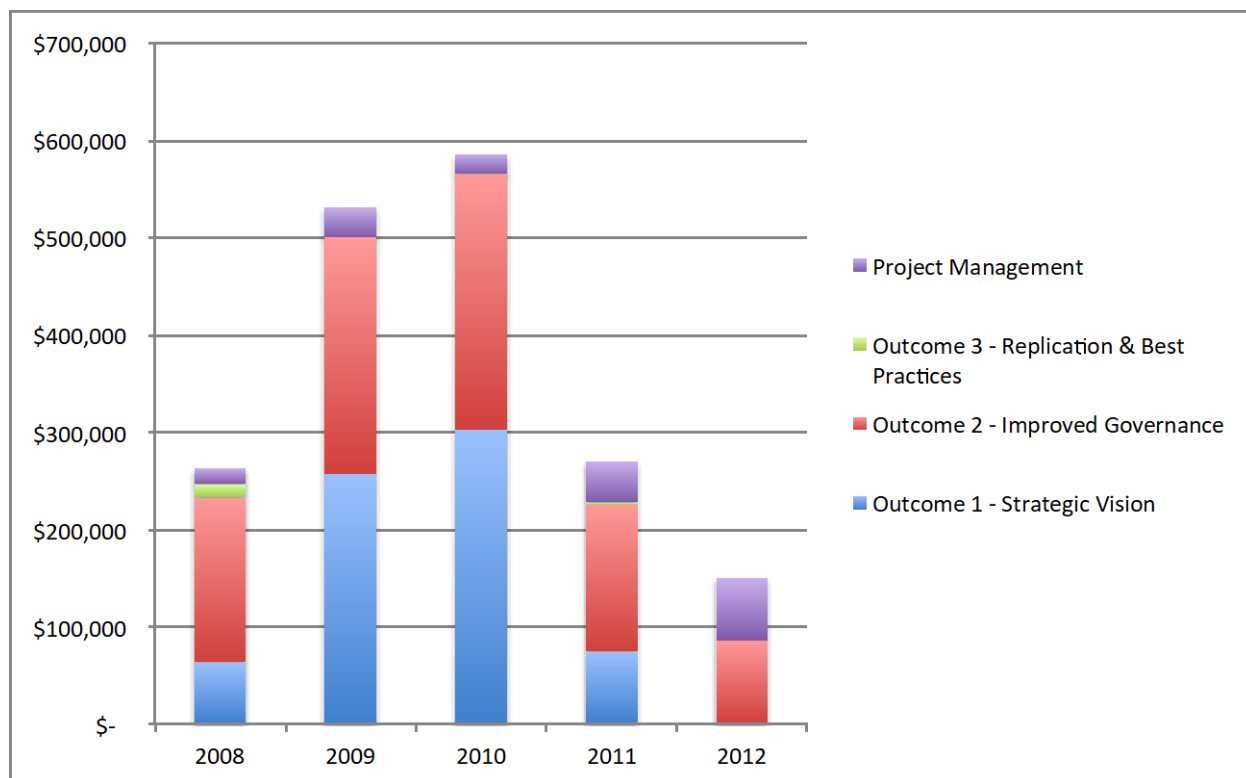


Table 4 Project Planned by Component and Actual Expenditure Through June 30, 2012 (all amounts in millions USD)

	GEF Amount Planned	% of GEF Amount Planned	Total Planned	% of Total Planned	GEF Amount Actual	% of GEF Actual	% Difference from GEF Amount Planned
Outcome 1 (not including Output 1.3): Development and implementation of a strategic vision for protected area financial sustainability	0.40	22.0%	1.09	18.5%	0.62	34.6%	+57.2%
Output 1.3 Micro-grant Facility for Public-Private Partnerships	0.35	19.4%	1.05	17.9%	0.08	4.1%	-78.6%
Sub-total for Outcome 1	0.75	41.4%	2.14	36.4%	0.70	38.7%	-6.5%
Outcome 2: Improved governance of the national protected area system	0.80	44.2%	2.46	41.8%	0.91	50.6%	+14.6%
Outcome 3 (not including Output 3.1): Capacity in place to replicate the improved management approach across the national protected area system	N/S	N/S	0.91	15.5%	N/S	N/S	N/S
Output 3.1: Monitoring & Evaluation [‡]	N/S	N/S	0.12	2.0%	N/S	N/S	N/S
Sub-total for Outcome 3	0.18	10.1%	1.03	17.5%	0.02	0.9%	-90.8%
Project Management	0.08	4.3%	0.25	4.3%	0.18	9.7%	+125.8%
Total	1.80		5.88		1.80		

Source: GEF and co-financing planned amounts from project document. Actual amounts through 2011 are from the project CDRs, while the 2012 figures used to create the totals are based on the 2012 project budget revision approved in July 2012.

‡ The project document contains a monitoring and evaluation plan and budget, which appears to be programmed as Output 3.1 under Outcome 3, but it is not clear whether the funding will be from GEF or co-financing sources.

Table 5 Project Planned and Actual Co-financing through September 2012 (all amounts in millions USD)

Co-financing (Type/Source)	IA own Financing		Multi-lateral Agencies (Non-GEF)		Bi-lateral Donors		Central Government*		Local Government		Private Sector**		NGOs		Other Sources		Total Co-financing		Percent of Expected Co-financing
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Actual share of proposed
Grant							2.94	2.50	0.18	0.04	0.70	0.05	0.20	0.05			4.02	2.60	
Credits																			
Loans																			
Equity																			
In-kind	0.05	0.04															0.05	0.04	
Non-grant Instruments																			
Other Types																			
TOTAL***	0.05	0.04					2.94	2.50	0.18	0.04	0.70	0.05	0.20	0.05			4.07	2.63	

Source: Proposed amounts from Project document, Part A.V. Actual amounts to date from documentation from project team.

* Central government co-financing comes from multiple sources: Ministry of Environment/State Service for Protected Areas, State Committee on Forestry, Ukrvodgosp, and Ukrainian Agrarian Academy of Science.

** This is the co-financing leveraged from local private sector partners who take advantage of the micro-grant facility under Outcome 1.

*** May not sum due to rounding.

C. Flexibility and Adaptive Management

67. Flexibility is one of the key operational principles of the GEF (as outlined in Annex 2), and experience has shown that project implemented in an adaptive and flexible manner are more effective and efficient. During the course of implementing the Ukraine PAs financing project the context and conditions within the country evolved (as happens with all projects), and the project team generally took appropriate measures to respond to these changes to keep the project focused on results. In particular, the project team implemented the majority of recommendations from the mid-term evaluation, including the key recommendations identified.

68. At the inception workshop some initial changes were made, including minor changes to the logframe, and updates to the project workplan and Terms of Reference for the local technical consultants to be hired.

69. One significant change to the project implementation was the scale and scope of the planned mini-grants program. The program was originally planned for \$350,000 of the project budget, but due primarily to capacity constraints of local resource users in the project pilot sites, it was not feasible to implement the large number of mini-grants planned. Ultimately around \$120,000 was disbursed through the mini-grant program, through 11 projects instead of the initial potential 70 projects. The balance of the planned mini-grant budget was applied to other key project priorities, following appropriate discussion and decision making within the project board. A portion of the funding was initially applied to intensify the outreach for applications for the mini-grant program, and then additional funding was applied to education and awareness activities, tourism promotion, and some investment in infrastructure at the Shatsk pilot site that would allow the PA to improve their financial sustainability. Because of the initial difficulty in attracting applications for the mini-grants program, another example of adaptive management was that the project reduced the mini-grant co-financing requirement from 1:2 to 1:1.

D. UNDP Project Oversight and Comparative Advantage

70. UNDP is the GEF Agency for the Ukraine PA financing project, which is in line with UNDP's recognized comparative advantage in the GEF system. According to GEF policy, UNDP's comparative advantage is in the capacity building / technical assistance type of intervention in the biodiversity focal area,⁵ which is the nature of this project. As stated in the project document, *"The UNDP-CO will be an active partner in the project's implementation. It will support implementation by maintaining the project budget and project expenditures, contracting project personnel, experts and subcontractors, undertaking procurement, and providing other assistance upon request of the National Executing Agency. The UNDP-CO will also monitor the project's implementation and achievement of the project outcomes and outputs, and will ensure the proper use of UNDP/GEF funds. Financial transactions, reporting and auditing will be carried out in compliance with national regulations and established UNDP rules and procedures for national project execution."*

⁵ GEF. 2007. "Comparative Advantages of the GEF Agencies," GEF/C.31/5, May 15, 2007.

71. All evidence gathered during the terminal evaluation process indicated that UNDP has provided exemplary support for implementation of the project, in an adaptive, results-based manner. According to multiple project stakeholders, there is an excellent working relationship between UNDP and the diverse constituencies involved in PA management in Ukraine characterized by good communication and cooperation, including a collaborative and respectful relationship with the Department of Protected Areas of the MoENR. The UNDP Ukraine program officer for environment issues serves on the project board, and the UNDP Resident Representative has visited the project demonstration sites. The UNDP-GEF Regional Technical Advisor has also carried out field visits to the demonstration sites.

72. During the second half the project the UNDP country office has provided the full necessary support for the project team to respond to critical strategic issues, such as the change in government that occurred around the time of the mid-term evaluation. The change in government resulted in an institutional restructuring of the former State Service on Protected Areas, and a change in the position of National Project Director.

73. A helpful element has been consistency in the UNDP personnel supporting the project at the country level, which contributes to smooth implementation in many GEF projects.

V. Project Performance and Results

A. Progress Toward Achievement of Anticipated Outcomes (Effectiveness)

74. The Ukraine PAs project has been successfully implemented according to the project workplan, with various adaptive measures incorporated over time. While the majority of planned activities were carried out, there is still a need for further consolidation and institutionalization of key results, and continued action and support from the MoENR.

75. Table 6 below shows the revised project logframe, with a summary of progress toward the respective indicators. A majority of indicator targets have not been fully met, though significant progress has been made. Overall **progress toward achievement of the anticipated outcomes** is considered ***moderately satisfactory***. Progress on key outputs under each outcome, not otherwise tracked by logframe indicators, is further summarized below for each of the outcomes and outputs. There are two main indicators at the objective level, the METT scores for the pilot sites, and four species-based impact level indicators. The METT scores for two of the three pilot sites have increased substantially, but have not yet reached the target level. The targets for the species-based indicators have been exceeded, but it is not clear that the current population status of the identified species has yet been significantly influenced by the project activities, given the relatively short period of time thus far that project results would have had to influence environmental changes (see further discussion in Section VI.E below).

76. It should be highlighted that the project achieved the level of results that it did thanks to the intensive and well-planned efforts of the project team, including excellent cooperation with a large number of stakeholders. To the extent that the project was not able to reach its fully expected potential, this was primarily due to changes in contextual factors beyond the control of the project team. Most significantly was the change in government in 2010, which created institutional and personnel changes in the national executing agency, resulting in a reduced

level of communication and support for the project's objectives within the Department for Protected Areas.

77. The pilot sites in Volyn and Rivne oblasts provide on the ground examples of various elements of the project's strategy such as the business planning, the public-private partnership mini-grant facility, education and awareness activities, and development of revenue streams such as ecotourism. Key results achieved under the project include:

- Establishment and ongoing support of the National Association for Protected Areas, which underpins many of the prospects for sustainability and up-scaling of project results;
- Development of the national protected areas financing strategy, though it remains to be adopted (and then implemented) by the government, and may need to be revised and updated if it is not adopted soon;
- Training Needs Assessment on PAs for the oblasts is an important result that will hopefully contribute to ongoing PA management capacity development, and sustainability of the national association;
- Introduction and use of the METT is an excellent step for the ongoing development of capacity for effective management of Ukraine's PAs;
- The support for establishment Nobelsky PA, though it remains to be fully gazetted, with estimates varying from 2013-2014;
- An impressive output is from the National Association on Protected Areas of the proposal for establishment of a national protected areas agency that would be responsible for all PAs in the system. Though the proposal is not likely to be approved anytime soon, this is the kind of transformative systemic result that the GEF is looking for, and starting such a process is a step in the right direction;
- Establishment of a functional model for cross-oblast collaboration between Volyn and Rivne oblasts is an excellent result that should be proactively replicated in other areas where necessary.
- The project's work to develop public-private partnerships between protected areas and the private sector, including the completed mini-grants, and particularly the partnership with the tourism company to further develop eco-tour products.

Box 1 PAs As Drivers of Sustainable Economic Development

*An interesting development, not completely attributable to the project but likely influenced by it, is that **in some rural areas in the Ukraine**, at least in the demonstration site locales, **the local population and government are beginning to see protected areas as a mechanism and driver of sustainable local economic development**. Much of this vision rests on the promise of tourism, which must be approached with realism and caution, but the view of protected areas as an asset rather than a detriment to the local economy is a positive shift. According to a regional stakeholder, "The protected area is the 'face' of such depressed regions." In addition to tourism revenue, local communities can see benefits from increased investment by the central government in the form of better roads and schools, based on a policy approach of protected areas as a centerpiece of increased economic development. As one regional protected area administrator noted, in the process of establishing new protected areas, village heads have requested field visits to areas with other protected areas, to see how the concept works, and to see the benefits.*

- Ukraine PAs Mid-term Evaluation

i. Outcome 1: Development and implementation of a strategic vision for protected area financial sustainability

78. A number of important outputs were produced under this outcome, but additional work is required to consolidate and institutionalize the results. Notably, the national financial strategy has not yet been adopted by the Cabinet of Ministers. The project's work on PA business planning provided a good demonstration of this approach for PAs in Ukraine, but significant additional work is required to fully integrate business planning elements in PA management planning in Ukraine. The business plans developed in the pilot sites are also not fully implemented, though the PA administrations consider them a useful reference resource. The project's mini-grants program was significantly scaled back from original plans due to capacity constraints on the ground; there have been some promising activities under the public-private-partnerships activities though, particularly in developing partnerships with private sector tourism operators. Based on the results achieved progress toward achievement of **Outcome 1** is considered ***moderately satisfactory***.

79. Output 1.1: Development of a national strategy for PA financing, a set of regulations governing PA revenue generation and implementation of revenue generating options

80. Under this output, as stated in the project document, "the project will work closely with the government on a comprehensive strategy and five-year plan for financing of the national PA system." The financing strategy was completed in 2010, based on the work of a number of highly qualified technical experts representing the key stakeholder institutions from within the government. The strategy reviews the situation of protected areas in Ukraine, sets the strategic goal for financial sustainability of protected areas and key objectives, and identifies options for pursuing financial sustainability. As described by the project manager, the fundamental approach of the financial sustainability strategy is not demanding government financing, but asking for government approval for the policy and legal tools protected areas need to develop financing options themselves, through strategic partnerships and other means. Recent changes in Ukrainian legislation allow revenue in protected areas related to, for example, recreation or environmental pollution fines, to be retained in the local jurisdiction rather than be transferred to the central government. The project submitted to the MoENR comments on legislation related to the national nature reserve fund, with the goal of improving the functioning of the fund. An action plan to implement the strategy at the national level has been developed, with responsible institutions assigned and expected timeframes, while some elements are already being implemented at the demonstration sites.

81. In the terminal evaluation survey of PA stakeholders in Ukraine, 89% of respondents were aware that the project had supported the development of this strategy. Further, 78% were familiar with details of the strategy, and the same number felt that adoption of such a strategy in Ukraine was highly important.

82. The plan, as completed in 2010, was endorsed by the State Service for Protected Areas, and submitted to the Cabinet of Ministers for further approval. Unfortunately, although the project document asserts that "the national PA financing Strategy and Plan will be adopted by the Cabinet of Ministers before 2010," this did not occur before the national elections in 2010 that resulted in a change of government. Unfortunately the change of government created a setback for the further progress of the national financial strategy. Up to September 2012 there

was no further significant action on the strategy by the MoENR. Various stakeholder groups in Ukraine related to PAs are broadly supportive of government adoption of the strategy: a civil society forum in October 2011 adopted a resolution that proposed “To adopt as soon as possible the National strategy on financial sustainability of protected areas of Ukraine and the National Target Environmental Program on protected areas development in Ukraine for the period until 2010.” In addition, in November 2011 the State Service for Protected Areas (prior to being reorganized under the MoENR) sent a memorandum to UNDP thanking UNDP for the project results achieved thus far, including the draft strategy on strengthening financial sustainability of the PA system.

83. A stakeholder meeting in September 2012 on the financial strategy reviewed the status of the strategy and agreed on some small, short-term, incremental steps to help progress toward adoption of the strategy, but without strong support from the MoENR it does not appear that the strategy will be adopted by the Cabinet of Ministers in the near future. There are divergent viewpoints on the practicality and relevance of the strategy to Ukraine’s present policy and legislative framework (particularly considering that the strategy was initially developed in 2010), but based on the expertise of the individuals involved in drafting the strategy it is likely to be substantively in form for adoption, with the possibility of some minor revisions required. The project team has done everything feasible to this point to promote adoption of the strategy.

84. A key challenge for the future will be not just the approval of the strategy, but also actual implementation of the financial sustainability strategy, and integrating it within the protected areas institutional framework. This requires leadership from the MoENR, and the support of all stakeholders. The strategy must not become just another government plan sitting on shelves and hard drives without any practical results.

85. Education and awareness activities undertaken with support of the project contribute to implementation of the financial sustainability strategy, and include initiatives such as

Photo 1 Pripyat-Stokhid NNP Hay Mowing Competition Site



supporting ecolubs in local schools at the demonstration sites. According to project tallies, as of the mid-term evaluation there were 94 media stories related to the project’s efforts. Perhaps the highest-profile activity supported has been the hand hay-mowing tournament carried out in Pripyat-Stokhid NNP, which drew more than 500 observers and was featured in the national media. The site for this competition is shown in Photo 1. Multiple local

stakeholders considered this event to have been highly successful, and to have contributed significantly to raising the profile of the park, while also generating an increase in ecotourism visitors to the region. The project also partnered with the park administration to build more than 100 floating nest sites on international bird day. Another education and awareness activity is a “clean campaign” in four protected areas in partnership with a national television channel; 400 volunteers participated in the first year. A key partner in the education and awareness activities is the Kyiv Zoological Center, an NGO that has supported activities in Pripjat-Stokhid NNP. The project website, <http://www.pzf.org.ua/eng/main.htm>, is well designed, organized, and kept up to date, representing another important outreach tool. Also supporting this, and all other outputs, is the project’s effort to develop a network of partners – private, non-profit, and public – to contribute to protected area-related efforts in Ukraine such as ecotourism development, through sponsorships and other mechanisms.

