United Nations Environment Programme

Terminal Evaluation of the UNEP/GEF Project GFL/2328-2770-4823 “Sustainable Management of Inland Wetlands in Southern Africa: A Livelihoods and Ecosystems Approach”

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LIST OF ACRONYMS

FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environmental Facility
IUCN-ROSA	International Union on the Conservation of Nature – Regional Office for Southern Africa
IWMI	International Water Management Institute
M and E	Monitoring and Evaluation
MSP	Medium Size Project
NEPAD	New Partnership for Africa's Development
PIR	Project Implementation Report
ROtI	Review of outcomes to impacts in evaluations
SADC	Southern Africa Development Commission
SADC FANR	SADC Food Agriculture and Natural Resources
SANBI	South African National Botanical Institute
SLM	Sustainable Land Management
SMIWSA	Sustainable Management of Inland Wetlands in Southern Africa
SWAT	Soil and Water Assessment
TOC	Theory of Change
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WWF	World Wide Fund for Nature, or World Wildlife Fund in the US
WWF-SARPO	WWF Southern Africa Programme Office

EXECUTIVE SUMMARY

Introduction

A project titled Sustainable Management of Inland Wetlands in Southern Africa: A Livelihood and Ecosystem Approach" (SMIWSA) (GFL/2328-2770-GF/3010) was implemented in 8 countries (Malawi, Mozambique, South Africa, Swaziland, Lesotho, Tanzania, Zambia, Zimbabwe) in Southern Africa between 2005 and 2009. While UNEP was the Implementing Agency, it contracted the International Water Management Institute (IWMI) Southern Africa as the main Executing Agency, supported by IUCN (IUCN-ROSA) and FAO Regional Offices for Southern Africa, as the other executing agencies. The project ended in 2009 and was finally evaluated in 2013 for reasons explained in the report.

Project Identification Table

GEF project ID:	2052	**IMIS number:**	4823
Focal Area(s):	Land Degradation	**GEF OP #:**	15
GEF Strategic Priority/Objective:		**GEF approval date:**	
Approval date:	10/06/2004	**First Disbursement:**	
Actual start date:	25/01/2005	**Planned duration:**	48 months
Intended completion date:	2009/01/31	**Actual or Expected completion date:**	2009/03/31
Project Type:	MSP	**GEF Allocation:**	US $ 999,325
PDF GEF cost:	US $ 24,500	**PDF co-financing:**	-
Expected MSP/FSP Co-financing:		**Total Cost:**	US $ 2,210,041
Mid-term review/evaluation. (planned date):	n/a	**Final Evaluation (actual date):**	Initiated 18/01/2010, continued Sep. 2013
Mid-term review/evaluation (actual date):	n/a	**No. of revisions:**	
Date of last Steering Committee meeting:		**Date of last Revision*:**	2010/02/10
Disbursement as of 31 January 2009 (UNEP):	US $ 974,825		
Total co-financing realized as of	US $ 1,210,716	**Leveraged financing:**	

The evaluation followed the ToRs provided by UNEP Evaluation Office. The main objective of the project was to "increase capacity for management of wetlands in both government and non-governmental agencies in southern Africa through generation of new knowledge on wetland functioning, and development of sustainable land management options for wetlands" and it planned to achieve 4 outcomes namely:

1) *Enhanced information available* to decision-makers and other stakeholders in Southern Africa on wetland resources, attributes, linkages with surrounding catchments and degradation status and potential risk.

2) *Generic guidelines for sustainable land management in wetlands developed* for wetland managers, natural resource planners, and wetland users based on new knowledge on of the functions of common wetland types, their processes and linkages with catchments. The guidelines will comprise protocols for assessing the likely impacts and limits of a wide spectrum of human activities in wetlands and surrounding catchments.

3) *Demonstrated innovative interventions for sustainable land and water management* in those wetland types commonly utilized for agriculture and other livelihood-supporting activities.

4) *Enhanced capacity and awareness of sustainable management of wetlands* in the southern Africa region at government, extension and grassroots levels.

Scope of activities

The main purpose or objective of the evaluation exercise was to answer four main questions. The first was whether the project was able to enhance information available to decision makers to enable the development of policies supportive to the sustainable management of wetlands. The second was whether it generated generic guidelines for sustainable management of wetlands. Thirdly was whether it was able to demonstrate innovative interventions in wetland management and fourthly, whether it enhanced capacity and awareness on the need to improve the management of southern African wetlands.

Methodology

Bearing in mind the fact that the evaluation was done long after the formal completion of the project, the methodology involved a critical review of all the project design documents, technical and financial progress reports, special reports and publications produced under auspices of the project, a list of which is provided in Annex III. The evaluator also read field mission notes prepared by an evaluator who started, but did not complete the evaluation exercise in 2010 and the notes were based on visits to Mozambique, South Africa, Swaziland and Zimbabwe. While the notes were used as a source of secondary information, the evaluator also used it to corroborate some of the views and opinions he had formed on what he had read. In addition the evaluator conducted interviews of the Project Task Manager at UNEP and an Evaluation Officer, also at UNEP Headquarters. Furthermore a conference call was arranged with two people who were directly involved in the coordination of the project and a short questionnaire, appended to this report was developed to guide interactions with the respondents.

Results of the evaluation

As a starting point it is worth saying that given the complexity of working in 8 partner countries and within sub-contracting arrangements which involved IWMI, IUCN ROSA and FAO, it is commendable that the project was able to achieve a set of outputs in its four years under a complex set of implementation arrangements. This was a strength of the project and in the same vein, one other notable strength was the fact that the project was able to take advantage of institutions already established in southern Africa; IWMI, IUCN ROSA and FAO to supervise implementation, rather than create project offices in each country. This in the opinion of the evaluator was a cost-effective arrangement, for an organization such as UNEP which has no field offices for direct implementation of programmes. What is however surprising is that according to some project officers who were interviewed by the evaluator, a number of countries expected that there would be a typical project office in each of the countries; an arrangement which would have been more politically correct but would have increased project administration and implementation costs.

Key Achievements

The project in the course of its four-year implementation period registered some notable achievements which are briefly described herein. By 2009, the project had supported *four MSc Research Theses* of which two had been completed. The information from these works is impressive and was a key factor in the development of guidelines in wetland management. Linked to the research theses was the production of a key publication; "*Guidelines on the management of inland wetlands in Southern Africa*". This was a crucial output that can be used by practitioners, policy makers and international donors and organizations, despite the fact that there was insufficient time left in the project to formally adopt it in the 8 partner countries or to test it. The guidelines document was supported by a document on *wetland classification* which was also produced in 2009 and IUCN ROSA also produced a policy manual on wetlands; Wetlands manual for agriculture extension workers: *Promoting Sustainable Utilisation of Wetlands for Agriculture in Southern Africa*. At the level of practical management of specific wetland sites, it is important to recognize the fact that *management plans* were generated for four case studies (GaMampa and Hawane both in Swaziland, Lukanga swamps in Zambia and Intunjambili in Zimbabwe) and delivered to partners, even though there were no mechanisms for follow up as the project was coming to an end. At a country level, the development and publication of a Lesotho National Wetlands Management Programme in 2005 by the

Government of Lesotho, with support from IUCN ROSA, was a key output, with potential for national impact if the programme is implemented by the Government.

Lessons learnt

In the final project technical report, the project staff identified and described what, from their perspective, were the main lessons learned in this project. In doing so they paid special attention to project management, conceptualization and implementation / execution issues. The lessons which are also based on those reflections, interviews of two key project leaders in southern Africa, and the perceptions of the evaluator are described in the next paragraphs.

It was evident in some of the progress reports submitted by IWMI and from interviews by the evaluator that to get to get countries involved, collaborating teams were identified in some of the countries, and this was often linked to the *national focal point*. The choice of a national focal point was perceived to be the single most important factor determining successful implementation of activities within countries. This lesson is not surprising in that the adoption of new technological approaches is well served if there are 'champions' and 'change agents' and a complex project such as this one often requires that. The identification of focal points is therefore a strategic issue that cannot be taken lightly. With respect to *the way funds were managed and channelled to project activities* in the field and the various studies that were conducted by executing bodies, some countries had expressed reservations about an institution such as IWMI controlling funds centrally instead of countries having their budgets under their direct control. In this regard, those countries felt that this latter modality could have enhanced ownership and their participation. As such it appears that a possible mechanism for enhancing the participation and interest of partner countries is to make budgetary allocations that they directly supervise and support study tours to exemplary sites by local communities. Going further on *country ownership and participation*, the training offered in Mozambique to extension staff seemed to have been an effective mechanism to motivate and empower government staff and community members. This was achieved through a week long training session which reportedly generated enthusiastic participation by over 20 officers.

One of the project's key objectives and desired outcomes was to *change government policies in favour of environmentally and economically sustainable management of wetlands*. This proved to be a difficult outcome to be achieved within the short duration of the project given the sheer scale of its geographical coverage. In this regard, a key lesson is that influencing government policies in different countries during the course of a relatively short term project is virtually impossible, unless it is on a particularly urgent issue such as a looming disaster or a risk or existing policy change processes provide an opportunity for rapid engagement and influence. In this regard, efforts to produce and publicize materials in imaginative ways to policy makers and practitioners would be worthwhile and arrangements to have that pursued beyond the formal life of a project, such as this wetlands project, are often critical. This is because policy processes tend to be lengthy and require time to demonstrate the benefits and urgency that is necessary to generate change and overcome phenomena such as 'bureaucratic inertia' and any vested interests.

Within its lifespan, the project actually achieved much by way of *data generation and research because it was built upon an existing interest in wetland management in southern Africa*. This was quite an efficient arrangement to enlist the support and participation of institutions such as FAO, IWMI, and IUCN and others who already had interest in wetlands.

The project had huge ambitions of changing policies and management practices. A lesson that can be derived from this is that the project should have reduced its scope and scaled down its expected outcomes. In hindsight, the project could have limited itself to the characterization of wetlands, generation of information on their management status, threats to their functioning, the support to post-graduate work and the development of guidelines for improved management of wetlands. The outcome that was meant to create changes in management practices in at least 4 countries during the short duration of the project was far too ambitious. Another possible alternative would have been to limit the geographical scope to few countries or several wetlands within one country, to enable a greater focus on policy advocacy which is often a very protracted and time consuming process.

Conclusions

As already stated in the lessons learnt, the project set out outcomes that were too ambitious to achieve in the allotted time. A second phase would have helped to consolidate project achievements and outcomes and enabled an effective follow up. Given its research orientation, full participation of local communities, who are the main users of wetlands, was generally limited.

Despite its inability to generate the desired outcomes during its short lifespan, the project was able to develop tools that can be used by countries and their collaborative partners to make changes in the way wetlands are managed in southern Africa. In this regard and despite the fact that the project ended four years ago, it is still possible for UNEP to use its relationship with FAO, so that FAO can use the outputs of the project more effectively (particularly the guidelines on wetland use) as part of its food security programme in Southern Africa, which recognizes the use of wetlands for food production.

The monitoring and evaluation aspect of project implementation and management would have been stronger had baseline data on the status of the various wetlands been collected at the beginning of the project. This would have supported the assessment of progress towards impacts. The project's governance body was able to make changes in the course of project implementation, which showed a capacity for adaptive management, particularly important for field projects. The one thing that was missing was a rigorous mid-term technical evaluation or review, which may have helped to scale down the stated ambitions of the project.

Recommendations

The evaluator is aware that the points below could be superfluous because the project has long ended. Nonetheless it is important to note that the guidelines on wetland management were published by FAO in 2011, hence it is still meaningful for UNEP to use its partnership with FAO for some level of follow-up. In this regard, the Task Manager at UNEP did express an intention to still engage with UNEP and GEF using the published guidelines as a key product. The paragraphs below should be read in that context:

The importance of sustainable wetland management to climate change adaptation in a region which is expected to become drier was clearly missing from the project and the reports. As a result any continuation of this work by the partners should highlight wetland management within the context of climate change adaptation. This is an issue that UNEP in conjunction with FAO can do through a policy brief that can be promoted by the old executing partners, SADC and others.

Given that the technical guidelines were a key output of the project but that there was no time for to test them during the project, a follow-up is still necessary. In that regard, UNEP and FAO, should consider a review of the key publication of the project (*Guidelines for the Management of Inland Wetlands in Southern Africa*), in order for it to reflect aspects of climate change adaptation (climate smart agriculture), and add practical wetland management case studies from southern Africa in order to put the technical guidelines into a southern African perspective. The evaluator is aware of an "environmental flows" work on the Zambezi River System and it encompasses the Kafue Flats and Marromeu Wetland Ecosystems. In addition Chancellor University College in Malawi is implementing climate change adaptation and mitigation work in the Lake Chilwa Ecosystem, which would also provide a good case study. The current status of management of the project's wetland sites in Swaziland, South Africa and Zimbabwe could also be updated to illustrate wetland sites in Southern Africa.

Alongside a review of the guidelines, UNEP in conjunction with FAO should commission a 'State of the Wetlands of Southern Africa' study, which could be used as a new policy advocacy and information dissemination tool, building upon the outputs and outcomes of this project. Linked to this UNEP should also enter into dialogue with FAO so that it can create a wetland focussed programme for support to small-scale farmers in southern Africa, who depend on and interact with wetlands.

On the basis of the results and the lessons learnt the evaluator, after pointing out achievements, weaknesses, and recommendations, rates the overall project as ***Satisfactory.***

1. INTRODUCTION

1.1 Background

1. The UNEP/GEF project Sustainable Management of Inland Wetlands in Southern Africa: A Livelihood and Ecosystem Approach" (SMIWSA) was motivated largely by existing interest in southern African countries to sustainably manage their wetlands as part of their sustainable development agenda and in view of the increasing use of wetlands by rural farmers to meet their food security needs. This increasing use of wetlands actually posed a threat to their ecological functioning in both biodiversity and hydrological terms and hence, their protection and sustainable use coincided with UNEPs portfolio which calls for environmental protection and management, among others. In this effort to manage wetlands a number of southern African countries were also supported by organizations such as the International Union for the Conservation of Nature (IUCN), the International Water Management Institute and the World Wide Fund for Nature (WWF), among others. The interest to improve the protection and sustainable management of the wetlands of southern Africa appears to have been motivated by some key realizations; a one of which is the scientifically recognized ecological functions of wetlands in biodiversity conservation, water storage, filtration and also flood attenuation. In addition a more recent ecological value that they are also recognized for include storage of carbon; and that a number of key rivers which are shared by countries in the region are fed in their headwaters by a number of wetlands, the protection of which is a critical and strategic issue in sustainable water supply in the region.

2. Alongside the above two key issues are a number of threats that wetlands face and which provide the justification for this project under evaluation. In that regard the key issues were mainly three. The first one was that with increasing populations and frequency of droughts, wetlands have become attractive for dry season cropping as traditionally cultivated lands have become less productive; a development that threatens sensitive areas such as wetlands in the headwaters and catchments of some key rivers in SADC. The second was that in a number of instances unsustainable practices such as over-grazing, unplanned drainage and excessive water extraction, particularly irrigation do not take into account the ecological functions of wetlands. In addition threats already described would further increase the risk of flooding, dry season water shortages and loss of biodiversity; which are all perilous in a region that is also threatened by climate change.

3. The observed and perceived threats to the wetlands of southern Africa underpinned the formulation of this project which focused on a key overall goal to generate knowledge that would assist in sustainable management of wetlands; put in place or enhance mechanisms that minimise their degradation and also generate generic guidelines, tools and methodologies for their sustainable management. It was also intended that the results from this exercise would be useful for application in other parts of Africa and for the implementation of the GEF Operational Programme No. 15 on Sustainable Land Management (SLM). In each of the eight countries that participated in the project a number of activities were envisaged under four key areas which were (i) formulation or revision of strategic and legal frameworks; (ii) applied research (ecosystem functions, impact of land and water resource exploitation on functions, degradation, etc.); (iii) application of 'wise use guidelines' to be generated by the project and their implementation to conserve and prevent degradation of wetlands; (i) capacity building and raising awareness and (iv) increasing the knowledge of the extent of wetlands through inventories and mapping.

4. The above five areas or issues were used to formulate a 4-year medium size project to be implemented in partnership with eight southern African Countries (Lesotho, Malawi, Mozambique, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe). To implement the project, UNEP entered into a partnership with IWMI, IUCN and FAO as executing agencies who would interact directly with the eight partner countries. The project was to run for four years, starting from 2005 to 2009. Specific sites that were selected for on-site ecological characterisation and interactions with local communities were Lake Chilwa in Malawi, Lake Urema in Mozambique, Hawane in Swaziland, GaMampa in South Africa, Lukanga Swamps in Zambia and Intunjabili Wetlands in Zimbabwe. Of these, lakes Chilwa and Urema were chosen for MSc research projects.

