

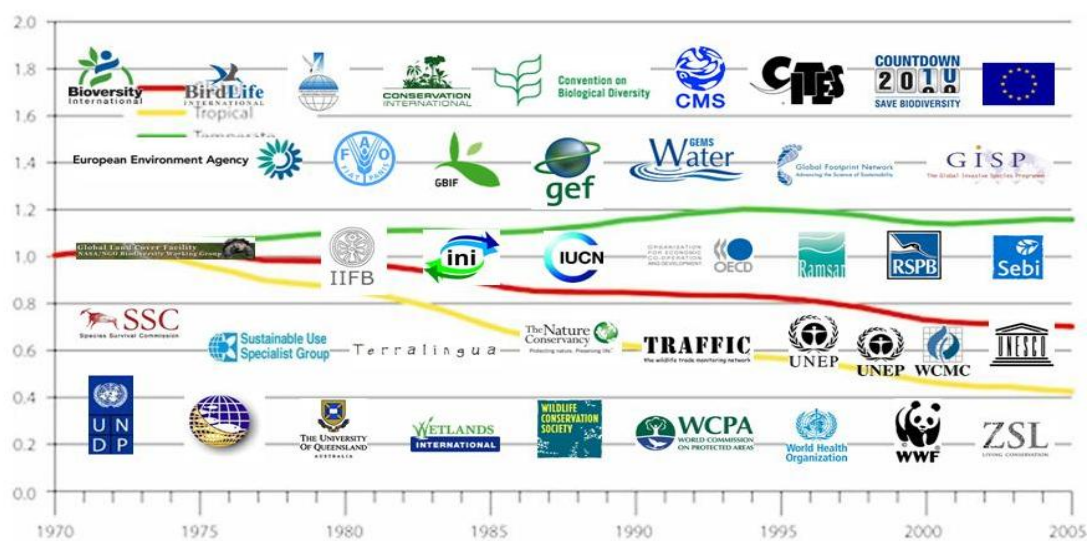
## Building the partnership to track progress at the global level in achieving the 2010 biodiversity target

UNEP

### Terminal Evaluation

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<b>Project title</b>	Building the partnership to track progress at the global level in achieving the 2010 biodiversity target	
<b>GEF Focal Area</b>	Biodiversity	
<b>Strategic Objective</b>	BD 4 (Generation and dissemination of best practices for addressing current and emerging biodiversity issues)	
<b>Operational Programs</b>	1, 2, 3, 4, 12, 13	
<b>Size and scope</b>	Full-sized Project - Global	
<b>GEFSec ID</b>	2796	
<b>Implementing Agency</b>	UN Environment Programme GF/1010-07-01 (4977)	
<b>Executing Agency</b>	UNEP-WCMC (with 39 partners)	
<b>Duration</b>	June 2007 - December 2010	
<b>Mid-Term Evaluation</b>	April 2010	
<b>Budget (US \$)</b>	GEF:	3,639,000
	Co-financing:	5,177,893
	Total:	8,816,893

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## Executive Summary

S.1 In 2002, governments globally adopted a target “to achieve by 2010 a significant reduction of the current rate of biodiversity loss”. The Parties to the Convention on Biological Diversity (CBD) adopted a framework of indicators to track and report on progress towards the target and to assess the ultimate extent of its achievement, and other Conventions developed analogous orientations. The proposed indicators and associated datasets however were owned and managed by a wide range of organisations, were at a range of different stages of development and implementation, inter-linkages were poor and there was no mechanism for coordinating the provision of findings to the global processes that needed them.

S.2 The present full-sized GEF project aimed to address this by building a “2010 Biodiversity Indicators Partnership” (2010BIP), and it was approved in 2007. This was a reduced version of an original concept for a two-phase, six-year project with \$12 - \$15 million in GEF funding, starting in 2006 and contributing to reporting on the target in 2012. What was eventually approved was a single-phase project with \$3.64 million of GEF funding, starting in 2007 and somewhat hurrying to report in 2010 (and in part even earlier). This history left the project with some scars and lingering overambitions, which it ultimately overcame mainly by many key players heroically going “beyond the call”.

S.3 Overall this unique project has performed remarkably well considering its ambition and the challenges it faced. It was always due to have a culmination of outputs in its final year, and it adapted to lessons and feedback throughout. The overall “**satisfactory**” rating given by this evaluation is therefore an improvement on earlier ratings and signifies major final achievements of which all concerned can justly be proud.

S.4 The project’s **immediate objective** was: “*Decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level*”. The chain of steps implied by this is discussed in this report with the aid of a Review of Outcomes to Impacts analysis. The underlying assumption is that better information leads to better decisions. Testing this requires evidence not only of decision-makers becoming better informed (taking up information provided and assimilating it), but as a consequence *decisions themselves* being better informed (more fully or logically reflecting knowledge, being implementable in more effective and verifiable ways, etc).

S.5 The 2010BIP generated excellent information and worked hard to promote its uptake. There is normally huge redundancy in such “supply-side” processes: good thought was given to tailoring and targeting in terms of audiences; but redundancy could potentially have been reduced further by each set of indicator findings being directed towards a specific named policy response mechanism or decision-opportunity. The clearer/tighter these linkages are, and the shorter the “feedback loops” from monitoring to responses, the more effectively will indicators meet recipient needs and contribute to biodiversity status improvements. There are post-project opportunities to make more of this, for example in global links between science and policy (IPBES), next-generation national biodiversity plans (NBSAPs) and multi-sector reporting (MDGs).

S.6 The key instance where there is already evidence of the full chain from better information to better decisions is in the project’s impact at the CBD Conference of Parties (COP10) in Nagoya, Japan in October 2010. The scientific and technical consensus built by the 2010BIP undoubtedly enhanced the authority with which decision-makers were able to use indicator information in making decisions in favour of biodiversity. BIP information in the scientific literature and in the Global Biodiversity Outlook was a trusted source of guidance for governments and international institutions on the evident shortfall in meeting the global 2010 target and on methods of measuring biodiversity status. This visibly fed into significant decisions by the CBD Parties at the COP, in particular the adoption of a new Strategic Plan with improved targets.

S.7 The project's **development objective** was: "*A reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity*". It could be argued that global biodiversity status was an over-ambitious yardstick against which to seek to be judged: but that said, policies likely to impact on this in future are being influenced by the project's results.

S.8 The project had three **planned outcomes**:

1. A 2010 Biodiversity Indicators Partnership generating information useful to decision-makers;
2. Improved global indicators are implemented and available;
3. National governments and regional organisations using and contributing to the improved delivery of global indicators.

S.9 Concerning **outcome 1**, the project brought together an unprecedented body of biodiversity indicator knowledge and analysis by forming the BIP, which forged novel alliances and generated products that were treated as highly credible and authoritative by decision makers. A sense of shared values, equitability, brand identity and internal technical cross-fertilisation were not always optimal, and levels of participation varied widely (often determined by funding), but particularly in the second half of the project this large and complex "organism" (an ambitious construct for a GEF project) was well-managed, coherent and spirited, and it delivered impressively to tough deadlines. Most partners felt the value of joint efforts, and positive relationships built by the project are persisting into the future.

S.10 Building and running a partnership is harder than it looks! A matrix of differing motivations and varied degrees of investment requires politically astute governance and a central coordinating body that is sufficiently resourced to devote the labour-intensive management and support required. Sensitive and flexible leadership is needed, since the best engagement-building rarely happens in linear or predictable ways, and distributed responsibilities for performance standards mean that problems cannot be corrected by a "controlling" management model. Expectations on all sides have to be made very explicit (including post-project scenarios) and actively managed, especially if plans change.

S.11 Risk management and contingency provisions could have been stronger here; but the evaluation recognises the critical nature of intangible factors such as "trust" and "confidence" in these contexts, and commends the BIP on its performance in that respect. The most challenging aspect was the allocation of GEF funding among the partners, and one or two harboured an enduring disaffection with the project as a result of mixed expectations and views on funding priorities. These could have been managed more incisively; but ultimately the Partnership moved on, focused on the bigger picture and thrived healthily enough.

S.12 Weaknesses in communication strategy ultimately had little effect on the quality of information outputs. The project delivered the first empirically-synthesised global assessment that the 2010 biodiversity target was unlikely to be met: uptake was good, key messages appeared to be received in the manner intended and the work was subject to remarkably little technical questioning. Reaching beyond the "biodiversity community" remains a challenge, but the purchase achieved in the UN Millennium Development Goals reporting system, and the project's "integrated indicator storylines" work are both important steps in a good direction (the latter of which could not have been achieved without the partnership construct).