86. Output 1.2: Business planning is initiated as standard practice at PAs

87. The project supported the development of two demonstration business plans for the project pilot sites, in Shatsk NNP and Pripjat-Stokhid NNP. The project efforts represented the first attempt to develop the business planning approach for PAs in Ukraine. According to project stakeholders, the experience of developing the business plans was useful, but the business plans for the two pilot sites are not fully in the process of implementation. It appears that the business planning process requires further integration with the standard PA management planning approach in Ukraine, so that PA business plans are not seen as a separate additional document for implementation by the PA administrations, but that business planning is well integrated and directly linked with all elements of management planning.

88. In 2010 the State Service for Protected Areas indicated that business planning should become a mandatory element of PA management in Ukraine. Following the initial experience of the demonstration business plans for the project sites, a national seminar on PA business planning was organized, with participation of more than 20 directors of PAs in Ukraine. Unfortunately, following the change of government in 2010 the emphasis and priority for strengthening business planning for PAs appears to have diminished and little additional work on this aspect has been carried out. It is hoped that business planning for PAs will continue to slowly become more common in Ukraine, especially with the potential ongoing support of the national association of PAs.

89. Output 1.3: Public-private partnerships are tested as a model for revenue generation at NNPs

90. A large portion of the project budget, and approximately half of the GEF resources under Outcome 1, were slated for Output 1.3: The \$350,000 mini-grants facility for public-private partnerships, which, according to the project document, “will identify and test a model of partnership between local residents, nature resource users and [protected area] administrations, to plan and implement activities within protected areas that could generate profit for all partners, and ensure [a] higher level of biodiversity conservation.” The grant facility was to provide funding of up to \$5,000 for projects that meet the identified criteria, including mandatory 1:2 co-financing.

91. Under the initial plans and requirements this activity implied a minimum of 70 mini-grants projects, and \$700,000 USD in co-financing. Unfortunately this activity proved far too

Photo 2 Mini-grant Project Restored Visitor Center



ambitious for the rural conditions and low capacity levels of the two main project pilot areas. During the initial half of the project there was a first round call for proposals, which resulted in three funded projects. One of the funded mini-grants projects was the renovation of a historic building in Pripyat-Stokhid NNP into a ranger station / education center (see Photo 2). Another is supporting the development of a horse-riding trail in Shatsk NNP. The relatively low number of

projects funded in the initial call for proposals is, according to the project team and local stakeholders, a result of the high co-financing requirement, and initial low awareness and understanding among local stakeholders of the grant application process and technical requirements.

92. The project team invested significant time to improve understanding and awareness about the program among local stakeholders, but ultimately the program had to be significantly scaled back. A total of 11 mini grant projects were funded, with approximately \$75,000 USD. The mini-grants funded were appropriate for supporting the project objective, and the results are expected to be sustained.

93. The required co-financing ratio was ambitious to begin with, and its implementation was further negatively affected by exchange rate fluctuations – while a strengthening dollar over the last two years benefits the project budget in terms of potential local currency expenditure, it has increased the co-financing requirement for the mini-grants in terms of local currency.

94. The project supported two other key activities under this output. To further develop public-private partnerships for

Photo 3 Shatsk Tourism Revenue Generating Infrastructure



generating PA revenue through tourism the project developed an innovative approach whereby the project invested in the development of potential tourism itineraries and routes that could then be implemented by a private tourism company. The project entered into an agreement with a company in Shatsk NNP to market tourism routes and products initially developed under the project. This is an excellent and innovative approach to working with the private sector and developing partner-based approaches for financing of PAs.

95. Additionally, the project invested in tourism infrastructure in Shatsk NNP in the form of a number of tourist rental cabins that will be managed by the PA administration (see Photo 3). The project invested approximately \$80,000, which is projected to be recovered in one or two years. Beyond this the revenue generated will significantly add to the PA administration's programmatic budget to increase management effectiveness and undertake activities beyond the basic paying of salaries and operations and maintenance.

ii. Outcome 2: Improved governance of the national protected area system

96. Some of the most significant long-term results from the project have been achieved under Outcome 2, with perhaps the most important being the establishment of the national PA association for Ukraine (see Output 2.4). The project's work on vocational training for PA management has also been a highlight (Output 2.3), and the project's contribution to the develop of an approach to cross-oblast cooperation on PA management (Output 2.2) is also a notable achievement that is likely to have catalytic effects in Ukraine in the future. Finally, the support for the broad application of the PA Management Effectiveness Tracking Tool in Ukraine is a highly important result for the long-term development and strengthening of Ukraine's PA system. Considering the numerous positive results, although not all the logframe indicators and targets were achieved under this outcome, overall progress toward achievement of **Outcome 2** is considered satisfactory.

97. Output 2.1: Testing decentralized governance systems for PAs

98. According to the project document, Ukrainian legislation does not accommodate increasing PA management staff in the central unit of the Department of Protected Areas in the MoENR (formerly the State Service for Protected Areas). Therefore, to increase national PA management institutional capacity, the project planned to support the establishment of units for PA oversight within the regional departments of environment. The regional PA management units are separate from the individual protected area administrations (for those protected areas that have them), which are responsible for day-to-day management of their respective protected areas. The Rivne Oblast Department of Environment and Volyn Oblast Department of Environment, the regional offices of the MoE, have been the primary partners in decentralizing protected area governance. The regional offices are responsible for monitoring environmental resources in the region, and ensuring compliance with environmental legislation, for example, by reviewing environmental impact assessments. The decentralized units address broader protected areas issues in the region, such as the creation of new protected areas. There are working relationships between the regional units and the individual protected area administrations – for example, the head of the regional protected area unit is a member of the regional scientific council for protected areas.

99. The project initially made positive progress in contributing to the strengthening of these regional units. The decentralized Rivne protected area unit was established in January 2010 with four staff members out of the 41 staff in the department, partly involving a reorganization of existing staff, but also the addition of two staff units. According to the department's Director, the decision to decentralize was forged in collaboration with the project initiators prior to project implementation; the high-level decision making that led to this development is beyond the scope of this evaluation. The Director of the Volyn Department of Environmental Protection stated that he considers the work of the protected area unit to be very important as the oblast plans to increase its percentage of area protected to 15% by 2020 from the current 11.2%, or possibly even up to 18% depending on the opportunities for expansion. The Volyn decentralized protected areas management unit increased from four to six staff members.

100. Unfortunately, under the current government there has been a movement back toward centralized approaches, partially indicated by the reorganization of the State Service for Protected Areas under the MoENR. Correspondingly there are expectations that the regional PA management units will be phased out in the near term, and under this scenario the project's contributions will not be sustained.

101. *Output 2.2: Developing mechanisms to facilitate PA management across administrative jurisdictions*

102. The project's efforts under this output are one of the important results that are likely to have longer-term catalytic effects within the country. At the time of project development, PAs (or potential PAs) that stretched across more than one oblast were in bureaucratic gridlock due to policy issues related to oversight, management, and revenue sharing. The project sought to address this issue in the Pripjat-Stokhid pilot site, which included the Pripjat-Stokhid NNP in Volyn oblast, and the neighboring Pripjat-Stokhid RLP in Rivne oblast.

103. Following the start of the project there were changes in the assumptions and exogenous conditions surrounding this issue, most notably the promulgation of the presidential decree to increase protected area coverage by establishing new national protected areas. Following the mid-term evaluation the project undertook an adaptive results-based approach to addressing the cross-oblast issue. The Rivne Oblast Department for Environmental Protection proposed that the Pripjat-Stokhid RLP be upgraded to a national nature park, to be called "Nobelsky" NNP. Although this will result in two neighboring PAs with separate management units instead of a single PA management unit, this was a positive approach as it removed the need for potentially long and contentious negotiations related to cross-oblast protected area revenue sharing and other administrative challenges. The project contributed to the initial steps for establishing the Nobelsky NNP, such as establishment of the scientific baseline. It is anticipated that the new NNP will be fully formally established in 2013 or 2014.

104. The project's support for establishment of the new PA has been important, but the more significant result under this output is that the project has also helped put in place a memorandum of understanding between the two oblast administrations on cooperation and coordination for managing the bordering PAs on their boundaries (see Box 2). Although this is not a major policy document, it sets a model and example for similar cooperation on PA management throughout Ukraine. This is important because government administrative boundaries typically do not correspond to ecological boundaries, and effective ecosystem

management requires a comprehensive approach, which may necessitate the involvement of multiple government bodies.

Box 2 Rivne-Volyn Cross-Oblast PA Management Cooperation Agreement

Cooperation Agreement in the field of management of protected areas between the State Department of environmental protection in Volyn region and the State Department of environmental protection in Rivne region

Considering the specific environmental, scientific, aesthetic, recreational and other value of the natural complexes and objects of the Nature Reserve Fund of Volyn and Rivne regions and their particularly important role for sustainable development of this area, as well as aiming to preserve the natural diversity of landscapes, genetic fauna and flora, to maintain the overall ecological balance, to provide background environmental monitoring, as well as to increase awareness of the local population

1. The parties have agreed to work together in the field of administrating natural complexes and objects of the Nature Reserve Fund in Volyn and Rivne regions, namely:

- To exchange information, to hold joint research, scientific seminars and conferences;
- To produce scientific and popular publications to raise awareness of the population on the functioning of protected areas;
- To implement joint activities for conservation and recovery of valuable species of flora and fauna;
- To exchange experience in improving the structure of land use and usage of protected areas for the purposes of agriculture and fishery;
- To promote optimization of forestry, conservation of most valuable forest areas;
- To conduct joint research on border territories of Volyn and Rivne regions;
- To exchange experience in creating a system for monitoring of protected areas;
- To conduct joint campaigns to attract local communities to environmental actions and improving ecological status of protected areas;
- To conduct joint work to restore the hydrological regime of protected areas in the regions;
- To develop eco-tourism;
- To provide coordination in development of regional (oblasts) schemes of ecological network in determination of interregional eco-corridors.

2. To coordinate activities between the State Department of environmental protection in Volyn region and the State Department of environmental protection in Rivne the Parties will establish a coordination group. The members of the group are to be agreed on a bilateral basis.

3. This document can be amended on mutual agreement between the parties. The document is signed in two copies, each of equal validity.

(Unofficial translation)

105. Output 2.3: Mandatory vocational training module on PA management is introduced

106. Key results under this output included the training of more than 200 individuals involved with PA management in Ukraine, and a Training Needs Assessment (TNA) completed for the oblast level. The vocational training program was developed in partnership with the Biology Department of the Kiev National University, and professors from the university comprise some of the trainers. The project utilized a training site – Kaniv Nature Reserve – that has the infrastructure necessary to hold training programs because it is used for university field research and previous training programs. This facility was developed with the support of the regional UNEP-GEF project “Strengthening the Network of Training Centers for Protected Area

Management through Demonstration of a Tested Approach” (GEF ID #1776). There are training modules for each division of protected area administrations, such as economy, outreach, science and enforcement. There are also training modules for local authorities and civil society to support protected areas. Some of the training modules used in the current project have been adapted from those disseminated by the UNEP project, which were specific to the Russian legislative and policy context. Each training session lasts seven days, each which consist of four 1.5 hour lectures. Only 15 people participate in the program at a time, which emphasizes team building and helps develop professional networks. A recognized international expert on protected area management assessed the training program and confirmed that the training curriculum was of a high quality, with the sole recommendation being to improve the sustainability of the program to prepare for the end of the project’s support.

107. The training work carried out has been one of the admirable results of the project, but there is a need to further institutionalize the training modules and programs developed with the support of the project. The previous training modules, and the modules to be developed based on the TNA feedback should be institutionalized through the Kaniv training center, if not other programs (e.g. government public servant professional development program).

108. Output 2.4: An Association of Protected Areas is established

109. Perhaps the most significant result achieved under the project was the establishment of a National Association of Protected Areas (Photo 4). The association has three main goals: 1.) to serve as a communication mechanism to facilitate information exchange and knowledge sharing among PAs in Ukraine; 2.) to serve as an advocate for PAs institutional interests, including lobbying government to address systemic problems; and 3.) to serve as an advocate for the protection of PA managers and staff in terms of their employment status, and overall professional development.

Photo 4 Logo of the Ukraine PAs Association



110. The association gained legal status as a civil society organization December 2009 with support from the project’s legal officer, and its membership included 62% of PAs under the State Service for Protected Areas, and 49% of the national level PAs in existence when the Association gained legal status (additional national level PAs have since been established since the association was created). As of the terminal evaluation of the Ukraine PAs project the association has more than 500 members, consisting of both institutional and individual members. With increasing membership of PAs in Ukraine the association has the possibility of sharing lessons and experiences throughout the PA system – a major benefit considering the fragmentation of the institutional oversight within the system. The association website has been developed to support communication and lesson sharing.

111. In the terminal evaluation survey of PA stakeholders in Ukraine, 90% felt that the PAs Association had made or could make useful contributions for strengthening Ukraine’s network of PAs. Respondents felt that the most useful areas for the Association to support would be a training program for professional development of PA professionals, advocating for the adoption

of a national strategy for financing PAs, and supporting tools to assess and improve the effectiveness of PA management in Ukraine.

112. The challenge for the future will be for the association to find the means to be fully financially self-sustaining. The membership fees provide one source of support, but this is not adequate to cover the association's operational costs, much less any programmatic budget. For the near term is anticipated that the association will subsist with project-based funding from international donors. In the long-term it would be beneficial for the association to have access to support from the national environmental fund of Ukraine, but this is currently not feasible due to institutional barriers.

113. Output II.5: Introduction of systems to monitor management effectiveness as a feed-in to decision making processes

114. In 2009 the Collegium of the State Service for Protected Areas approved the implementation of the PA METT for all PAs managed by this body (currently the Department for Protected Areas under the MoENR). At least 15 PAs are completing the METT annually to gauge their own management capacity, and the project worked to develop a database to track and analyze management effectiveness based on METT scores throughout Ukraine's system of PAs. This is an excellent initiative, but unfortunately due to various communication and technological issues the MoENR has not been able to assume responsibility and management of this database.

iii. Outcome 3: Capacity in place to replicate the improved management approach across the national protected area system

115. As stated in the project document, *"So that the system-wide policy changes and site-level experience generated under the project are internalized and applied to other parts of the PA system, this outcome will focus on establishing monitoring and evaluation system; documenting project lessons and experiences; and furthering the dialogue with key stakeholders to replicate the project's PA management approach."* This outcome was originally planned for more than \$180,000 of GEF resources, including the M&E activities such as the mid-term and terminal evaluations. Ultimately less than 10% of the resources planned were actually disbursed under this outcome.

116. The project had only one indicator under this outcome: "Total new area of PAs (i.e. other than area of project impact), agreed with Government for replication of project mechanisms in the next 5 years beyond project scope" with a target of 300,000 hectares of PAs. According to project sources the target was exceeded, but this indicator is vague and does not meet SMART criteria. Some of the project's results do have potentially catalytic influences (e.g. the model for cross-oblast PA management coordination), but there are few concrete replicated elements thus far, or specifically planned. Further replication and scaling up would require greater support from the MoENR. Achievement of Outcome 3 is considered **moderately satisfactory**.

117. Output 3.1: Monitoring and evaluation system is put in place to track project impacts, extract lessons, and promote adaptive management

118. This output covers the plan and implementation of the project's monitoring and evaluation system. This is discussed in depth in Section VI.D below on overall monitoring and evaluation.

119. *Output 3.2: Lessons learned and best practices are documented for replication in other PAs within the national system*

120. The catalytic effect of the project was to be achieved under this output. The project document foresaw compiling lessons on experiences from the main project activities into guidelines, tools, and methodologies to be shared widely within Ukraine's network of PAs. In addition, It was anticipated that the project would develop a specific replication plan, leading to "bilateral and multilateral meetings with PAs identified in the replication plan to capacitate them for participation in replication" and to disseminate experiences "across the region and GEF portfolio through electronic and print media, scientific papers, presentations at key conferences, etc."

121. A specific replication plan was not developed, although a number of activities supporting replication were carried out, even if they were not funded specifically through this output. The project team developed a system to document lessons and experiences for dissemination at project completion. Meetings and workshops held with support of the project supported replication – for example, a national meeting with PA directors was held to share the project's experience with business planning in the pilot sites. Numerous printed materials were produced and disseminated, and the project team participated in relevant national and regional workshops and conferences. In addition, the work of the national PA association supports replication by disseminating information broadly to PAs in Ukraine.

iv. Additional Results

122. An additional important result has been the establishment of a transboundary Ramsar site with Belarus involving Pripjat-Stokhid NNP, which is a kind of artifact of the project's development history, as described in Section III.B. The project document states that the project should coordinate with its sister project on the Belorussian side, and the project manager noted that one or two coordination meetings are held per year. The project team assisted in the application to the Ramsar Secretariat for recognition of the transboundary site, and has helped facilitate cooperation on management issues between the Belorussian and Ukrainian sites. It is hoped that the next environmental monitoring expedition in Pripjat-Stokhid could be carried out with the cooperation of the protected areas on both sides of the border.