1.2. Purpose of the Evaluation

5. In line with the UNEP Evaluation Policy[1], the UNEP Evaluation Manual[2] and the Guidelines for GEF Agencies in Conducting Terminal Evaluations[3], the Terminal Evaluation of the Project "Sustainable Management of Inland Wetlands in Southern Africa: A Livelihood and Ecosystem Approach" (SMIWSA)" is undertaken after completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners – IMWI, IUCN ROSA and FAO, and the relevant agencies in the project participating countries. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. The terms of reference clearly expresses four key questions that the evaluation was to help answer. These define the purpose of the evaluation and are as follows:

    - Did the project enhance information available to decision-makers and other stakeholders in Southern Africa on wetland resources, attributes, linkages with surrounding catchments and degradation status and potential risk?

    - Did the project succeed in developing generic guidelines for sustainable land management in wetlands for wetland managers, natural resource planners, and wetland users based on new knowledge of the functions of common wetland types, their processes and linkages with catchments?

    - To what extend did the project demonstrate innovative interventions for sustainable land and water management in those wetland types commonly utilized for agriculture and other livelihood-supporting activities?

    - To what extend did the project enhance capacity and awareness of sustainable management of wetlands in the southern Africa region at government, extension and grassroots levels?

6. In addition to the stated purpose, the evaluation was also guided by a set of principles that normally guide the evaluation of GEF/UNEP projects, namely independence, impartiality, transparency and disclosure. *Independence* requires that the evaluator is independent and has not been engaged in the project activities, nor was he responsible in the past for the design, implementation or supervision of the project. *Impartiality*: refers to the conduct of the evaluator in that he or she should be impartial and has taken into account all the views received from stakeholders. *Transparency* refers mostly to the issue of communication with stakeholders, which expects that the evaluator conveyed in as open a manner as possible the purpose of the evaluation, the criteria to be applied and the intended use of the findings. *Disclosure* requires that the report serves as a mechanism through which the findings and lessons identified in the evaluation are disseminated to policymakers, operational staff, beneficiaries, the general public and other stakeholders.

1.3. Evaluation Methodology

1.3.1. The Approach Adopted for the Evaluation

7. Since the present evaluation was undertaken long after the formal completion of the project, the methodology involved a critical review of all the project design documents, technical and financial progress reports, special reports and publications produced under auspices of the project, a list of which is provided in the Annex III. The

[1] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[2] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx
[3] http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

evaluator was provided with field mission notes prepared by an evaluator who started, but did not complete the evaluation exercise in 2010. The countries visited were Mozambique, South Africa, Swaziland and Zimbabwe. The notes provided information which was both interesting and useful, but the final conclusions drawn from the notes were based on the understanding of the current evaluator. Interviews with two key officers of UNEP were conducted since it was the main Implementing Agency, and to which the main Executing Agency; namely the International Water Management Institute was reporting and responsible. The time elapsed between the completion of project activities and the evaluation made it difficult to interview field implementation staff, the majority of whom had changed institutions, hence the decision to rely on reports and publications which emanated from or were funded through the project. The interviews were limited to the officer (Task Manager) at UNEP who was responsible for the project during its formulation and implementation; and an Evaluation Officer, also at UNEP Headquarters. In essence, the exercise was largely a desk review of key documents, albeit with two principal respondents from outside UNEP described herein. A conference call was arranged with two people who were directly involved in the coordination of the project. A short questionnaire which is appended to this report was developed and was used to interview the Task Manager at UNEP and also used as a guide to evaluate the principal deliverables of the project, namely its key project implementation reports (PIRs) progress reports and all manner of published reports, a list of which is appended to this report. *In addition the evaluator attempted to contact an officer from FAO and a project collaborator in Malawi but no responses were received by the time the evaluation was finalized.*

1.4. Limitations of the evaluation

8. Ideally, this evaluation should have taken place no later than six months after the completion of project activities in March 2010. The current evaluator was informed that two attempts at launching the evaluation of the project were aborted at various stages by two different evaluators who were beset by various personal issues and were unable to continue with the evaluation process. The timing of this evaluation is therefore considerably delayed and it is unique in its degree of difficulty since a number of people who had implemented the project had moved on. This applies particularly to IUCN ROSA, whose regional office in Harare had been largely disbanded by 2009 and even IWMI in which the person who was responsible for coordinating the project had moved on. The major consolation was that the project had maintained an impressive amount of documentation with all manner of reports available at UNEP Headquarters in Nairobi, in addition to the fact the UNEP Officer who was responsible for the formulation of the project and was both the project Task Manager and also a member of the Steering Committee of the same, was able to provide first-hand information on the project, by way of key reports and responses to questions from the evaluator. As such this report is based on a review of documents, supported by field mission notes compiled by the first evaluator.

1.5. Structure of the Evaluation Report

9. The evaluation report is composed of five key chapters. Chapter 1 gives a brief background to the project; its objectives, the issues underpinning its development or formulation. Chapter 2 sets out the chronology of the project, its context, articulates the problems that were to be addressed and the key expected outcomes and results.

10. Chapter 3 constitutes the substantive component since it presents the findings of the evaluation exercise in terms of the process of project formulation, its implementation, its entire management and achievements. It also contains an attempt to describe the likely impacts and potential for sustainability of the project despite the fact that this report was prepared mainly on the basis of written reports, rather than direct interviews of project implementers. Chapter 4 provides a summary of the key achievements and lessons learnt and Chapter 5 presents a set of recommendations and conclusions which summarizes the ratings given, lessons learnt, conclusions and recommendations.

2. THE PROJECT AND ITS DEVELOPMENT CONTEXT

2.1 Project Chronology

11. The project was built upon existing interest in southern Africa and an example of such interest and work were the studies by FAO and IUCN Regional Office for Southern Africa (IUCN ROSA) prior to 2005. According to the project document, the project preparation presumably took place in 2004 or earlier and the project was designed to start in February 2005 and run for four years until April 2009. From the half-yearly progress reports and other signed project agreements, one of which is a UNEP Project Action Sheet, the project was to officially commence in February 2005 and was to be completed in March 2010, which was revised from the earlier date in 2009.

Table 1 Budget for the SMIWSA Project
The overall budget was composed of a GEF grant of US$ 974,825, and the expected co-financing from governments and CGIAR, was US$ 1,144, 819, with a combined total of US $ 2,144,144.

GEF Financing:	**US$ 974,825**
PDF A	US$ 24,500
Sub Total	**USD 999,325**
Co-Financing from	
Government	US$ 217,000
CGIAR	US$ 927,819
Sub Total	US$ 1,144,819
Total Project Financing	**US$ 2,144,144**

2.2 Project Context

12. As stated earlier, this project capitalized on the fact that the countries of southern Africa already had intentions to improve the management of wetlands and generally combat land degradation, which had been recognized as a threat to agricultural production, in addition to the looming threats of climate change. A number of studies and statements attributed to countries views and positions on the management of wetlands reported in section 2 of the project document; project rationale, objectives and background, attest to that.

13. It is noteworthy that this project was framed and developed specifically as part of a region-wide initiative known as SADC Umbrella Action Program on Sustainable management of Wetlands for poverty alleviation. The objective of this region-wide initiative on wetlands was to provide guidance for the formulation of policy on ecologically sustainable wetland management, so that small-scale farmers have stable livelihoods, while at the same time maintaining the integrity of the wetland ecosystems upon which local communities and flora and fauna, depend. The three major objectives were set in order to provide effective interventions and were actually discussed during project formulation, particularly during the PDF-A phase of the project. Within this framework the project aimed to increase capacity for management of wetlands in both government and non-

governmental agencies in southern Africa through the generation of new knowledge on wetland functioning and development of sustainable land management options for wetlands. The project was therefore formulated within the context of a region in which a majority of member states had recognized the importance of wetland ecosystems, even if just to identify existing problems with their management and potential threats.

2.3 Problems to be addressed by the project

14. As described and implied in the project document, the key problems that the project set out to address were:

    i. Inadequate awareness (on the part of policy makers and land managers) on the dangers of unsustainable practices that could impair the functions of wetlands;
    ii. Inadequate policies relevant to the management of wetlands;
    iii. Lack of technical information, guidelines and technologies for the sustainable management of wetlands;
    iv. Threats to the ecological sustainability of wetlands.

2.4 Objectives and results or outcomes of the project

15. The *main objective* of the project was to *increase capacity for management of wetlands in both government and non-governmental agencies in southern Africa*.

16. To achieve the objective the project articulated a two-pronged approach which was effected through four main outcomes, each with a set of relevant multiple activities. The two pronged approach was to *generate new knowledge* on wetland functioning on the one hand, and to *develop sustainable land management options for wetlands*.

17. In line with the objective and the key methods already listed, there were *four planned outcomes* of the project, which are listed herein as:

    i. *Enhanced information available* to decision-makers and other stakeholders in Southern Africa on wetland resources, attributes, linkages with surrounding catchments and degradation status and potential risk.

    ii. *Generic guidelines for sustainable land management in wetlands developed* for wetland managers, natural resource planners, and wetland users based on new knowledge of the functions of common wetland types, their processes and linkages with catchments. The guidelines will comprise protocols for assessing the likely impacts and limits of a wide spectrum of human activities in wetlands and surrounding catchments.

    iii. *Demonstrated innovative interventions for sustainable land and water management* in those wetland types commonly utilized for agriculture and other livelihood-supporting activities.

    iv. *Enhanced capacity and awareness of sustainable management of wetlands* in the southern Africa region at government, extension and grassroots levels.

18. To implement the project, UNEP enlisted and contracted IWMI as the main implementing partner, together with IUCN-ROSA and the FAO in order to implement this project in conjunction with national partners. The project became a component of the SADC Umbrella Action Program for Sustainable Wetland Management in Southern Africa.

Table 2. Summary of planned project outcomes, activities, outputs (Source: Project Document)

Project Objective: *To increase capacity for management of wetlands in both government and non-governmental agencies in southern Africa*.
Key Results :

i. Policy and strategy recommendations originating from the project are endorsed by key institutions in the region(e.g., SADC, UNEP , RAMSAR, FAO and IUCN)by200S

ii. By 2012, in at least four countries, relevant government policies or national wetland management strategies are formulate d or updated, taking account of findings on sustainable land management in wetlands derived from this study.

iii. 50% of communities in the eight case study catchments follow recommendations and adopt best practice strategies developed in this project by 2009.

iv. GEF policies and guidance incorporate new knowledge generated by 2010.

v. By2010, in at least two countries relevant national curricula and agricultural extension training material are modified to in corporate findings on sustainable land management in wetlands derived from this study.

Outcome	Key Activities	Planned Outputs (slightly rephrased)
Outcome 1:*Enhanced information available to decision-makers and other stakeholders in Southern Africa*	1.1 Review and collation of information already gathered through national activities in each participating country. 1.2 Development of appropriate system of wetland classification for southern Africa. 1.3 Development of wetland inventory and wetland maps including:	• Report on wetland classification, inventory and mapping produced. 1. Project progress reports and scientific papers published between 2005 and 2009. 2. Development of Website and CD-ROM of key project documents, findings and recommendations by 2009.
Outcome 2:*Generic guidelines for sustainable land management in wetlands developed for wetland managers, natural resource planners, and wetland users (shortened)*	2.1 Design and implementation of monitoring networks within case study wetlands to assess biophysical and socio-economic implications of different activities. 2.2 Development of planning tools/methods to assist in determining the "appropriateness" of using a wetland for specific agricultural activities. This will be based on evaluation of the biophysical and socio-economic suitability of using a specific wetland for agriculture, as well as the potential risks, in relation to both community welfare and the ecological condition of the wetland. 2.3 Development of guidelines for sustainable use and wetlands ecosystem management to prevent degradation. 2.4 Participatory development of wetland management plans.	• Production of guidelines for endorsement by key institutions in the region-SADC-FANR, NEPAD–as wellasrelevantgovernmentdepartmentsby2010.

Outcome 3:*Demonstrated innovative interventions for sustainable land and water management in those wetland types commonly utilized for agriculture*	3.1 Evaluation, within case studies, of different land and water management interventions to assess their impacts on wetland soils, water quality and ecological functioning 3.2 Development of "best practice" guidelines for different agricultural activities (e.g., cultivation of different crops and livestock grazing) and other livelihood-supporting uses 3.3 Evaluation of approaches for community participation in wise use programs and making contributions to CBNRM, including identification of ways to enhance gender equity; implementing pilot studies for integration of local and traditional management of resources. 3.4 Evaluation of rehabilitation programs developed based on models from elsewhere in the region (e.g., working for wetlands in South Africa).	• Report on key innovative management practices based work on four sites indifferent eco-regions of southern Africaby2009. • 50% of communities at a minimum of four pilot sites adopt best practice strategies developed in this project by 2009. • Database established within formation on interventions, their impacts, advantages, and disadvantages by 2009.
Outcome 4: *Enhanced capacity and awareness of sustainable management of wetlands in the southern Africa Region*	4.1 Assessment of training needs at professional and community levels. 4.2 Tools for training communities and training of wetland users in new or improved water management methods compiled; capacity for managing wetlands and implementation of wise use at local level enhanced 4.3 Enhancing the capacity of researchers, field workers, and wetland users through collaborative implementation of project; direct supervision of postgraduate student research; and information dissemination at workshops. 4.4 Recommendations to national institutions for inclusion of wetland management training in formal curricula. 4.5. Analysis of existing policies, including draft policies and identifying gaps in these; and making recommendations for harmonizing sectoral policy and policy and practice 4.6 Support to institutions developing or updating national wetland management strategies 4.7 Support to institutions developing legislative, institutional, and policy frameworks that facilitate sustainable management of wetlands.	• Policy dialogues, involving both policy and grassroots level stakeholders, initiated in all eight countries by 2005 and completed by 2007. • A broad range of materials developed and widely disseminated in the southern Africa region, including: - Six policy briefs written and disseminated by 2009. - Theses of at least five postgraduate students completed by 2009. - Extension materials-including training booklets, workshop materials and self-learning materials developed from2007to2009. - Awareness-raising materials including posters, bulletins and booklets in local languages developed from 2007 to 2009.

	4.8 Identifying pragmatic options for incentive-based implementation of sustainable wetland use together with communities 4.9 Making recommendations for mechanisms for institutional coordination to better facilitate the implementation of fragmented and sectoral policies in some countries	

2.5 Main Stakeholders

19. The main stakeholders were a mixture of implementing and executing agencies, collaborative partner countries and wetland users. In that regard, UNEP was the Implementing Agency on behalf of GEF, while FAO, IUCN and IWMI were the executing partners. Participating countries, already listed in the introduction, were represented by their ministries in the project and local communities, being wetland users and managers formed the most crucial group in terms of the required behavioural changes needed to improve the ecological and productive status of wetlands in southern Africa. The participating countries were stakeholders in the sense that each country had an interest in the information that the project would generate on the sustainable management of wetlands because; the generated scientific information on management of wetlands would be used to demonstrate both the risks of poor management and the larger benefits of improved management. In addition, the project was expected to produce or lead to the production of policy briefs that would be used to lobby governments of southern Africa to mainstream the protection and sustainable management of their wetlands. In addition, rural communities living near and using wetlands and whose behaviour needed changing to adopt sustainable management practices were therefore a crucial stakeholder group in the project.

20. In the project FAO, IUCN and IWMI were both executing partners and also stakeholders all of whom had interest in managing wetland ecosystems as part of their programmatic environmental portfolio. The project was therefore directly aligned with their own strategic and programmatic objectives. In the same vein, organizations such as UNEP and GEF were also fulfilling their global mandates through the project and for GEF, the project was also expected to generate information that, according to the Project Task Manager at UNEP, would shape its funding policies within its Sustainable Land Management Portfolio. In addition, UNEP also expected FAO to adopt the findings of the project and use it to guide its own programming on food security, since a number of wetlands and dambos provide valuable dry season food production soils.

21. In the end, the results were also meant to influence the attitudes and actions of local farmers who are the main users of wetlands and whose cooperation are critical in achieving sustainable management of southern Africa's wetlands.

3. EVALUATION FINDINGS

3.1 Strategic relevance

22. The strategic relevance of the project is assessed based on the regional priorities in southern Africa and the consistency of the project with GEF Focal Area Strategies and UNEPs global mandate. In view of that, and from the evaluator's perspective, and as also described in the project document, the key problems in southern Africa that the project set out to address were as follows:

    a. Inadequate awareness (on the part of policy makers and land managers) on the dangers of unsustainable practices that could impair the functions of wetlands. On this particular aspect the research work and dissemination of information to some local communities and the development of extension manuals on wetlands were the mechanisms used.

    b. Inadequate policies relevant to the management of wetlands – only in Lesotho was this addressed at the national level, while in other countries this was not addressed nationally.

    c. Lack of technical information, guidelines and technologies for the sustainable management of wetlands – this was also addressed through the publication of technical guidelines.

d. Threats to the ecological sustainability of wetlands – which was addressed through the technical guidelines which contains recommendations on mitigation of threats.