S.13 Concerning **outcome 2**, the CBD indicator framework left much to be done before it could function as a full measure of the 2010 target, but at the same time it constrained the scope for conceptual innovation by the BIP. (The project astutely contributed lessons on this for other processes, without diluting its own work). Indicators with a strong existing institutional "home" would have been implemented without GEF support, but the project gave important help to others, and crucially provided the means to knit together an overall picture. Priorities could have been clearer, and scientific quality assurance ended up (luckily) coming from journal peer-review when the project's own mechanism for it failed; but the Partnership

used its wealth of expertise well to share and advance methodologies and scientific standards. Of the 34 indicators, 19 (56%) are reported as having been strengthened during the project.

S.14 The formulation of **outcome 3** was a creditable response to enthusiasm for national capacity-building, but there are conceptual challenges in integrating this into a project about an indicator system designed to function at global level. The element of “national contributing to global” proved difficult to achieve (few of the indicators rely on data reported at the national scale) and emphasis went instead on global support for national/regional use. Not all of the global 2010 indicators are applicable at other scales however, and the project chose to focus on national priorities largely without reference to the 2010 target.

S.15 All that said, what became known as the “global-national linkages” part of the project delivered high-quality products with strong uptake, glowing user feedback and a future “shelf-life”. With a proportionally small budget supplemented by leveraged funds, capacity-building activities had impressive success in catalysing new understanding and collaborations among indicator producers and users in 45 countries, including beyond the biodiversity sector. Although data availability remains a key limitation and support did not extend to improving that, appropriate indicator methods appear to have been applied in useful ways with new confidence, linkages and commitments. This appears likely to endure and is replicable.

S.16 Concerning the **operation** of the project, individual sections of this report address the various parameters prescribed for evaluations, and ratings are given in section 6. Partner sub-contracting had a few shortcomings, and cost-effectiveness of indicator development was not uniform. The Scientific Advisory Body never found its role and the Steering Committee, while a “good hand on the tiller”, was not felt to be a primary engine of project governance (though its own assessment of this was more favourable). The complexity of a kaleidoscopic partnership such as the 2010BIP cannot be underestimated however, and helped by good spirit and a highly dedicated and professional BIP Secretariat (bar occasional lapses in detail) the project showed good adaptive management and learning from experience. Externally-imposed time reductions were difficult, but were responded to with a redoubling of effort that ultimately produced impressive results. Overheads were proportionate, financial controls robust, co-funding significantly exceeded targets and the project came in on budget.

S.17 **For the future**, there is some incongruity in recurrent tracking of biodiversity status by reference to intergovernmentally-adopted policy goals being so dependent on a one-off project such as this, rather than being integrated into the core resourcing of the bodies adopting the goals. The 2010BIP contributed hugely to the tracking required; but added particular new value with more time-bound advances e.g. where it pioneered methods and standards, built integrated indicator storylines, overlaid different indices, interested non-biodiversity sectors, facilitated networking between countries and had flexibility to respond to emerging issues such as ecosystem service metrics and reflections on target-construction.

S.18 There are good grounds for considering that many of the project’s outcomes will be sustained. Moreover there is a formal commitment and widespread willingness to continue the Partnership in some form: the scale of what may be possible is dependent on further investment, but BIP’s success in attracting co-funding is a good sign. This evaluation recommends that the agenda for continuation roughed out in section 3B should be pursued immediately, including urgent concerted efforts to seek funding. The new role of the Partnership should be formalised among all concerned as soon as possible in relation to the listed priorities, in particular “completing/capitalising on what is already there”, expert input to the “2020” targets and indicators agenda, “new stories”, and input to other global processes, notably MDG reporting and the 2012 Earth Summit.

S.19 **In conclusion**, the 2010BIP project had demonstrable impacts that could not have been achieved otherwise, and (especially in its last 18 months) it performed remarkably well considering its ambition and the challenges it faced. (*Rating: S*).

# 1 Introduction and background

## The 2010 biodiversity target and indicators

1.1 International biodiversity conservation regimes have not always been systematically defined or assessed. First efforts at improving this concentrated on schemes for prioritisation; and only later did rigorous disciplines develop for defining measurable objectives and accounting for performance.

1.2 The Parties to the Convention on Biological Diversity (CBD) at their sixth Conference in April 2002 (COP6) committed in Decision VI/26 “to achieve by 2010 a significant reduction of the current rate of biodiversity loss at the global, regional and national level as a contribution to poverty alleviation and to the benefit of all life on earth”. This target was subsequently endorsed by Heads of State and Government at the World Summit on Sustainable Development in September 2002, and was incorporated as a new target (7b) under the UN Millennium Development Goals.

1.3 In order to track and report on progress towards the target and to assess the ultimate extent of its achievement, the CBD Parties at COP7 in 2004 adopted a framework of indicators (Decision VII/30), a refined version of which was developed by an Ad Hoc Technical Expert Group and the Convention’s scientific body (SBSTTA, Recommendation X/5) and adopted by COP8 in 2006 (Decision VIII/15).

1.4 In addition to the CBD, other Multilateral Environmental Agreements (MEAs) developed analogous orientations in the same period. Parties to the Convention on Migratory Species (CMS - COP 8 Resolution 8.7 in 2005), the Ramsar Convention on Wetlands (COP 9 Resolution IX.1 Annex D in 2005) and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES - COP 14 Decision 14.2 in 2007) all mandated the adoption of indicators linked to their respective Strategic Plans, referring to the 2010 target. A meeting convened by the CBD Secretariat, the UNEP World Conservation Monitoring Centre and the UN Development Programme in London in May 2003 on “2010 - The Global Biodiversity Challenge” had agreed that the process for assessing progress against the 2010 target should be “CBD-led, not CBD-centred”.

## Problems that needed to be addressed

1.5 Although as described above there was good level of international agreement as to the type of indicator suite that would be appropriate for measuring achievement of the 2010 target, a number of challenges were apparent.

- The proposed suite of indicators and the associated datasets were not owned or managed by any one organisation but by a wide range of organisations and agencies. Inter-linkages were poorly developed and there were duplications of effort as well as significant gaps. Moreover there was no mechanism for coordinating input to relevant global processes which needed the results, or for ensuring delivery of the indicators in appropriate and meaningful formats for a range of users over the years to come. This included a lack of institutional linkages between the CBD and organisations developing the identified indicators to ensure that adequate progress and reporting would occur by 2010, and that there would be meaningful communication of key messages.
- The indicators identified were at a range of different stages of development and implementation, in some cases needing significant work to further develop both the indicators and underlying datasets.
- In some cases the indicators were the result of ongoing programmes that were already reasonably well resourced, while in others available funding was insufficient for the development and delivery required.

- There was inadequate understanding of the most effective use of indicators to meet the needs of different user groups, and of the most appropriate means of delivery of the indicators to meet these needs: a review of stakeholder needs was therefore required.
- In order to ensure efficient development and use of indicators, and in particular their use in other sectors, relationships needed to be further explored between the proposed 2010 indicators at global level and other global indicators and targets being used and developed by other MEAs and international processes including the Millennium Development Goals.
- In order to promote and facilitate the use of 2010 indicators at national and regional levels, and to ensure the adequacy and accuracy of national data used in global and regional indicators, it was necessary to understand more clearly and specify the relationship between global indicators and the availability of data and potential uses of indicators at national and regional levels.

### **Creating the Partnership; and GEF project objectives**

1.6 GEF Project Development Facility Block B (PDF-B) funding of US \$306,000 was provided to UNEP-WCMC in late 2005 to develop the concept and hold a first meeting of a “Biodiversity Indicators Partnership” (BIP) of organisations involved in delivering the agreed indicators. This reviewed relationships among different indicator initiatives, and clarified the actions necessary to fill gaps and ensure delivery of the 2010 indicators in a coordinated manner.

1.7 After some delays (see below), a Full-Sized Project “Building the Partnership to Track Progress at the Global Level in Achieving the Global 2010 Biodiversity Target” was approved in 2007, with the following objectives:

**Development objective:** A reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity

**Immediate objective:** Decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level

**Planned outcomes:**

1. A 2010 Biodiversity Indicators Partnership generating information useful to decision-makers;
2. Improved global indicators are implemented and available;
3. National governments and regional organisations using and contributing to the improved delivery of global indicators.

### **Building on experience; supported by mandates**

1.8 UNEP-WCMC was quick off the mark in recognising the lack of a suitable mechanism for pulling together intelligence on the 2010 target, and in putting proposals to the CBD and others in 2003. It did so with a background of insight from a range of other involvements, leading it to be described in the GEF STAP review of the project proposal in 2006 as “the only available, plausible institution to provide a meta-analysis on the necessary scale ... the credibility of the partners individually and collectively means that an unprecedentedly large and trustworthy body of organised knowledge will be assembled on the condition of the natural world around the year 2010 ... never before will such a range of government and non-governmental institutions have collaborated in such a way and with such a common purpose”.