Table 6 Assessing Results: Ukraine PA Financing Project Results Framework Indicators and Targets

Project Strategy	Indicator	Baseline	Target	Self Reported Status in 2012 PIR	Terminal Evaluation Assessment
Objective: Strengthen institutional capacity and enhance the financial sustainability of the PA system in Ukraine	Management Effectiveness of PAs at project sites (METT Scorecard)	Shatsk NNP: 74.2% PS RLP: 22.3% PS NNP: 52.2%	Shatsk NNP: 90% PS RLP: 35% PS NNP: 75%	Shatsk NNP: 80.4% (82/102) PS RLP: 23.5% (24/102) PS NNP: 67.6% (69/102)	Target not fully met. There has been a significant increase in both Shatsk and Pripya-Stokhid NNPs, although the target was not fully met. For the regional landscape park the figure has not yet increased significantly because the site has not yet received approval for establishment as Nobelsky NNP with its own management authority.
	Aquatic Warbler <i>Acrocephalus paludicola</i>	Breeding average annual population: 1,800 singing males.	1,800 to 2,000 singing males by project end	2100-2800 singing males	The indicator target has been met, though it is not clear to what extent the project has influenced the current status of the population.
	Density of Great Snipe <i>Gallinago media</i>	6-8 pairs (before 2004); 4-5 pairs in 2005	Stabilization at 6-8 pairs by project end	10 pairs	See above.
	Number of Lady's Slipper (<i>Cypripedium calceolus</i>)	35	40 by project end	102	See above.
	Protective coverage of <i>Cariceta davalliana</i> community (%)	50%	50-60% by project end	0.5	See above.

Project Strategy	Indicator	Baseline	Target	Self Reported Status in 2012 PIR	Terminal Evaluation Assessment
Outcome 1: Development of a strategic vision for PA financial sustainability	Funds available to funds needed ratio at key Polissyan PAs	(2007) Shatsk NNP: 74.6% PS NNP: 45% PS RLP (2006): 12.5%	Shatsk NNP: 85% PS NNP: 65% PS RLP: 50%	(2012) Shatsk NNP: 80,4% PS NNP: 67,6% PS RLP: 23,5%	Target partially met. Unclear data from PIR as the 2012 figures appear to correspond to the METT scores for the three sites, while the baseline and target figures appear to be some other similar measurement.
	Financial Sustainability Scorecard Legal and regulatory framework Business planning Tools for revenue generation	28% - 25/out of 89 12% - 9/out of 57 17.4% - 8/out of 46	74.15% - 66/89 57.89% - 33/57 76.08% - 35/46	51,2% - 44/out of 86 55,9% - 33/out of 59 36,6% - 26/out of 71	Target partially met. There was a notable increase for the legal and regulatory framework aspects, and for the business planning aspects. The financial sustainability scorecard was revised during the course of the project, so the baseline and final scores do not compare perfectly.
Outcome 2: Improved Governance of the national protected area system	Effectiveness of newly established local branches of State Service	0%	At least 70%	0	N/A – this indicator was to be measured by an assessment tool that was not developed. But in any case, the local branches of the protected area authorities are being recentralized under the current government, so the indicator is no longer relevant.

Project Strategy	Indicator	Baseline	Target	Self Reported Status in 2012 PIR	Terminal Evaluation Assessment
	Capacity Scorecard				
	Policy formulation	Policy Formulation	Policy Formulation	Policy Formulation	Target substantially met. The target values were met or exceeded for a majority of the individual elements of the capacity scorecard.
	Systemic	4/out of 6	6/out of 6	5/out of 6	
	Institutional	1/out of 3	2/out of 3	3/out of 3	
	Implementation	Implementation	Implementation	Implementation	
	Systemic	8/out of 9	8/out of 9	8/out of 9	
	Institutional	5/out of 9	25/out of 36	18/out of 36	
	Individual	16/out of 36	10/out of 12	11/out of 12	
	Engagement and consensus	6/out of 12	Eng. and consensus	Eng. and consensus	
	Systemic	Eng. and consensus	5/out of 6	5/out of 6	
	Institutional	2/out of 6	5/out of 6	3/out of 3	
	Individual	3/out of 6	3/out of 3	Info and knowledge	
	Mobilize info and knowledge	2/out of 3	Info and knowledge	2/out of 3	
	Systemic	Info and knowledge	3/out of 3	3/out of 3	
	Institutional	2/out of 3	3/out of 3	Monitoring	
	Individual	2/out of 3	2/out of 3	6/out of 6	
	Monitoring	1/out of 3	Monitoring	4/out of 6	
	Systemic	Monitoring	4/out of 6	3/out of 3	
	Institutional	2/out of 6	4/out of 6		
	Individual	3/out of 6	3/out of 3		
		2/out of 3			
	Number of cross-oblast PAs with strengthened capacity to effectively manage their territories	0	2	1	Target met. The project catalyzed an effective approach to coordinated management of PAs bordering each other in neighboring oblasts.
	Number of staff involved in PA management that undergo mandatory vocational training	0	120 out of 400	277	Target substantially exceeded.

Project Strategy	Indicator	Baseline	Target	Self Reported Status in 2012 PIR	Terminal Evaluation Assessment
	Number of PA managers applying marketing research and promotion for PA services	0	At least 30 out of 40	11	This indicator is vague and does not fully meet SMART criteria.
	% of Ukrainian PAs assessed every two years using a METT based system for assessing PA management effectiveness	0	30%	21% (2 pilot sites, 5 more: NNP Ujanskiy, NNP Vijnitskiy, NNP Synevir, NNP Gutsulstchina, Karpatskiy BR)	Target partially met. According to the project team the Department of Protected Areas has made the METT a requirement for the 19 PAs under its management. The project worked to develop a database for tracking and analyzing METT scores within the PA system.
	Percent of state funds in the financing of NNPs and RLPs	95%	55%	0,80	Target not met. There was some progress in diversifying the PAs revenue sources, but they still substantially rely on state funds.
	% of NNPs and RLPs with business plans	0	30%	0,03 (2 NNP)	Target not met. The project helped develop demonstration business plans for the pilot sites, and has worked to disseminate this experience within the wider network of PAs.
Outcome 3: Enhanced capacity to replicate the project's PA management approach throughout the national system	Total new area of PAs (i.e. other than area of project impact), agreed with Government for replication of project mechanisms in the next 5 years beyond project scope	0 ha	300,000 ha	593,192 ha	Target met, however, this indicator is unclear and not well defined, and does not fully meet SMART criteria.

VI. Key GEF Performance Parameters

A. Sustainability

123. While a sustainability rating is provided here as required, sustainability is a temporal and dynamic state that is influenced by a broad range of constantly shifting factors. It should be kept in mind that the important aspect of sustainability of GEF projects is the sustainability of results, not necessarily the sustainability of activities that produced results. In the context of GEF projects there is no clearly defined timeframe for which results should be sustained, although it is implied that they should be sustained indefinitely. When evaluating sustainability, the greater the time horizon, the lower the degree of certainty possible.

124. Based on GEF evaluation policies and procedures, the overall rating for sustainability cannot be higher than the lowest rating for any of the individual components. Therefore this terminal evaluation's overall **sustainability** rating for the Ukraine PA financing project is **moderately likely**.

i. Financial Risks to Sustainability

125. There are limited financial risks to the project results, although with additional resources the project results could be further consolidated and institutionalized. Sustainability in this regard is considered **moderately likely**. The main concern regarding financial sustainability is the future existence, operation and expansion of the protected areas association. At present the association continues to have a financial path forward, and there are not immediate risks, but the longer-term viability of the association remains to be secured. The association membership fees provide one source of support for the association's operational costs, but cannot fulfill the full financial needs for programmatic funding, even with the current status of few staff members and limited activities. Current and near-term programmatic activities of the association will be project-based through applications for international donor funding. In the long-term the association would be partly supported through the national environment fund of Ukraine, but this is not an immediate option.

126. Other project results do not require significant financial resources to be sustained. Many project activities were focused on different types of capacity development and awareness-raising, which is generally self-sustaining to a degree.

127. At the same time, the financial sustainability of Ukraine's PA system has not been secured. Many project partners and other stakeholders will need to continue working on this aspect to achieve financial sustainability.

ii. Sociopolitical Risks to Sustainability

128. There are some risks to project results associated with the current level of support for the project from the MoENR. At the same time, most, if not all other concerned stakeholder constituencies are supportive of the project activities and results. Sustainability is likely to be less than it might be with strong support from the MoENR, but sustainability in this respect is still considered **moderately likely**.

iii. Institutional Framework and Governance Risks to Sustainability

129. A risk that has been recognized for all international development projects in Ukraine, based on previous experience, is the potential for inefficient use of donor funds, or in some cases actual corruption. This was a recognized risk prior to the approval of the Ukraine PA financing project, which related to the decision to implement the project under the combined NEX-DEX approach. Fortunately, these measures have managed to adequately mitigate this governance risk during project implementation.

130. There remain a number of institutional framework risks in Ukraine with respect to the effective management of PAs, and the project was only partially successful with the planned activities under Outcome 2, relating to improved governance for PAs. The government has reversed course on the approach of decentralizing PA management, and the management of PAs in Ukraine remains fragmented among multiple different types of organizations. However, considering just the risks to the sustainability of project results, under the current outlook sustainability is considered moderately likely. An important further contribution to sustainability in this regard would be adoption of the strategic vision for financing PAs in Ukraine developed by the project under Outcome 1.

iv. Environmental Risks to Sustainability

131. The project was primarily focused on capacity development and strengthening the enabling environment for effective management of PAs in Ukraine. By their nature, results of this type are not directly susceptible to environmental risks. The project did carry out some on-the-ground activities in the three demonstration sites in terms of supporting the development of tourism and management infrastructure, and improving management effectiveness. There are no significant environmental risks to the project results at the site level, and sustainability in this regard is considered likely.

B. Stakeholder Participation in Implementation

132. For the most part, stakeholder participation has been a highlight of the project's work, particularly with respect to local level stakeholders in the project pilot sites. The project has secured and enabled strong stakeholder support from local government and PA administrations in Shatsk NNP and Pripjat-Stokhid NNP, and from the relevant municipal government, and from the oblast level governments (i.e. Volyn, Rivne). As previously outlined, management of PAs in Ukraine is divided amongst multiple organizations and institutions. The project's work to establish and continue support for the national PAs association has been an important step in bringing together the range of responsible bodies involved in PA management. Unfortunately the foreseen Project Steering Committee was not established, which would have engendered broader direct involvement in the project activities by a range of stakeholders.

133. At the federal level, as previously described in Section IV.B on management arrangements, during the first part of the project there was a strong and positive working relationship between the project team and the national executing agency, at the time the State Service for Protected Areas. During the second half of implementation, following a change in government, this relationship was not adequate to fully support the project activities and results.

C. Catalytic Role: Replication and Scaling-up

134. The project has a built-in component to address the GEF's catalytic role through replication and scaling up. Outcome 3 is specifically focused on replication of lessons and good practices, as discussed previously.

D. Monitoring and Evaluation

i. Project Monitoring, Reporting, and Evaluation

135. Output 3.1 under Outcome 3 was designed as the monitoring and evaluation component of the project, as discussed in Section V.A.iii on Outcome 3. The monitoring and evaluation plan, in Part D.IX of the project document, is comprehensive and well elaborated, with responsible parties, budget and timeframes indicated. The monitoring and evaluation plan elements include: Inception workshop and report; Management Effectiveness Tracking Tool; Annual PIR; Twice yearly Steering Committee meetings; Periodic status and technical reports; Independent external mid-term and final evaluations; Terminal report; Audit; and Annual visits to the field sites.

136. The project's monitoring and evaluation plan meets the minimum requirements for GEF projects, set out in the GEF Evaluation Office Monitoring and Evaluation Policy. One minor shortcoming is that the monitoring and evaluation plan does not specifically set out indicators for project implementation (i.e. how to measure implementation progress), and also does not require regular project progress reporting, although this has been carried out in a minimally sufficient manner (see Section IV.B). All together the monitoring and evaluation plan is budgeted for \$115,000, or 2% of the overall expected project budget. This is considered to be an adequate budget for the planned monitoring and evaluation activities.

137. The project's monitoring and reporting has been timely, with quarterly progress reports, financial reports and PIRs completed comprehensively and within the required time period. The mid-term evaluation was contracted at the appropriate point in the project's implementation, and the project team made a significant effort in implementing the mid-term recommendations as appropriate.

138. One shortcoming in the implementation of the monitoring and evaluation plan was the inability to constitute the project steering committee. The Project Board was implemented instead, with representation of the government executing agency, UNDP as the GEF implementing agency, and a representative of the project beneficiary constituency. The Project Board served adequately to fulfill the oversight functions related to planning and approval of workplans and budgets, but did not facilitate the same level of stakeholder engagement and project visibility as would likely have been the case with a steering committee with broader membership.

139. The project logframe indicators rely heavily on scorecards and tracking tools – key indicators include a financial sustainability scorecard, a capacity/effectiveness tracking tool for the decentralized protected area management units that is to be developed by the project management team, a capacity assessment scorecard, and the protected area Management Effectiveness Tracking Tool. For the indicators that use them, scorecards open a question of relevance: a certain level of relevance is established for tracking tools that are extensively

tested and well accepted, such as the METT, but the ability of new or little tested scorecards and tracking tools to effectively measure results in an objective and relevant way is a much bigger question.

140. The project's objective of institutionalizing the METT within Ukraine's protected area system is an important and valuable part of the project design. The use of the METT and the financial sustainability scorecard are critical because they facilitate the linkage of the project's results within the overall GEF biodiversity focal area results framework.

ii. Environmental Monitoring

141. The regional departments of environment have primary responsibility for aggregating, analyzing, and publishing environmental monitoring data in their respective oblasts. There is a network of ten institutions that handle the various components of monitoring related to air, water, land, etc., with data going back approximately 20 years. In addition, the scientific division of each individual protected area administration carries out environmental monitoring in their protected area to the best of their ability. Unfortunately the central government budget for the protected areas covers primarily staff salaries, with little for additional activities. For example, the budget for scientific research in Pripyat-Stokhid NNP in 2009 was approximately \$150 dollars. Environmental monitoring in relation to impact level results is discussed further in Section VI.E below.

E. Project Impacts and Global Environmental Benefits

142. For the GEF biodiversity focal area project impacts are defined as documented changes in environmental status of species, ecosystems or genetic biodiversity resources. Global Environmental Benefits in the biodiversity focal area have not been explicitly defined, but are generally considered to involve sustained impact level results of a certain scale or significance. The Ukraine Protected Areas System Sustainability project strategy is primarily focused on the enabling environment, through capacity development for improved protected area governance, and implementation of the financial sustainability strategy. In this regard the project is multiple steps removed from, and does not seek, direct impact level results. However, through the piloting of project mechanisms at the demonstration sites there is the possibility of impact level results within the life of the project or shortly after, and the project logframe does include impact level indicators to track these potential changes. Yet it must be remembered that the project is just one of multiple contributors to potential impact level results, and the eventual long-term achievement of Global Environmental Benefits will require the ongoing and extended support of many contributing partner organizations, institutions and businesses in Ukraine.

143. The project logframe included four species-based impact indicators, related to globally significant species found in the project pilot sites. These include:

- Aquatic Warbler (*Acrocephalus paludicola*); Baseline: Breeding average annual population: 1,800 singing males; Target: 1,800 to 2,000 singing males by project end.
- Density of Great Snipe (*Gallinago media*); Baseline: 6-8 pairs (before 2004); 4-5 pairs in 2005; Target: Stabilization at 6-8 pairs by project end.
- Number of Lady's Slipper (*Cypripedium calceolus*); Baseline: 35; Target: 40 by project end.

- Protective coverage of *Cariceta davallianae* community (%); Baseline: 50%; Target: 50-60% by project end.

144. The target value for each of these indicators was met or exceeded by the end of the project, but it is not clear to what extent the current population status of these species may actually have been a result of project activities. Typically environmental conditions require extended periods of time to make substantive and sustained qualitative improvements, and the majority of project activities were targeted at the level of capacity development and strengthening of management effectiveness. More in-depth causal analysis of the population trends of these species, and of the on-the-ground project interventions, would be required to establish the project's potential contribution to the positive impact results identified.

145. Ultimately, long-term monitoring data is required to identify trends over time and assess changes in environmental status in a meaningful way, rather than attempting a single point-in-time snapshot such as the number of individuals present at the end of the project. For highly mobile or migratory species such as birds (two of the four impact indicators of this project relate to birds), short-term population trends can shift greatly from year to year depending on variable exogenous factors such as annual climatic conditions. Thus short-term population measurements may not reflect the underlying quality and quantity of the ecosystem, which experiences change in a more gradual manner. Impact indicators such as species populations should be evaluated regularly over an extended period of time to identify longer-term trends, and should be supported by other related indicators such as habitat quality.

VII. Main Lessons Learned and Recommendations

A. Lessons from the Experience of the Ukraine National Protected Area System Project

146. Below are some of the more significant lessons identified in this evaluation drawn from the project experience, but these should not necessarily be considered comprehensive. The project team has been tracking lessons throughout the project implementation process and is expected to present a review these lessons following the completion of the project. The project team and stakeholders should continue analyzing and drawing on the project experience to identify additional or more comprehensive lessons, and support dissemination of these lessons through documentation in knowledge products.

147. **Lesson:** Systemic change is rarely possible without the full support of all necessary stakeholders. In the case of the Ukraine PAs project, the level of support from the most critical government stakeholder, the MoENR, shifted following the change in government in 2010. As a result the project was not able to make significant progress in further institutionalization of some key results in the second half of the project. This included the adoption of the national strategy for PA financing and further adoption of the business planning approach.

148. **Lesson:** Any GEF projects that seek to invest in local stakeholder capacity through micro-finance or micro-grant facilities need to strongly consider the level of capacity in the target region, and assess the potential level of absorption of funds in the region. In the Ukraine PAs project the amount of funds to be invested, and the co-financing required, was far too ambitious for the conditions of the target area.

149. **Lesson:** Most, if not all, projects would benefit from a clearly defined and articulated Theory of Change during the project development phase. The practical aspects of project design can then be clearly linked with the necessary mechanisms for change within the Theory of Change. The Ukraine PAs project included a large number of activities at the site level, primarily in two pilot sites. These activities proved to be of great practical value, and facilitated strong engagement from local level stakeholders. At the same time, the strategic value of the project investments in these sites with respect to the overall project objective varies, or at least was not fully evident in absence of a strong replication strategy. It would have been helpful if the project design had included a more explicit basis for the strategic value of the site-based activities such as the mini-projects program and investments in PA infrastructure. These are of course valuable and justified investments for strengthening management effectiveness of individual PAs, but with limited resources GEF projects do not have the leisure of making individual PA investments unless there is a strong and explicit strategic rationale.