23. The framing of this wetland project fits under the Sustainable Land Management (SLM) Theme, which is a core theme in GEF's Global Programme, and fits well within UNEP's Ecosystem Management sub-programme, hence its relevance to UNEPs Programme is without question. This is also true in the sense that the management of wetlands has ecological benefits in hydrological and biodiversity terms; which is also UNEPs core business. However and as recommended in a later section, this wetlands project should also have been framed within a climate change context in southern Africa.

24. On gender aspects, the project through its promotion of sustainable management of wetlands; particularly their wise use for both food security and ecological benefits, is particularly important for the female gender in southern Africa, as they are a majority in the utilization of wetland ecosystems for the production of food crops. The project, despite being silent on gender in its reports, can be legitimately looked at as empowering to rural communities, particularly small scale producers, the majority of which are women.

25. On the aspect of south-south cooperation, the implementation of this project was led by the International Water Management Institute with its headquarters in Sri Lanka and regional offices in South Africa and Ethiopia. Working in partnership with southern African Countries it does give a good example of a project benefitting from institutions with experience from the south.

26. In addition the project was also relevant to other partners since by the time of its formation, the Southern Africa Development Commission (SADC) had initiated the "SADC Wetlands Conservation Projects" exemplified by the Mondi Wetlands Project, running under the "Working for Wetlands Programme in South Africa and the Lake Chilwa Wetland and catchment Project. Furthermore in 2004 when the project was being formulated, IUCN-ROSA was running a Zambezi Wetlands Project Phase II which had sites in Zambia and Mozambique. Furthermore FAO, IWMI and IUCN ROSA were also preparing a study on the multiple uses of wetlands, their diverse user groups, including the impact of specific interventions and management strategies on the survival and functions of the wetlands of southern Africa. This project actually complemented these efforts through a research approach (characterisation of wetlands, revealing threats to wetland function) and the development of region-wide guidelines and its intentions to influence national policies. Despite the relevance of this project, the evaluator is of the opinion that the project was far too ambitious in its objectives and outcomes as stated. Given the resources it had and operating in eight countries, it was virtually impossible to conduct research, produce outputs and be able to change policies and practices at the site levels, as the four outcomes intended or implied.

27. Project relevance is rated as **Satisfactory.**

3.2 Achievements of outputs and associated challenges

28. This sub-section focusses on the achievements of project outputs and provides comments on those outputs. A table (Table 2) *detailing the achievements (or lack thereof) of outputs* and *the evaluator's comments on each of the outputs* are also provided and arranged according to the four outcomes. In highlighting the achievements of the project, the evaluator would like to draw attention to two issues. Given the complexity of working in eight partner countries and sub-contracting arrangements which involved IWMI, IUCN ROSA and FAO, a strength of the project is that it was able to mobilize the partners and managed to achieve outputs under such a complex arrangement. In addition, the project was able to take advantage of institutions already established in southern Africa; IWMI, IUCN ROSA and FAO to supervise implementation, rather than create project offices in each country. This, in the opinion of the evaluator, was a cost effective arrangement for UNEP to fulfil its mandate.

Highlights of achievements of the project

29. One of the notable achievements was in research and capacity building through applied research by post-graduate students. In this regard, by 2009, the project had supported four MSc Research Theses of which two had been completed, but the MSc work in Mozambique did not materialize as planned. One of these was based on the Intunjambili Wetland in Zimbabwe and was entitled “Socio-economic Analysis of Wetland Utilization and Livelihood Implications on Poor Farmers”. This was part of the work to characterize some of the wetlands and yield information on the state and uses of wetlands in southern Africa. The information from these works is impressive and was a key factor in the development of guidelines in wetland management. The production of a key publication; “*Guidelines on the management of inland wetlands in Southern Africa*", was another highlight of the major achievements of this project, since it is a key policy document that can be used by practitioners, policy makers and international donors and organizations. The fact that UNEP had the document published under the auspices of FAO (even though UNEP's logo does not appear on the cover) was in itself a key achievement since FAO, with food security being one of its key mandates, can use the document more effectively in its programming than both UNEP and GEF. *On a national scale, the Lesotho national wetlands management programme* 2005 was published by the Government of Lesotho with support from IUCN ROSA, as was a Mozambique Wetlands Training Manual produced in 2008. Furthermore, and in line with its research focus, a document on *wetland classification* was produced in 2009 and IUCN ROSA also produced a policy manual on wetlands. On site based work on wetlands which were meant to provide practical examples for the regions, *management plans* were generated for four case studies (GaMampa in South Africa, Hawane in Swaziland, Lukanga swamps in Zambia and Intunjambili in Zimbabwe) and delivered to partners, also in 2009, but with no mechanisms for follow up of implementation as the project was coming to an end.

30. These achievements should be viewed in the context of the overall design and stated ambitions of the project. In the opinion of the evaluator, the project was far too ambitious given that it was a medium sized project with a duration of four years with an aim to generate outputs that would be used to influence policies and practices in eight countries. In fact, the production of technical outputs to be used to influence site-based work and for strategic purposes such as policy advocacy would have been sufficient. It is also described in the reports that progress was affected by the restructuring of IUCN-ROSA which basically saw the downsizing and movement of its Harare Regional Office to Pretoria and also the delayed onset of activities that FAO was responsible for. This delayed activities and in some cases some outputs had to be cancelled from the project work programme. The achievements described above should therefore be viewed, bearing in mind the issues or challenges raised herein. Despite the challenges mentioned above and changes that were made on some planned activities, the project was able to achieve outputs (Table 3) that with appropriate follow-up mechanisms, lead to its intended outcomes and eventually impacts. Hence the ratings recognize that important outputs were generated under the project as contained in Table 3. The evaluator found the achievements **Satisfactory**.

Table 3 Overall assessment of the achievement of outputs (source; project terminal report)

Outcome 1. Enhanced information available to decision-makers and other stakeholders in Southern Africa on wetland resources, attributes, linkages with surrounding catchments and degradation status and potential risk.			
End-term targets	Progress at end-term (Outputs)	Implementer Comments	Evaluator's comments
• Wetland classification, inventory and mapping completed by 2007. • Project progress reports and scientific papers published between 2005 and 2009. • Website and CD-ROM of key project documents, findings and recommendations available by 2009.	A Framework for Undertaking Wetland Inventory, Assessment and Monitoring Land cover inventories were implemented for all eight sites. The additional four sites were implemented with co-financing from IWMI. Data from the activity for all sites was made available (currently on the wiki page) and will be sent to participating countries through the national focal points during February 2009.	Following the discussion and agreement at the 1st project SC meeting, activities 1.1 – 1.3 modified to: • Review/develop wetland classification • Provide maps at appropriate scales • Describe ecological character of sites • Collate information on core data for management	This was a research oriented component of the project with capacity building aspects (MSc theses) and would also be used as inputs into the development of technical guidelines for wetland management. The deviations from planned outputs or activities have been satisfactorily explained in the technical reports and PIRs. **Rating: Satisfactory**

Outcome 2. Generic guidelines for sustainable land management in wetlands developed for wetland managers, natural resource planners, and wetland users based on new knowledge on of the functions of common wetland types, their processes and linkages with catchments.			
End-term targets	Progress at end-term (Outputs)	Implementer Comments	**Evaluator's comments**
• Guidelines endorsed by key institutions in the region- SADC-FANR, NEPAD –as well as relevant government departments by 2010. • Guidelines widely utilised throughout the southern Africa region by 2010. • Guidelines used in GEF project design by 2008.	2.1 Case study sites were selected with the input of national focal points. Detailed monitoring of biophysical and socio-economic parameters was implemented at Intunjambili, GaMampa, and Lake Chilwa wetlands. - Detailed hydrometric monitoring at Intunjambili and GaMampa and analysis of hydrological data. - Modeling with the Soil and Water Assessment Tool (SWAT) model to determine the extent to which the GaMampa and Intunjambili wetlands contribute to river flow in the Mohlapetsi River and Intunjambili stream Available hydrological data at Chilwa, Bahi, and Lukanga swamp and incorporated in the special issue journal reports	The SC agreed that detailed studies will be made at four case study wetlands.	From the technical progress reports and PIRs, the data and information were produced as the project was beginning to wind up, with no opportunities for discussing the practical applications that could be derived from them. It is however accepted that some of the material was used in drafting the technical guidelines for wetland management. Rating: **Moderately Satisfactory**
	2.2 Complete. This activity was implemented as a joint activity for the GEF funded project and IWMI's CPWF project on Wetlands, social welfare and environmental security. - A dynamic simulation model (WETSYS) was developed using the STELLA® platform to simulate the impacts of alternative wetland management strategies and external pressures on wetland ecosystem functioning, ecosystem services and ultimately on community well-being in GaMampa area. Economic valuation method outlined in the report " Economic valuation and livelihood analysis of the provisioning services provided by GaMampa wetland,		The evaluator had no access to the model but is satisfied that it was produced. What is missing is whether and how that model has been adopted in southern Africa and by whom **Satisfactory**

	South Africa		
	2.3 Using examples from 3 case studies in the Limpopo basin (Intunjambili, GaMampa, and Chibuto wetlands), guidelines were developed (Guideline for sustainable wetland management and utilization: key cornerstones)		The guidelines were produced but toward the end of the project, hence their use and adoption could only be ascertained after the project. The quality of the guidelines, published in 2011 is good but it is important that it is updated with information on the current status of wetlands to make a strong case for its use by countries and GEF**. Highly Satisfactory**
	2.4 Wetland management plan developed for two sites only due to budgetary constraints. The Lukanga management plan is a model for developing a wetland management plan for Ramsar wetlands not in protected areas and are used for livelihoods purposes (agriculture, fisheries, transport, harvesting materials etc.). The Intunjambili management plan provides a model for developing management plans for small wetlands used for livelihood purposes (agriculture, fisheries, harvesting materials) and also important for hydrological regulation and other ecosystem services	Management plans were developed for only four sites due to budgetary constraints. It was decided that the best value would be to produce model wetland plans and planning processes for (1) Ramsar wetlands outside of protected areas (e.g. Lukanga and Lake Chilwa) and (2) small wetlands that are used primarily to support agriculture	The plans were developed but there were no plans for follow-up action to ensure their use and adoption. Rating: **Moderately Satisfactory**

Outcome 3. Demonstrated innovative interventions for sustainable land and water management in those wetland types commonly utilized for agriculture and other livelihood-supporting activities.

End-term targets	Progress at end-term(Outputs)	Implementer Comments	Evaluator's rating
• Documented investigation of innovative management practices conducted at a minimum of four sites in different eco- regions of southern Africa by 2009. • 50% of communities at a minimum of four pilot sites adopt best practise strategies developed in this project by 2009. • Database established with information on interventions, their impacts, advantages, and disadvantages by 2009.	3.1 Technical notes on water management were produced for Intunjambili, GaMampa, and Hawane wetlands. A synthesized report on agricultural water management in the Limpopo River was produced as a joint product between the GEF project and IWMI's CPWF project. The report is titled	Due to late initiation of activity, the SC recommended that the activity on evaluating interventions within case studies be cancelled (see minutes of 3rd meeting of the Steering Committee meeting)	This was positive but not sufficient to demonstrate innovative interventions **Moderately Satisfactory**
	3.2 Development of "best practice" guidelines for different agricultural activities (e.g., cultivation of different crops and livestock grazing) and other livelihood-supporting uses.	Based on management practices from the region and elsewhere, a report on "Best Practice Guidelines for the Management of Inland Wetlands in Southern Africa" was produced.	The guidelines may be the single most important output if it results in changes in practice and influences funding streams from FAO and GEF - to be followed up. **Highly Satisfactory**
	3.3. Recommendations for CBNRM made in report on "Best Practice Guidelines for the Management of Inland Wetlands in Southern Africa" (see 3.2 above). Implemented MSc research on "Community based management of wetlands in southern Africa". Report is documented in the MSc Thesis of Edward Phillips. MSc research carried out on "Interface between Community-Based Wetland Resources Management and Formal Wetland Policies, Laws and Institutions". Results are in the MSc Thesis of Nathalie Tinguery and in working paper (Tinguery et al)		Satisfactory (Based on 3.3)
	3.4 Included in "Best Practice Guidelines for the Management of Inland Wetlands in Southern Africa" (see 3.2 above).		

Outcome 4. Enhanced capacity and awareness of sustainable management of wetlands in the southern Africa region at government, extension and grassroots levels			
End-term targets	Progress at end-term(Outputs)	Implementer Comments	Evaluator's rating
• Policy dialogues, involving both policy and grassroots level stakeholders, initiated in • All eight countries by 2005 and completed by 2007. • A broad range of materials developed and widely disseminated in the southern Africa region, including: - Six policy briefs written and disseminated by 2009. - Theses of at least five postgraduate students completed by 2009. - Extension materials, including training booklets, workshop	4.1 Completed. Literature review, group discussions with communities, interviews with key informants, and a questionnaire surveys were used in combination to establish training needs in the study countries. The report "Training needs for Extension Workers, Researchers and Communities for Sustainable Management of Inland Wetlands" was produced.		It is nice that this was done but it is not clear whether its production and the training manual were sufficient to achieve the intended outcome **Satisfactory**
	4.2 A training manual was produced. It covers the following modules: - Wetland delineation - Assessing and monitoring Wetland health - Agriculture Production in Wetlands - Wetlands rehabilitation - Development of an integrated management plan, - Wetlands policies, strategies and institutional arrangements		Satisfactory
	4.3 The project mentored 4 MSc researchers – Ms. Nathalie Tinguery, Mr. Mphatso Dakamau, Mr. Phillip Edwards, and Mr. Olalekan Adekola **Other training** During implementation of activities, there were a number of capacity building opportunities that presented themselves and were seized by the project team. These include: ▪ Working with national partners during land cover inventories at the eight case study sites ▪ Institutional analysis surveys at Lukanga swamp ▪ Community based monitoring of water levels and flows at	The project did not attract as many post graduate students as intended. In 2008, there was a large balance on the capacity building line. The SC recommended that the balance of the capacity building budget should be used to implement technical training in Mozambique and Zambia. The number of trainees will be determined by the project leader with input from the SC (see minutes of the 3rd meeting of the SC). As a result of this	Opportunities for post-graduate research are critical for technical capacity building in Southern Africa. On training, it was not clear why no training was offered in Zambia, judging from the success that it appears to have had in Mozambique. **Satisfactory**

materials and self-learning materials- developed from 2007 to 2009. - Awareness-raising materials including posters, bulletins and booklets in local languages developed from 2007 to 2009.	GaMampa and Intunjambili wetlands ▪ Mozambique national wetlands management training for government extension officers and field level environmental officers In addition, the project supported Ms Sidonia Muhorro's MSc training (in Mozambique). The support was limited to the course work only. Ms Muhorro could not complete her thesis research.	decision, national level training in Mozambique was implemented.	
	4.4 Completed. Implemented as a component of policy analysis. Report is a component of policy analysis report "Improving the governance for sustainable management of inland wetlands in southern Africa: An Analysis of Wetland Policies, Strategies and Institutional Arrangements"	Activities 4.4 – 4.7 and 4.9 were merged and implemented as part of policy analysis.	There was also a substantial amount of analyses on the state of wetlands and related policies in the project document. **Satisfactory**
	4.5 Completed. Implemented as a component of policy analysis. Report is a component of policy analysis report "Improving the governance for sustainable management of inland wetlands in southern Africa: An Analysis of Wetland Policies, Strategies and Institutional Arrangements"	Activities 4.4 – 4.7 and 4.9 were merged and implemented as part of policy analysis	**Satisfactory**
	4.6 Completed. Implemented as a component of policy analysis. Report is a component of policy analysis report "Improving the governance for sustainable management of inland wetlands in southern Africa: An Analysis of Wetland Policies, Strategies and Institutional Arrangements"	Activities 4.4 – 4.7 and 4.9 were merged and implemented as part of policy analysis	**Satisfactory**
	4.7 Completed. Implemented as a component of policy analysis. Report is a component of policy analysis report "Improving the governance for sustainable management of inland wetlands in southern Africa: An Analysis of Wetland Policies, Strategies and Institutional Arrangements"	Activities 4.4 – 4.7 and 4.9 were merged and implemented as part of policy analysis	Satisfactory

	4.8 Completed. The report on “Pragmatic options for incentive based implementation of sustainable wetland use” was produced.		Satisfactory
	4.9 Completed. Implemented as a component of policy analysis. Report is a component of policy analysis report “Improving the governance for sustainable management of inland wetlands in southern Africa: An Analysis of Wetland Policies, Strategies and Institutional Arrangements”	Activities 4.4 – 4.7 and 4.9 were merged and implemented as part of policy analysis	Satisfactory

3.3 Effectiveness: Attainment of objectives and planned results

31. It should be noted that despite the suggested process in the terms of reference, the evaluator did not make any site visits, or attended a workshop of implementers and other participants in order to go over the likely and already perceived impacts of the project. As such, he relied on reading project reports on activities and field mission notes of an earlier evaluator who did not complete the evaluation assignment. Despite that shortcoming, and the current evaluator's questions on the usefulness of a reconstruction of the Theory of Change under these circumstances, he has made an attempt as suggested in the Terms of Reference.