1.9 One source of experience was the GEF Medium-Sized Project “Biodiversity Indicators for National Use”, or BINU (GF-1020-02-01, evaluation report at



www.unep.org/eou), which was completed in 2005 and provided guidance on indicator development in four countries. UNEP-WCMC staff and participants involved with both BINU and 2010BIP were able to build directly on lessons from one in conducting the other and avoid wheel-reinvention, in particular concerning BIP outcome 3. Engagement in other GEF-funded projects such as the Millennium Ecosystem Assessment (MA) and the Inter-American Biodiversity Information Network (IABIN) was also helpful.

1.10 The 2004 CBD Decision (see above) singled out UNEP-WCMC to be the body to assist with the compilation of information necessary for reporting on achievement on the 2010 target. Decision VIII/15 in 2008 then noted the progress made in establishing the 2010 BIP, acknowledging its contribution to the preparation of Global Biodiversity Outlook 2, emphasising the need for a continuous process to implement the global indicators, and identifying an initial list of collaborating organisations. The same Decision also endorsed SBSTTA Recommendation X/5 which recommended the urgent development of the indicators identified, called for “an overall delivery plan for the indicators, data and analyses” and invited various organisations to contribute. Document INF/33 for COP8 indicated that the 2010BIP project was expected to “enable significant improvements to individual indicators and their interpretation”.

1.11 In addition to the use of the identified indicators to illuminate progress towards the 2010 target, there is a sense in which the project supports the GEF’s own need to be able to evaluate the achievement of biodiversity outcomes from its activities. (This only strengthens the logic of GEF support for the work, a fact which somewhat compounded the frustrations felt in relation to inception delays, referred to below). The GEF commissioned advice on “Biodiversity indicators for monitoring GEF programme implementation and impacts” (from UNEP-WCMC) in 2005, and the report of that work helps to inform the way in which the GEF assesses the global environmental benefits delivered by its projects. There is therefore a slight flavour of circularity in the present evaluation, in that the basis on which the impact of the 2010BIP is being judged is one of the very things the project is aiming to improve!

### **Approval and inception - harder than it deserved to be?**

1.12 The full project proposal for the FSP was submitted to UNEP DGEF in mid February 2006, revised and then submitted to GEF in May, in time for a GEF Council meeting in June. The Council considered it but deferred a decision to July, and their eventual positive decision was notified to UNEP-WCMC in early August 2006.

1.13 There then ensued a delay of almost a year until GEF CEO endorsement was secured in June 2007 and the project could be launched at SBSTTA12 the following month. This was explained mainly as a consequence of a new GEF CEO arriving in post and the subsequent alteration of GEF procedures. It also coincided with the ending of the third phase of the GEF in June 2006 and a more pressured resourcing situation thereafter.

1.14 Whether linked directly or indirectly to these factors (reports and opinions vary), the project became radically altered between its original conception and eventual approval. The original concept was for a two-phase, six-year project with \$12 - \$15 million in GEF funding, starting in 2006 and contributing to reporting on the 2010 target in 2012. What was eventually approved was a single-phase project with \$3.64 million of GEF funding, somewhat hurrying to report in 2010 (and in part even earlier). Some of the issues explored in later parts of this report stem from these beginnings in delay and shrinkage of time and money, and some lingering misalignment of assumptions about the logical time at which to assess achievement of the 2010 target. Among some of those consulted during the evaluation this left a legacy of disaffection with the GEF process, citing inertia and “moving goalposts”. One consultee felt the experience had shown a perplexing lack of responsiveness by the GEF to needs expressed in global fora by its own constituency of governments. At the same time the project proponents themselves may also have lessons to learn about scaling-back aspirations sufficiently when time and funding shrinks.

## The concept of two project “phases”

1.15 The original project proposal saw the (originally bigger) project being undertaken in two phases. Each would be self-contained but the second would build on the first. The first, from mid-2006 to mid-2009, would focus on building the Partnership, developing and delivering indicators, and synergies with other programmes. The second, from mid-2009 to mid-2012, would focus on reporting on progress in achieving the 2010 target at CBD meetings and other appropriate fora in 2010 and beyond (including the “Rio + 20” summit in 2012), and on ensuring the uptake and use of the 2010 biodiversity indicators beyond 2010. (The London “Biodiversity Challenge” meeting back in 2003 had emphasised that “efforts of the international community to reduce the rate of biodiversity loss ... and the related monitoring and reporting actions should be designed to respond to 2010 as an important milestone rather than an end in itself”; while in February 2006 the Partners meeting during the PDF-B project stressed “the importance of thinking beyond 2010 ... , particularly in relation to any renewed targets such as a new CBD strategic plan post-2010”).

1.16 The scope of the “second phase” became described later on in terms of “communications and outreach”, and this prospect was noted as a reason for the scale of resourcing for these things being limited in the project that duly became approved. Evaluation consultees differed in their view of the appropriateness of this a focus for a second phase (and also on its appropriateness as a focus for a GEF project on indicators); but it is also apparent that it was being read in different ways by different people (“putting off promotion/roll-out until after analysis” *versus* “reporting at the right time for the target and the global fora”).

1.17 Similarly the original project construct had assigned “sustainability of the programme following project completion” and “developing a sustainability strategy that plans for continuation of activities beyond the end of the 2010 BIP project” as activities for the second phase; so it is not surprising perhaps that some consultees reported not having given this enough attention during the project. In fact it perhaps *is* surprising in this light that the project has done as well as it has on these issues, and it is clear that many of the partners “went the extra mile” to make it happen (details in later sections of this report).

1.18 This issue has important implications now for the extent to which the need or scope for further project activities post-2010 has a bearing on the evaluation of the 2010BIP GEF project. Somewhat peculiarly, although the GEF latterly warned the Partnership away from thinking in terms of the two-phase construct, the project title in approved documents still include the words “Phase I”. The obvious need to think in terms of continuity beyond 2010, and the evolving attitudes to “phasing” in the GEF process, left the project with an ambiguity on this issue which never entirely went away, and which may have handicapped the re-grouping that was required when it became apparent that original funding ambitions had to shrink.

1.19 Clearly the project as funded must be evaluated on its own merits, and sustainability must be assessed on the assumption that no further GEF-funded project activities will follow. At the same time it is a mark of the project’s responsibility in this regard that it has itself been instrumental in helping to map out the opportunities that ought to be developed for necessary work on the post-2010 indicators regime, linked among other things to the new CBD Strategic Plan and targets defined for the period to 2020. For an overall judgement it makes most sense to take this (stimulated by the original “phased” thinking, although preferably leaving that terminology behind) into account.

## Some matters of scope

1.20 At the PDF-B stage, the BIP partners supported the focus on global-level indicators within the project, while noting that it should also clearly relate to national and regional initiatives. The need for information-gathering mechanisms and activities at national level to support global indicator development was also emphasised, among other things aiming to

even out imbalances between materials in different languages and between developed and developing countries. At the same time there was a demand for guidelines on using the global 2010 indicators in policymaking at the regional and national scales.

1.21 These aspects became outcome 3 of the Full-Sized Project. They were well delivered and popular among national and regional stakeholders, despite being a smaller component of the project than outcomes 1 and 2. There had however never been any very objective basis for deciding how much effort to apportion to this dimension, in the context of the primarily global focus of the indicators defined for the 2010 target. This remains as much a debating issue as ever in discussions now about follow-up.

1.22 Some of the issues that BIP had to grapple with were not of its own making, but were a function of drawbacks in some of the conceptual constructs in the 2010 target (e.g. the complexity of a “change in rate” objective, and its focus on quantity rather than quality) and in the framework of sub-targets and indicators adopted under the CBD (e.g. their terrestrial bias and the relatively low appeal of the system at national level).

1.23 While it was not a project objective to develop new wisdom on target-setting and indicator suite-defining, such wisdom nonetheless emerged, and for a number of stakeholders some of the project’s best outputs lay in this area (such as its contribution via an expert meeting in Reading, UK, in August 2009 to shaping the regime of targets and indicators for the new CBD Strategic Plan). The project is to be commended for keeping completely true to its stated goals while also finding ways to contribute its lessons learned about the targets dimension to other processes dealing with that dimension. Experience has been that targets and indicators respectively have too often been addressed by separate decision-steps and separate communities of experts, so these more coherent perspectives have been welcomed.

1.24 The point made at the 2003 London meeting that the process for assessing progress against the 2010 target should be “CBD-led, not CBD-centred” has been mentioned above, along with the fact that several biodiversity-related MEAs adopted indicator regimes that had links to the 2010 target. Several different MEAs have been part of the BIP project, but the need to avoid undue “CBD-centrism” apparently still had to be voiced several times. The role of four biodiversity-related indicators in reporting against the UN Millennium Development Goals was reflected in BIP project objectives, but the significance of this too was perhaps not always prominent in Partnership thinking.