150. **Lesson:** Project activities must be closely aligned with national strategies and priorities, and in some cases it may be necessary to make significant changes to project plans to adapt to changing conditions. In the case of the Ukraine PAs project, following the development and approval of the project the government of Ukraine announced an initiative to significantly expand the national PA system by 2020. In the meantime the project activities were focused on working within the context of the previous system of PAs, and provided little strategic relevance to the national effort to expand the PA system, which was the primary focus for the relevant national institutions, particularly the MoENR. The project might have been able to contribute to more significant systemic changes if it had been able to become well-integrated with and relevant to the PA expansion effort. At the same time, some of the project results, particularly the establishment of the national PA association, are expected to provide important support for the development of the new PAs being established.

151. The lessons identified in the mid-term evaluation also remain relevant, and are included below.

152. **MTE Lesson:** The experience of the mini-grants program has shown that a required 2 to 1 co-financing ratio may be beyond the financial capacity of anticipated partners in rural areas. Considering that the per capita GDP for Ukraine in 2009 was less than \$2,600, a 2 to 1 co-financing ratio for a \$5,000 grant for an individual would imply a co-financing amount equal roughly four years' wages. In addition, average incomes in rural areas are likely to be lower than in urban areas. Many public-private partners are small and medium enterprises, local governments, or civil society organizations rather than private individuals, but nonetheless, the scale of co-financing required proved to be unworkable. Mini-grants programs implemented in rural areas must be structured to accommodate on-the-ground financial realities.

153. **MTE Lesson:** Innovative public events that require relatively little financial investment, such as the hand hay-mowing tournament, can generate significant benefits in terms of public buy-in, awareness, publicity, and revenue generation.

154. **MTE Lesson:** Building on previous initiatives, such as the protected areas training program, can increase the cost-effectiveness of investments and leverage greater results than would otherwise be possible if starting from scratch.

155. **MTE Lesson:** A well-designed project with realistic goals and objectives can set the foundation for effective project management, leading to efficient achievement of results. The Ukraine Protected Areas System Sustainability project document represents a new and improved example of GEF project documents. The clarity of the project document has allowed the project team to make a strong start on implementing project activities and outputs on time and within budget, instead of having to spend a large amount of time at the beginning of the project trying to discern the objective. This is also partially thanks to low turnover of personnel among involved organizations from the project development to implementation stage.

B. Recommendations

156. Although the project is completed, it is expected that the project stakeholders will follow-up on the recommendations provided below, in the context of ongoing related activities. The recommendations of the terminal evaluation are presented below, with the primary intended audience of the recommendation in brackets following the text of the recommendation.

157. **Key Recommendation:** The stakeholders and government of Ukraine should urgently work to adopt a national financial strategy for the protected area system, using the strategy produced under the project as the major basis for a document that could be adopted by the government, with any necessary updates and revisions to ensure full conformity with necessary government approval procedures and legal requirements. [MoENR]

158. **Key Recommendation:** Apply whatever means necessary and possible to ensure the financial sustainability of the national protected areas association, upon which the sustainability of project results heavily depends. [PA Association, UNDP, MoENR]

159. **Key Recommendation:** There is still a significant opportunity to support establishment of additional protected areas. The government has laid out the PA expansion plan, but the oblast departments don't have the capacity to implement it. There is a need to seize the moment – this is potentially being supported by GIZ to some extent, but could likely use additional support. Ex: Rivne oblast department is tasked with reaching 15% coverage by 2015, but they only have 11%, and only 3 years to go. [UNDP, GEF, other donor organizations]

160. **Key Recommendation:** There should be further replication of the business planning process demonstrated in the two project pilot areas. This should be done through a multi-pronged approach, with continued support from the PA Association and the MoENR. The business planning approach was originally supported by the State Service on PAs through training and seminars, but this needs to be an ongoing process, including dissemination and training with the tools (templates, guidelines, examples) required. In addition, PA business planning needs to be integrated with the PA management planning process through the relevant legislation. [PA Association, MoENR]

161. **Key Recommendation:** There needs to be an institutionalization of the training program supported under the project. The previous training modules, and the modules to be developed based on the TNA feedback should be institutionalized through the Kaniv training center, if not other programs (e.g. government public servant professional development program). [PA Association, MoENR]

162. **Key Recommendation:** There should be further institutionalization of the METT, including the management of the METT database. Ideally this would be through the government, but lacking government capacity to take responsibility for it, it could also potentially be through the PA Association. It will also be necessary to continue developing capacity to further implement the METT in the PA system. [PA Association, MoENR]

163. **Recommendation:** The project should produce an approximately one page lessons note in both Ukrainian and English on the experience of working with the tourism company to develop eco-tour concepts for further implementation. This was an excellent and innovative approach that could be replicated in many other contexts in Ukraine and other countries. [Project team, UNDP]

C. Project Ratings

Table 7 Project Ratings with Summary Comments

Criteria	Rating	Comments
Project Formulation		
Relevance	R	The project is relevant to Ukraine's national biodiversity conservation priorities and strategies, supports implementation of the CBD, and is aligned with the GEF biodiversity focal area strategic priorities.
Conceptualization / design	S	The project strategy is appropriately structured and targeted for the project objective and overall level of resources.
Country-drivenness	S	The project was developed in collaboration with national and local stakeholders.
Stakeholder involvement in design	S	A multi-step consultative process was undertaken during the project design phase in which stakeholders at all levels were consulted and provided input to the project design.
IA & EA Execution		
Quality of UNDP Implementation	S	UNDP has provided strong support for the project through changes in the national context that resulted in some institutional challenges. The UNDP-contracted project team implemented the project admirably. It would have been helpful if UNDP had been able to catalyze the formation of the planned Project Steering Committee and there are opportunities for strengthening the comprehensiveness of planning procedures.
Quality of Execution – Executing Agency	MS	The government agency serving as the executing agency has been supportive of the project, particularly during the first half of implementation. Following a change in government there was a reduced level of communication and support with the project team. There remain opportunities for the MoENR to further support and implement various project results.
Overall Quality of Implementation / Execution (Efficiency)	S	The project was implemented in an efficient manner, with appropriate management arrangements, work planning, cost-effective operations, and engaged stakeholders at various levels.
Use of the logical framework	MS	The logframe was used as a reference to gauge progress toward those project results with relevant indicators and targets. The logframe does not appear to have been a primary tool guiding the project's results-based approach.
Financial planning and management	S	Adaptive measures for workplanning and budgeting were carried out as necessary. There are opportunities for strengthening the workplan budgeting process to ensure wider communication and clarity.

Criteria	Rating	Comments
Adaptive management	S	Following the mid-term evaluation the project made a number of important changes to strengthen the project's implementation and adapt and respond to changing circumstances, particularly with respect to the mini-grants program.
Use and establishment of information technologies	S	This was not an emphasis of the project, but in any relevant aspects the project applied effective use of information technologies.
Operational relationships between the institutions involved	MS	Initially there was excellent coordination and communication between the project team, UNDP and the government executing agency. Following the change in government around the mid-point of the project, there was significantly reduced cooperation between the project team and the government executing agency.
Technical capacities	S	In all relevant aspects the project leveraged expert technical know-how.
<i>Monitoring and Evaluation</i>		
M&E Design at Entry	MS	<i>The project M&E plan meets GEF and UNDP minimum standards. At the same time, there were a number of elements that could have been strengthened, including clarity on auditing requirements, and more comprehensive requirements for implementation reporting.</i>
M&E Plan Implementation	MS	<i>The project steering committee was never constituted, and although the main oversight function was fulfilled by the Project Board, this body did not fulfill all aspects that a steering committee would have contributed.</i>
Overall Quality of M&E	MS	<i>There were some moderate shortcomings in the design and implementation of the M&E activities of the project.</i>
<i>Stakeholder Participation</i>		
Local resource users and civil society participation	HS	The project extensively and directly engaged local level stakeholders in the project sites, and the cooperation at this level with local government and PA administrations was one of the highlights of the project.
Involvement and support of governmental institutions	MU	During the first half of the project there was strong involvement and support from the State Service for Protected Areas, but following the change of government and change of personnel at around the mid-point of the project, there was significantly reduced involvement and support from the MoENR.
<i>Assessment of Outcomes</i>		
Outcome 1: Implementation of a strategic vision for PA financial sustainability	MS	The project produced a number of valuable outputs under this outcome, but there remains a need for further progress toward achievement of this outcome, including adoption (and later implementation) of the national PA financing strategy.
Outcome 2: Improved governance of the national PA system	S	Some of the most significant long-term results from the project have been achieved under Outcome 2, with perhaps the most important being the establishment of the national PA association for Ukraine. The project's work on vocational training for PA management has also been a highlight, and the project's contribution to the develop of an approach to cross-oblast cooperation on PA management is a notable achievement that is likely to have catalytic effects in Ukraine in the future. Considering the numerous positive results, although not all the logframe indicators and targets were achieved under this outcome, overall progress toward achievement of Outcome 2 is considered satisfactory.
Outcome 3: Enhanced capacity	MS	Some activities supporting replication were carried out, but the actual

Criteria	Rating	Comments
to replicate the project's PA management approach throughout the national system		extent of catalytic effects thus far is limited. There are opportunities for further replication and scaling-up of some project activities (e.g. business planning), but greater support will be required from the MoENR.
<i>Overall Project Outcome Rating</i>	<i>MS</i>	<i>While the majority of planned activities were carried out, there is still a need for further consolidation and institutionalization of key results, and continued action and support from the MoENR. A majority of indicator targets have not been fully met, though significant progress has been made.</i>
Progress Toward Project Objective ("To enhance the financial sustainability and strengthen institutional capacity of the PA system in Ukraine") (Effectiveness)	MS	The project has made a number of important contributions to strengthening financial sustainability and improving management effectiveness, particularly at the demonstration site level. The establishment and ongoing operation of the national PA association is a critical element that should continue to contribute to improving the financial status and management effectiveness of Ukraine's PAs. At the same time, the project did not fully reach a number of results that would have more significantly contributed to achievement of the project objective, including adoption and implementation of a national PA financing strategy, and broader uptake of business planning approaches within the PA system.
<i>Sustainability</i>		
<i>Financial Resources</i>	<i>ML</i>	<i>The main consideration in this regard is the future status of the PA association, but the current outlook is cautiously optimistic.</i>
<i>Socio-political</i>	<i>ML</i>	<i>At the local level the project activities and results have strong support, and are likely to be sustained. The reduced support at the national level from the MoENR at the end of the project presents some risks in this regard, but at least the majority of project results are expected to be sustained.</i>
<i>Institutional Framework and Governance</i>	<i>ML</i>	<i>The institutional framework for PA management in Ukraine remains fragmented, and the project was not fully successful in strengthening PA governance under Outcome 2.</i>
<i>Environmental</i>	<i>L</i>	<i>By the nature of the project activities there are limited or no direct environmental risks to the project results.</i>
<i>Overall Likelihood of Sustainability</i>	<i>ML</i>	<i>Based on the lowest rating from the four components of sustainability above.</i>
<i>Progress Toward Impact</i>		
<i>Environmental Status Improvement</i>	<i>N</i>	<i>There is no significant evidence or data that the project has yet contributed to an improvement in environmental status.</i>
<i>Environmental Stress Reduction</i>	<i>M</i>	<i>The project has contributed to the reduction of some threats through improved tourism planning and use at the site level.</i>
<i>Progress Towards Stress/Status Change</i>	<i>N/A</i>	<i>The project was focused primarily on capacity development and strengthening the enabling environment. According to the implicit theory of change of such approaches, much more time will be required and many additional factors will eventually influence eventual progress toward a change in biodiversity status within Ukraine's PAs.</i>
Overall Project Results	<i>MS</i>	<i>The project generated numerous positive and important results that have contributed to the project objective, but the project did not fully reach the level of results originally anticipated.</i>

<p>Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation and Execution</p> <p>6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS): moderate shortcomings 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems</p>	<p>Sustainability Ratings</p> <p>4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks</p>	<p>Relevance Ratings</p> <p>2. Relevant (R) 1. Not relevant (NR)</p> <p>Impact Ratings</p> <p>3. Significant (S): Large-scale impacts 2. Minimal (M): Site-based impacts 1. Negligible (N): Little or no impacts</p>
<p>Additional ratings where appropriate</p> <p>Not Applicable (N/A) Unable to Assess (U/A)</p>		

VIII. List of Annexes

Annex 1: Evaluation Terms of Reference

Annex 2: Acronyms

Annex 3: GEF Operational Principles

Annex 4: List of Persons Interviewed

Annex 5: Evaluation Field Visit Schedule

Annex 6: Evaluation Documentation

Annex 7: Interview Guide

Annex 8: Evaluation Matrix

Annex 9: Management Response

A. Annex 1: Evaluation Terms of Reference



Date: November 17, 2011

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

Ref. ICPN/2011/102

Project name: PIMS 1275 BD FSP Strengthening governance and financial of the national protected area system in Ukraine.

Description of the assignment / Post title: International Consultant on project final evaluation

Country / Duty Station: Kyiv, Rivne, Lutsk, Shatsk, Liubeshiv (Ukraine); home country

Expected places of travel (if applicable): Kyiv, Rivne, Lutsk, Shatsk, Liubeshiv (Ukraine)

Starting date of assignment: February 1, 2012

Duration of assignment / or end date (if applicable): 10 business days

Supervisor's name and functional post: Mr. Vasyl Tolkachov, Project Coordinator

Payment arrangements: Lump Sum (payments linked to deliverables)

Administrative arrangements: The working space will be provided by the project..

Evaluation method: Desk review

Proposals shall be sent to the email address procurement@undp.org.ua with the following reference in the subject of the message: "ICPN/2011/102". no later than by **Close of Business November 30, 2011**. Late applications shall not be considered.

Any request for clarification must be sent to the address or e-mail indicated above no later than by November 27, 2011., close of business.

Clarifications to the received inquiries, without identifying the source of inquiry, will be posted at UNDP Ukraine website <http://www.undp.org.ua/en/tenders> (on a page of this procurement notice) as of November 27, 2011..

Terms of Reference for Individual Consultant

Project name: PIMS 1275 BD FSP Strengthening governance and financial of the national protected area system in Ukraine

Description of the assignment / Post title: International Consultant on project final evaluation

Country / Duty Station: Kyiv, Rivne, Lutsk, Shatsk, Liubeshiv (Ukraine); home country

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Supervisor's name and functional post: Mr. Vasyl Tolkachov, Project Coordinator

Payment arrangements: Lump Sum (payments linked to deliverables)

Administrative arrangements: The working space will be provided by the project.

Selection method: Interview

1. BACKGROUND

In accordance with UNDP/GEF M&E policies and procedures, all full-sized and medium-sized projects supported by the GEF should undergo a final evaluation upon completion of implementation.

This Final Evaluation is initiated by the UNDP Ukraine as the Implementing Agency for this project and is aimed to provide a comprehensive assessment of the project performance and achievement of project objectives; as well as provide lessons learned and recommendations for future projects, policies, or portfolios.

This evaluation is to be undertaken taking into consideration the GEF Monitoring and Evaluation policy (<http://thegef.org/MonitoringandEvaluation/MEPoliciesProcedures/mepoliciesprocedures.html>) and the Guidelines for GEF Agencies in Conducting Terminal Evaluations (www.gefweb.org/uploadedFiles/Policies-TEguidelines7-31.pdf).

PROJECT OVERVIEW

Strengthening governance and financial of the national protected area system in Ukraine project was approved by GEF in February 2008 and signed by UNDP and Government in March 2008. The Inception workshop was organized in August 2008. By that time the project team was hired as well as the main consultants. The project life time is 4 years. The total budget is 5,866,000 USD (GEF contribution is 1,800,000 USD, Government – 3,116,000 USD, UNDP (in-kind) – 50,000 USD, Frankfurt zoological society – 200,000 USD and Locally leveraged financing under Mini-projects Program – 700,000 USD).

The goal of the project is to secure long-term conservation of biodiversity within Ukraine's Nature Reserve Fund, specifically focusing on PAs of global, national or regional significance (henceforth referred to as the PA system). The objective of the project is to enhance the financial sustainability and strengthen institutional capacity of the PA system in Ukraine. The normative solution will be pursued through the systematic emplacement of ear marked revenue capture mechanisms to complement budgetary subventions to the PA system, and through improvements to PA governance that ensure PA revenue streams are employed efficiently so that impact is optimized per unit of investment

The project is designed to produce three outcomes: (i) Development and implementation of a strategic vision for PA financial sustainability – which will include: (a) the development of a comprehensive national strategy for PA financing, a set of regulations governing PA revenue generation and implementation of feasible revenue generating options; (b) introduction of business planning as a standard practice in PAs; (c) testing private public sector partnerships as a model for maximizing and fairly sharing revenues from activities such

as tourism, and engaging local people in conservation activities such as hay-cutting. (ii) Improved governance of the national PA system – will support the following interventions: (a) testing decentralized governance systems for PAs; (b) developing mechanisms to facilitate PA management across administrative jurisdictions (i.e. local governments known as oblast's in Ukraine); (c) providing for staff training; (d) establishing an association of PA managers/ Directors; and (e) introducing systems to monitor management effectiveness as a feed-in to decision making processes; and (iii) Capacity in place to replicate the improved management approach across the national PA system.

The Project has four primary outcomes summarized below:

- Outcome I: Implementation of a strategic vision for PA financial sustainability
- Outcome II: Improved governance of the national PA system
- Outcome III: Enhanced capacity to replicate the project's PA management approach throughout the national system

In accordance with UNDP/GEF M&E policies and procedures the mid-term evaluation was conducted in May-June 2010.

2. MAIN OBJECTIVES OF THE ASSIGNMENT EVALUATION OBJECTIVES

The overall purpose of the evaluation is to measure the effectiveness and efficiency of project activities in relation to the stated objectives endorsed by the GEF, including any agreed changes in the objectives during project implementation and any other results.