32. This criterion for evaluation seeks to reconstruct the Theory of Change as described in the Terms of Reference, but within the context of this particular project. The assessment is further subdivided into three sub-components namely; *achievement of direct outcomes* as in the reconstructed ToC, *their likelihood of impact* using the Review of Outcomes to Impact (ROtI) and the *achievement of the formal project objectives, overall purpose, goals* and *component outcomes*.

33. According to the project document, the ultimate goal was to cause a change in the behaviour of wetland managers and users; mostly local farming communities and in some cases even commercial agriculture, in order to recognize the futility of current wetland utilization practices and in the process, adopt improved practices that would safeguard the ecological and economic functions of these wetlands.

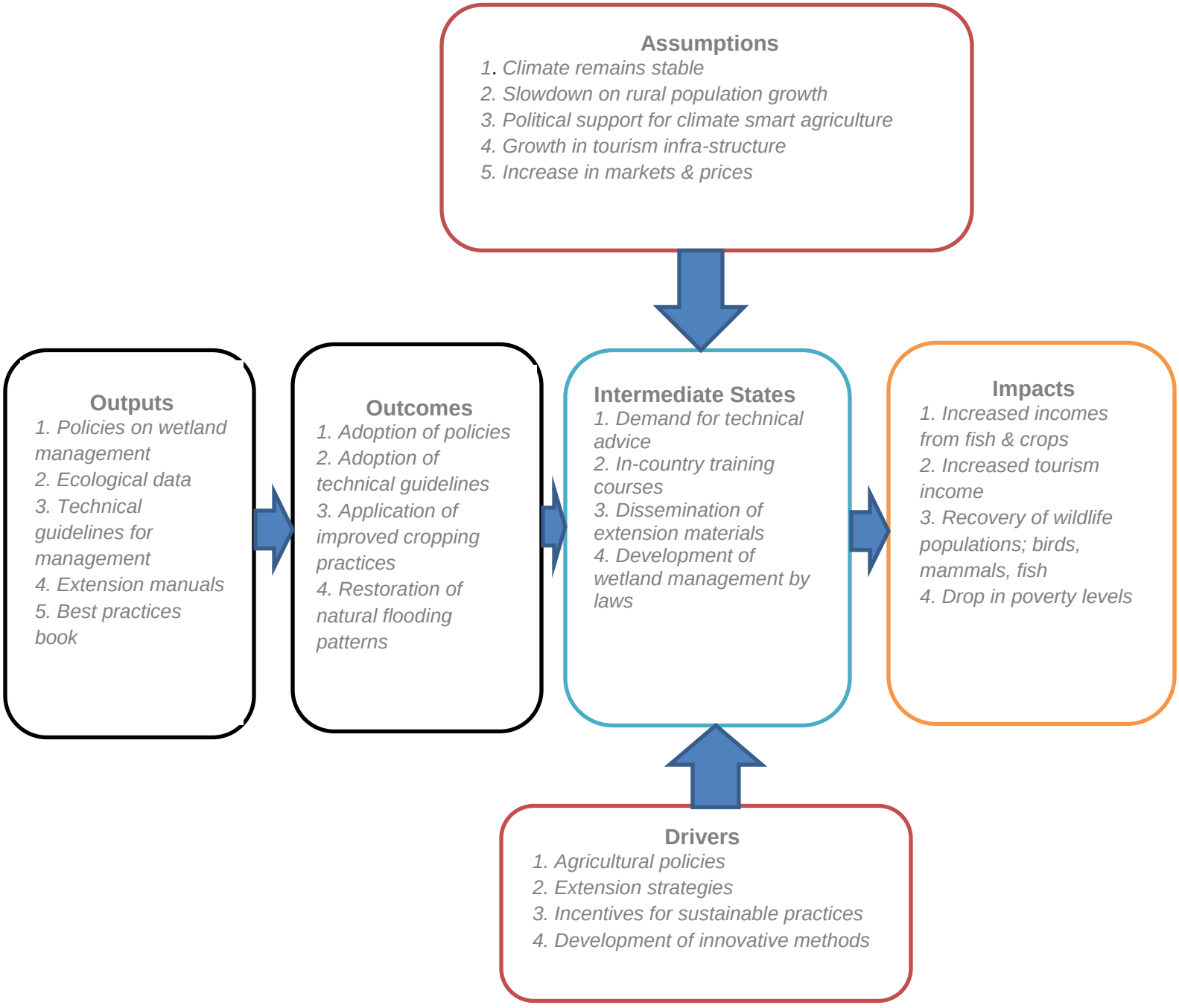
34. To achieve this desired behavioural change, the *project needed certain outputs*. These were chiefly to describe the status through an *inventory of selected wetlands*, *cause policy changes* within the participating countries, *recommend improved technologies* for wetland management (best practices) and *produce guidelines* that would help governments to support and programme the changed or improved management practices. *It should be noted that the outcomes as they are stated in the Project Document are actually outputs*.

35. In this context, the outcomes can be described as; awareness and recognition that current practices must change, policy documents that would guide government and donor programming, inclusion of wetland management practices into training curricula and agricultural extension programmes. These were supposed to be achieved in at least 4 of the eight participating countries.

36. The intermediate states that could lead to impacts can be described as; demand for technical advice by wetland users, in-country training programmes, production and dissemination of extension materials within countries, development of wetland management by-laws to assist in the implementation of national policies, to mention a few.

37. The intermediate states needed sets of organized follow-up programmes and action to *move or transform the intermediate states* described herein into routine practice as a matter of nationally recognized practices. This would constitute *transition of outcomes to impacts*. Basically this would, in practical terms imply that any new technologies generated are discussed and formally adopted by countries into their policies and practical programmes on wetlands. The *impact* would then be in both *ecological* and *economic* terms as ecosystem health is restored and maintained and production levels are sustained or increased with limited damage to wetlands. To assess the impacts in both economic and ecological terms, the need for baseline socio-economic data and ecological data would be critical. The concepts regarding change and impacts are depicted in a diagrammatic format in Figure 1.

Figure 1 An impact pathway for the SMIWSA Wetlands Project in Southern Africa[4]



[4] The UNEP Evaluation Office notes that the ToC presentation is overly simplistic and therefore cannot be recommended as best practice. However, the narrative of the ToC provides a more comprehensive picture of the project's causal pathways.

3.3.1 Achievement of direct outcomes as in the reconstructed ToC

39. Based on the technical progress reports, including the terminal report, the project mainly achieved outputs in the form of technical reports, policy documents, some training and technical guidelines. A number of these were produced in 2009, which was effectively the last year of the project. It has to be pointed out that intended outcomes such as enhanced awareness, implementation of management plans and adoption of technical guidelines could only be realized if there were mechanisms to use the outputs generated to effect change. In a sense, one can appreciate that a 4-year time period for a project covering eight countries, was a relatively short time and the project needed a structured follow-up to promote the realization of outcomes. Despite this shortcoming, a senior member of the project management at IWMI is of the opinion that the project helped to highlight the key role of wetlands in livelihood and ecological terms and that since then, there is evidence of increased wetland research and information in southern Africa. One can therefore argue that increased awareness generated by the project is an outcome of the project, even though awareness itself is not sufficient unless it is backed by actions. While this is plausible based on the MSc theses, training, guidelines and so on, the observation is not supported by quantitative data.

40. Rating : Moderately Satisfactory.

41. In reconstructing a Theory of Change for any given project, it is important to note that there are always *alternative impact pathways*, all of which may not be reflected in a practical evaluation exercise. However in the context of this particular wetland management project an alternative pathway is described. Essentially the outputs remain the same but because there is *increasing climate change induced droughts* and *growing human populations* as *drivers,* some of the outcomes could change. Instead of improved cropping practices in line with ecologically sustainable wetland management, there would be improved flood control and increased areas under cropping practices, and restoration of natural flooding but in restricted areas, and reduction of wildlife habitats. The *alternative intermediate states* consistent with these outcomes could be demand for technical advice to drain and cultivate wetlands, implementation of training courses, development of wetland cultivation by-laws, and others. The *impact*s of these would be *improved incomes from cropping* but with *decreased fishing yields*, *reduced* and *declining wildlife populations*, *reduced poverty levels*. One other impact could conceivably be increased fish yields from aquaculture ponds, as governments respond to declining natural fish populations. This pathway describes impacts that may not have been intended by the project but are plausible when environmental factors force local populations to respond.

3.3.2 The likelihood of impact using the Review of Outcomes to Impact (ROtI)

42. Bearing in mind the preceding sub-component on achievement of direct outcomes, the likelihood of outcomes to impacts does have an element of speculation, even if logically the outputs, if used, can lead to impacts. For example, the statement that there is evidence of increased technical interests through research and generation of information on wetlands suggest a transition from outcomes of the project to its impact on professional or technical cadre among the stakeholders in southern Africa. It would be quite helpful if the evaluator had information on how and whether the management plans that were developed for the four wetlands and what their impacts are in terms of wetland functioning and livelihoods are or are likely to be. The field mission notes that the evaluator read, stated only that the management plans were produced at the very end of the project. Given that the management plans came at the very end of the project, it required a continuation of the project or specific follow up actions to be put in place to measure the likely outcomes and impacts of certain key outputs. Based on the evaluator's readings of progress reports, it is not clear how the project results did influence drivers such as poverty which is a key motivator for wetland degradation. However, one can argue that improved technology that enables sustainable use of wetlands can reduce poverty and promote sustainable practices, which will also sustain environmental benefits. Much of this would have been made clearer if the project had continued beyond the output stages. In addition, the expectation that FAO would test the technical guidelines through its own work programme in southern Africa can have huge impacts if it is implemented and more so, if GEF is also brought in to use the guidelines to influence some of its programming and funding to achieve sustainable wetland management. This is the sort of issue that could have been verified by an appropriate FAO Officer.

43. Going by the reported progress on this project, it basically achieved its outputs in the form of knowledge products such as technical guidelines, and extension manuals for improved management. In addition some measure of awareness on the importance of improving the management of wetlands appears to have been achieved. However, the ultimate result in the adoption of improved practices and behaviour in the management of wetlands was not possible during its lifetime. On this particular aspect, the evaluator has already suggested that this was an unreasonable expectation to achieve within four years of a project covering eight countries. Since the project did not proceed beyond outputs during its lifetime, the evaluator did not feel comfortable in speculating about the potential impact. However, if somehow the technical guidelines are reviewed and promoted within the regions with a new impetus, and if the management plans are implemented, there is a likelihood that it can produce tangible outcomes and impacts. Despite the time restriction, which did not allow for effective follow-up of outputs to generate outcomes, the intermediate stages such as the dissemination of extension materials to wetland communities in Swaziland, South Africa and Zimbabwe, and the demand for more training in Mozambique are encouraging in terms of moving from intermediate states to outcomes and impacts. Because the intended outcomes were not delivered during the project's lifespan that attracts a rating of 'D'. However the evidence of demand for more training and the potential for the adoption of the technical guidelines for improved management of wetlands and increased research interest in wetlands do suggest progress towards intermediate states and attracts a rating of C+. As such the rating suggested by the evaluator is a *DC* which translates to *Moderately Unlikely*, but which has more to do with the project's lifespan rather than the quality of the outputs. The evaluator chose not to rate impact which remained beyond the lifetime of the project.

3.3.3 Achievement of the formal project objectives, overall purpose, goals and component outcomes

44. The achievement of project objectives, overall purpose and component outcomes can be evaluated on the basis of project outputs, which are reflected in Table 3. The criterion of effectiveness is also meant to assess whether the implementation of the planned activities actually took place as planned and whether resources were deployed according to plan to facilitate implementation. From the reports, particularly the IWMI Progress Report of July 2009, a majority of the planned activities were executed. However there are a number of reports of those activities that were not implemented as planned and as a result some outputs were not achieved. For example:

- Under Outcome 2 (2.4), the participatory development of wetland management plans was not achieved as a result of delayed onset of activities that FAO was responsible for.
- Under outcome 3, demonstrations of innovative interventions in wetland management was abandoned also because of a late state of activities by FAO.
- The publication of a Policy Manual by IUCN on wetlands was also delayed by almost a year, since IUCN ROSA was undergoing massive restructuring. Further delays under outcome 4 were also reported as a result of changes at IUCN ROSA.

45. However most of these remained at the output level and the project had no provisions, after generating the outputs to follow them through. In general, the timing of the outputs and the fact that the project ended with no provision for continuation, did not give much room for outcomes to be realized, even if some of the outputs may actually have generated outcomes. The two project personnel interviewed and the mission notes prepared by an earlier evaluator also suggested that shortcoming. The rating allocated by the evaluator recognizes that a number of outputs were achieved but the evidence that those outputs generated the desired outcomes is not clear and on that basis the evaluator gives a rating of Moderately Satisfactory.

3.4 Sustainability

46. The sustainability criterion in evaluation terms seeks to establish whether a project has generated sufficient progress through its results or the promise of its usefulness, to enable it to perpetuate its outcomes beyond its formal life. In addition, UNEP evaluation requires this criterion to be expressed in socio-economic, financial, institutional and environmental terms.

47. In *socio-economic terms*, it is not easy to say whether some elements of sustainability apply. In general, improved wetland management qualifies as a mechanism for climate change adaptation to achieve food security and maintain ecological functions so the adoption of guidelines for improved management will offer socio-economic benefits through sustainable agricultural production, fish and even water. In addition, the publication of a national policy on wetlands by Lesotho, supported by the project through IUCN could qualify as an indicator of progress towards impact, since the document was developed and adopted by government at the political or policy level. On participation by local communities, reports on the limited participation and training of local communities during the course of implementation of the project, in places such as Zimbabwe and to some extent, Swaziland is worrying and the fact that there was little time to influence behaviour of local communities at the end of the project is an issue which can affect sustainability and would have therefore justified further interventions. In view of these, the evaluator rates this as Moderately Unlikely.

48. In *financial terms*, there is no conclusive evidence in the project to make an informed assessment on it and it is also not directly relevant to this project, since it was neither a project objective nor outcome. Instead, what seems possible is the evidence of financial resources being deployed into the management of wetlands. This is because of the likelihood that FAO and GEF would do so, if they both use the guidelines on sustainable management of wetlands to influence their programmes of support countries, which would be a form of *institutional sustainability*. In addition, the former manager of this project under review at IWMI stated that IWMI has continued to work on wetlands following the implementation of this project. This is rated as moderately satisfactory as there is scanty evidence to support this, other than a strong expectation that FAO and GEF are likely to use the project results. This is Moderately Likely.

49. *Institutional sustainability:* The expectation from FAO publishing the technical guidelines is that FAO will also include wetland management in its food security programmes across the continent. If that were to happen, then it would be “a value-added” contribution by UNEP, particularly if agricultural extension services such as the one in Mozambique were to adopt and use the guidelines. In essence this was in hindsight a clever development to ensure that the work is not only taken up by regional institutions, governments, researchers and even communities operating at the local levels, but also by a global organization with a huge international presence and outreach. The extent to which it has influenced FAO's food security programmes in southern Africa needs to be ascertained but UNEP's expectation is reasonable. *One can therefore argue that this gives the project good prospects for both financial and institutional sustainability*. What needs to be done is a study on how the guideline document has been used by countries, organizations, researchers and practitioners. However, this is beyond the scope of this evaluation and belongs more to the realm of an impact study. The evaluator has however stated his opinion on the quality of the document and made recommendations on how it could be taken up further in the recommendations section. Further in institutional terms, the production of extension manual in Mozambique for example, the development of management plans for four wetland sites in Swaziland, Zambia and Zimbabwe could be considered as creating momentum for improved management, but the project had no records or reports on whether the management plans are being implemented, so this remains pure speculation. However since the management plans according to the penultimate and final PIRs, were produced at the very end of the project, allowing no time for acceptance, adoption and implementation. The criterion of institutional sustainability is Moderately Likely.