### **No-cost extension**

1.25 Formal project documents initially referred to the completion date as December 2009, but before the first Partnership meeting under the full project in 2007, the Steering Committee agreed to amend the work plan to show a completion date of “mid-2010”, which was subsequently translated variously as either May or June 2010.

1.26 In May 2008 the project officially submitted a request to UNEP DGEF for a no-cost extension of the project to the end of 2010, on the grounds that COP10 of the CBD was always going to constitute a climax of BIP and Partner activity, and the COP had been put back later than initially envisaged, to October 2010. The extension was authorised in 2009.

### **Evaluations**

1.27 A Mid-Term Evaluation took place in late 2009 and reported in April 2010. Implementation of its recommendations is discussed in the present report. The Terminal Evaluation was contracted to begin from 1 November 2010 and report as early as possible in 2011; rapid delivery being desirable to assist in maintaining momentum in approaches for support for further work. Evaluation methods are discussed in the next section.

## 2 Scope, objectives and methods

2.1 This Terminal Evaluation (TE) was commissioned by the Evaluation Office of UNEP (as the GEF Implementing Agency for the 2010BIP project), in order to examine the impacts of the project to date and to determine the likelihood of future impacts. It also assesses project performance and the implementation of planned activities and outputs against actual results. The process is designed to assist GEF in establishing (a) whether the project accomplished what it set out to do, and deployed the resources provided appropriately, and (b) whether it has attributably made the intended net difference to global environmental conditions beyond what would have happened in its absence. It is also designed to provide feedback to project participants and stakeholders: lessons learned and recommendations are given in sections 5 and 6 of this report respectively.

2.2 The TE report sits in a chain of processes for auditing and giving assurance at different levels. Supervision by UNEP DGEF as well as project implementation is covered (see section 3K); the TE is itself reviewed in turn, and then evaluations are used by GEF's governance to assess effectiveness of the financial mechanism.

2.3 The approach taken was framed by Terms of Reference (ToR) provided by the Evaluation Office and reproduced in annex 1 of this report. Explanations of the derivation of rating scores and other methodological issues are given there. The method for the "Review of Outcomes to Impacts" analysis (ROtI) which has helped to inform sections 3A, 3B and 3C is given in annex 5.

2.4 The ToR also specified three principal questions as the focus of the evaluation, viz: Did the methodology of the 2010BIP project contribute to:

- Building a 2010 Biodiversity Indicators Partnership to generate information useful to decision-makers;
- Development of improved global indicators;
- Providing support to national governments and regional organisations in using and contributing to the improved delivery of global indicators.

These correspond to the three outcome areas of the project, and they are discussed in sections 3A and 3F.

2.5 The evaluation was undertaken by a single independent international consultant. It was commissioned to run over approximately 30 days spread between 1 November 2010 and 31 January 2011. Prior to its formal commencement however, the CBD's 10<sup>th</sup> Conference of Parties took place in Nagoya, Japan in October 2010, and the opportunity was taken to attend the conference for a few days (18-21 October) and begin work informally by witnessing project activities at the COP and interviewing a range of stakeholders. The UNEP Evaluation Office, UNEP DGEF, UNEP-WCMC and the Ramsar Convention Secretariat all assisted with practical arrangements to make this possible.

2.6 The timeframe was somewhat challenging in view of the complexity of the project, the breadth of consultations (see below) and the consultant's concurrent other commitments. There was however a desire to have the TE completed as early as possible around the formal end of the project (31 December 2010), so as to have it in hand for dialogues about the future of the Partnership and potential further work linked *inter alia* to the revised system of targets and indicators looking ahead to 2020. Ideally the TE might have been commissioned earlier so as to allow a less compressed period for consultation, analysis and writing, but in the event, adequate inputs were secured and the main squeeze was on writing time.

2.7 With delivery of the TE report at the same time as final project reports, a small caveat needs to be entered to the effect that some of the last project report material and finance data could only be available to the evaluator in a pre-final form. Another caveat is that with such a prompt TE, some project impacts may not be apparent until after its conclusion: hopefully the

approach of the ROTI analysis (annex 5) helps to anticipate what these might be, but with this project there may be a case for some kind of short follow-up review at a later date.

The multiple methods used for gathering input included the following:

- Desk review of project documents, web materials and other physical materials, including formal monitoring and accounting reports, minutes of meetings and correspondence, and including the Mid-Term Evaluation report (see annex 3).
- Witnessing project activities first hand, by attending relevant events at CBD COP10 in Nagoya (October) and a project Steering Committee meeting in Rome (December).
- Consulting approximately 160 project stakeholders by personal email, including Secretariat staff, Steering Committee members, partners, collaborators, workshop participants and beneficiaries. Free comments were invited, but to assist further, a standard set of five key open questions was also provided. A different standard set of three key open questions was given to the 50 consultees who had participated in regional workshops. A total of 21 substantive responses was received. Details of the questions and respondents are given in annex 2.
- Individual interviews with 33 consultees, lasting up to 2 hours each, in person or by telephone. Several of these were made possible by being present at the CBD COP, and some others by being present in the margins of an international workshop on ecosystem services indicators hosted by UNEP-WCMC in Cambridge, UK. Consultation visits to Cambridge were made on seven occasions. Those interviewed are listed in annex 2. A framework of over 40 questions was constructed for consultation interviews, but this served mainly as an adaptable aide mémoire, was not shared with consultees and on many occasions was not needed, so it is not reproduced here. Where necessary, subsequent questions of clarification and amplification were followed up by email or telephone.
- A special “evaluation day” for members of the project team and Steering Committee, designed and led by the evaluator and held on 13 December 2010 in Rome, back-to-back with the final Steering Committee meeting the following day (at which its outcomes were reviewed). This opportunity added considerable value to the lesson-learning and sustainability dimensions of end-of-project thinking for all concerned, and may be regarded as an extra bonus benefit of the evaluation process (as well as having fed good input to the TE itself). The agenda included presentations, discussion questions, an exercise on elements of the ROTI analysis and a self-assessment by the Steering Committee of its own effectiveness (also made available in an interactive on-line format for those who could not be present). The agenda, questions, conclusions and list of participants are given in annex 2. The SC self-assessment results helped to inform aspects of section 3H of this report, and one of the discussion questions relates directly to section 3C.

### 3 Project performance and impact

#### 3 (A) Attainment of objectives and planned results

3A.1 GEF evaluations require an assessment of overall project achievements in terms of their effectiveness, relevance and efficiency. Comments on each of these are given below.

##### Effectiveness

3A.2 The three planned outcomes of the project were:

- 1) 2010 biodiversity indicators partnership generating information useful to decision makers;
- 2) Improved global indicators implemented and available; and
- 3) National governments and regional organisations using and contributing to improved delivery of global indicators.

The project's delivery of *outputs and activities* contributing to each of these is discussed in section 3F, while the comments here summarise effectiveness at the *outcome* level.

3A.3 Concerning **outcome 1**, the project brought together an unprecedented body of biodiversity indicator knowledge and analysis by forming the BIP, which forged novel alliances and generated products that were treated as highly credible and authoritative by decision makers. A sense of shared values, equitability, brand identity and internal technical cross-fertilisation were not always optimal, and levels of participation varied widely (often determined by funding), but particularly in the second half of the project this large and complex organism (and ambitious construct for a GEF project) was well-managed, coherent and spirited, and it delivered impressively to tough deadlines. Most partners felt the value of joint efforts, and positive relationships built by the project are persisting into the future.

3A.4 Weaknesses in communication strategy ultimately had little effect on the quality of information outputs. The project delivered the first empirically-synthesised global assessment that the 2010 biodiversity target was unlikely to be met: uptake was good, key messages appeared to be received in the manner intended and the work was subject to remarkably little technical questioning. Reaching beyond the “biodiversity community” remains a challenge, but the purchase achieved in the UN Millennium Development Goals reporting system, and the project's “integrated indicator storylines” work are both important steps in a good direction (the latter of which could not have been achieved without the partnership construct).

3A.5 Concerning **outcome 2**, the CBD indicator framework left much to be done before it could function as a full measure of the 2010 target, but at the same time it constrained the scope for conceptual innovation by the BIP. (The project astutely contributed lessons on this for other processes, without diluting its own work). Indicators with a strong existing institutional “home” would have been implemented without GEF support, but the project gave important help to others, and crucially provided the means to knit together an overall picture. Priorities could have been clearer, and scientific quality assurance ended up (luckily) coming from journal peer-review when the project's own mechanism for it failed; but the Partnership used its wealth of expertise well to share and advance methodologies and scientific standards. Of the 34 indicators, 19 (56%) are reported as having been strengthened during the project.