Final evaluation has the following complementary purposes:

- a) To promote accountability and transparency, and to assess and disclose levels of project accomplishment;
- b) To synthesize lessons learned that may help improve selection, design and implementation of future GEF activities.

To provide feedback on issues that are recurrent across the portfolio and need attention, and on improvements regarding previously identified issues.

3. DESCRIPTION OF RESPONSIBILITIES / SCOPE OF WORK SCOPE OF THE EVALUATION

The GEF Monitoring and Evaluation Policy, minimum requirement 3, specifies that final evaluation shall assess, at minimum:

- achievement of outputs and outcomes and provide ratings for the targeted objectives and outcomes;
- likelihood of sustainability of outcomes at project termination, and provide rating for this.

The Final Evaluation serves as an agent of change and plays a critical role in supporting accountability. The emphasis of the evaluation should be the following:

Project indicators The evaluators will assess the achievement of indicators and review the work plan, planned duration and budget of the project.

Implementation The evaluation will assess the implementation of the project in terms of quality and timeliness of inputs and efficiency and effectiveness of activities carried out. Also, the effectiveness of management as well as the quality and timeliness of monitoring and backstopping by all parties to the project should be evaluated. In particular, the evaluation is to assess the Project team's use of adaptive management in project implementation and the Project team's fulfillment of management responses to evaluation recommendations made during the mid-term evaluation in September 2009.

Project outputs, outcomes and impact The evaluation will assess the outputs, outcomes and impact achieved by the project as well as the likely sustainability of project results. This should encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the overall objective of the project. The evaluation should also assess the extent to which the implementation of the project has been inclusive of relevant stakeholders and to which it has been able to create collaboration between different

partners. The evaluation will also examine if the project has had significant unexpected effects, whether of beneficial or detrimental character.

The evaluation will focus on the range of aspects described below. In addition to a descriptive assessment, all criteria marked with (R) should be rated using the following divisions: *Highly Satisfactory*, *Satisfactory*, *Marginally Satisfactory*, *Marginally Unsatisfactory*, *Unsatisfactory*, *Highly Unsatisfactory*. All ratings given should be properly substantiated:

1. Project concept/design, relevance and strategy

1.1 Project relevance, country ownership/drivenness (R)

1.2 Preparation and readiness:

1.3 Stakeholder involvement (R):

1.4 Underlying factors/assumptions:

1.5 Management arrangements (R):

1.6 Project budget and duration (R):

1.7 Design of project M&E system (R):

1.8 Sustainability:

1.9 Gender perspective:

2. Project implementation

2.1 Project's adaptive management (R):

2.2 Contribution of Implementing and Executing Agencies:

2.3 Stakeholder participation, partnership strategy (R):

2.4 Sustainability:

○ On each of the dimensions of sustainability of the project outcomes will be rated as follows:

- *Likely (L)*: There are no or negligible risks that affect this dimension of sustainability.
- *Moderately Likely (ML)*: There are moderate risks that affect this dimension of sustainability.
- *Moderately Unlikely (MU)*: There are significant risks that affect this dimension of sustainability
- *Unlikely (U)*: There are severe risks that affect this dimension of sustainability.

3. Project results (outputs, outcomes and objectives)

3.1 Progress towards achievement of intended outputs, outcomes/measurement of change.

Progress towards results should be based on a comparison of indicators before and after the project intervention to the baseline ones.

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.

Highly Unsatisfactory (HU): The project has severe shortcomings in the achievement of its objectives.

4. DELIVERABLES

DELIVERABLES / PRODUCTS EXPECTED FROM THE FINAL EVALUATION

The key product expected from the final evaluation is a comprehensive analytical report in English on the evaluation of UNDP-GEF project "Strengthening governance and financial of the national protected area system in Ukraine" (PIMS 1275 BD FSP) that should, in line with *The GEF Monitoring and Evaluation Policy*, minimum requirement 3, include:

- the basic data on the evaluation (when the evaluation took place, places visited, who was involved, the key questions, and the methodology- including application of the five evaluation criteria),
- basic data of the project, including actual GEF and other expenditures;
- lessons of broader applicability
- information regarding the composition and expertise of the evaluation team (in an annex)

- the ToR of the evaluation (in an annex).

The evaluation report outline/content should be structured as follows:

1. Executive summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

2. Introduction

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation

3. The project(s) and its development context

- Project start and its duration
- Problems that the project seek to address
- Immediate and development objectives of the project
- Main stakeholders
- Results expected

4. Findings and Conclusions

4.1. Project Formulation

- • Conceptualization/Design
- • Country-ownership/Drivenness.
- • Stakeholder participation
- • Replication approach.
- • Other aspects

4.2. Project Implementation

- • Implementation Approach
- • Monitoring and evaluation
- • Stakeholder participation
- • Financial Planning:
- • Execution and implementation modalities.

4.3. Results

- • Attainment of Outcomes/ Achievement of objectives
- • Sustainability

5. Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

6. Lessons learned

7. Evaluation report Annexes

- Evaluation TORs
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Questionnaire used and summary of results
- Comments by stakeholders (only in case of discrepancies with evaluation findings and conclusions)

5. MONITORING/REPORTING REQUIREMENTS

METHODOLOGY OR EVALUATION APPROACH

An outline of an evaluation approach is provided below, however the evaluator is responsible for revising the approach as necessary. Any changes should be in-line with international criteria and professional norms and standards (as adopted by the UN Evaluation Group).

The evaluation must provide evidence-based information that is credible, reliable and useful. It must be easily understood by project partners and applicable to the remaining period of project duration.

The evaluation should provide as much gender disaggregated data as possible.

The methodology to be used by the evaluation team should be presented in the report in detail.

It shall include information on:

- Documentation review (desk study);
- Interviews will be held with the following organizations and individuals at minimum: UNDP – Ukraine, NEA, project team, other stakeholders.
- Field visits;
- Questionnaires;
- Participatory techniques and other approaches for the gathering and analysis of data.

IMPLEMENTATION ARRANGEMENTS FOR THE FINAL EVALUATION

The principal responsibility for managing this evaluation lies with UNDP Country Office in Ukraine.

UNDP Ukraine will contract the evaluator and ensure the timely provision of per diems and travel arrangements within the country.

The evaluator shall report to UNDP Ukraine CO Management.

The Project implementation unit will be responsible for liaising with the evaluation team to set up stakeholder interviews, arrange field visits, coordinate with the Executing Agency and other arrangements.

The evaluation mission will be supported by the Project team and UNDP Senior Programme Manager responsible for the Environment area.

The mission will coordinate its work closely with the NEA and UNDP. The mission will take responsibility for its own schedule (though support will be provided by the Project team).

The final evaluation will be undertaken by an independent international consultant. He/she will receive the support of UNDP Country Office and Project Management Team. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities. The evaluator shall have prior experience in evaluating similar projects. Former cooperation with GEF is an advantage.

The *International Consultant* will be responsible to deliver the expected output of the mission. Specifically, he/she will perform the following tasks:

- Lead and manage the evaluation process;
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);
- Ensures full coordination of evaluation process;
- Conduct desk-reviews, interviews and site-visits in order to obtain objective and verifiable data to substantive evaluation ratings and assessments, including:
 - Assessment of adequacy of the level and proposed modes of enforcement of the regulatory and programmatic documents developed within the project;
 - Verification of the Management Effectiveness Tracking Tool data, as collected and reported by the project;
- Ensures that evaluation report inputs are available in a timely manner;
- Assumes overall responsibility for the evaluation report submission (draft and final):
 - Draft the evaluation report and share with the key stakeholders for comments;
 - Finalize the evaluation report based on the inputs from key stakeholders.

The evaluation mission will take place in the **beginning of February 2012**. The total duration of the assignment will be 10 working days. The following timetable is recommended for the evaluation:

Desk review, development of methodology	2 days
In-country field visits, interviews	5 days
Drafting report	2 days
Finalization of report	1 day

The final version of the evaluation report should be submitted in electronic format (MS Word) to UNDP Country Office in Ukraine no later than **February 28, 2012**.

6. EXPERIENCE AND QUALIFICATIONS REQUIREMENTS

Competencies

- Extensive (at least 10-year) experience and proven track record with policy advice and/or project development/implementation in protected area management/biodiversity;
- Proven track record of application of results-based approaches to evaluation of projects focusing on protected area management/biodiversity (relevant experience in the CIS region and within UN system would be an asset);
- Familiarity with priorities and basic principles of protected area management and relevant international best-practices;
- Knowledge of and recent experience in applying UNDP and GEF M&E policies and procedures;
- Demonstrable analytical skills;
- Good interpersonal skills.

Qualifications

- University degree in environmental sciences or related area;
- Excellent English communication skills, knowledge of Russian would be an asset;

7. DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS

Applicants shall submit the following documents:

Required {PLEASE TICK THE APPROPRIATE CHECKBOXES}

- ☐ Letter of interest/proposal, explaining why the applicant considers him- or herself the most suitable for the work.
- ☐ Letter of interest/proposal, providing brief methodology on how the work will be conducted and/or approached.
- ☒ Personal CV, including information about past experience in similar projects / assignments and contact details for referees.
- ☒ Financial proposal.
- ☐ Other documents: [Click here to enter text.](#)

8. FINANCIAL PROPOSAL

(ONLY ONE OPTION MUST BE SELECTED. FOR RETAINER CONTRACTS AND/OR LTAs PLEASE DISCUSS WITH PROCUREMENT UNIT):

☒ Lump sum contract

The financial proposal shall specify a total lump sum amount, and payment terms around specific and measurable (qualitative and quantitative) deliverables (i.e. whether payments fall in installments or upon completion of the entire contract). Payments are based upon output, i.e. upon delivery of the services specified in the TOR. In order to assist the requesting unit in the comparison of financial proposals, the financial proposal will include a breakdown of this lump sum amount (including travel, per diems, and number of anticipated working days).

OR

☐ Contracts based on daily fee

The financial proposal will specify the daily fee, travel expenses and per diems quoted in separate line items, and payments are made to the Individual Consultant based on the number of days worked.

Travel costs

All envisaged travel costs will be calculated and covered by the project in accordance with the plan of the mission, agreed with the consultant. The project will not cover travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources. In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and Individual Consultant, prior to travel and will be reimbursed.

9. EVALUATION CRITERIA

- Educational background – 20 points max {20pts – PhD degree; 15pts – Specialist/Master’s degree; 10pts – Bachelor degree};
- Practical previous experience relevant to the announced TOR – 50 points max {50 pts – 7 years and more; 40 pts – 5- up to 7 years; 30 pts – 3- up to 5 years; 20 pts – less than 3 years};
- Language Skills – 15 points max {15 pts – English and Russian; 5 pts - only English};
- Previous work with UNDP/GEF projects – 15 points.

Maximum available technical score - 100 points.

EVALUATION METHOD (ONLY ONE OPTION MUST BE SELECTED):

☐ **Lowest price and technically compliant offer**

Contract award shall be made to the incumbent whose offer has been evaluated and determined as both:
a) responsive/compliant/acceptable (fully meeting the TOR provided), and
b) offering the lowest price/cost

OR

☒ **Cumulative analysis**

Contract award shall be made to the incumbent whose offer has been evaluated and determined as:
a) responsive/compliant/acceptable, and
b) having received the cumulative highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.
* Technical Criteria weight: 70%
* Financial Criteria weight: 30%

Only candidates obtaining a minimum 70% from the maximum available technical score would be considered for the Financial Evaluation

The maximum number of points assigned to the financial proposal is allocated to the lowest price proposal and will equal to 30. All other price proposals will be evaluated and assigned points, as per below formula:

30 points [max points available for financial part] x [lowest of all evaluated offered prices among responsive offers] / [evaluated price].

The proposal obtaining the overall cumulatively highest score after adding the score of the technical proposal and the financial proposal will be considered as the most compliant offer and will be awarded a contract.

B. Annex 2: GEF Operational Principles

TEN OPERATIONAL PRINCIPLES FOR DEVELOPMENT AND IMPLEMENTATION OF THE GEF'S WORK PROGRAM

1. For purposes of the financial mechanisms for the implementation of the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change, the GEF will **function under the guidance of, and be accountable to, the Conference of the Parties (COPs)**. For purposes of financing activities in the focal area of ozone layer depletion, GEF operational policies will be consistent with those of the Montreal Protocol on Substances that Deplete the Ozone Layer and its amendments.
2. The GEF will provide new, and additional, grant and concessional funding to meet the agreed **incremental costs** of measures to achieve agreed global environmental benefits.
3. The GEF will ensure the **cost-effectiveness** of its activities to maximize global environmental benefits.
4. The GEF will fund projects that are **country-driven** and based on national priorities designed to support sustainable development, as identified within the context of national programs.
5. The GEF will maintain sufficient **flexibility** to respond to changing circumstances, including evolving guidance of the Conference of the Parties and experience gained from monitoring and evaluation activities.
6. GEF projects will provide for **full disclosure** of all non-confidential information.
7. GEF projects will provide for consultation with, and **participation** as appropriate of, the beneficiaries and affected groups of people.
8. GEF projects will conform to the **eligibility** requirements set forth in paragraph 9 of the GEF Instrument.
9. In seeking to maximize global environmental benefits, the GEF will emphasize its **catalytic role** and leverage additional financing from other sources.
10. The GEF will ensure that its programs and projects are **monitored and evaluated** on a regular basis.

<http://www.gefweb.org/public/opstrat/ch1.htm>

C. Annex 3: List of Persons Interviewed

Mr. Vasyl Tolkachov, UNDP Project manager
 Mr. Viktor Kantsurak, NPD (2010-2012), Director of Directorate for Protected Areas, Ministry of Ecology and Natural Resources of Ukraine
 Mr. Igor Ivanenko, Deputy Director, Directorate for Protected Areas, Ministry of Ecology and Natural Resources
 Ms. Larysa Demydenko, Chief Specialist, Directorate for Protected Areas, Ministry of Ecology and Natural Resources
 Mr. Mykola Stetsenko, former NPD (2008-2010) (former Head of State Service for Protected Areas), President of the National Association of Protected Areas
 Ms. Elena Panova, UNDP Deputy Country Director
 Mr. Sergei Volkov, UNDP Senior Programme Manager
 Mr. Vasyl Rusenchuk, First Deputy Head of Liubeshiv Rayon State Administration
 Mr. Yuriy Olasyuk, Deputy Director of “Pripyat-Stokhid” National Nature Park
 Mr. Volodymyr Naida, Head of Shatsk Rayon State Administration
 Mr. Alexander Sydoruk, Deputy Director of Shatsk NNP
 Mr. Myroslava Mokhnyuk Director of horse riding club (Shatsk NNP)
 Mr. Alexander Romanyuk, First deputy head of Volyn Oblast State Department on Environmental Protection
 Mr. Petro Kolodych, Head of Rivne Oblast State Department on Environmental Protection

D. Annex 4: Evaluation Field Visit Schedule

Date	Activity
Monday, September 24	Meetings with project team, UNDP, and national level stakeholders
Tuesday, September 25	Travel to Liubeshiv Rayon, meetings with Rayon and Pripyat-Stokhid Stakeholders, Travel to Shatsk
Wednesday, September 26	Meetings with Shatsk Rayon and Shatsk NNP Stakeholders, Travel to Lutsk
Thursday, September 27	Meeting with Volyn Oblast Stakeholders, meeting with Rivne Oblast Stakeholders
Friday, September 28	Travel to Kiev, depart Kiev

E. Annex 5: Financial Sustainability Scorecard

Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5
Objective 1: Catalyzing Sustainability of Protected Area Systems
SECTION III: Financial Sustainability Scorecard

Note: Please complete the financial sustainability scorecard for each project that is focusing on improving the financial sustainability of a PA system or an individual PA, per outcome 1.2 in the GEF biodiversity strategy. As we did in GEF-4, we will use the scorecard that was developed by Andrew Bovarnick of UNDP as it addresses our needs in a comprehensive fashion.

The scorecard has three sections:

Part I - Overall financial status of the protected areas system. This includes basic protected area information and a financial analysis of the national protected area system.

Part II - Assessing elements of the financing system.

Part III - Scoring.

Important: Please read the Guidelines posted on the GEF website before entering your data

Part I: Protected Areas System, sub-systems and networks

Part I requires financial data to determine the costs, revenues and financing gaps of the PA system both in the current year and as forecast for the future. It provides a quantitative analysis of the PA system and shows the financial data needed by PA planners needed to determine financial targets and hence the quantity of additional funds required to finance effective management of their PA system. As different countries have different accounting systems certain data requirements may vary in their relevance for each country. However, where financial data is absent, the first activity the PA authority should be to generate and collect the data.

Part 1.1 - Basic Information on Country's National Protected Area System, Sub-systems and Networks. Detail in the Table every sub-system and network within the national system of protected areas in the country.

Protected Areas System, sub-systems and networks*	Number of sites	Terrestrial hectares covered	Marine hectares covered[1]**	Total hectares covered	Institutions responsible for PA management
National System of PAs (total for all subsystems)	7739	3267948	402500	3670448	
Sub-system					

PA sub-system 1 - PAs under jurisdiction of Ministry of Ecology and Natural Resources (National Nature Parks, Biosphere Reserves, and Nature Reserves) - IUCN Categories I and II - INCLUDED IN THE FINANCIAL SCORECARD	61	1446914	0	1446914	Ministry of Ecology and Natural Resources, State Forestry Committee, National Academy of Sciences, Ukrainian Academy of Agrarian Sciences, President Affairs' Department, Ministry of Education and Science, Kyiv National University named after Taras Shevchenko
PA sub-system 2 - Regional/municipal protected areas (e.g. regional landscape parks) - NOT INCLUDED IN THE FINANCIAL SCORECARD	55	639453	0	639453	Oblast Councils
Others (zakazniks, botanic gardens, dendrapark, nature monuments) - NOT INCLUDED IN THE FINANCIAL SCORECARD	7623	1181581	402500	1584081	Enterprises and institutions with different form of ownership and subordination
Network					
Network 1 - insert name	NA				
Network 2 - insert name	NA				
Additional networks	NA				

[1] MPAs should be detailed separately to terrestrial PAs as they tend to be much larger in size and have different cost structures

* The overall Protected Area System of Ukraine is composed of 7,739 protected areas covering 3.46 million ha, which is 5.7% of the national territory. There are 11 types of protected areas in Ukraine covering a diversity of ecosystems including mixed forests, meadows, marshes, forest-steppe, steppe and mountains. Close to 60% of all protected areas by area, are of international, or national importance (IUCN Categories I and II), while the rest have local importance. Those of IUCN Categories I and II, which are accounted for by this Scorecard are the so-called Ukraine's Nature Reserve Fund and include: Biosphere Reserves - 4; Nature Reserves - 19; National Nature Parks - 38. The 61 National Nature Parks, Biosphere Reserves, and Nature Reserves are the core of the system, corresponding to IUCN Categories I and II. Over 95% of the PA funding is allocated for these categories of protected areas. The other protected areas are not accounted for in this scorecard [consistently, they have not been accounted for at the baseline and mid-term stages].