50. In *environmental terms* one could argue that more knowledge on the environmental benefits of sustainable management of wetlands emanating from the research work done on selected sites and adoption of management guidelines could contribute to environmental sustainability. In fact post-graduate research not only influenced the document on guidelines, but also created research capacity within the southern Africa

Region. The work that is going on sites such as Lake Chilwa in Malawi, the Kafue Flats in Zambia and Marromeou in Mozambique are examples of the project's influence and it can be assumed that the guidelines produced by the project and the training received by managers of wetlands are being used by some agencies in the region and could contribute to environmental sustainability. The evaluator rates this as Likely.

3.5 Catalytic role and replication

51. Based on the documents provided and discussions with two persons who were closely associated with the project during its execution, it is difficult to state whether the project was able to catalyse any behavioural changes. Information on how the management plans have been used would have been useful in that regard and following from that it would have been useful to know how the management of the four wetland sites was creating any new interest in other wetland areas in those countries. What can be said is that a focus on wetlands by FAO Southern Africa, if it happens, will be a good example, particularly if wetland management becomes a key programme for support.

52. The project however seems to have provided more incentives for organizations to do more work on wetlands and increased the level of scientific research in wetland management and the generation of technical guidelines for their improved management. Today IWMI and IUCN are still working on wetlands and it is very likely that the scientists who did their post-graduate research projects on wetlands continue their work. This was also the view of the IWMI staff who was directly in charge of the implementation of the project.

53. There is not much evidence on institutional changes brought about by the project particularly as it relates to government programmes. Rating: Moderately Satisfactory.

3.6 Efficiency

54. In terms of efficiency the project can be evaluated on the timeliness of activities and outputs, and the cost-effectiveness of the outputs and outcomes achieved under the project.

55. Despite reports on the delayed onset of some activities, it seems that the project achieved its outputs before the project ended, even if it had no mechanisms and time for follow up of their adoption.

56. On cost effectiveness, it is surprising that with just under one million US Dollars over 4 years, the project was able to support MSc research projects, develop management plans for four wetland sites, conduct an inventory of wetlands of southern Africa and produce guidelines on wetland management. This was made possible by the enlistment of established partners as executing agencies namely, IWMI and IUCN, who provided co-financing in-kind, and without which it could not have been possible. The evaluator is of the opinion that the results produced with very little money appeared to have been used well. The only unfortunate thing is that there were no plans for follow up of such a relevant project. The project was efficient at generating outputs.

57. Rating: Satisfactory.

3.7 Factors and processes affecting project performance

3.7.1 Preparation and readiness

58. With respect to the way the project was conceptualized and objectives formulated, it can be concluded that what it was meant to address is stated clearly, the statement of problems that the project addressed is well articulated and an indication of policy processes and projects on wetlands of the eight participating countries is quite clear. The project was also built upon existing interests of the two regional organizations IWMI and IUCN-ROSA, in addition to governments and even the Southern African Office of the World Wide Fund for Nature (WWF-SARPO). It was indeed conceptualized to address technical needs of wetland management, supply of information on risks of mismanagement and to create some momentum for improved management.

59. Despite the above, the four outcomes in the project, while they do give an indication of where the project should lead to, were not as crisply stated as could be. For example, Outcome 2 "*Generic guidelines for sustainable land management in wetlands developed for wetland managers, natural resource planners, and wetland users based on new knowledge of the functions of common wetland types, their processes and linkages with catchments. The guidelines will comprise protocols for assessing the likely impacts and limits of a wide spectrum of human activities in wetlands and surrounding catchments*" is simply far too long as to lose its intention to guide activities. In addition, the production of guidelines is an output, rather than an outcome.

60. The evaluator in this regard suggests that a statement of Outcome 1, as "Knowledge of wetland managers, natural resource planners, and wetland users in southern Africa is increased and enable the adoption of improved management guidelines".

61. In the same way, the outputs of the project which collectively would lead to the realization of the desired four outcomes could also be stated better. In the logical framework in the project document pages 6-12, what is presented are the main objective, the outcomes and indicators of their achievement. It takes a discerning reader to figure out that the indicators as they have been stated indirectly reflect what the main outputs of the project are.

62. Another issue is that the project in its design and justification did not address the importance and relevance of *climate change adaptation* through improved management of wetlands. Given that southern Africa may become drier according to climate change models that have so far been produced, and since sustainable wetland management would be a legitimate climate change adaptation programme in southern Africa, climate change aspects should have been highlighted under this project.

63. In many instances a project covering so many countries such as this and addressing problems through research, policy reviews and change in management practices, would be well served if it had *a 1-year inception phase* which would allow preparation and revision of planned outputs and outcomes. In the absence of an inception phase, it would also have benefitted from a planned second phase that would have facilitated effective follow-up actions that would help achieve the ambitious outcomes that had been set. As of now, the project clearly show in its PIRs and other technical progress reports that it was more output, rather than outcome oriented; which is fair enough, if it was planned that way.

64. Bearing in mind the 'phraseology' of the outcome statements, the over-ambitious statement of some outcomes to be achieved within a four-year project lifespan, and while the problem statement is clear, the evaluator gives a rating of Moderately Satisfactory. This rating also reflects the fact that the project did not undergo a mid-term evaluation. If such had been carried out, it would most probably have led to 'slimming down' of the outputs and outcomes and their restatement.

3.7.2 Project Implementation and management

65. In terms of implementation arrangements the otherwise complex project adopted an approach which used two institutions in southern Africa with regional mandates to coordinate and directly execute project activities, namely IUCN southern Africa Regional Office and the International Water Management Institute.

66. The day to day management of the project was handled by the IWMI which had signed a cooperation agreement with UNEP. In addition IWMI entered into a performance contract for IUCN to take specific responsibility for Outcome 4 which focused on capacity building, dissemination and policy level work. There were also a series of sub-contracts which involved institutions and individual specialists to conduct specific activities under the project. The sub-contractors are also reflected in the half-yearly progress reports; both technical and financial. From indications available to the evaluator and with most of the information coming from project records, this aspect of the project appears to have been handled sufficiently well to achieve the outputs as stated. Based on the amount of funding for this Medium Size project, the implementation arrangements made sense, even if the country coverage was ambitious. This was a good use of the available funds to reach as many countries as possible.

67. One of the problems was in the delay in implementation of some activities. The delay in signing an implementation agreement between FAO and UNEP is a case in point and quite surprising since both are sister UN Agencies that should be guided by framework collaborative agreements, which should help cut down any bureaucratic or any other sort of delays. No proper explanation was provided for the delay.

68. On *Project Governance*, a Steering Committee composed of government representatives from each of the eight participating countries, the executing partners (IUCN and IWMI) and UNEP, was the governing body for the project. In addition, the project was also indirectly governed by the governance arrangements of both IUCN and IWMI. The Steering Committee made both strategic and operational decisions on which direction the project should take, approved any changes to include new activities or to drop planned activities, as was the case in several examples. According to the records, the Steering Committee modified outcomes 1.1 to 1.3, made changes to Outcome 2 under activity 2.4 and cancelled Activity 3.1 under Outcome 3. (See table 2). From the technical progress reports the SC seemed to have played its role sufficiently and any programme changes that required its decision are recorded in both minutes and also in the reporting of progress, including in the terminal technical report on the project. Based on the clear record of decisions made in the progress reports and PIRs and all relevant financial reports that the evaluator was presented with, the governance framework appears not only to have been appropriate but seemed to have functioned reasonably well. In fact, the coordinator of the project at IWMI was of the opinion that this governance arrangement was effective for tracking project progress, even though many times, it lacked necessary technical inputs and critical views required of a research oriented project. The evaluator is of the opinion that a technical advisory committee would have been the right body with the technical competence to critically review outputs, then it should have done so and not expect a governance body to provide that, hence this should not affect the governance rating.

69. The evaluator has opted to mention and describe the issue of *adaptive management*. In this context, the evaluator looked for evidence that the project was able to learn lessons and was able to make the necessary changes without losing sight of the key objectives of the project. This reflects the meaning of adaptation in the classical sense in management, which is basically a response to changes within a project environment. Typically this criterion would have benefitted from the direct interactions between the evaluator and key respondents that were members of the Steering Committee, Executing Partners and in-country teams. Nevertheless, the revisions made to the project documents, by way of changes made to some outcomes serve as evidence of adaptive management. Examples of such adaptation included the fact the Project Steering Committee modified outcomes 1.1 to 1.3 In effect they were revised to read as; (i) review/develop wetland classification, (ii) provide maps at appropriate scales (iii) describe ecological character of sites and (iv) to collate information on core data for management. In addition changes were made to Outcome 2 under activity 2.4 and the cancellation of Activity 3.1 under Outcome 3, which was meant to conduct an assessment of wetland management practices on their impacts on wetland soils, water quality and ecological functioning. The idea was that the project could do this through a literature review and save the costs of actual assessments.

70. Given that the governance structure was a mechanism to achieve the stated outputs and despite the evaluator's comment that the entire project was focussed more on outputs and much less on outcomes, the governance body appeared to have played their role. Since it was not a technical body, the evaluator is of the opinion that it played its rightful role and rates this as Highly Satisfactory.

3.7.3 Country ownership and driven-ness

71. The project was formulated through regional consultations and also built upon on-going national and regional initiatives on the management of wetlands, such as the work which was already going on in South Africa and Zimbabwe and the SADC Region-wide initiative on wetlands. While some aspects of ownership of partner countries is evident from the country reports on wetland management, such as Mozambique's enthusiasm on training and Mozambique's request for more training, the coverage of sites for characterisation and the fact that some countries were keen to participate in training sessions, it is difficult to tell four years after the end of the project, what the countries themselves would say about ownership.

72. From field mission notes based on visits to South Africa, Swaziland and South Africa, stakeholders within countries had different views, some of which are explained in the next sub-section on stakeholder participation. In Swaziland where a sociological survey was done on Hawane Wetlands, sufficient local ownership by participating communities and government offices is suggested. The same appears to have happened in South Africa where villagers were training in sustainable wetland utilization, such as water-depth monitoring, shallow drainage lines and others. In Zimbabwe on the other hand, there is much less clear ownership by either communities or governments and the project was perceived as too research oriented as to generate practical participation of local communities and government offices.

73. Despite that, the technical reports written by researchers and academics from the region and the policy level and technical guidelines produced under the project and with the participation of researchers from the region, collaborating with visiting specialists, do suggest a level of ownership sufficient to move the project forward. The evaluator rates this as Moderately Satisfactory.

3.7.4 Stakeholder participation at Project Formulation and Implementation

74. Evidence of participation in project formulation is described in the project document itself which was a consultative process involving countries through their government agencies and the institutions that became executing partners. What was not clear to the evaluator is how stakeholders were identified but a sensible inference was that UNEP used its executing partners who had both country and site level information on the wetlands of southern Africa and through those agencies it was able to reach communities using wetlands such as those in Malawi, Swaziland, South Africa and Zimbabwe. In reading this, one should bear in mind that IUCN ROSA was already running a wetlands project of their own on the upper and lower portions of the Zambezi. In addition, the number of research programmes which were generated by students from the region is further testimony of the level of academic interest, which is an important support component. What seems to have been a significant issue among executing agencies is the delay of activities to be implemented by FAO because FAO and UNEP took what seems to be an inordinate amount of time to sign a project implementation agreement. In addition, and as already stated t*he participation of local communities who use wetlands and are a critical stakeholder was relatively limited; given the strong research and policy nature of the project*. However, they were consulted during the process to map and characterize eight wetland sites in southern Africa. In the three countries that were visited as part of the evaluation, communities actually stated that they had not been provided with sufficient training, except for those in South Africa, and were also not given opportunities to give feedback on key technical reports such as extension manuals and the technical guidelines for the management of wetlands that the project developed. An explanation for this is that most of these written outputs came out toward the end of the project, hence there was limited opportunity for review. It is also possible that being technical in nature, authors did not have the natural disposition to share the documents with local communities; an issue that can be overcome by preparing *community focussed policy briefs* translated into local languages, as some country level officers had suggested. In fact, some technical level officers in countries decried the fact that there was no opportunity for countries to *test and possibly validate the technical guidelines* for sustainable wetland management. The evaluator, however, disagrees with the notion expressed that the guidelines were too theoretical and lacked local relevance because by definition, guidelines are based on conceptual or theoretical frameworks on how systems such as wetlands function and as such writing general guidelines with sufficient local specificity to suit the wetlands of 8 countries is virtually impossible. Instead, each country could adapt the general guidelines to match their own specific contexts.

75. In addition, national partners reportedly brought on board key capacities, for example capacity building and agronomy from University Eduardo Mondlane in Mozambique provided training on agronomy and detailed wetlands mapping from the South African National Biodiversity Institute (SANBI). In fact, SANBI mapped wetlands in South Africa at a scale that would have been too costly for the project, hence its experience contributed to capacity building for the other countries. However, one interviewee stated that at the beginning of the project there were expectations from participating countries that the project would establish a project office in each country and, in his opinion, the central control by IWMI with no budgets directly

allocated to countries and with no regular presence through an office, may have hampered the full participation of countries.

76. So far, the issue of stakeholder participation during the technical design seemed to have been appropriate but during implementation the involvement of local communities was constrained by the project's research orientation but those in Swaziland and South Africa seemed to have been more active than the others. As far as extension workers are concerned the best evidence is from South Africa and Swaziland where local farmers interacted with researchers and Mozambique where training was enthusiastically received but it is not quite clear what the scenarios were in the other countries. In view of the foregoing, stakeholder participation is rated as Moderately Satisfactory.

3.7.5 Financial Management

77. This was a medium size project covering eight participating countries. UNEP contracted both the International Water Management Institute (IWMI), Southern Africa as the lead executing agency and IUCN ROSA, and FAO as executing partners, even though FAO started later than the rest. Funds were disbursed biannually to IWMI and upon receipt of credible financial reports from IWMI, UNEP released funding. The evaluator could not tell how this delay affected financial management but the next paragraph explains delays caused by policies and procedures in executing agencies such as IUCN and FAO.

78. The usual delay in funding from UN sources was circumvented by the fact that once a contract was signed between UNEP and IWMI, IWMI was able to use its own money without delaying the project unnecessarily. However, the IWMI officer interviewed observed that once budgets were transferred to executing partners, delivery of outputs depended on the policies and procedures of those institutions, which tended to affect procurement; a situation that sometimes caused delays in project implementation. In hindsight, the officer would have preferred that IWMI handle financial disbursements centrally and be flexible in procuring consulting services, rather than leaving that to the executing partners.

79. The evaluator also saw two tables provided by UNEP on co-financing to the project from some partners, particularly IWMI, IUCN ROSA and FAO, but further information on how much was cash or in- kind and how it was used could not be ascertained by the evaluator. In fact, no financial information on project expenses other than those in the PIR was made available to the evaluator. Based on the last PIR prepared in 2010, the total disbursement stood at USD 935,842 which was 96 % of the total GEF allocation but actual expenditure stood at USD 849,569 which was 87.2 % of the total GEF allocation. Data on co-financing was not available. Overall, the final expenditure rate of the project is acceptable and within the range of many projects. On the basis of audited accounting statements that were presented to the evaluator with, and despite the outstanding information and delays in disbursement to FAO, this aspect of management appears to have been done well and is rated as Satisfactory.

3.7.6 UNEP supervision and backstopping

80. The role of the UNEP Office in the project appears to have been useful on the strength of the fact that it was a member of the overall Steering Committee and hence participated in policy and other strategic decisions taken by the Steering Committee and also shaped the tactical decisions of the executing partners. It also provided guidance to the project and influenced the pace of the project, both through its demands for progress reports and also as the funding source. Furthermore, it shared the publication of a key output of the project, a Document on Guidelines for the Management of In-land Wetlands in Southern Africa, with FAO; which was in effect a mechanism to increase its usage, via FAO's extensive dissemination and extension network, and to guide the programming within FAO which has a global food security mandate. Despite the positive role that has been described herein, UNEP appears not to have insisted on a mid-term evaluation / review of this Medium Size Project and opted to rely on the Steering Committee to make strategic and tactical changes during the course of the project.

81. The support given by UNEP, as described in its role above is hereby rated as Satisfactory.

3.7.7 Monitoring and Evaluation

82. Going by the statement made in section 5.4 of the project document, quoted here "Every year, the UNEP Division of GEF Co-ordination will submit a Self-Evaluation Report (SER) to measure the degree to which the objectives of the project have been achieved. This will be in addition to the standard mid-term and final evaluations of the project per standard UNEP procedures as outlined in Section 3.8 as well as supervision missions conducted by the UNEP Task Manager and other UNEP/DGEF staff as may be required", the project had all the intentions of conducting both a mid-term and end-term (terminal) evaluations but as it turned out, only an terminal evaluation was scheduled, even though it came a few years after operational completion of the project for the reasons already described.