3A.6 The formulation of **outcome 3** was a creditable response to enthusiasm for national capacity-building, but there are conceptual challenges in integrating this into a project about an indicator system designed to function at global level. The element of “national contributing to global” proved difficult to achieve (few of the indicators rely on data reported at the national scale) and emphasis went instead on global support for national/regional use. Not all of the global 2010 indicators are applicable at other scales however, and the project chose to focus on national priorities largely without reference to the 2010 target. The Steering Committee re-worded the planned outputs to reflect this reality, but did so retrospectively

after the work was finished. The evaluation has had regard both to the stated intention and to the approach taken in practice, but it would have been better to formalise a change earlier on.

3A.7 All that said, what became known as the “global-national linkages” part of the project delivered high-quality products with strong uptake, glowing user feedback and a future “shelf-life”. With a proportionally small budget supplemented by leveraged funds, capacity-building activities had impressive success in catalysing new understanding and collaborations among indicator producers and users in 45 countries, including beyond the biodiversity sector. Although data availability remains a key limitation and support did not extend to improving that, appropriate indicator methods appear to have been applied in useful ways with new confidence, linkages and commitments. This appears likely to endure and is replicable.

3A.8 The project’s **immediate objective** was: “Decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level”. The chain of steps implied by this is discussed in the Review of Outcomes to Impacts analysis in annex 5. The Mid-Term Evaluation cited “effective communication of findings” as *the* key driver of impact-level results, and the assumption is that better information leads to better decisions. Testing this requires evidence not only of decision-makers becoming better informed (taking up information provided and assimilating it), but as a consequence *decisions themselves* being better informed (more fully or logically reflecting knowledge, being implementable in more effective and verifiable ways, etc).

3A.9 The 2010BIP generated excellent information and worked hard to promote its uptake. There is normally huge redundancy in such “supply-side” processes, with broad coverage being seen as success in the hope that meaningful penetration will occur in enough of the right places. Good thought was obviously given to tailoring and targeting in terms of audiences; but redundancy could potentially have been reduced further by each set of indicator findings being directed towards a specific named policy response mechanism or decision-opportunity. The clearer/tighter these linkages are, and the shorter the “feedback loops” from monitoring to responses, the more effectively will indicators meet recipient needs and contribute to biodiversity status improvements. There are post-project opportunities to make more of this, for example in global links between science and policy (IPBES), next-generation national biodiversity plans (NBSAPs) and multi-sector reporting (MDGs).

3A.10 The key instance where there is already evidence of the full chain from better information to better decisions is in the project’s impact at the CBD Conference of Parties (COP10) in Nagoya, Japan in October 2010. The scientific and technical consensus built by the 2010BIP undoubtedly enhanced the authority with which decision-makers were able to use indicator information in making decisions in favour of biodiversity. BIP information in the scientific literature and in the Global Biodiversity Outlook was a trusted source of guidance for governments and international institutions on the shortfall in meeting the global 2010 target and on methods of measuring biodiversity status. This visibly fed into significant decisions by the CBD Parties at the COP, in particular the adoption of a new Strategic Plan with improved targets.

3A.11 The project’s **development objective** was: “A reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity”. This is inherently realisable only well after the project’s end - responses to conclusions about the extent to which the 2010 target was met would not be expected to be fully formulated until late in 2010 at the earliest, and to take effect only some time after that. Such an approach is fully legitimate in GEF terms. The 2010BIP, however, was only ever designed to provide tools for others to achieve global environmental benefits, rather than seeking to achieve those benefits directly itself, and it could be argued that reduction in the rate of global biodiversity loss was an over-ambitious yardstick against which to be judged. That said, explicit forward linkages to its achievement are evident, enabling a positive rating.

Table 3A-1. Summary of ratings for overall likelihood of project impact achievement  
- from Review of Outcomes to Impacts analysis (see annex 5)

Outcomes	Rating	Intermediate states rating	Impact Rating	Overall rating
1. A 2010 Biodiversity Indicators Partnership generating information useful to decision-makers	A	A	-	AA = “highly likely”
2. Improved global indicators are implemented and available	A	A		
3. National governments and regional organisations using and contributing to the improved delivery of global indicators	A	B		

## Relevance

3A.12 Conformity with GEF strategic priorities as they existed at the time was confirmed at project approval stage. The eventual outcomes duly addressed all the points of relevance noted in the GEF STAP review of the project, by addressing in particular GEF’s fourth strategic priority for the biodiversity focal area (BD-4) concerning the “generation and dissemination of best practices for addressing current and emerging biodiversity issues”, specifically by (a) improving understanding of the extent to which biodiversity targets are being met; (b) providing information to support prioritisation and other aspects of decision making; (c) cross-relating indicators relevant to different focal areas and other sectors; and (d) promoting and facilitating development of complementary indicators at other levels. The project was also deemed to be relevant to and consistent with GEF Operational Programme 1 (Arid and Semi-arid Ecosystems), OP2 (Coastal, Marine and Freshwater Ecosystems), OP3 (Forest Ecosystems), OP4 (Mountain Ecosystems), OP12 (Integrated Ecosystem Management) and OP13 (Conservation and Sustainable Use of Biological Diversity Important to Agriculture). As mentioned in section 1, there is a sense in which the project has supported the GEF’s own need to be able to evaluate the achievement of biodiversity outcomes from its activities, thus strengthening the logic of the Facility’s support for the work. See also comments on country-drivenness in section 3E.

## Efficiency

3A.13 The management effort needed to develop and operate a kaleidoscopic partnership such as the 2010BIP cannot be underestimated. The complex architecture inevitably gave different views on cost-effectiveness from different perspectives, since standards (and stakes) varied across the partners. There were some inevitable risks of perceived fruitless expense in a few instances where indicator development work was effectively feasibility research that did not necessarily generate data products, but the approach taken appears to have been judicious and justified, if not very clearly prioritised (see section 3F). The commonest complaint from partners in fact was being asked to do too much for too little: while this may indicate poor control of aspirations, it suggests no profligacy! Outcome area 3 (global-national linkages) was especially cost-efficient. As discussed in sections 3H and 3J, from the evaluation’s perspective overall the project was run with (for its size) a fairly streamlined, “light touch” and distributed management model, and overhead costs were proportionate to its size. Apart from some aspects of partner sub-contracts, financial controls were robust; co-funding significantly exceeded targets and the project came in on budget (see section 3J).

3A.14 Both the Executing Agency and the partners brought experience from other projects to bear, and the Partnership construct offered intrinsic (but probably under-utilised) multiplier effects. Major externally-imposed time reductions at “both ends” of the project did not derail it - obviously more could have been done with more time, but these pressures served only to galvanise doubly efficient effort: while not recommending this as a stimulus, it is nonetheless the case that end results were widely praised as “very impressive in the circumstances”!



### 3 (B) Sustainability

3B.1 Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts (not activities) after GEF project funding ends. The Review of Outcomes to Impacts technique (ROtI) has particular relevance to this, and a ROtI analysis for the 2010BIP project is discussed in annex 5 of this report.

3B.2 The present section addresses sustainability in two ways. First is the question of what self-sustaining legacy would continue after the project, assuming no further project activity takes place (evaluation guidance does not specify any particular time-horizon for this). Evaluations are asked to address four areas of risk to this sustainability: financial, socio-political, institutional and (if applicable) environmental.

3B.3 Second, this project has itself prepared foundations for specific further activities to be undertaken as follow-up project work. The Biodiversity Indicators Partnership is a partnership supported by the GEF but is more than the GEF project alone, and there are at least some commitments to its continuing after the GEF project ends. Given this, the evaluation has perhaps paid more attention than usual to mapping out the thinking that has been done so far about this. Moreover, since the original project concept was for “two phases” of GEF funding (see section 1), although GEF thinking ultimately evolved away from supporting that approach, strong concepts for follow-up were already in view (including in relation to the global regime of biodiversity targets and indicators due to succeed the “2010” regime). Consultations for this evaluation therefore explicitly covered questions on “what next for the BIP after 2010”? and these are discussed in the second part of this section below.

#### The legacy if there were no further project activity

3B.4 The original two-phase project plan cited “sustainability of the programme following project completion” as something to be secured by the second phase. The residue of this thinking in the minds of some key players was said to have led to their giving less time to considering sustainability in the eventual “single-phase” GEF project than they otherwise might: but no lasting disadvantage of that is apparent.

3B.5 The Partnership meeting in June 2009 included an exercise on visualising alternative scenarios (dubbed “heaven” and “hell”) for a trajectory to the arbitrary future year of 2013. One output was a list of “actions to avoid” and “actions to adopt” to ensure sustainable project outcomes. Progress with the “actions to adopt” therefore offers a kind of self-defined indicator of likely sustainability. Together with some crude evaluator comments on the position at project-end, these actions are shown in table 3B-1 below.