** Includes the newly created marine Black Sea reserve *Male Philophorne Pole*

Part 1.2 - Financial Analysis of the National Protected Area System ***

NOTE: As explained previously, the table below reports only on National Nature Parks, Biosphere Reserves and Nature Reserves, Over 95% of PA financing is allocated to these categories.

Financial Analysis of the Sub-System or Network -[PA sub-system 1 as per clarification above]	Baseline year - 2006 (US\$) as reported in the project document (annex D.X) approved by GEF [1][2]	Year 2011 (US\$) [3][4]	Comments Add the source of data and state confidence in data (low, medium, high) - The confidence for all data is medium to high.
Available Finances[5]			
(1) Total annual central government budget allocated to PA management (excluding donor funds and revenues generated for the PA system)	13389000	23600000	The national currency is Hryvna (Hrv). At the beginning of the project implementation the exchange rate was 1 USD - 5 Hrv. In 2011 it is 1 USD - 8.02 Hrv. Between the baseline year (2006) and 2011, owing to UNDP-GEF project, the Government increased its PA estate by approximately 30%. The central Government budget allocations in the same period increased by more than 75% compared to 2006. Starting from 2012 the level of financing will be increased further, to support all the newly established protected areas. However, the aforementioned exchange rate fluctuations between the local currency and Hryvna mitigate the positive impact.
- operational budget (salaries, maintenance, fuel etc)		17000000	Operational expenditure are financed only from the general fund of the state budget.
- infrastructure investment budget (roads, visitor centres etc)		6600000	Capital expenditure are financed from the state environmental protection fund.
(2) Extra budgetary funding for PA management			
- Total of A + B -	0	1000000	
A. Funds channelled through government - total	0	0	
- PA dedicated taxes			
- Trust Funds			
- Donor funds			
- Loans			
- Debt for nature swaps			
- Others			

B. Funds channelled through third party/independent institutional arrangements - total	0	1000000	
- Trust Funds			
- Donor funds		1000000	Several projects, financed by GEF, WWF and EU, were implemented in Ukraine for the last 4 years with focus on protected areas strengthening. Around 1 mln USD were spent in the reported year under the abovementioned projects.
- Loans			
- Others			
(3) Total annual site based revenue generation across all PAs broken down by source[6]			
- Total	3431000	2764500	
A. Tourism entrance fees		41500	There is entrance fee, but it is not at every protected areas. During the last years many protected areas introduced fee. It is approximately 0,5 USD per person. Fee for the international tourist is the same as for national ones. While about 3 mln tourists visited Ukrainian protected areas in 2011, only some 83000 visitors paid the entrance fee at those sites where the fee collection system is installed.
B. Other tourism and recreational related fees (camping, fishing permits etc)		271500	This includes 250,000 generated from use of lodging, catering. In addition, 21,500 is currently generated from charges for visit of specific nature objects within protected areas. The level of fee is around 3 USD per person per day (camping) and up to 7 USD per person (fishing)
C. Income from concessions			
D. Payments for ecosystem services (PES)			
- water			
- carbon			
- biodiversity			
E. Other non-tourism related fees and charges (specify each type of revenue generation mechanism)			
- scientific research fees		41500	Protected areas are actively cooperate with universities and institutions and get some payment for scientific research on their territories. Some protected areas participate in the international scientific programmes and get some funds also.
- genetic patents			
- pollution charges			

- sale of wood and wood products	3431000	2410000	One of main source of revenue generation is from selling of wood products. Many protected areas, especially in the western part of the country, have significant amount of forest on their territory, get limits for wood cutting and sell it. At the same time it should be noted that this situation has changed during the last several years and protected areas pay more attention to the development of new recreational zones, organize various festivals and actions. Thus, the main focus shifted to providing services for tourist instead of selling the wood.
(4) Percentage of PA generated revenues retained in the PA system for re-investment[8]	1	1	The funds generated by the protected areas are retained fully by PAs, which makes Ukrainian PA revenue generation conditions most advanced in the region. That money is accumulated on the special accounts of PAs.
(5) Total finances available to the PA system [line item 1+2.A+2.B]+ [line item 3 * line item 4]	16820000	27364500	
Available for operations		24643000	
Available for infrastructure investment		2700000	
Costs and Financing Needs			
(1) Total annual expenditure for PAs (all PA operating and investment costs and system level expenses)[9]	16820000	27364500	
- by government	13389000	23600000	
- by independent/other channels	3431000	3764500	
(2) Estimation of PA system financing needs			
A. Estimated financing needs for <i>basic</i> management costs (operational and investments) to be covered	19343000	32475000	

- PA central system level operational costs (salaries, office maintenance etc)		830000	The state organ on protected areas (State Service on protected areas) was liquidated due to administrative reform. Its functions were given to the Department on protected areas under the Ministry of ecology and natural resources. The number of personnel was decreased, The level of salary is low. Oblast departments on environmental protection are also under reorganization. There is a need to strengthen the institutional and financial capacity. Methodology for the projection is based on the estimate of increased salaries (sufficient to maintain qualified personnel, as compared with similar occupations (scientist, NGO)), as well as on basic management and office costs of the restructured institutional platform for the PA system.
- PA site management operational costs		2320000	The assessment is based on questionnaires of park directors, extrapolated to finance in full the operational costs of all PAs covered by the FSC, including the newly established protected areas which have the highest requirements for the the operational costs.
- PA site infrastructure investment costs		26000000	The infrastructure at the protected areas is weak. During many years only operational expenditure, not capital, were financed. The one can observe the tendency to increase the capital expenditure during the last year, but protected areas still need substantial investments in infrastructure, and this estimate is based on the collection of assessments from several existing PAs, extrapolated for the whole group of PAs covered by the FSC.
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)		3325000	These system capacity building needs are additional to daily operations but critical for system development and are often covered by donors. The national legislation on protected areas should be improved and international projects can focus on that also. The estimate here is based on concrete experience of the UNDP-GEF project on how much it costs to implement annual capacity building and improve legislation.
B. Estimated financing needs for <i>optimal</i> management costs (operational and investments) to be covered	24389000	37346250	The methodology here is similar to above assessment of basic needs, but increased by app. 15%. The 15% difference is the average difference noted from financing of some of the existing PAs. E.g. The Shatsk National Park has optimal financing and is able to almost fully fulfill its conservation objectives, Those parks which approximate the level of basic financing made available to them indicate that their revenues are about 15% lower than those of Shatsk.
- PA central system level operational costs (salaries, office maintenance etc)		954500	
- PA site management operational costs		2668000	
- PA site infrastructure investment costs		29900000	
- PA system capacity building costs for central and site levels (training, strategy, policy reform etc)		3823750	These system capacity building needs are additional to attaining basic management capacities and may entail additional scientific research, public communications, scholarships, etc.

C. Estimated financial needs to expand the PA systems to be fully ecologically representative			It is difficult to give a precise estimate. In the case of Ukraine it would be about 20% further increase over the optimal cost. Ukraine still has areas such as peatlands and steppe which are underrepresented, where protected areas could be established.
- basic management costs for new PAs			
- optimal management costs for new PAs			

Annual financing gap (financial needs - available finances)[10]			
1. Net actual annual surplus/deficit[11]	0	0	
2. Annual financing gap for <i>basic</i> management scenarios	2523000	5110500	The methodology in 2006 was imperfect and underestimated the basic and optimal management scenario needs. At the same, an increase in the financial gap is explained by the fact that in the past 3 years, 21 new protected areas of high IUCN category (national nature parks) were created; the PA estate was expanded by almost 30 percent. In the first years of operation of new PAs, the needs for their management are especially high (due to the necessity of purchasing the premises, cars and other equipment, etc.), therefore as of 2011, the financial gap remains significant.
Operations			
Infrastructure investment			
3. Annual financing gap for <i>optimal</i> management scenarios	7569000	9981750	As per comment in the previous cell.
Operations			
Infrastructure investment			
4. Annual financing gap for basic management of an expanded PA system (current network costs plus annual costs of adding more PAs)	2523000	6132600	
5. Projected annual financing gap for basic expenditure scenario in year X+5 ^{[12],[13]}		4906080	
Financial data collection needs			

Specify main data gaps identified from this analysis:			
Specify actions to be taken to fill data gaps[14]:			

[1] The baseline year refers to the year the Scorecard was completed for the first time and remains fixed. Insert year eg 2007.

[2] Insert in footnote the local currency and exchange rate to US\$ and date of rate (eg US\$1=1000 colones, August 2007)

[3] X refers to the year the Scorecard is completed and should be inserted (eg 2008). For the first time the Scorecard is completed X will be the same as the baseline year. For subsequent years insert an additional column to present the data for each year the Scorecard is completed.

[4] Insert in footnote the local currency and exchange rate to US\$ and date of rate

[5] This section unravels sources of funds available to PAs, categorized by (i) government core budget (line item 1), (ii) additional government funds (line item 2), and (iii) PA generated revenues (line item 3).

[6] This data should be the total for all the PA systems to indicate total revenues. If data is only available for a specific PA system specify which system

[7] Note this will include non monetary values and hence will differ (be greater) than revenues

[8] This includes funds to be shared by PAs with local stakeholders

[9] In some countries actual expenditure differs from planned expenditure due to disbursement difficulties. In this case actual expenditure should be presented and a note on disbursement rates and planned expenditures can be made in the Comments column.

[10] Financing needs as calculated in (8) minus available financing total in (6)

[11] This will likely be zero but some PAs may have undisbursed funds and some with autonomous budgets may have deficits

[12] This data is useful to show the direction and pace of the PA system towards closing the finance gap. This line can only be completed if a long term financial analysis of the PA system has been undertaken for the country

[13] As future costs are projected, initial consideration should be given to upcoming needs of PA systems to adapt to climate change which may include incorporating new areas into the PA system to facilitate habitat changes and migration

[14] Actions may include (i) cost data based on site based management plans and extrapolation of site costs across a PA system and (ii) revenue and b

Part II of the scorecard is compartmentalized into three fundamental components for a fully functioning financial system at the site and system level - (i) legal, regulatory and institutional frameworks, (ii) business planning and tools for cost-effective management (eg accounting practices) and (iii) tools for revenue generation.

COMPONENT 1: LEGAL, REGULATORY AND INSTITUTIONAL FRAMEWORKS THAT ENABLE SUSTAINABLE PA FINANCING

Legal, policy, regulatory and institutional frameworks affecting PA financing systems need to be clearly defined and supportive of effective financial planning, revenue generation, revenue retention and management. Institutional responsibilities must be clearly delineated and agreed, and an enabling policy and legal environment in place. Institutional governance structures must enable and require the use of effective, transparent mechanisms for allocation, management and accounting of revenues and expenditures.

COMPONENT 2: BUSINESS PLANNING AND TOOLS FOR COST-EFFECTIVE MANAGEMENT

Financial planning, accounting and business planning are important tools for cost-effective management when undertaken on a regular and systematic basis. Effective financial planning requires accurate knowledge not only of revenues, but also of expenditure levels, patterns and investment requirements. Options for balancing the costs/revenues equation should include equal consideration of revenue increases and cost control. Good financial planning enables PA managers to make strategic financial decisions such as allocating spending to match management priorities, and identifying appropriate cost reductions and potential cash flow problems. Improved planning can also help raise more funds as donors and governments feel more assured that their funds will be more effectively invested in the protected area system.

COMPONENT 3: TOOLS FOR REVENUE GENERATION AND MOBILIZATION

PA systems must be able to attract and take advantage of all existing and potential revenue mechanisms within the context of their overall management priorities. Diversification of revenue sources is a powerful strategy to reduce vulnerability to external shocks and dependency on limited government budgets. Sources of revenue for protected area systems can include traditional funding sources - tourism entrance fees - along with innovative ones such as debt swaps, tourism concession arrangements, payments for water and carbon services and in some cases, carefully controlled levels of resource extraction.

PART II: FINANCIAL SCORECARD - ASSESSING ELEMENTS OF THE FINANCING SYSTEM

Component 1 - Legal, regulatory and institutional frameworks

Element 1 - Legal, policy and regulatory support for revenue generation by PAs			
(i) Laws or policies are in place that facilitate PA revenue mechanisms	2	0: None 1: A few 2: Several 3: Fully	The revenue generation mechanisms that are not permitted under the current legal framework include concessions, and PES.
(ii) Fiscal instruments such as taxes on tourism and water or tax breaks exist to promote PA financing	1	0: None 1: A few 2: Several 3: Fully	Only tax for wood cutting can be subsidized in case revenue from it is channeled to reforestation and afforestation within PAs.
Element 2 - Legal, policy and regulatory support for revenue retention and sharing within the PA system			
(i) Laws or policies are in place for PA revenues to be retained by the PA system	3	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	100% is retained
(ii) Laws or policies are in place for PA revenues to be retained at the PA site level	3	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	100% is retained
(iii) Laws or policies are in place for revenue sharing at the PA site level with local stakeholders	2	0: No 1: Under development 2: Yes, but needs improvement 3: Yes, satisfactory	There are mechanisms for sharing revenues, includign those piloted by the UNDP-GEF project, but this needs yet to be replicated across the whole system.
Element 3 - Legal and regulatory conditions for establishing Funds (endowment, sinking or revolving)[1]			
(i) A Fund has been established and capitalized to finance the PA system	0	0: No 1: Established 2: Established with limited capital 3: Established with adequate capital	A centralized national trust fund for PAs is not relevant for Ukraine. There is special fund of the state budget, consisting of the separate sub-accounts for every PA. All revenue generated by PA is accumulated at that sub-account (special account). According to the Budget Code the establishment of separate Funds for each PA is not permitted. At the same time in accordance with to the Law of Ukraine "On nature - reserve fund" such funds are envisaged.

(ii) Funds have been created to finance specific PAs	0	0: No 1: Partially 2: Quite well 3: Fully	In the Ukraine context, this is mechanism is unlikely to be successful.
(iii) Fund expenditures are integrated with national PA financial planning and accounting	0	0: No 1: Partially 2: Quite well 3: Fully	Not relevant
Element 4 - Legal, policy and regulatory support for alternative institutional arrangements for PA management to reduce cost burden to government			
(i) There are laws or policies which allow and regulate concessions for PA services	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	
(ii) There are laws or policies which allow and regulate co-management of PAs	1	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	Owing to UNDP-GEF project, there are mechanisms under development and trial to involve the communities in activities at protected areas, for mutual benefit for the parks and communities.
(iii) There are laws or policies which allow and regulate local government management of PAs	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	It relates to the regional landscape parks and other territories (zakazniks, etc.)
(iv) There are laws which allow, promote and regulate private reserves	0	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	There is no such category of PA.

Element 5 -National PA Financing Strategies			
(i) There are policies and/or regulations that exist for the following which should be part of a National PA Finance Strategy:			
- Comprehensive financial data and plans for a standardized and coordinated cost accounting systems (both input and activity based accounting)	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	The PA financial Strategy is under adoption, owing to UNDP-GEF project.

- Revenue generation and fee levels across PAs	1	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	As per explanations in the table below.
- Allocation of PA budgets to PA sites (criteria based on size, threats, business plans, performance etc)	1	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	List the budget allocation criteria: mainly size of the territory and number of staff
- Safeguards to ensure that revenue generation does not adversely affect conservation objectives of PAs	3	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	Is regulated by the management plan and in accordance with the allocated limits for natural resources usage
- PA management plans to include financial data or associated business plans	2	0: None 1: Under development 2: Yes, but needs improvement 3: Yes, Satisfactory	Financial data is correlated to the time of management plan developing, not taking into account the inflation and other factors. Business plan is not widely introduced, although this practice is expanding after the UNDP-GEF project.
<u>(ii) Degree of formulation, adoption and implementation of a national financing strategy[2]</u>	1	0: Not begun 1: In progress 2: Completed and adopted 3: Under implementation	The national strategy on protected areas financial sustainability was developed by the UNDP-GEF project and endorsed by leading national experts and NGOs. It is expected to be approved in 2012,

Element 6 - Economic valuation of protected area systems (ecosystem services, tourism based employment etc)			
(i) Economic valuation studies on the contribution of protected areas to local and national development are available	1	0: None 1: Partial 2: Satisfactory 3: Full	Provide summary data from studies: such economic valuation is part of scientific justification on establishment of PA and differ from region to region. It consists of such data as new places for employment, predicted revenue from tourism, additional taxes paid (particular from salaries), etc.

(ii) PA economic valuation influences government decision makers	1	0: None 1: Partial 2: Satisfactory 3: Full	Specify ministries that have been influenced: there are economic valuations of specific natural resources (forest (wood), land, water). There are no comprehensive valuation of the ecosystem. Thus, several state authorities are influenced - Ministry of ecology and natural resources, State Agency on forestry, State Agency on water management.
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Element 7 - Improved government budgeting for PA systems

(i) Government policy promotes budgeting for PAs based on financial need as determined by PA management plans	1	0: No 1: Partially 2: Yes	Budgeting for PAs is based on available resources, taking into account needs, but not always meet them fully.
(ii) PA budgets includes funds to finance threat reduction strategies in buffer zones (eg livelihoods of communities living around the PA)[3]	0	0: No 1: Partially 2: Yes	Does not envisaged by the management plan.
(iii) Administrative (eg procurement) procedures facilitate budget to be spent, reducing risk of future budget cuts due to low disbursement rates	1	0: No 1: Partially 2: Yes	The budget for PA can not be decreased in the next year compared to the previous one
(iv) Government plans to increase budget, over the long term, to reduce the PA financing gap	1	0: No 1: Partially 2: Yes	The Government increases the budget of PA by the inflation rate. The level of increase will depend also on the resources available.