83. The project was planned and implemented according to the project document which articulated the key outcomes and activities, and their scheduled timing over its four year project cycle. Planning was based on an annual cycle which began with the Calendar Year (but also accommodated the GEF Financial Year that begins July 1st) the reporting of progress was done through two half-year technical and financial progress reports. Since this was a process-oriented project with studies and production of technical documents, the six month planning cycle for purposes of reporting gave time for activities in 8 participating countries to happen.

84. The project performed monitoring and internal assessments through two half-yearly technical and financial reports and also reviewed reports produced by the project before tabling them during the Steering Committee meetings, the minutes of which the evaluator has looked at. What is pleasing is that internal evaluations were used for adaptive management as explained in 3.7.11. The two semi-annual progress reports contained a logical framework matrix each, which was used to monitor progress against baselines and which had to be updated accordingly. In addition, project implementation reports (PIRs) also contained useful information on project progress, changes made and ratings on progress made by the UNEP Task Manager, which suggested that the project was proceeding well. The quality of the logical framework in terms of indicators of achievement of project outputs is acceptable but the outcomes should have been reviewed and re-stated as already discussed. The project reports stated that M&E was accomplished through; i) review of scientific reports and student reports, ii) regular meetings with the project Steering Committee iii) reporting on items identified for follow up to the Steering Committee iv) field visits with implementing partners to identify gaps and additional work required and v) review of project reports by partners and postgraduate students.

85. Despite the above activities which fall under monitoring and evaluation, the evaluator did not see any quantitative baseline data, except a description of the state of issues that the project was addressing. The project also concentrated on policy processes and research to generate management guidelines, hence the information on baselines was mainly descriptive of the situation on the ground with respect to the policies or lack of them, but with no quantitative data on wetlands against which future improvements or declines in the status of wetlands would be assessed. Despite these, the evaluator found the monitoring matrices quite useful and informative because they had a column on which deviations from set targets and any changes made were recorded. This observation was confirmed by the former project coordinator who stated that baseline data that was available was mostly on the legislative environment, and it is only later that wetland mapping and characterization data was generated and, in that regard, it could only be used to serve as a baseline for future work.

86. On the six-monthly and project implementation reports (PIRs) the information presented was clear and the evaluator was able to follow how overall progress was made. However there was no section devoted to monitoring and evaluation as was specified in the project document. It is also acknowledged that implementing an M and E framework covering eight countries was going to be a tedious undertaking, including the fact that the results of the characterization of the wetland sites in the project was done late in the project, in addition to the absence of a mid-term evaluation. While the progress report matrices were useful, the weak reflection of M and E in those reports and the observations already made suggest that the M and E could have been improved if data on the status of wetlands was collected much earlier during the course of the project.

87. The evidence is that the monitoring design was acceptable; there was a budget to monitor projects through filed visits, Steering Committee meetings and to characterize wetlands and generate baseline data, even if it was not sufficient for all the wetland sites in the project. However, the implementation is what was a problem, particularly the collection of baseline data on wetland sites. Based on these observations the ratings are as follows.

88. The design of the M and E framework is rated as Satisfactory.

89. The budget for M and E, judging by the records, seemed sufficient hence the rating is Satisfactory.

90. The fact that baseline data was collected quite late during the project and not used in M&E is the greatest source of concern, despite other aspects of monitoring through field visits and in Steering Committee meetings where records show that project decisions were made. Since one of the objectives was to change behaviour and improve the management status of wetlands, the fact that bio-physical baseline data was not used in M&E is of concern. Consequently, the aspect of implementation of M and E is rated as Moderately Satisfactory.

3.8 Complementarities with UNEP strategies and programmes

91. This is already addressed in section 3.1.[5]

4. CONCLUSIONS, LESSONS LEARNT AND RECOMMENDATIONS

4.1 Key Achievements

General Remarks

92. As already described in section 3.1, the project attempted to influence the policies, programmes and practices on wetlands in eight countries in a short period of four years. In doing so, it was able to use organizations such as IWMI, IUCN and FAO with regional and local presence in all the countries of southern Africa.

Key achievements

93. Again, in line with section 3.1, the project by 2009 had supported four MSc studies in wetlands, one of which was terminated, but the importance of building technical capacity in wetland management cannot be underestimated. This is because the technical training offered were in themselves used as inputs into a key project output; "Technical guidelines for the sustainable management of inland wetlands in southern Africa"; which in itself is probably the single most important output of the project, if put to good use and reviewed as necessary. In addition, a document on *wetland classification* was produced in 2009 and IUCN ROSA also produced a policy manual on wetlands; "Wetlands manual for agriculture extension. To improve the management of wetland sites which were used for characterization, learning and testing of improved management practices, management plans were generated. These were developed for four sites, namely (GaMampa in South Africa, Hawane in Swaziland, Lukanga swamps in Zambia and Intunjambili in Zimbabwae) and delivered to partners, even though there were no mechanisms for follow up as the project was coming to an end. Other notable outputs included the production of a wetlands manual for agriculture extension workers, the wetlands training manual for Mozambique and the development and publication of a Lesotho national wetlands management programme in 2005, which could influence the whole country's programme. Despite these valuable outputs, the project did not put in place mechanisms for use of these outputs to generate the outcomes and higher level results stated in the project document.

[5] The UNEP Evaluation Office is of the view that Complementarities with UNEP Strategies and Programmes has not been adequately addressed in the Evaluation Report.

4.2 Conclusions

94. The evaluator concludes that the project did well to enlist the support of credible executing agencies already present in Southern Africa and this helped it to generate the outputs it produced. The project took a strong research orientation which facilitated the production of several outputs but ran out of time to use the outputs to change management tendencies in the project's short lifespan of four years. Nonetheless, its governance body was able to make changes in the course of implementation. This showed a capacity for adaptive management, which is commendable in such field situations. However, what was surprising was the fact that the governance body did not recommend a rigorous review of the outcomes in terms of their feasibility within the lifespan of the project. Given that the project generated outputs rather than outcomes, it is still possible for UNEP to use its relationship with FAO, and through FAO with the countries that participated in the project, to promote the use of those outputs, such as the technical guidelines and extension manuals for wetlands to improve work on wetlands in Southern Africa.

95. From the ToRs of this evaluation, the evaluator was asked to address a few questions which for purposes of brevity, are paraphrased here. These were; (i) whether the project generated and made information available to decision-makers and other stakeholders, in order to adopt improved management, ii) whether it generated generic guidelines for SLM in wetlands iii) to what extent, it demonstrated innovative interventions for sustainable land and water management iii) the degree to which it enhanced capacity and awareness at the all levels for the sustainable management of the same. On these four questions the evidence that has been made available suggests that the project did make technical information available in the form of baseline characterization of wetlands, policy documents, extension manuals and MSc thesis publications. However, the utility of such documents by local farming communities was not addressed, except at the GaMampa Site in South Africa where interactions with wetland using communities seemed to have been strongest. As for the production of generic guidelines, probably the single most important project output, it was produced and distributed with the only credible complaint being that it was not tested for purposes of local adaptation and adoption. On the demonstration of innovative management interventions, this was only partially addressed by extension manuals and the technical guidelines, but not to the extent that the project, and certainly to FAO as the responsible executing agency, would have liked. Finally, the evidence suggests awareness was certainly created and enthusiastic interest from Mozambique and other countries would confirm that. Still, the key outputs of the project came too late for active follow-up by the project which effectively ended just when most of the outputs had been accomplished.

96. On the basis of the results and the lessons learnt the evaluator, after pointing out weaknesses, lessons learnt and recommendations, rates the overall project as *Satisfactory.*

Table 4. Summary of ratings – formulation, implementation and results

Criterion	Evaluator's Rating	Evaluator's comments	UNEP Evaluation Office Rating	UNEP Evaluation Office Comments
A. Strategic relevance	Highly Satisfactory	The project actually built upon existing interest and work on wetlands in the region and added value through research and production of management guidelines and extension manuals	S	The alignment of the project with GEF Focal area results framework was evident; links to CC adaptation as an issue of emerging importance were not made
B. Achievement of outputs	Satisfactory	The majority of planned outputs were achieved even if there was neither time nor mechanisms to influence outcomes as stated in	S	Evaluation Office concur

Criterion	Evaluator's Rating	Evaluator's comments	UNEP Evaluation Office Rating	UNEP Evaluation Office Comments
		the project document		
C. Effectiveness: Attainment of project objectives and results			MS	Summary rating across sub-criteria
1. Achievement of direct outcomes	Moderately satisfactory	Hampered by high ambitions and no mechanisms for follow up actions	MU	The project was output focused and delays meant that there was little emphasis on fostering uptake and use of outputs
2. Likelihood of impact	Moderately Likely	Same as above	MU	
3. Achievement of project goal and planned objectives	Moderately Satisfactory	Same as above	MU	
D. Sustainability and replication			MU	
1. Financial	Moderately Likely	Not directly relevant to the project purpose, but there is some evidence that more resources could be allocated into wetlands	MU	Financial resources were not in place to help foster the achievement and sustain the project outcomes
2. Socio-political	Moderately Unlikely	The project promoted sustainable use of wetlands which includes using wetlands to promote food security. These are elements of socio-economic sustainability	MU	The level of ownership by the main stakeholders especially at a policy level was not sufficient to allow for the project results to be sustained
3. Institutional framework	Moderately Likely	Only at the level of FAO and GEF, who are likely to use the guidelines. Only limited evidence of in-country institutions i.e., Lesotho's Wetland Management Strategy	ML	Evaluation Office concur
4. Environmental	Moderately Likely	Research work has helped increase knowledge on the subject – on wise use of wetlands	ML	Evaluation Office concur
5. Catalytic role and replication	Satisfactory	According to IWMI, work on wetlands has picked up after the project ended, even though more evidence is required	MS	Evidence to support a higher rating is limited
E. Efficiency	Satisfactory	Project used limited funds to cover a large region and policies and guidelines could produce impacts	S	Project made use of existing organisational experience / expertise and infrastructure
F. Factors affecting project performance				
1. Preparation and readiness	Moderately	There were issues with outcome	MS	Evaluation Office

Criterion	Evaluator's Rating	Evaluator's comments	UNEP Evaluation Office Rating	UNEP Evaluation Office Comments
	Satisfactory	statements and no mention of climate change		concur
2. Project implementation and management	Highly Satisfactory	Appropriate governance structure and seems to have functioned on governance, much less on technical matters	MS	Whilst reformulation of the project outcomes made the intended results more feasible – they were reformulated as outputs
3. Stakeholders participation and public awareness	Moderately Satisfactory	Marred by low levels of participation and training of local communities; the three main wetland users	MU	The analysis presented by the evaluator is more consistent with an MU rating
4. Country ownership and driven-ness	Moderately Satisfactory	May have been minimal, perhaps because of its strong research orientation	MU	The analysis presented by the evaluator is more consistent with an MU rating
5. Financial planning and management	Satisfactory	Overall satisfactory, except delays in disbursements to some executing partners, the necessary audits were done.	S	Evaluation Office concur
6. UNEP supervision and backstopping	Satisfactory	There were no complains on this and the PIR shows evidence of active involvement of UNEP	S	Evaluation Office concur
7. Monitoring and evaluation			MS	Summary rating
a. M&E Design	Satisfactory	The project document treated this aspect sufficiently	S	Evaluation Office concur
b. Budgeting and funding for M&E activities	Satisfactory	There is no evidence that funding was an issue, but more of an issue of collecting baseline data and implementing the M and E	MS	The lack of baseline measurements is significant shortcoming
c. M&E Plan Implementation	Moderately Satisfactory	Baseline data on wetlands was done quite late in the project, so could not be used by the project	MS	Evaluation Office concur
Overall project rating*	Satisfactory		MS	Overall there were a number of shortcomings, the project focused on and delivered mainly at the output level

1. The overall project rating should consider parameters A-E as being the most important with C and D in particular being very important.

4.3 Lessons learnt

97. In the final project technical report, the implementers interviewed described what in their perspective were the main lessons learned in this project. In doing so they paid special attention to project management, conceptualization and implementation issues and these are reported herein.

98. Lesson 1. Since the project was designed to operate in eight countries there were, according to the observation of one of the country focal points, expectations from participating countries that the project would establish a project office in each country. One thing that can be learned from this is that in the design of projects such as this, the expectations of all participants should be clear and where a project makes a conscious decision that may not meet expectations of key partners such as countries, it is an issue that must be managed to improve relations and country ownership. In connection with this, it appears that a possible mechanism for enhancing the participation and interest of partner countries is to make budgetary allocations that they directly supervise and for community groups, training and trips organized to visit exemplary sites can be powerful learning mechanisms.

99. Lesson 2. According to progress reports submitted by IWMI to UNEP, in order to get countries involved, collaborating teams were identified in some of the countries, and this was often linked to the national focal point. The choice of a national focal point was perceived to be the single most important factor determining successful implementation of activities within countries. This lesson, confirmed by one of the project officers from a participating country, is not surprising in that the adoption of new technological approaches is well served if there are champions and change agents. A complex project such as this one often requires that. The identification of focal points is therefore a strategic issue that cannot be taken lightly. Linked to this and as was demonstrated in Mozambique, the offer of training can be a way of motivating and empowering government staff and community members. In Mozambique a week long training generated enthusiastic participation by over 20 officers.

100. Lesson 3. Influencing official policies during the course of a relatively short term project is virtually impossible if one's intention is to influence national policies, unless it is on a particularly urgent issue such as a looming disaster or risk, and it seems much better to develop and promote tools that enable processes of policy change to function and design follow-up mechanisms beyond the life of a typical project which runs for three to five years. This is because the experience shows that policy reviews tend to be lengthy political processes that may not be achieved within a single four-year project phase, even if you are working in just one country.

101. Lesson 4. A number of the key knowledge products such technical guidelines came just before the project ended, allowing no time for testing of the guidelines or establishment of an ordered process for their adoption by the participating counties. It became clear that the project could have restated its key outcomes. In hindsight, the project should have limited itself to the characterization of wetlands, generation of information on their management status, threats to their functioning, the support to post-graduate work and the development of guidelines for improved management of wetlands. A strong internal and participatory evaluation could have helped in this regard. The outcome that was meant to create changes in management practices in at least four countries during the short duration of the project was far too ambitious.

4.4. Recommendations

102. The evaluator is aware that the project has long ended and hence the time and resources to implement recommendations are limited. Nonetheless it is important to note that the guidelines on wetland management were published by FAO in 2011, hence it is still meaningful for UNEP to use its partnership with FAO for some level of follow-up, however minimal. In this regard, the Task Manager at UNEP expressed an intention to still engage with UNEP and GEF using the published guidelines as a key product. The paragraphs below should be read in that context:

    i. Recommendation 1. The importance of sustainable wetland management to climate change adaptation in a region which is expected to become drier was clearly missing from the project and the reports. As a result any continuation of this work by the partners should highlight wetland management within the context of climate change adaptation. This is an issue that UNEP in conjunction with FAO can be addressed through a policy brief that can be promoted by executing partners, SADC and others.

ii. Recommendation 2. The publication of the guidelines on the management of inland wetlands of Southern Africa which was published by FAO can still be used, since such is the power of a publication. However given remarks made by stakeholders that the guidelines ought to have been tested, the document now needs to be reviewed to reflect aspects of climate change adaptation (climate smart agriculture), and to provide case studies on the current state of management of southern African wetlands. The evaluator is aware of an "environmental flows" work on the Zambezi River System and it encompasses the Kafue Flats and Marromeu Wetland Ecosystems. In addition Chancellor University College in Malawi is implementing climate change adaptation and mitigation work in the Lake Chilwa Ecosystem, which would also provide a good case study.

iii. Recommendation 3. Since the project has long ended but the mandates of UNEP and FAO with respect to sustainable land management (SLM) have not changed, an imaginatively written publication on wetlands could rejuvenate interest even further and provide a new impetus for on-going efforts in southern Africa. In line with the preceding point, and if both UNEP and FAO are still keen to promote wetland management, they could consider funding a 'State of the Wetlands of Southern Africa' report, which can be justified as a necessary policy advocacy and information dissemination tool, building upon the outputs and outcomes of this project.

iv. Recommendation 4. UNEP should also enter into dialogue with FAO so that it can create a wetland focussed programme for support to small farmers in southern Africa, who depend on and whose actions can influence the state and functioning of wetlands.