Table 3B-1. Actions to ensure sustainability, as defined by BIP Partners

Actions to ensure sustainability to 2013	Evaluator comment
Regular outputs, emphasising different aspects of indicator suite	Build-up of outputs towards later parts of project, and growing delivery of the “different aspects”
Increased interaction through regional and global workshops	Regional coverage limited, but catalytic spread of interactions evident at both levels - see section 3C
Successful national level engagement	Country alignment (= “tacit engagement”) ok in global fora; national engagement ok in the target places but their number is limited, and country relevance not always strong – see section 3E
GBO3 widely read and coherent	Successful
Engagement with MEAs	Some very good, others weaker and overall could probably be more coherent
Partners willing and committed	Variety of positions but overall very strong
Funding available	To be resolved: see “financial risk factors” below

3B.6 An aim of the project was to ensure that the suite of 2010 biodiversity indicators was incorporated into relevant policy planning and programmes of work, and sustainability was

thus an integral goal in that way. At the level of individual countries and institutions this is partly dependent on technical factors and partly on psychological factors.

3B.7 Technically, the project has bequeathed a strong legacy of methodological guidance and documented experiences to learn from, including examples and collective lessons on effective communication of indicator stories. There is also an accessible archive of time-series data for each indicator which can be drawn on and used in a variety of ways by anyone without necessarily needing central support. The shelf-life of “results” outputs (e.g. published analyses geared specifically to the status and trends position as at 2010) may be less, but on the other hand these outputs should have an important role as baselines or benchmarks for future comparisons, and thus in principle could have an equally enduring life. “On-call” technical support and a future feed of “news” about the world of indicators from the centre is not provided for, but there is an interim commitment to provide at least basic maintenance of the BIP website, and further translations of some of the as-yet untranslated materials. Some joint technical work such as the development of integrated storylines on water and wetlands is continuing into 2011 under the BIP brand, showing one way for the Partnership to have an identity and an active programme that grades into a post-GEF project phase.

3B.8 The regional workshop element of the project (outcome area 3) deliberately excluded any funded follow-through component, aiming to bequeath a process which could be replicated without creating an external dependency. Alternative stimuli for carrying things forward were identified, such as the need for countries to populate their 5<sup>th</sup> national reports to the CBD. This therefore touches on the more psychological category of drivers. Those directly involved with the BIP development work are likely to use the indicators they developed, as they are psychologically invested in doing so. “Novelty value” may wear off after a time, but the project showed the routes for using indicator results as feedback to adaptive management, and that should provide a more enduring incentive for maintaining effort. There is also an incentive to achieve more positive results where more information is reported, which in turn reinforces the generation of information. In one participating country (Uganda) this kind of link was also made to personal performance assessment.

3B.9 The other psychological driver is peer-reference, and the notion of mutual expectations and a shared orthodoxy. Here the creation of the Partnership itself is a strong basis for sustainability. Partners (and regional workshop participants) now network independently among themselves on the indicators agenda in new ways that were facilitated by the project but are not dependent on it. There is likely to be a mixed future for this, with some instances continuing for specific reasons and others likely to taper away unless reinforced by some centrally-refreshed information services, troubleshooting or encouragement. What is perhaps most significant though is that the definitive credentials of the Partnership and its outputs provide a new platform of confidence for individual and joint efforts which thereby have a better chance of persisting and having long-term impact than they would have done otherwise.

### **Risk factors: financial**

3B.10 UNEP-WCMC and the BIP Steering Committee have committed to continuing the Partnership in some form after the GEF project ends, and there is a widespread willingness among the Partners to do so. Many of the organisations involved are likely to continue working on the indicators for which they have specific individual roles, but the scale of what may be possible on a joint basis is highly dependent on what further funding investment can be secured. Several of the partners themselves are potential funders, and the fact that co-financing for the GEF project exceeded targets by factor of 2.5 (see section 3J) is an encouraging sign. Some public pledges have been made already (e.g. the European Commission); but it may again take a major investment of core resourcing from somewhere to provide a sufficient rallying-point for a collection of different contributions. There remains a need for collective resourcing of joint efforts in particular to coordinate technical consensus, manage integrated datasets and compile synergistic cross-sectoral findings.

3B.11 It is in some ways incongruous that recurrent time-series tracking of biodiversity status by reference to intergovernmentally-adopted policy goals is not automatically integrated into the on-going core resourcing of the bodies adopting those goals. Indicators work in this sense is an inherently programmatic thing, and the fact that it remains so project-dependent is a vulnerability in itself.

### **Risk factors: socio-political**

3B.12 The project's outcomes and impacts are tied to well-enshrined intergovernmentally mandated processes, and socio-political risks to sustainability are small. Although the year 2010 ostensibly marked a culmination of "2010 target"-related initiatives, given that the target concerns change in a rate of change, a full assessment of it can only be made some time later; and more importantly the indicators are fully relevant both to the successor regime (2020) and other linked regimes such as next-generation National Biodiversity Strategies and Action Plans, reporting on the Millennium Development Goals (2015) and reporting to MEAs (open-ended). The project itself has helped to expand the "market" for collaborative indicator products, by increasing their reliability, influence and utility. The depth and breadth of socio-political engagement at national government level however could be harder to sustain. That said, the level of media coverage of BIP products during 2010 showed that public interest in information about the condition of biodiversity remains high. Past tensions within the Partnership regarding ownership and equitability of resourcing are now essentially water under the bridge, and should not constitute a risk to sustainability of the project's results.

### **Risk factors: institutional**

3B.13 The 2010 indicators were chosen so as to build on robust knowledge systems already embedded in communities of interest in existing institutional structures: this significantly enhances the expectation of sustainable future continuation of relevant frameworks, including as a "home" for data archives. Each partner's relationship to the shared effort is different, and while there are some whose continuing indicator work will continue to be linked unquestioningly to the BIP, there are one or two who feel they have made their contribution and are now likely to carry on in a more detached way (unless resourced to do otherwise). The question of which institution is best-placed to provide global partnership coordination on biodiversity indicators was in some stakeholders minds in the early days of the project (considering for example the position of IUCN), but nowadays UNEP-WCMC's role in this is well accepted and is reinforced by MEA decisions etc; although some diplomatic sensitivity around these things will always be wise.

3B.14 Institutional systems for quality assurance for the indicators were cited in the Mid-Term Evaluation as a source of risks to sustainability, but since then, the issues (peer-review and the role of the Scientific Advisory Body) have been solved in other ways. Governance and policies on data ownership are evolving all the time, and while not considered a specific risk to sustainability, it would be wise to maintain vigilance in this area. Although there are key global mandates giving a context for sustainable use of indicators as referred to above, some of their details are still subject to political negotiation which makes for some unknowns, but poses no significant risks to institutional sustainability. At the national and regional level the picture of agencies prepared to act as post-project champions is much less complete: national government-funded and mandated bodies are the best bet and some are engaged; but others require to be identified throughout much of the world.

### **Risk factors: environmental**

3B.15 Environmental risk refers to factors in the physical environment which could jeopardise future flows of benefits from the project, and is relevant to GEF projects that may for example involve on-ground habitat management. In relation to the 2010BIP project there are considered to be no risks of this kind.

## Preparations and opinions regarding further work

3B.16 Part of the special “evaluation day” convened with the BIP Steering Committee (SC) in Rome in December 2010 reviewed thinking on future options for the continuation of the Partnership and its work (see section 2 and annex 2), in a context of ensuring sustainability. A commitment had already been made by key partners at the June 2010 SC meeting that the Partnership should continue; therefore it was not a question of “if”, but “when and how”. Table 3B-2 below presents a bullet-point summary of the key thoughts distilled from this and from other extensive consultee input on the question.