Element 8 - Clearly defined institutional responsibilities for financial management of PAs

(i) Mandates of public institutions regarding PA finances are clear and agreed	2	0: None 1: Partial 2: Improving 3: Full	
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Element 9 - Well-defined staffing requirements, profiles and incentives at site and system level

(i) Central level has sufficient economists and economic planners to improve financial sustainability of the system	2	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles: economist (planning and use of resources), accountant (financial bookkeeping)
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(ii) There is an organizational structure (eg a dedicated unit) with sufficient authority and coordination to properly manage the finances of the PA system	2	0: None 1: Partial 2: Almost there 3: Full	Department on protected areas at the Ministry of ecology and natural resources of Ukraine
(iii) At the regional and PA site level there is sufficient professional capacity to promote financial sustainability at site level	1	0: None 1: Partial 2: Almost there 3: Full	State positions and describe roles: economist (planning and use of resources), accountant (financial bookkeeping). The level of qualification is lower than at the national level
(iv) PA site manager responsibilities include, financial management, cost-effectiveness and revenue generation [4]	2	0: None 1: Partial 2: Almost there 3: Full	
(v) Budgetary incentives motivate PA managers to promote site level financial sustainability (eg sites generating revenues do not necessarily experience budget cuts)	2	0: None 1: Partial 2: Almost there 3: Full	
(vi) Performance assessment of PA site managers includes assessment of sound financial planning, revenue generation, fee collection and cost-effective management	1	0: None 1: Partial 2: Almost there 3: Full	
(vii) There is capacity within the system for auditing PA finances	2	0: None 1: Partial 2: Almost there 3: Full	Conducted every year by the special unit at the Ministry of ecology and natural resources of Ukraine
(viii) PA managers have the possibility to budget and plan for the long-term (eg over 5 years)	1	0: None 1: Partial 2: Almost there 3: Full	They can only plan and budget for one year period
Total Score for Component 1	44	Actual score:	
		Total Possible: 86 (Trust Fund questions excluded)	
	51.2	% achieved	

Component 2 - Business planning and tools for cost-effective management		
Element 1 - PA site-level management and business planning		
(i) Quality of PA management plans used, (based on conservation objectives, management needs and costs based on cost-effective analysis)	2	0: Does not exist 1: Poor 2: Decent 3: High quality

(ii) PA management plans are used at PA sites across the PA system	2	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	Specify if management plans are current or out-dated: management plans are for 10 years period. As of now they are current.
(iii) Business plans, based on standard formats and linked to PA management plans and conservation objectives, are developed across the PA system[5]	1	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	Business plans are developed by the project only for two pilot sites (Shatsk national nature park and National nature park "Pripyat-Stokhid". It is not a regular practice yet. The project also organized the seminar for director of PAs on business planning, including its objectives, procedure of preparing and benefits.
(iv) Business plans are implemented across the PA system (degree of implementation measured by achievement of objectives)	2	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(v) Business plans for PAs contribute to system level planning and budgeting	2	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
(vi) Costs of implementing management and business plans are monitored and contributes to cost-effective guidance and financial performance reporting	2	0: Not begun 1: Early stages Below 25% of sites within the system 2: Near complete Above 70% of sites 3: Completed or 100% coverage	
Element 2 - Operational, transparent and useful accounting and auditing systems			
(i) There is a transparent and coordinated cost (operational and investment) accounting system functioning for the PA system	3	0: None 1: Partial 2: Near complete 3: Fully completed	

(ii) Revenue tracking systems for each PA in place and operational	1	0: None 1: Partial 2: Near complete 3: Fully completed	
(iii) There is a system so that the accounting data contributes to system level planning and budgeting	1	0: None 1: Partial 2: Near complete 3: Fully completed	

Element 3 - Systems for monitoring and reporting on financial management performance			
(i) All PA revenues and expenditures are fully and accurately reported by PA authorities to stakeholders	2	0: None 1: Partial 2: Near complete 3: Complete and operational	PA authority is reported only to the Ministry of ecology and natural resources as the main stakeholder, Also its provides some informaiton to the local authority and community.
(ii) Financial returns on tourism related investments are measured and reported, where possible (eg track increase in visitor revenues before and after establishment of a visitor centre)	1	0: None 1: Partial 2: Near complete 3: Complete and operational	There is no possibility to check every tourist entering the PA
(iii) A monitoring and reporting system in place to show how and why funds are allocated across PA sites and the central PA authority	2	0: None 1: Partial 2: Near complete 3: Complete and operational	
(iv) A reporting and evaluation system is in place to show how effectively PAs use their available finances (ie disbursement rate and cost-effectiveness) to achieve management objectives	1	0: None 1: Partial 2: Near complete 3: Complete and operational	METT system is not fully introduced to the whole PA system to collect the data, required for the proper evaluation, but is expanding after the UNDP-GEF project.

Element 4 - Methods for allocating funds across individual PA sites			
(i) National PA budget is allocated to sites based on agreed and appropriate criteria (eg size, threats, needs, performance)	1	0: No 1: Yes	
(ii) Funds raised by co-managed PAs do not reduce government budget allocations where funding gaps still exist	1	0: No 1: Yes	

Element 5 - Training and support networks to enable PA managers to operate more cost-effectively[6]			
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(i) Guidance on cost-effective management developed and being used by PA managers	1	0: Absent 1: Partially done 2: Almost done 3: Fully	METT system, adjusted to the national conditions, is endorsed by the state authority, but not fully used by every PAs.
(ii) Inter-PA site level network exist for PA managers to share information with each other on their costs, practices and impacts	2	0: Absent 1: Partially done 2: Almost done 3: Fully	Through collegiums, seminars and trainings. Not all PAs have the e-mail and /or internet yet.
(iii) Operational and investment cost comparisons between PA sites complete, available and being used to track PA manager performance	2	0: Absent 1: Partially done 2: Almost done 3: Fully	
(iv) Monitoring and learning systems of cost-effectiveness are in place and feed into system management policy and planning	2	0: Absent 1: Partially done 2: Almost done 3: Fully	
(v) PA site managers are trained in financial management and cost-effective management	1	0: Absent 1: Partially done 2: Almost done 3: Fully	Trainings were conducted within the UNDP/GEF project. It should be organized as a regular practice as there is a strong need for that.
(vi) <u>PA financing system facilitates PAs to share costs of common practices with each other and with PA headquarters[7]</u>	1	0: Absent 1: Partially done 2: Almost done 3: Fully	
Total Score for Component 2	33	Actual score:	
		Total Possible: 59	
	55.9	% achieved	

Component 3 - Tools for revenue generation by PAs			
Element 1 - Number and variety of revenue sources used across the PA system			
(i) An up-to-date analysis of revenue options for the country complete and available including feasibility studies;	1	0: None 1: Partially 2: A fair amount 3: Optimal	The national strategy on protected areas financial sustainability is developed by the project and endorsed by leading national experts and NGOs. It includes the up-to-date analysis of possible revenue options.

(ii) There is a diverse set of sources and mechanisms, generating funds for the PA system	1	0: None 1: Partially 2: A fair amount 3: Optimal	Suggested benchmarks for a diversified portfolio of financial mechanisms for the PA system: Partial - 1-2 Fair amount - 3-4 Optimal - 5 or more List the mechanisms: payment for resources usage, entrance fee,
(iii) PAs are operating revenue mechanisms that generate positive net revenues (greater than annual operating costs and over long-term payback initial investment cost)	1	0: None 1: Partially 2: A fair amount 3: Optimal	
(iv) PAs enable local communities to generate revenues, resulting in reduced threats to the PAs	2	0: None 1: Partially 2: A fair amount 3: Optimal	Through development of green tourism and PPPs. Some PAs, such as Shatsk national nature park, signed the agreements with providers of services in summer time to pay back to the park certain amount of money for every visitor they accommodate.
Element 2 - Setting and establishment of user fees across the PA system			
(i) A system wide strategy and action plan for user fees is complete and adopted by government	1	0: None 1: Partially 2: Satisfactory 3: Fully	Fees and tariffs are there, but need to be raised, See the table below.
(ii) The national tourism industry and Ministry are supportive and are partners in the PA user fee system and programmes	2	0: None 1: Partially 2: Satisfactory 3: Fully	
(iii) Tourism related infrastructure investment is proposed and developed for PA sites across the network based on analysis of revenue potential and return on investment [8]	1	0: None 1: Partially 2: Satisfactory 3: Fully	Only for selected few protected areas. Each PA develops its own tourist infrastructure based on the available resources.
(iv) Where tourism is promoted PA managers can demonstrate maximum revenue whilst not threatening PA conservation objectives	3	0: None 1: Partially 2: Satisfactory 3: Fully	
(v) Non tourism user fees are applied and generate additional revenue	2	0: None 1: Partially 2: Satisfactory 3: Fully	Payment for natural resources

Element 3 - Effective fee collection systems

(i) System wide guidelines for fee collection are complete and approved by PA authorities	3	0: None 1: Partially 2: Completely 3: Operational	Decree of Cabinet of Ministers of Ukraine on PA's functional and economic activities was adopted, which provides the opportunity for fee collection.
(ii) Fee collection systems are being implemented at PA sites in a cost-effective manner	1	0: None 1: Partially 2: Completely 3: Operational	not every PA use it
(iii) Fee collection systems are monitored, evaluated and acted upon	1	0: None 1: Partially 2: Completely 3: Operational	on those PAs that use such system
(iv) PA visitors are satisfied with the professionalism of fee collection and the services provided	1	0: None 1: Partially 2: Completely	Based on the information from the fee collectors

Element 4 - Communication strategies to increase public awareness about the rationale for revenue generation mechanisms			
(i) Communication campaigns for the public about tourism fees, conservation taxes etc are widespread and high profile at national level	2	0: None 1: Partially 2: Satisfactory 3: Fully	The information is provided in booklets, through radio and TV programmes, as well as web sites.
(i) Communication campaigns for the public about PA fees are in place at PA site level	2	0: None 1: Partially 2: Satisfactory 3: Fully	
Element 5 - Operational PES schemes for PAs[9]			
(i) A system wide strategy and action plan for PES is complete and adopted by government	0	0: None 1: Partially 2: Progressing 3: Fully	Although not altogether irrelevant, the PES concept is difficult to implement in Ukraine at this stage. Other revenue generation mechanisms are more likely to be successful. There has been some early thinking about PES in the government, but it is far from implementation.
(ii) Pilot PES schemes at select PA sites developed	0	0: None 1: Partially 2: Progressing 3: Fully	

(iii) Operational performance of pilots is monitored, evaluated and reported	0	0: None 1: Partially 2: Progressing 3: Fully	
(iv) Scale up of PES across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully	

Element 6 - Concessions operating within PAs[10]			
(i) A system wide strategy and implementation action plan is complete and adopted by government for concessions	0	0: None 1: Partially 2: Progressing 3: Fully	It is not envisaged by the legislation, but proposed in the draft national strategy on PAs financial sustainability, developed by the project..
(ii) Concession opportunities are operational at pilot PA sites	0	0: None 1: Partially 2: Progressing 3: Fully	
(iii) Operational performance (environmental and financial) of pilots is monitored, evaluated, reported and acted upon	0	0: None 1: Partially 2: Progressing 3: Fully	
(iv) Scale up of concessions across the PA system is underway	0	0: None 1: Partially 2: Progressing 3: Fully	
Element 7 - PA training programmes on revenue generation mechanisms			
(1) Training courses run by the government and other competent organizations for PA managers on revenue mechanisms and financial administration	2	0: None 1: Limited 2: Satisfactory 3: Extensive	The system for training was created owing to UNDP-GEF project
Total Score for Component 2	26	Actual score:	
		Total Possible: 71	
	36.6	% achieved	

- [1] This element can be omitted in countries where a PA system does not require a Trust Fund due to robust financing within government
- [2] A national PA Financing Strategy will include targets, policies, tools and approaches
- [3] This could include budgets for development agencies and local governments for local livelihoods
- [4] These responsibilities should be found in the Terms of Reference for the posts
- [5] A PA Business Plan is a plan that analyzes and identifies the financial gap in a PA's operations, and

presents opportunities to mitigate that gap through operational cost efficiencies or revenue generation schemes. It does not refer to business plans for specific concession services within a PA. Each country may have its own definition and methodology for business plans or may only carry out financial analysis and hence may need to adapt the questions accordingly.

[6] Cost-effectiveness is broadly defined as maximizing impact from amount invested and achieving a target impact in the least cost manner. It is not ab

[7] This might include aerial surveys, marine pollution monitoring, economic valuations etc.

[8] As tourism infrastructure increases within PAs and in turn increases visitor numbers and PA revenues the score for this item should be increased in proportion to its importance to funding the PA system.

[9] Where PES is not appropriate or feasible for a PA system take 12 points off total possible score for the PA system

[10] Concessions will be mainly for tourism related services such as visitor centres, giftshops, restaurants, transportation etc

Part III summarizes the total scores and percentages scored by the country in any given year when the exercise is completed. It shows the total possible score and the total actual score for the PA system and presents the results as a percentage. Over time changes to the scores can show progress in strengthening the PA financing system.

PART III- FINANCIAL SCORECARD - SCORING AND MEASURING PROGRESS

Total Score for PA System	103
Total Possible Score	216
Actual score as a percentage of the total possible score	48%
Percentage scored in previous year or previous time the scorecard was applied [1]	40%

[1] Percent given as it was at the MTE stage

Annex I - Revenue Projection Estimates

This table should be filled out to supplement data presented on revenue generation in both Part I and II.

Fees and other revenue generation mechanisms	Current fee levels	Current revenues	Proposed fee level	Estimated revenue	Comments
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Entrance fee	0.5	41500	2.5	2500000	Currently, about 3 mln tourists visit PAs in Ukraine annually, but only slightly over 80,000 tourists pay entrance fee. According to UNDP-GEF project research, the potential for fee-charged tourism constitutes about 1 mln tourist visits per year. The project made a point that the current level of the entrance fee is very low, and made a point that it should be increased app 3 times. Secondly, not all PAs have the fees. The fees should be introduced in all national nature parks and reserves. Thus, it can "bring" 2,5 mln USD. Parks and reserves should establish good contacts with the tourist companies to work out the mechanism of fee revenue collection and processing.
Fee for specific resources (fish, mushrooms, etc.)	-		2	500000	Many parks and reserves can sell the permission for amateur fishing.
Fee for using the tourist infrastructure (catering, lodging)	varying	250000	varying	400000	Some protected areas have infrastructure on their territory and can use it as additional source for revenue generation, provided they invest business thinking into how to improve the infrastructure to make it more attractive.
Fee for conducting the scientific research	varying	41500		100000	Increase the list of topics for scientific research. This can be done through expanding partnerships with universities and research institutions.
Fee to get to visit specific nature objects (lakes, waterfalls, valleys, caves, etc.)	<1	21500	1	200000	Introduce the fee for every visitor at much more protected areas. If at least 200,000 tourists pay 1 USD per visit, this can be a good additional revenue.
Total		354500		3700000	

Annex II - Policy Reform and Strengthening

This Table should be filled out to complement information provided in Part II, Component I on the policy and legislative frameworks. This table presents the list all policies to be reformed, established or strengthened to improve the PA financing system

Policy/Law	Justification for change or new policy/law	Recommended changes	Proposed Timeframe
The revenue generation mechanisms that are not permitted under the current legal framework include concessions, and PES.			
Concession	It will significantly promote the development of green tourism and PPPs, as well as increase the revenue.	Appropriate amendments should be made to the Law of Ukraine "On the nature reserve fund of Ukraine"	5 years
PES	PAs de-factor provide such services, but with no payments received for that. Such innovation will increase the revenue.	Appropriate amendments should be made to the Law of Ukraine "On the nature reserve fund of Ukraine"	5 years

SIGNATURE:

Prepared by

Nadezhda Fediuk, national expert on economic and financial matters of protected areas, Association of Protected Areas

F. Annex 6: Terminal Evaluation Electronic Survey and Results

- A. Are you familiar with the All-Ukrainian National Association of Protected Areas? (Y/N)
- B. Do you think this association has made or can make useful contributions for strengthening Ukraine's network of protected areas? (Y/N)
- C. Please rate on a scale of 0-5 which of the following areas you think would be most useful for the association to support
 - a. Integrating a business planning approach with protected area management planning (0-5)
 - b. Supporting a training program for professional development of professionals working in the protected area system (0-5)
 - c. Advocating for adoption of a national strategy for financing protected areas (0-5)
 - d. Supporting implementation of tools to assess and improve the effectiveness of protected area management in Ukraine (0-5)
 - e. Sharing lessons and experiences between protected areas in Ukraine (0-5)
 - f. Other: [BLANK] (0-5)
- D. Are you familiar with the UNDP-GEF project "Strengthening Governance and Sustainability of the National Protected Area System"? (Y/N)
- E. Are you aware that with this project's support a draft national strategy of financing protected areas was produced? (Y/N)
- F. Are you familiar with any details of this strategy? (Y/N)
- G. On a scale of 0-5, how important do you think it is for Ukraine to adopt such a national strategy? (0-5)

11/21/12

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Ukraine Protected Areas UNDP Project Evaluation

Industry Specific

Design Survey Collect Responses Analyze Results

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Response Summary

Total Started Survey: 9
Total Finished Survey: 9 (100%)

PAGE: 1

1. Чи Ви знайомі із Асоціацією природоохоронних територій України?