5. ANNEXES

Annex I. Terms of Reference of the final evaluation

TERMS OF REFERENCE

Final Evaluation of the UNEP/GEF Project "Sustainable Management of Inland Wetlands in Southern Africa: A Livelihood and Ecosystem Approach" (SMIWSA) (GFL/2328-2770-GF/3010-44)

PROJECT BACKGROUND AND OVERVIEW
Project General Information

Table 1. Project summary

GEF project ID:	2052	**IMIS number:**	4823
Focal Area(s):	Land Degradation	**GEF OP #:**	15
GEF Strategic Priority/Objective:		**GEF approval date:**	
Approval date:	10/06/2004	**First Disbursement:**	
Actual start date:	25/01/2005	**Planned duration:**	48 months
Intended completion date:	2009/01/31	**Actual or Expected completion date:**	2009/03/31
Project Type:	MSP	**GEF Allocation:**	US $ 999,325
PDF GEF cost:	US $ 24,500	**PDF co-financing:**	-
Expected MSP/FSP Co-financing:		**Total Cost:**	US $ 2,210,041
Mid-term review/eval. (planned date):	n/a	**Final Evaluation (actual date):**	Initiated 18/01/2010, continued Sep. 2013
Mid-term review/eval. (actual date):	n/a	**No. of revisions:**	
Date of last Steering Committee meeting:		**Date of last Revision*:**	2010/02/10
Disbursement as of 31 January 2009 (UNEP):	US $ 974,825		
Total co-financing realized as of	US $ 1,210,716	**Leveraged financing:**	

Project rationale

1. Inland Wetlands occur abundantly all over southern Africa. While in some countries the total areas remain unknown because inventories have not been carried out or completed, their area is estimated at over two million hectares. These wetlands play a significant role in the catchments in which they occur, including the important role of supporting biodiversity, both endemic and rare, and water supply. Where these wetlands are used to support agriculture, there are no mechanisms in place to prevent degradation and ensure that the ecosystem and ecosystem functions are not destroyed. Some biodiversity hotspots that also support agriculture include the Lake Chilwa wetland in Malawi and the Kafue Flats in Zambia. It is critical that the wetlands continue to support biodiversity while simultaneously supporting livelihoods.

2. Land degradation in upland areas is a major contributing factor to and result of increased conversion of wetlands to croplands. As the uplands become increasingly degraded and lose their productivity, wetlands are being used to compensate for the losses in productivity. However, consequently if the wetlands also become irreversibly degraded there will be no other alternatives for food production and livelihoods sustenance. Therefore, it is important to sustainably manage wetlands since sustainable use will ensure benefits for both, smallholders and conservation of wetland environment.

3. The Sustainable Management of Inland Wetlands in Southern Africa: A Livelihood and Ecosystem Approach – project (SMIWSA) was developed to address this problem within the framework of the SADC Umbrella Action Program on Sustainable Development and Management of Wetlands for Poverty Alleviation. The Umbrella Programme was aimed to (i) strengthen the knowledge base on wetland utilisation and the benefits they provide; (ii) identify specific interventions and strategies that minimise harmful impacts and simultaneously maximise the benefits to be gained from wetlands; and (ii) improve wetland management by strengthening regional and national capacity. The SMIWSA – project was contributing to these common goals through improving knowledge and providing guidance on sustainable land and water management in wetlands that are important for food production and rural livelihood, focusing on hydrology, ecosystem functioning, management of soils and water, and actual and potential wetland use.

4. The overall goal of the SMIWSA - project was to generate knowledge to assist in sustainable management of wetlands. The project aimed to assist Lesotho, Malawi, Mozambique, South Africa, Swaziland, Tanzania, Zambia, and Zimbabwe to put in place or to enhance mechanisms that minimise the degradation of wetland ecosystems in order to optimise the ecosystem and livelihood benefits that are generated by these ecosystems. It also aimed to generate generic guidelines, tools and methodologies for sustainable land and water management in wetlands that would also be useful for other parts of Africa and for the implementation of the GEF Operational Programme, No. 15 – Sustainable Land Management.

Project objectives and components

5. The overall development goal of the project was to *generate knowledge to assist in sustainable management of wetlands and contribute to enhancing food security and improving the livelihoods of wetland-dependent communities by increasing productivity of water and optimizing and maintaining wetland ecosystem services.* The project's main objective was to *increase capacity for management of wetlands in both government and non-governmental agencies in southern Africa through generation of new knowledge on wetland functioning, and development of sustainable land management options for wetlands.* The project addressed five priority areas of wetlands management namely (i) formulation or revision of strategic and legal frameworks; (ii) applied research; (iii) wise use guidelines and implementation to conserve and prevent degradation of wetlands; (iv) capacity building and raising awareness; and (v) increasing the knowledge of the extent of wetlands through inventories and mapping. Table 2 below lists the project objective, project components and outcomes as per the Logical Framework matrix.

Table 2. Project objective and outcomes

Objective	**Project Components**	**Outcomes**
increase capacity for management of wetlands in both government and non-governmental agencies in southern Africa through generation of new knowledge on wetland functioning, and development of sustainable land management options for wetlands	1) Enhanced information	Enhanced information available to decision-makers and other stakeholders in Southern Africa on wetland resources, attributes, linkages with surrounding catchments and degradation status and potential risk
	2) New knowledge and guidelines for sustainable management	Generic guidelines for sustainable land management in wetlands developed for wetland managers, natural resource planners, and wetland users based on new knowledge on the functions of common wetland types, their

		processes and linkages with catchments
	3) Innovative interventions	Demonstrated innovative interventions for sustainable land and water management in those wetland types commonly utilized for agriculture and other livelihood supporting activities
	4) Capacity building, dissemination, and policy	Enhanced capacity and awareness of sustainable management of wetlands in the southern Africa region at government, extension and grassroots levels

Source: Project document, signed 10 February 2005

6. Component (1) of the project aimed to enhance the available information on wetland resources, wetland ecosystem functioning and attributes. Component (2) aimed to identify and select catchments for monitoring, set up hydrological and ecological experiments, establish participatory monitoring schemes, develop assessment protocols for different ecoregions, carry out hydrological and ecological monitoring, develop tools, methods and guidelines, and establish wetland management plans.

7. Component (3) focused on testing the impact of different interventions, assessing best practice approaches, promoting community participation to identify and implement wise use interventions, development of utilization protocols and guidelines, and assessing approaches to wetland rehabilitation. Finally, the component 4) focused on capacity building, evaluation of current or planned national policies, assessment of capacity to implement policy, making specific policy recommendations to countries and generic recommendations for the region and the rest of Africa, and identifying and assessing incentives for implementing sustainable management.

Executing Arrangements

8. The project was a component project of the Umbrella Action Programme on Sustainable Development and Management of Wetlands for Poverty Alleviation in the SADC region, a joint programme by the International Water Management Institute (IMWI), the World Conservation Union, Regional Office for Southern Africa (IUCNROSA), and the Food and Agriculture Organization of the United Nations (FAO).

9. The GEF implementing agency for the project was UNEP and the executing agencies the IWMI, IUCN ROSA and FAO. Various groups of national stakeholders were involved in the implementation, including researchers, graduate students and university professors, government agency fieldworkers, NGO staff, and wetland users.

10. The IMWI was responsible for coordination of all project activities and was responsible for the implementation of the project. The IUCNROSA and FAO appointed Task Managers responsible for leading tasks implemented by the respective organizations and who were to closely liaise with the Project Manager in IMWI. The participating governments appointed National Focal Points (NFPs) to coordinate intra-country activities and the work of national project participants who were involved in the execution of projects at national level.

11. A project Steering Committee (PSC) was established to provide technical guidance to the project management and to ensure that the project was implemented according to the approved work plan.

Project Cost and Financing

12. The GEF grant for the project was US$ 974,825, with co-financing from governments and CGIAR, bringing the total project financing to US $ 2,210,041. Table 3 presents a summary of expected financing sources for the project as presented in the Project Document.

GEF Financing:	**US$ 974,825**
PDF A	US$ 24,500
Sub Total	**USD 999,325**
Co-Financing from	
Government	US$ 217,000
CGIAR	US$ 927,819
Sub Total	US$ 1,144,819
Total Project Financing	**US$ 2,144,144**

Implementation Issues

13. The early stages of the project experienced delays due to finalizing the agreement and signing of the Letter of Agreement, as well as other administrative issues. Consequently, the project was later extended to March 2010 to allow completion of editing, producing and disseminating the Best Practice guidelines.

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

14. In line with the UNEP Evaluation Policy[6], the UNEP Evaluation Manual[7] and the Guidelines for GEF Agencies in Conducting Terminal Evaluations[8], the Terminal Evaluation of the Project "Sustainable Management of Inland Wetlands in Southern Africa: A Livelihood and Ecosystem Approach" (SMIWSA)" is undertaken after completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners – IMWI, IUCN ROSA and FAO, and the relevant agencies in the project participating countries. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

(a) Did the project enhance information available to decision-makers and other stakeholders in Southern Africa on wetland resources, attributes, linkages with surrounding catchments and degradation status and potential risk?

(b) Did the project succeed in developing generic guidelines for sustainable land management in wetlands for wetland managers, natural resource planners, and wetland users based on new

[6] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[7] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx
[8] http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

knowledge of the functions of common wetland types, their processes and linkages with catchments?

(c) To what extend did the project demonstrate innovative interventions for sustainable land and water management in those wetland types commonly utilized for agriculture and other livelihood-supporting activities?

(d) To what extend did the project enhance capacity and awareness of sustainable management of wetlands in the southern Africa region at government, extension and grassroots levels?

Overall Approach and Methods

15. The final evaluation of the Project "Sustainable Management of Inland Wetlands in Southern Africa: A Livelihood and Ecosystem Approach" (SMIWSA" will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP GEF Coordination Office (Nairobi), and the UNEP Task Manager at UNEP/DEPI (Nairobi).

16. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.

17. The findings of the evaluation will be based on the following:

(a) A **desk review** of project documents and others including, but not limited to:
- Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining to sustainable wetlands management;
- Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
- Project reports such as progress and financial reports from the executing partners to the Project Management Unit (PMU) and from the PMU to UNEP; Steering Group meeting minutes; annual Project Implementation Reviews, GEF Tracking Tools and relevant correspondence;
- Documentation related to project outputs;
- Meeting notes from the evaluation fact finding mission.

(b) Interviews with:
- Project management and execution support;
- UNEP Task Manager and Fund Management Officer (Nairobi);
- Country lead execution partners and other relevant partners;
- Relevant staff of GEF Secretariat;
- Representatives of other multilateral agencies and other relevant organisations.

Key Evaluation principles

18. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

19. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning

sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

20. **Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

21. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between *what has happened with and what would have happened without the project*. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

22. As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the "*Why?*" question should be at front of the consultants' minds all through the evaluation exercise. This means that the consultants needs to go beyond the assessment of "*what*" the project performance was, and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain "*why things happened*" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of "*where things stand*" today.

Evaluation criteria

Strategic relevance

23. The evaluation will assess, in retrospect, whether the project's objectives and implementation strategies were consistent with: i) Sub-regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation; and iii) the GEF Land Degradation focal area, strategic priorities and operational programme(s).

24. It will also assess whether the project objectives were realistic, given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate.

Achievement of Outputs

25. The evaluation will assess, for each component, the project's success in producing the programmed results as presented in Table 2 above, both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project objectives). The achievements under the regional and national demonstration projects will receive particular attention.

Effectiveness: Attainment of Objectives and Planned Results

26. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

27. The evaluation will reconstruct the Theory of Change (ToC) of the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) over outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called intermediate states. The ToC further defines the external factors that influence change along the pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control).

28. The assessment of effectiveness will be structured in three sub-sections:

(a) Evaluation of the **achievement of direct outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs.

(b) Assessment of the **likelihood of impact** using a *Review of Outcomes to Impacts* (ROtI) approach as summarized in Annex 6 of the TORs. Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as a result of the project's direct outcomes, and the likelihood of those changes in turn leading to changes in the natural resource base, benefits derived from the environment and human living conditions.

(c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in original logframe (see Table 2 above) and any later versions of the logframe. This sub-section will refer back where applicable to sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

Sustainability and replication

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

30. Four aspects of sustainability will be addressed:

(a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?

(b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources[9] will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any

[9] Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

financial risks that may jeopardize sustenance of project results and onward progress towards impact?

(c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?

(d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

31. **Catalytic role and replication**. The *catalytic role* of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP and the GEF also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

(a) *catalysed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at local and national level;

(b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalysing changes in stakeholder behaviour;

(c) contributed to *institutional changes.* An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;

(d) contributed to *policy changes* (on paper and in implementation of policy);

(e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;

(f) created opportunities for particular individuals or institutions ("*champions*") to catalyse change (without which the project would not have achieved all of its results).

32. *Replication*, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

Efficiency

33. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its programmed budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources,

synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency all within the context of project execution.

Factors and processes affecting project performance

34. **Preparation and readiness**. This criterion focuses on the quality of project design and preparation. Were project stakeholders[10] adequately identified? Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed[11]?

35. **Project implementation and management**. This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

(a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
(b) Evaluate the effectiveness and efficiency of project management by IMWI, IUCN ROSA and FAO and how well the management was able to adapt to changes during the life of the project.
(c) Assess the role and performance of the units and committees established and the project execution arrangements at all levels.
(d) Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations.
(e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems. How did the relationship between the project management team (IMWI, IUCN ROSA and FAO) and the local executing agencies develop?
(f) Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.

36. **Stakeholder participation and public awareness**. The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The TOC analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and outcomes to impact. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

[10] Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.
[11] http://www.thegef.org/gef/node/4562

(a) The approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project?
(b) The degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;
(c) How the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in decision making in the transport sector.

37. **Country ownership and driven-ness.** The evaluation will assess the performance of government agencies involved in the project, as relevant:

(a) In how far has the Government assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project and the timeliness of provision of counter-part funding to project activities?
(b) To what extent has the political and institutional framework in the project countries been conducive to project performance?
(c) To what extent have the public entities promoted the participation of transport facility users and their non-governmental organisations in the project?
(d) How responsive were the government partners to IMWI, IUCN ROSA and FAO coordination and guidance, and to UNEP supervision?

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

(a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
(b) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
(c) Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 3).
(d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

39. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP to prevent such irregularities in the future. Appreciate whether the measures taken were adequate.

40. **UNEP supervision and backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:

(a) The adequacy of project supervision plans, inputs and processes;
(b) The emphasis given to outcome monitoring (results-based project management);
(c) The realism and candour of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);
(d) The quality of documentation of project supervision activities; and
(e) Financial, administrative and other fiduciary aspects of project implementation supervision.

41. **Monitoring and evaluation**. The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

(a) *M&E Design*. Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:
- Quality of the project logframe (original and possible updates) as a planning and monitoring instrument; analyse, compare and verify correspondence between the original logframe in the Project Document, possible revised logframes and the logframe used in Project Implementation Review reports to report progress towards achieving project objectives;
- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

(b) *M&E Plan Implementation*. The evaluation will verify that:
- The M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;

- The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

(c) *Use of GEF Tracking Tools*. These are portfolio monitoring tools intended to roll up indicators from the individual project level to the portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool[12] to meet its unique needs. Agencies are requested to fill out at CEO Endorsement (or CEO approval for MSPs) and submit these tools again for projects at mid-term and project completion. The evaluation will verify whether UNEP has duly completed the relevant tracking tool for this project, and whether the information provided is accurate.

Complementarities with UNEP strategies and programmes

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

(a) *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ToC/ROtI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy 2010-2013 (MTS)[13] would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist and it is still useful to know whether these projects remain aligned to the current MTS.

(b) *Alignment with the Bali Strategic Plan (BSP)*[14]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

(c) *Gender*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?

(d) *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

(e)

The Consultants' Team

43. For this evaluation, one independent consultant will be contracted. The consultant should have experience in project evaluation, planning and management of projects on sustainable land use and be fluent in English. The consultant will be responsible for data collection and analysis, and the preparation of the main report for the evaluation, ensuring that all evaluation criteria are adequately covered.

44. By undersigning the service contract with UNEP/UNON, the consultant certifies that she/he has not been associated with the design and implementation of the project in any way which may jeopardize her/his independence and impartiality towards project achievements and project partner performance. In addition, she/he will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

[12] http://www.thegef.org/gef/tracking_tools
[13] http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
[14] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

Evaluation Deliverables and Review Procedures

45. The consultant will prepare an **inception report** (see Annex 1(a) of ToRs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change (ToC) of the project, the evaluation framework and a tentative evaluation schedule.

46. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

(a) Strategic relevance of the project
(b) Preparation and readiness (see paragraph 25);
(c) Financial planning (see paragraph 30);
(d) M&E design (see paragraph 33(a));
(e) Complementarities with UNEP strategies and programmes (see paragraph 34);
(f) Sustainability considerations and measures planned to promote replication and up scaling (see paragraph 23).

47. The inception report will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* the most of the data collection (review of reports, in-depth interviews, observations on the ground etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

48. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.

49. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

50. **The main evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The consultant will deliver a high quality report in English by the end of the assignment. The report will follow the annotated Table of Contents outlined in Annex 1. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

51. **Review of the draft evaluation report**. The consultant will submit the zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the UNEP Task Manager, who will ensure that the report does not contain any blatant factual errors. The UNEP Task Manager will then forward the first draft report to the other project stakeholders for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the consultant for consideration in preparing the final draft report.

52. The consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The consultant will prepare a **response to comments**, listing those comments not or only partially accepted by her/him that could therefore not or only partially be accommodated in the final report. The consultant will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

53. **Submission of the final Terminal Evaluation report**. The final report shall be submitted by Email to the Head of the Evaluation Office, who will share the report with the Director, UNEP/GEF Coordination Office and the UNEP/DEPI Task Manager. The Evaluation Office will also transmit the final report to the GEF Evaluation Office.

54. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

55. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultant. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 4.

56. The UNEP Evaluation Office will also prepare a **commentary** on the final evaluation report, which presents the EO ratings of the project based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. These ratings are the final ratings that the UNEP Evaluation Office will submit to the GEF Office of Evaluation.

Logistical arrangement

57. This Terminal Evaluation will be undertaken by an independent evaluation consultants contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to obtain documentary evidence, plan meetings with stakeholders, and any other logistical matters related to the assignment. The UNEP Task Manager, IMWI, IUCN ROSA and FAO will, where possible, provide logistical support (introductions, meetings, etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible. The contract will begin on 1stNovember 2013 and end on 31st January 2014.

Schedule of the evaluation

58. The consultant will be hired under an individual Special Service Agreement (SSA).The payment schedule will be linked to the acceptance of the key evaluation deliverables by the Evaluation Office:

(a)	Final inception report:	20 per cent of agreed total fee
(b)	First draft main evaluation report:	40 per cent of agreed total fee
(c)	Final main evaluation report:	40 per cent of agreed total fee

59. In case the consultant is not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultant has improved the deliverables to meet UNEP's quality standards.

60. If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultant's fee by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Annex II. List of Respondents

1. Mohamed Sessay — Chief, GEF Biodiversity/Land Degradation/Biosafety Unit and Programme Manager DEPI GEF, UNEP, Nairobi
2. Tiina Piiroinen — Evaluation Officer, UNEP, Nairobi
3. Edward Chuma — By email
4. Mutsa Masiyandima — By email

Annex III. Documents Reviewed

1. Half-Yearly and other Progress Reports (Technical)

- July - December 2005
- June - Dec 2006
- January- June 2007
- January - June 2008
- July - December 2008
- January - June 2009
- FAO Progress Report 2009
- IWMI Progress Summary 2009
- Terminal Project Report 2010

2. Inventory of output / services

- January - June 2008
- July - December 2008

3. Financial Reports

- February 2007
- May 2007
- February 2009
- July - September 2009

4. Co-financing reports June 2006 - June 2007
5. Project Implementation Reports (PIRs) – 2008, 2009, 2010
5. Expenditure statements January - June 2007
6. Expenditure report February 2009
7. Cash Advance statement, June 2010

8. Theses and technical reports or publications reviewed by the evaluator

i. Lake Chilwa Wetland utilization and its contribution to agricultural productivity and poverty reduction in Malawi: The case of Domasi irrigation scheme (Undated)

ii. Application of remote sensing to Characterize the ecohydrology and land cover of the Lake Chilwa wetland, Malawi (Abstract). RebeloL-M., Finlayson, C.M., McCartney, M.P., International Water Management Institute, Addis Ababa, Ethiopia (Undated)

iii. Managing wetlands to support livelihoods and wildlife: The case of the Lake Urema ecosystem, Mozambique. Rebeloa, L-M., Beilfuss, R., McCartneya, M.P., Finlayson b, C.M.(Undated)

iv. Utilization of the Intunjambili Dambo, Zimbabwe (2010). Matthew McCartney, Lisa-Maria Rebelo, Max Finlayson, Brian Chiputwa, Sylvie Morardet, Allete Nenguke, Edward Chuma and Mutsa Masiyandima

v. Lesotho national wetlands management programme 2005. Government of Lesotho, with support from IUCN ROSA

vi. Wetlands manual for agriculture extension workers: Promoting Sustainable. Utilisation of Wetlands for Agriculture in Southern Africa. Tabeth Matiza Chiuta and Simba Mandota (Undated Summary Document)

vii. Mozambique wetlands training Manual 2008: IWMI and MICOA

viii. Guidelines for the management of inland wetlands in Southern Africa. FAO and UNEP, 2011

ix. Socio-economic Analysis of Wetland Utilization and Livelihood Implications on Poor Farmers: A Case Study of Intunjambili Community: MSc Thesis By BRIAN CHIPUTWA

Annex IV. Guiding questions

Key Questions for the evaluation of the project" 'Sustainable management of inland wetlands in Southern Africa: a livelihoods and ecosystems approach.'

1. **Project Conceptualization**

   Given the four outcomes of the project, was it realistic to expect to achieve them, bearing in mind that eight countries and 4 institutions, including UNEP was involved in the project?

   Would you agree that the outcomes were overly ambitious?

2. **Project Structure and management**

   i. Did the Steering Committee make critical decisions in a timely manner and what is the evidence of that?
   ii. Going by the material in the logical framework, are the outputs clearly stated and add up to achieve the outcomes as stated?
   iii. What improvements could be made to the drafting of outputs and targets?

3. **Programme Performance / Effectiveness**

   i. Were the targets generally achieved as planned? If not can you cite examples of why achievements of targets were delayed, or not achieved?
   ii. Were you happy with the meeting of deadlines by your implementing partners
   iii. Were the funds used appropriately to produce the stated outputs. What changes, if any would you suggest?

4. **Achievements of results**

   i. Can you list what do you consider to be the key achievements of the project from your perspective? Provide a short but clear list.
   ii. What did you consider as key opportunities that the project took advantage of?
   iii. Are there any factors that would have facilitated the achievement of even better results, had they been incorporated, available or conducive to the project?

5. **Innovation**

   i. What would you consider to be innovative in the project according to the following:
      - Implementation arrangements?
      - Existing wetland management technologies?
      - Dealing with difficult policy and or technical problems?

6. **Adaptive management**
   i. What decisions or changes were made by the Steering Committee or Implementing Partners in response to emerging project circumstances that could qualify as adaptive management?

7. **Overview comments**

What changes could be made to:

   i. Make the project achieve its objectives in time

ii. Upscale innovations to cover large landscapes
iii. Attract funding from both public and private sectors
iv. Improve the adoption of key results from the project, such as the Technical Guidelines in Managing Wetlands in Southern Africa

8. Sustainability of project gains

What in your opinion are the key sustainability factors for the outcomes and innovations which have been described or characterized?

9. Monitoring and Evaluation

Was the monitoring and evaluation framework appropriate and was sufficient baseline data collected?

What recommendations on M and E would you suggest going forward?

Annex V. Evaluator's Curriculum Vitae

Personal Details

Name: Harrison Ochieng Kojwang
Gender: Male **Nationality**: Kenyan
Marital Status: Married with 3 Children, ages 30, 28 and 21
Date of Birth: November 6th 1956
Home Address:(Windhoek) Reiher Street, Number 4, Hochland Park, Windhoek. Mobile: *264-855 631159*, Private Bag 98617, Pelican Square, Email: hokojwang@gmail.com or hkojwang@yahoo.com

Education

Ph.D. in Forestry (Forest Protection), University of British Columbia Vancouver, Canada. 1989

M.Sc. in Forestry (Protection), University of Helsinki, Finland.1983

B.Sc. in Forestry, University of Nairobi Kenya. 1980

Work Experience

1. **Current Position**: ***Private Consultant***. From September 2009 to date.

2. **Position**: ***Regional Representative***. **Period: September 2001 to August 31st 2009.** World Wide Fund for Nature (WWF), Southern African Regional Programme Office (SARPO) ,

   Position: *Director of Forestry*, Ministry of environment and Tourism, Government of the Republic of Namibia (4 consecutive 2-year contracts).

3. **Position: *Head of Department;*** of Forestry Moi University, Kenya. **Period: 1990 to August 1994.**
4. **Position: *Lecturer.* 1989 to 1994** Taught both *Under and Postgraduate level* courses.

5. **Position: *Assistant Conservator of Forests***, **Kenya Forest Department, Ministry of Environment and Natural Resources (Research Division), 1980-1981**

Selected Recent Consultancies (From 2009 to date)

1. Member, *Technical Advisory Panel, World Bank Forest Carbon Partnership Fund* 2008-2012 (Reviewer of the Technical Country Documents on REDD (R-PINs, R-PPs). **Ongoing**

2. *Estimating and reflecting the economic values of natural resources* in national accounts: A focus on non-consumptive uses of wildlife, including examples from the forest sector – A consultancy paper commissioned by the FAO Regional Office in Harare, Zimbabwe. 39pp. December 2009 to February 2010.

3. *SADC forestry strategy: 2010-2020: Making forests work for the economic development of the region.* A consultancy commissioned by SADC – GTZ, November 2009 to Jan 2010. 45pp. (Completed and approved by SADC)

4. *Lake Bogoria Basin: conflict creates an opportunity for constructive dialogue, conservation and agricultural development*. Documentation of key achievements and lessons learnt. Commissioned by WWF East African Office, Nairobi. 36 pp. Sept 2009 to Dec 2009.(Completed)

5. *A SADC Support Programme Document on Reduced Emissions from Deforestation and Forest Degradation (REDD).* A programme document submitted and accepted by SADC in June 2010 A consultancy commissioned by SADC – GTZ, Feb –June 2010 70 pp (Completed and approved by SADC Council of Ministers, in May 2011)

6. *Professional Forestry Associations in Southern Africa*. 2010 a consultancy study commissioned by the African Forestry Forum. Jan – June 2010 (Report Accepted)

7. *Developing*, a new *Forestry Research Strategy for Namibia*. Co-commissioned by the Namibia Ministry of Agriculture, Water and Forestry (MAWF) and the FAO NFP Facility (August to November 2010).Strategy endorsed by MAWF in 2011

8. *Mid-term Evaluation* of the UNDP-GEF funded (US $ 10 million), Namibia Country Partnership Project (Namibia CPP). (October –November 2010). Completed*. Was part of a 2-member team*

9. Evaluation of past activities and preparation of a new Concept Note of National Forestry Programme (NfP) – Namibia*. (completed in January 2011, and further funding availed to the Directorate of Forestry, Namibia)*

10. Part of the consulting Team to draw up a new SADC – GIZ Technical Co-operation Agreement between German GIZ and SADC (FANR) – *Completed in March 2011.*

11. A simplified volume conversion system for Namibia – *Developed a volume table for the rapid estimation of confiscated logs and poles for 7 of Namibia's tree species. Completed in June 2011*

12. Namibia Community Forestry Sustainability Strategy *– a 40 page document commissioned by WWF Namibia and Namibia Community Support Organizations (NACSO). Draft submitted in May 2011.*

13. The *woodlands and savannahs of Africa*. Eco-regional overview and the challenges in *climate change mitigation and adaptation*. A paper commissioned by the African Forest Forum (AFF), October 2011.

14. UN-REDD – FCPF *Country Needs Assessment on REDD+ Readiness*. A Global Study commissioned by the UN-REDD Secretariat, Geneva , January to May 2012 (Accepted by the UN-REDD Policy Board in October 2012)

15. *R & D Priorities in Forestry*. Contribution to the forestry chapter under the process; Finalisation of R & D priority setting process for Centre for Coordination of Agricultural Research and Development for southern Africa (CCARDESA) March-April 2012 and accepted by the CARDESSA Board in November 2012.

16. *Review of Curriculum* of the Kenya Forestry College, Londiani. (April – August 2012 (The 4 month review was completed and accepted by the Kenya Forest Service in December 2012).

17. *Strategic Environmental Assessment*. Consultancy services for the preparation of an Irrigation Project for Mandera County, Kenya. October 2012 (ongoing).

18. A SADC Regional Forest Law Enforcement, Governance and Trade (*SADC FLEGT*) Programme Document. submitted to SADC and adopted by SADC Secretariat in September 2012

19. *NAMAs* and *NAPAs* in Southern Africa. Consultancy report commissioned by the *African Forest Forum,* ICRAF Hq, Nairobi, November 2012

20. NAMAs and NAPAs in Eastern Africa. Consultancy report commissioned by the African Forest Forum, ICRAF Hq, Nairobi,November 2012

21. Study on the drivers of forest cover change in Kenya March – July 2013 (Just completed and submitted to the Kenya Forest Service)

22. A strategy for capacity building in Measurement, Reporting and Verification in REDD+ in the SADC Region. Dec 2013 – July 2013 (Final draft already submitted to the SADC Secretariat, FANR Division)

Hobbies

1. Reading philosophy and history
2. Jazz, Old African Music
3. Playing Golf

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Annex VI. UNEP Evaluation Report Quality Assessment

Evaluation Report Title:

Sustainable Management of Inland Wetlands in Southern Africa: a Livelihoods and Ecosystems Approach

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

Substantive report quality criteria	UNEP EO Comments[15]	Draft Report Rating	Final Report Rating
A. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Draft report: Final report: Assessment is Moderately Satisfactory	4	4
B. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Final report: Assessment is Moderately Satisfactory	2	4
C. Presentation Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: Final report: Assessment is Moderately Satisfactory	1	4
D. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: Final report: Assessment is satisfactory	3	4
E. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: Final report: Assessment is Moderately Satisfactory	3	4
F. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?	Draft report: Final report: Assessment is Moderately Unsatisfactory	3	3
G. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the	Draft report: Final report: Assessment is Moderately Satisfactory	4	4

[15] The UNEP Evaluation Office notes that the evaluation was conducted as a desk-based study several years after completion of the project. Difficulties in obtaining evidence and information should be considered when examining the analysis of the quality of the evaluation report.

project M&E system and its use for project management?			
H. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?)'. Can they be implemented?	Draft report: Final report: Quality of the recommendations is Moderately Satisfactory	3	4
I. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Final report: Quality of the lessons is Moderately Satisfactory	4	4
Other report quality criteria			
J. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Final report: The report is well structured and clear	3	5
K. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: Final report: Methods and information sources are adequately described	4	4
L. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Final report: The report is well written	4	5
M. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Final report: The report is well formatted	4	5
	OVERALL REPORT QUALITY RATING	3.2	4.15

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

2. Checklist of compliance with UNEP EO's normal operating procedures for the evaluation process

Compliance issue	Yes	No
1. Were the TORs shared with the implementing and executing agencies for comment prior to finalization?	**x**	
2. Was the budget for the evaluation agreed and approved by the UNEP Evaluation Office?	**x**	
3. Was the final selection of the preferred evaluator or evaluators made by the UNEP Evaluation Office?	**x**	
4. Were possible conflicts of interest of the selected evaluator(s) appraised? (Evaluators should not have participated substantively during project preparation and/or implementation and should have no conflict of interest with any proposed follow-up phases)	**x**	
5. Was an inception report delivered before commencing any travel in connection with the evaluation?	**n/a**	
6. Were formal written comments on the inception report prepared by the UNEP Evaluation Office and shared with the consultant?	**x**	
7. If a terminal evaluation; was it initiated within the period six months before or after project completion? If a mid-term evaluation; was the mid-term evaluation initiated within a six month period prior to the project/programmes's mid-point?	**x***	
8. Was the draft evaluation report sent directly to EO by the evaluator?	**x**	
9. Did UNEP Evaluation Office check the quality of the draft report, including EO peer review, prior to dissemination to stakeholders for comment?	**x**	
10. Did UNEP Evaluation Office disseminate (or authorize dissemination) of the draft report to key stakeholders to solicit formal comments?	**x**	
11. Did UNEP Evaluation Office complete an assessment of the quality of the draft evaluation report?	**x**	
12. Were formal written stakeholder comments sent directly to the UNEP Evaluation Office?	**x**	
13. Were all collated stakeholder comments and the UNEP Evaluation Office guidance to the evaluator shared with all evaluation stakeholders?	**x**	
14. Did UNEP Evaluation Office complete an assessment of the quality of the final report?	**x**	
15. Was an implementation plan for the evaluation recommendations prepared?	**x**	

7. The TE was initiated within 6 months of project completion but due to several changes of evaluators, the work has been considerably delayed.