Table 3B-2. Summary of evaluation consultee and Steering Committee views on priority activities for following up the 2010 BIP GEF project

<b>Completing/ capitalising on what is already there</b>	<ul style="list-style-type: none"> <li>• Maintaining the Partnership - unanimous support for this; but not unanimous willingness to participate (need to learn some lessons about managing expectations)</li> <li>• Maintaining the collaborative networking connections created at national and regional level</li> <li>• Maintaining the website</li> <li>• Further dissemination of intelligence - scientific papers etc</li> <li>• Providing liaison (and coordination?); and a “hub” for sharing data (increasing access) and knowledge</li> <li>• Need to secure good continuity of contact-points</li> <li>• Broadening Partnership links to other types of players (e.g. the development banks?), more engagement of government statisticians, the earth observation community etc</li> <li>• Continuing the development of those indicators not yet fully functioning, and/or filling data/analysis gaps</li> <li>• Tighter linkage to specified policy and decision-support “destinations” for indicator results</li> </ul>
<b>Recognising and delivering to MEA mandates</b>	<ul style="list-style-type: none"> <li>• Building on existing mandates for global indicators work and acknowledgements of BIP by several biodiversity-related multilateral environmental agreements</li> <li>• Interpreting and building on new CDB mandates for the 2020 regime (see below) and on indicators for CBD’s Resource Mobilisation Strategy</li> <li>• Serving MEA joint work plans, synergy and harmonisation agendas</li> </ul>
<b>New stories</b>	<ul style="list-style-type: none"> <li>• Further developing new levels of collaborative skills in putting across the stories about what indicator results are telling us</li> <li>• Integrated indicator storylines are proving popular: work on the water/wetlands example continues into 2011 - especially important to continue with angles like these that cannot properly be done without the Partnership construct</li> <li>• Producing different “cuts” of indicators (e.g. thematic or geographical disaggregations) for specific purposes; back-casting and mining further into existing data sets</li> <li>• More on ecosystem services, resilience etc</li> <li>• Reaching other sectors</li> <li>• More outreach (one original concept for a “2<sup>nd</sup> phase” project was to major on communication; but views on this are divided)</li> <li>• Tackling challenges relating to uncertainties, non-linear/threshold change, interactions between drivers, connections between scales</li> </ul>
<b>The 2020 targets and indicators agenda</b>	<ul style="list-style-type: none"> <li>• An agenda to link with the newly-agreed global “2020” targets (including expert advice on shaping and operating relevant systems of indicators): “it would be mad to dissolve BIP then have to re-invent it”</li> <li>• Providing necessary input and support for processes such as the CBD Ad Hoc Technical Expert Group on post-2010 indicators, the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services, MDG reporting, Rio + 20 etc</li> <li>• An agenda to link with the new generation of NBSAPs and national</li> </ul>

	reports to MEAs, including the 5 <sup>th</sup> national reports to CBD (including guidance, but more thought needed on how best to support countries)
<b>National and regional capacity</b>	<ul style="list-style-type: none"> <li>• Widespread (but not unanimous) support for shifting the centre of gravity from global to national and regional level. But is this the job of a global project? Spreads resources more thinly; and doesn't give the "big picture".</li> <li>• Global-national links are more of a priority than national level <i>per se</i></li> <li>• Guidance, toolkits and other forms of capacity support, especially for <i>analysing</i> data; south-south learning?</li> <li>• National reporting requirements (see above); potential harmonisation and on-line reporting tools for national results of indicators to feed to MEAs</li> <li>• Communications and outreach support</li> <li>• Working more with regional organisations as the key to country engagement</li> <li>• Linking each indicator to NBSAP targets and specific policy response options in individual countries</li> </ul>
<b>Identity</b>	<ul style="list-style-type: none"> <li>• The BIP Partnership is more than the GEF project, so continues in being</li> <li>• Re-emphasise that the scope is wider than the CBD</li> <li>• Maintaining the brand identity, though drop "2010" from the name; web domains other than "twentyten" (e.g. "biodiversityindicators") already acquired; logo options being examined by SC</li> <li>• Refresh Partnership shared aims and terms of engagement</li> </ul>
<b>Mainstreaming</b>	<ul style="list-style-type: none"> <li>• "If the global community sets itself targets, it has to will the means for measuring and reporting on them"</li> <li>• Seeking sustainability by moving beyond project-dependency: a vision of indicators and reporting being part of the core funded programmatic business of MEAs, REIOs etc, with continuing support from a partnership of expert bodies</li> </ul>
<b>Funding options</b>	<ul style="list-style-type: none"> <li>• Seeking a more diversified funding base</li> <li>• The GEF must logically be considered again, in the context of relevant CBD COP10 decisions, and also the fact that a further project on the issues above would support the GEF's need to evaluate the biodiversity outcomes of its own activities. Advice is to propose another Full-Sized Project, and also to look at country capacity-development avenues.</li> <li>• The European Commission has committed to exploring possibilities for a funding contribution from the EU to support future BIP work, and has called on others to do likewise</li> <li>• UNEP-WCMC has identified some national governments preparing to fund new studies in 2011 on biodiversity indicator development and use</li> </ul>

3B.17 On the day following the workshop described above, the formal meeting of the Steering Committee confirmed that the SC would continue in being beyond the end of the GEF project because it has a continuing job to do in steering business concerning the existing Partnership, and several future action points were agreed. One of these was to seek to roll forward the formal end-point of the BIP GEF project (at no extra cost) to some weeks after the end of 2010, probably to March 2011. It was also agreed that in continuing the Biodiversity Indicators Partnership beyond that point, a number of aspects would need to be attended to in the short term, such as formally inviting Partners to continue, revisiting Partner terms of engagement, possibly adding new Partners, searching for funds, updating the BIP branding, arranging to keep the website maintained, updating the terms of reference/constitution of the SC, and elaborating the content of future work, including linking with the 2020 targets via the CBD AHTEG (see above) and other processes.

### 3 (C) Catalytic role and replication

3C.1 The GEF seeks to invest in activities which are innovative and lead to take-up by others, broadening ultimate impacts. The criteria by which this is evaluated are given in annex 1. By its nature the 2010BIP is unique and global in scope, and the project had a timeframe tied to the externally-determined biodiversity milestone of the year 2010, so the project itself would not be expected to be replicated in the strict sense. Its approach and the methods it has developed however are replicable in several ways, and it has proven to be catalytic in institutional and technical terms, as well as having contributed to a strengthening of the “enabling environment” that helps these benefits to be broadened and sustained in the longer term. The full extent of this will be better judged at some later date; but in the meantime the analysis in annex 5 of the present report helps with anticipating what is likely.

3C.2 Co-financing is excluded from the definition of catalytic effects in this context and is covered instead in section 3J and annex 4. The project has however been catalytic in financial terms beyond this, in the sense of the Partnership created by BIP having a continuing life beyond the 2010BIP GEF project, and some mandates and firm intentions already being apparent as a basis for resourcing of further work, as discussed in section 3B.

3C.3 Project outcome area 1, building the Partnership, has created an institutional infrastructure which is conducive to catalysis of replicable effort beyond the project itself; and forward links to relevant decision-making processes have been strongly ensured. There is a particularly large multiplier effect in the case of partners who are themselves federations or networks, such as IUCN, BirdLife International, the EU bodies (EC and EEA) and ASEAN, and of course the participating MEAs. There is even some suggestion that approaches in one part of the world (e.g. the EU) have spread to others by virtue of jurisdictional connections through the overseas territories of individual countries. The Partnership also opened some new channels for biodiversity-related indicators to be applied in other sectors. At the same time some consultees saw missed opportunities in this regard, for example better linking data agencies with management authorities, and even cross-fertilising better among UNEP-WCMC’s own portfolio of projects. The catalytic appeal of the BIP was also evidenced by the fact that additional partners sought affiliation with the project as time went on (two in 2007, two in 2008, three in 2009 and ten in 2010, with three others having partly completed the process at the time of writing).

3C.4 Project outcome area 2 (on indicators and reporting) was designed to provide tools for others to achieve global environmental benefits, and was thus inherently catalytic in that sense. Other parts of this report document the evidence of positive uptake of the indicators and the results reported from them in intergovernmentally-mandated arenas of action. The project has also been influential in shaping a global biodiversity indicators framework to be used after 2010, and has prepared the ground for improved replicability in future global “outlook” assessments. By their nature, indicators need to be replicable from one place to another and from one time to another in order to standardise comparisons and reliably reveal status and trends. The project has assured this by its processes for peer consensus and by documented guidance on methods, including the integration of groups of indicators into indices (enhancing their transferability between contexts).

3C.5 Outcome area 3 (global-national linkages) had low success in replicating global indicators for use at other scales, though did slightly better at using national material in global processes. At the same time it showed good signs of “lateral” replication of experience among different countries, as well as signs of this continuing further beyond the project; and it has built new channels of liaison for this kind of “ripple effect”. Guidelines and other outputs were cascaded effectively through catalytic key players at regional and national level, leaving a legacy of policy-relevant action commitments.

### 3 (D) Stakeholder participation and public awareness

3D.1 Generic evaluation ToRs rightly prompt a discussion of these issues by suggesting a dedicated report section to cover them. In the case of the 2010BIP they are the core purpose of five out of the six project outputs: 1.1 (building a partnership), 1.2 (communication), 2.1 (peer-review and information sharing) and 3.1/3.2 (national and regional capacity). To avoid duplication therefore in the present case this section largely invites cross-reference to other parts of the report which cover these issues in more depth (principally section 3F).