Create Chart Download

	Response Percent	Response Count
Так	100.0%	9
Ні	0.0%	0

answered question 9

skipped question 0

2. Чи вважаєте Ви, що ця Асоціація зробила чи може зробити корисний внесок у зміцнення системи природоохоронних територій України?

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	Response Percent	Response Count
Так	88.9%	8
Ні	11.1%	1

answered question 9

skipped question 0

3. Будь-ласка оцініть від 0 до 5 ті сфери, які Ви вважаєте Асоціація повинна підтримати:

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	Чи не Корисне 0	1	2	3	4	дуже корисне 5	Response Count
А. інтегрування бізнес планування у процес планування управління природоохоронних територій	0.0% (0)	11.1% (1)	0.0% (0)	11.1% (1)	44.4% (4)	33.3% (3)	9
Б. підтримка навчальних програм для професійного розвитку співробітників природоохоронних територій	0.0% (0)	11.1% (1)	0.0% (0)	0.0% (0)	33.3% (3)	55.6% (5)	9

В. просування затвердження

www.surveymonkey.com/MySurvey_Responses.aspx?sm=SMq85TqngCRlvEKExrbyiXGzgoY4pKoh...

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стратегії зміцнення фінансової стійкості національної системи природоохоронних територій	0.0% (0)	11.1% (1)	0.0% (0)	11.1% (1)	22.2% (2)	55.6% (5)	9
Г. підтримка провадження механізмів для оцінки та покращення ефективності управління природоохоронних територій в Україні	0.0% (0)	11.1% (1)	0.0% (0)	11.1% (1)	55.6% (5)	22.2% (2)	9
Д. розповсюдження уроків та досвіду серед природоохоронних територій	0.0% (0)	11.1% (1)	0.0% (0)	0.0% (0)	22.2% (2)	66.7% (6)	9
Є. Інше	0.0% (0)	25.0% (1)	0.0% (0)	0.0% (0)	25.0% (1)	50.0% (2)	4
answered question							9
skipped question							0

4. Чи Ви знайомі із проектом ПРОО/ГЕФ «Зміцнення управління та фінансової стійкості національної системи природоохоронних територій в Україні» ? [Create Chart](#) [Download](#)

	Response Percent	Response Count
Так	100.0%	9
Ні	0.0%	0
answered question		9
skipped question		0

5. Чи Вам знайоме, що за підтримки цього проекту було розроблено проект стратегії зміцнення фінансової стійкості національної системи природоохоронних територій ? [Create Chart](#) [Download](#)

	Response Percent	Response Count
Так	88.9%	8
Ні	11.1%	1
answered question		9
skipped question		0

6. Чи Вам знайомі зміст цієї стратегії ? [Create Chart](#) [Download](#)

	Response Percent	Response Count
Так	77.8%	7
Ні	22.2%	2
answered question		9
skipped question		0

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• 한국어 • Italiano • Nederlands • 日本語 • Norsk • Português • Русский • Suomi • Svenska • 中文(繁體)

G. Annex 7: Interview Guide

Overview: The questions under each topic area are intended to assist in focusing discussion to ensure consistent topic coverage and to structure data collection, and are not intended as verbatim questions to be posed to interviewees. When using the interview guide, the interviewer should be sure to target questions at a level appropriate to the interviewee. The interview guide is one of multiple tools for gathering evaluative evidence, to complement evidence collected through document reviews and other data collection methods; in other words, the interview guide does not cover all evaluative questions relevant to the evaluation.

Key

Bold = GEF Evaluation Criteria

Italic = GEF Operational Principles

I. PLANNING / PRE-IMPLEMENTATION

A. **Relevance**

- i. Did the project's objectives fit within the priorities of the local government and local communities?
- ii. Did the project's objectives fit within national priorities?
- iii. Did the project's objectives fit GEF strategic priorities?
- iv. Did the project's objectives support implementation of the relevant multi-lateral environmental agreement?

B. *Incremental cost*

- i. Did the project create environmental benefits that would not have otherwise taken place?
- ii. Does the project area represent an example of a globally significant environmental resource?

C. *Country-drivenness / Participation*

- i. How did the project concept originate?
- ii. How did the project stakeholders contribute to the project development?
- iii. Do local and national government stakeholders support the objectives of the project?
- iv. Do the local communities support the objectives of the project?
- v. Are the project objectives in conflict with any national level policies?

D. Monitoring and Evaluation Plan / Design (*M&E*)

- i. Were monitoring and reporting roles clearly defined?
- ii. Was there either an environmental or socio-economic baseline of data collected before the project began?

II. MANAGEMENT / OVERSIGHT

A. Project management

- i. What were the implementation arrangements?
- ii. Was the management effective?
- iii. Were workplans prepared as required to achieve the anticipated outputs on the required timeframes?
- iv. Did the project develop and leverage the necessary and appropriate partnerships with direct and tangential stakeholders?

- v. Were there any particular challenges with the management process?
 - vi. If there was a steering or oversight body, did it meet as planned and provide the anticipated input and support to project management?
 - vii. Were risks adequately assessed during implementation?
 - viii. Did assumptions made during project design hold true?
 - ix. Were assessed risks adequately dealt with?
 - x. Was the level of communication and support from the implementing agency adequate and appropriate?
- B. Flexibility**
- i. Did the project have to undertake any adaptive management measures based on feedback received from the M&E process?
 - ii. Were there other ways in which the project demonstrated flexibility?
 - iii. Were there any challenges faced in this area?
- C. Efficiency (cost-effectiveness)**
- i. Was the project cost-effective?
 - ii. Were expenditures in line with international standards and norms?
 - iii. Was the project implementation delayed?
 - iv. If so, did that affect cost-effectiveness?
 - v. What was the contribution of cash and in-kind co-financing to project implementation?
 - vi. To what extent did the project leverage additional resources?
- D. Financial Management**
- i. Was the project financing (from the GEF and other partners) at the level foreseen in the project document?
 - ii. Were there any problems with disbursements between implementing and executing agencies?
 - iii. Were financial audits conducted with the regularity and rigor required by the implementing agency?
 - iv. Was financial reporting regularly completed at the required standards and level of detail?
 - v. Did the project face any particular financial challenges such as unforeseen tax liabilities, management costs, or currency devaluation?
- E. Co-financing (catalytic role)**
- i. Was the in-kind co-financing received at the level anticipated in the project document?
 - ii. Was the cash co-financing received at the level anticipated in the project document?
 - iii. Did the project receive any additional unanticipated cash support after approval?
 - iv. Did the project receive any additional unanticipated in-kind support after approval?
- F. Monitoring and Evaluation (M&E)**
- i. Project implementation M&E
 - a. Was the M&E plan adequate and implemented sufficiently to allow the project to recognize and address challenges?
 - b. Were any unplanned M&E measures undertaken to meet unforeseen shortcomings?
 - c. Was there a mid-term evaluation?
 - d. How were project reporting and monitoring tools used to support adaptive management?

- ii. Environmental and socio-economic monitoring
 - a. Did the project implement a monitoring system, or leverage a system already in place, for environmental monitoring?
 - b. What are the environmental or socio-economic monitoring mechanisms?
 - c. Have any community-based monitoring mechanisms been used?
 - d. Is there a long-term M&E component to track environmental changes?
 - e. If so, what provisions have been made to ensure this is carried out?
 - E. *Full disclosure*
 - i. Did the project meet this requirement?
 - ii. Did the project face any challenges in this area?
- III. ACTIVITIES / IMPLEMENTATION
- A. **Effectiveness**
 - i. How have the stated project objectives been met?
 - ii. To what extent have the project objectives been met?
 - iii. What were the key factors that contributed to project success or underachievement?
 - iv. Can positive key factors be replicated in other situations, and could negative key factors have been anticipated?
 - B. Stakeholder involvement and public awareness (*participation*)
 - i. What were the achievements in this area?
 - ii. What were the challenges in this area?
 - iii. How did stakeholder involvement and public awareness contribute to the achievement of project objectives?
- IV. RESULTS
- A. Outputs
 - i. Did the project achieve the planned outputs?
 - ii. Did the outputs contribute to the project outcomes and objectives?
 - B. Outcomes
 - i. Were the anticipated outcomes achieved?
 - ii. Were the outcomes relevant to the planned project impacts?
 - C. Impacts
 - i. Was there a logical flow of inputs and activities to outputs, from outputs to outcomes, and then to impacts?
 - ii. Did the project achieve its anticipated/planned impacts?
 - iii. Why or why not?
 - iv. If impacts were achieved, were they at a scale sufficient to be considered Global Environmental Benefits?
 - v. If impacts or Global Environmental Benefits have not yet been achieved, are the conditions (enabling environment) in place so that they are likely to eventually be achieved?
 - D. Replication strategy, and documented replication or scaling-up (*catalytic role*)
 - i. Did the project have a replication plan?
 - ii. Was the replication plan “passive” or “active”?
 - iii. Is there evidence that replication or scaling-up occurred within the country?
 - iv. Did replication or scaling-up occur in other countries?

V. LESSONS LEARNED

- A. What were the key lessons learned in each project stage?
- B. In retrospect, would the project participants have done anything differently?

VI. SUSTAINABILITY

A. Financial

- i. To what extent are the project results dependent on continued financial support?
- ii. What is the likelihood that any required financial resources will be available to sustain the project results once the GEF assistance ends?
- iii. Was the project successful in identifying and leveraging co-financing?
- iv. What are the key financial risks to sustainability?

B. Socio-Political

- i. To what extent are the project results dependent on socio-political factors?
- ii. What is the likelihood that the level of stakeholder ownership will allow for the project results to be sustained?
- iii. Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project?
- iv. What are the key socio-political risks to sustainability?

C. Institutions and Governance

- i. To what extent are the project results dependent on issues relating to institutional frameworks and governance?
- ii. What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for the project results to be sustained?
- iii. Are the required systems for accountability and transparency and the required technical know-how in place?
- iv. What are the key institutional and governance risks to sustainability?

D. Ecological

- i. Are there any environmental risks that can undermine the future flow of project impacts and Global Environmental Benefits?

H. Annex 8: Evaluation Matrix

Evaluation Questions	Indicators	Sources	Data Collection Method
Evaluation Criteria: Relevance			
<ul style="list-style-type: none"> Does the Ukraine PAs project's objective fit within the priorities of the local government and local communities? 	<ul style="list-style-type: none"> Level of coherence between project objective and stated priorities of local stakeholders 	<ul style="list-style-type: none"> Local government stakeholders Local community stakeholders Local private sector stakeholders Relevant regional and local planning documents 	<ul style="list-style-type: none"> Local level field visit interviews Desk review
<ul style="list-style-type: none"> Does the Ukraine PAs project's objective fit within national priorities? 	<ul style="list-style-type: none"> Level of coherence between project objective and national policy priorities and strategies, as stated in official documents 	<ul style="list-style-type: none"> National policy documents, such as National Biodiversity Strategy and Action Plan, National Capacity Self-Assessment, etc. National legislation such as National Forest Code, etc. 	<ul style="list-style-type: none"> Desk review National level interviews
<ul style="list-style-type: none"> Did the Ukraine PAs project concept originate from local or national stakeholders, and/or were relevant stakeholders sufficiently involved in project development? 	<ul style="list-style-type: none"> Level of involvement of local and national stakeholders in project origination and development as indicated by number of planning meetings held, representation of stakeholders in planning meetings, and level of incorporation of stakeholder feedback in project planning 	<ul style="list-style-type: none"> Project staff Local and national stakeholders Project documents 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Does the Ukraine PAs project's objective fit GEF strategic priorities and operational principles? 	<ul style="list-style-type: none"> Level of coherence between project objective and GEF strategic priorities Level of conformity with GEF operational principles 	<ul style="list-style-type: none"> GEF strategic priority documents for period when project was approved Current GEF strategic priority documents GEF operational principles 	<ul style="list-style-type: none"> Desk review Field visit interviews
<ul style="list-style-type: none"> Does the Ukraine PAs project's objective support implementation of the Convention on Biological Diversity? Other MEAs? 	<ul style="list-style-type: none"> Linkages between project objective and elements of the CBD, such as key articles and programs of work 	<ul style="list-style-type: none"> CBD website National Biodiversity Strategy and Action Plan 	<ul style="list-style-type: none"> Desk review

Evaluation Questions	Indicators	Sources	Data Collection Method
Evaluation Criteria: Efficiency			
<ul style="list-style-type: none"> Is the Ukraine PAs project cost-effective? 	<ul style="list-style-type: none"> Quality and comprehensiveness of financial management procedures Project management costs share of total budget 	<ul style="list-style-type: none"> Project documents Project staff 	<ul style="list-style-type: none"> Desk review Interviews with project staff
<ul style="list-style-type: none"> Are expenditures in line with international standards and norms for development projects? 	<ul style="list-style-type: none"> Cost of project inputs and outputs relative to norms and standards for donor projects in the country or region 	<ul style="list-style-type: none"> Project documents (budget files, audit, etc.) Project staff National stakeholders 	<ul style="list-style-type: none"> Desk review Interviews with project staff
<ul style="list-style-type: none"> Are management and implementation arrangements efficient in delivering the outputs necessary to achieve outcomes? 	<ul style="list-style-type: none"> Appropriateness of structure of management arrangements Extent of necessary partnership arrangements Level of participation of relevant stakeholders 	<ul style="list-style-type: none"> Project documents Project staff Local, regional and national stakeholders 	<ul style="list-style-type: none"> Desk review Interviews with project staff Field visit interviews
<ul style="list-style-type: none"> Was the Ukraine PAs project implementation delayed? If so, did that affect cost-effectiveness? 	<ul style="list-style-type: none"> Project milestones in time Required project adaptive management measures related to delays 	<ul style="list-style-type: none"> Project documents Project staff 	<ul style="list-style-type: none"> Desk review Interviews with project staff
<ul style="list-style-type: none"> What is the contribution of cash and in-kind co-financing to project implementation? 	<ul style="list-style-type: none"> Level of cash and in-kind co-financing relative to expected level 	<ul style="list-style-type: none"> Project documents Project staff 	<ul style="list-style-type: none"> Desk review Interviews with project staff
<ul style="list-style-type: none"> To what extent is the Ukraine PAs project leveraging additional resources? 	<ul style="list-style-type: none"> Amount of resources leveraged relative to project budget 	<ul style="list-style-type: none"> Project documents Project staff 	<ul style="list-style-type: none"> Desk review Interviews with project staff
Evaluation Criteria: Effectiveness			
<ul style="list-style-type: none"> Is the project objective likely to be met? To what extent and in what timeframe? 	<ul style="list-style-type: none"> Level of progress toward project indicator targets relative to expected level at current point of implementation 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> What are the key factors contributing to project success or underachievement? 	<ul style="list-style-type: none"> Level of documentation of and preparation for project risks, assumptions and impact drivers 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> What are the key risks and 	<ul style="list-style-type: none"> Presence, assessment of, and 	<ul style="list-style-type: none"> Project documents 	<ul style="list-style-type: none"> Field visit

Evaluation Questions	Indicators	Sources	Data Collection Method
priorities for the remainder of the implementation period?	preparation for expected risks, assumptions and impact drivers	<ul style="list-style-type: none"> Project staff Project stakeholders 	<ul style="list-style-type: none"> interviews Desk review
<ul style="list-style-type: none"> Is adaptive management being applied to ensure effectiveness? 	<ul style="list-style-type: none"> Identified modifications to project plans, as necessary in response to changing assumptions or conditions 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Is monitoring and evaluation used to ensure effective decision-making? 	<ul style="list-style-type: none"> Quality of M&E plan in terms of meeting minimum standards, conforming to best practices, and adequate budgeting Consistency of implementation of M&E compared to plan, quality of M&E products Use of M&E products in project management and implementation decision-making 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
Evaluation Criteria: Results			
<ul style="list-style-type: none"> Are the planned outputs being produced? Are they likely to contribute to the expected project outcomes and objective? 	<ul style="list-style-type: none"> Level of project implementation progress relative to expected level at current stage of implementation Existence of logical linkages between project outputs and outcomes/impacts 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Are the anticipated outcomes likely to be achieved? Are the outcomes likely to contribute to the achievement of the project objective? 	<ul style="list-style-type: none"> Existence of logical linkages between project outcomes and impacts 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Are the key assumptions and impact drivers relevant to the achievement of Global Environmental Benefits likely to be met? 	<ul style="list-style-type: none"> Actions undertaken to address key assumptions and target impact drivers 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Are impact level results likely to be achieved? Are the likely to be at the scale sufficient to be considered Global 	<ul style="list-style-type: none"> Environmental indicators 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review

Evaluation Questions	Indicators	Sources	Data Collection Method
Environmental Benefits?			
Evaluation Criteria: Sustainability			
<ul style="list-style-type: none"> To what extent are project results likely to be dependent on continued financial support? What is the likelihood that any required financial resources will be available to sustain the project results once the GEF assistance ends? 	<ul style="list-style-type: none"> Financial requirements for maintenance of project benefits Level of expected financial resources available to support maintenance of project benefits Potential for additional financial resources to support maintenance of project benefits 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Do relevant stakeholders have or are likely to achieve an adequate level of “ownership” of results, to have the interest in ensuring that project benefits are maintained? 	<ul style="list-style-type: none"> Level of initiative and engagement of relevant stakeholders in project activities and results 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Do relevant stakeholders have the necessary technical capacity to ensure that project benefits are maintained? 	<ul style="list-style-type: none"> Level of technical capacity of relevant stakeholders relative to level required to sustain project benefits 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> To what extent are the project results dependent on socio-political factors? 	<ul style="list-style-type: none"> Existence of socio-political risks to project benefits 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> To what extent are the project results dependent on issues relating to institutional frameworks and governance? 	<ul style="list-style-type: none"> Existence of institutional and governance risks to project benefits 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review
<ul style="list-style-type: none"> Are there any environmental risks that can undermine the future flow of project impacts and Global Environmental Benefits? 	<ul style="list-style-type: none"> Existence of environmental risks to project benefits 	<ul style="list-style-type: none"> Project documents Project staff Project stakeholders 	<ul style="list-style-type: none"> Field visit interviews Desk review

I. Annex 9: Management Response

To be completed by project team and national stakeholders.