3D.2 Output 1.1 (building the partnership) is inherently about stakeholder engagement and is reviewed in section 3F. One reflection on it here would be that the balance of types of stakeholder, in the sense of specialist interests, was to a large extent pre-figured by the CBD indicator framework and associated mandates. The project had more freedom however in stratifying types of partner by levels of engagement, and it developed a workable concept for this, although (perhaps inevitably) the implementation of it was not to the full satisfaction of all. The emphasis was perhaps slightly too much on partners being contributors to the process and less on the role of some of them at least (e.g. the MEAs) as end-users. The project was also better at technical coordination than the engagement of (for example) governments at a policy level. Some of those outside the Partnership were not prevented from developing a misapprehension that it was an “exclusive club” (it was not, as evidenced by the joining of affiliates etc at a variety of times after launching; but the misapprehension is unfortunate).

3D.3 All that being said, the foundations on which this project rested were not simply technical or managerial, but rather it was of its essence about working relationships between people, and its challenges were as much about excellence in diplomacy as in science. In general it negotiated some minefields in this respect with great aplomb, and had a culture of mutual support and adaptive learning from the start.

3D.4 Some issues of governance and stakeholder representation are covered in section 3H. The Steering Committee was important in this, and the results of a self-assessment of its own effectiveness (initiated by this evaluation) are given in that section. SC members, as a cross-section of project stakeholders, made a significant voluntary time-commitment to its work. Asked to score the degree to which they agreed with the statement “My engagement with the SC was as comprehensive as I would have liked”, those responding gave scores whose average represented 78% of the possible maximum. One consultee suggested that some strains in the project such as that caused by the delivery timeframe for the Global Biodiversity Outlook (covered elsewhere in this report) could have been better managed by stronger engagement of the CBD Secretariat in the SC (which is taken to be a comment about both sides of that equation). Notably the SC also included representation by the GEF Secretariat.

3D.5 Output 1.2 (communication) is inherently about awareness and is reviewed in section 3F. This includes reference to user needs surveys, and to outreach products such as the project’s websites, newsletters and presentations in relevant fora. Audience segmentation was discussed in various project processes but there was little focus on awareness among the “public” in the broader sense; although impact in the popular media at times was good.

3D.6 National-level involvement was the focus of the project’s outcome area 3 and is discussed further in section 3F of this report. The SC considered with hindsight that there should have been earlier engagement of people at this level; although ultimately (in parts of the world) it represented a strong project achievement. The Mid-Term Evaluation’s criticism of gaps at this level in Africa was rebutted by the Secretariat by reference to the leveraged BICSA project (see section 3F), although the MTE’s point was also partly about engagement of national stakeholders in project *design*.

3D.7 Finally it was noted that engagement of sectors beyond biodiversity was small (though not absent). Although not a primary aim, better involvement of the business sector in particular might have helped e.g. with making the process optimally “storyline-led” (see 3F).

### 3 (E) Country ownership and drivenness

3E.1 The GEF operational principles state that “the GEF will fund projects that are country-driven and based on national priorities”, and (in relation to GEF projects on biodiversity) the Contracting Parties to the Convention on Biological Diversity have recently stated that they seek “genuine country ownership through greater involvement of participant countries”. The evaluation is therefore asked to assess the level of country ownership and commitment in the project. It is more difficult to highlight these principles in a strategic, global-level project such as the 2010BIP than in some others; but nonetheless they did feature, in two main ways.

3E.2 First, the project objectives are tied to the framework of indicators and associated needs defined by decisions of the Parties to the CBD (see discussion of mandates in section 1 of this report). Thus, not only was the project a response to nationally-defined priorities, but those priorities are a consensus expression of common shared priorities among a majority of countries in the world. On this basis, country ownership and drivenness would be seen as high.

3E.3 Second, the “global-national linkages” activities of the project (outcome area 3) were specifically designed (among other things) to serve the national needs of the 32 countries that participated (and the 13 additional countries participating in the parallel UNDA-funded BICS project in Africa, considered as leverage from the 2010 BIP project). The definition of specific national needs was itself an element of this part of the project. On this basis, not only could country ownership and drivenness be seen as high in relation to these 45 countries, but also the additional element of their “involvement” (referred to in the CBD COP quotation given above, albeit from the 2010 COP) could also be seen as high.

3E.4 Further details of outcome area 3 are discussed in section 3F. Although the project was focused more on technical cooperation than engagement of “governments” as such, it is reasonable to consider that the engagement of national representatives in these activities approximates to engagement/ownership by “countries”, since although types of representation varied, in many cases it involved lead government agencies or catalytic individuals in relevant multi-partner cooperative efforts. The fact remains however that the countries involved were a minority of CBD Parties, and in budgetary terms this was a minority component of the overall project. It is also the case that the original vision of a coherent and balanced “bottom-up” and “top-down” interaction between global indicators and national priorities did not turn out to be the reality, and if anything this part of the project served national priorities well at the expense of reducing emphasis on coherence with the global framework.

3E.5 Some evaluation consultees felt that a mis-match of perceptions remained at the end, and national interests were not yet sufficiently perceiving the usefulness to them of the global indicator context (while others felt that this was in any case something of a false quest). A worldwide study of National Biodiversity Action Plans and Strategies by former SBSTTA Chair Christian Prip for the United Nations University (UNU-IAS, 2010) showed that NBSAPs made scant reference to indicators and no reference at all to global indicators; although many of these plans pre-date the indicator suite and a judgement on this might more properly fall to the next generation of NBSAPs under the new CBD Strategic Plan (2011-20). The same study showed some examples of CBD 4<sup>th</sup> National Reports using the global indicators as a basis for national performance assessments, but no link with the 2010BIP in these cases was apparent and they appear to be the exceptions.



### 3 (F) Achievement of outputs and activities

3F.1 Section 3A above reviewed the three outcome areas defined for the 2010BIP project. The outcomes are based on 27 activities and 6 outputs listed in the project's logical framework, and these are reviewed below. During the project the Secretariat periodically assessed the percentage completion of each activity, and by mid-December 2010 regarded all as 100% complete, except for a final survey of users. The UNEP-DGEF Task Manager rated indicators for each output annually on a six-point scale: while some scored low in early phases, by 2010 the average of the indicator ratings for each output was at or close to the maximum, except for one which was given the next-highest rating. This is noteworthy given that the Mid-Term Evaluation report in early 2010 commented "The project is still at a stage that it could, in a worst-case scenario, be considered to have substantially underachieved by the end of 2010". The overall rating from the Terminal Evaluation is given in section 4.

A list of the activities for each output can be found in Table A4-3 in annex 4.

#### **Output 1.1: Working partnership on 2010 indicators established and maintained**

3F.2 Although the composition of the 2010BIP Partnership was to some extent pre-figured by the framework of headline indicators adopted under the CBD, the metrics for each were not specified, so choices remained. Some felt the Partnership was somewhat "exclusive", but others praised the forging of novel alliances, and new partners did join as affiliates/associates throughout the project. Organisations with strengths in different sectors such as agriculture, forestry and social sciences were included, but marine interests were less well engaged. The Partnership linked together some of the best of governmental, non-governmental and academic perspectives, but drew less on the business sector. Overall the scale (40 partners and over 30 affiliates/associates) and the broad mix gave good balance and authority to the project's work. There was a little initial confusion about the partner categories, and aspects of the rules of engagement in general took some trial and error to work out.

3F.3 The most challenging of these was the allocation of GEF funding among the different partners, according to the indicator development and implementation work they were to do. Part of this stemmed from the mis-match between the \$1.75M available and the \$16M-worth of work that partners had proposed, and from their expectations probably not having been sufficiently re-managed when the initial larger project concept was reduced in 2006. Part of it appears also to be attributable to insufficient clarity as to the allocation rationale employed, or, more accurately, insufficiently repeated reinforcement of that rationale. Breaks in the institutional memory of this caused by staff turnover did not help. Not all partners agreed with the priorities for support, whereby some of the most significant players received least support as their indicators were regarded as already well developed. Some of those who agreed with the principle perceived that it had not been applied fairly, and one or two drew back from the project and/or harboured an enduring disaffection with it in this respect. These issues could have been managed more incisively, but ultimately the Partnership moved on, focused on the bigger picture and thrived healthily enough.

3F.4 Coordination of such a large and heterogeneous "organism" as the 2010BIP cannot be other than complex, with partners of different roles, sizes and competences all having different needs. Views differed on the quality and relevance of the content of Partnership meetings, but they were successful at providing cohesion and interchange, and managed to avoid pitfalls of confused allegiances among the "network of networks" matrix that BIP became. The Secretariat worked hard to tailor things to the mix of perspectives involved, but some partners felt that coordination needs could have been better serviced, particularly in relation to awareness in each specialist area of what progress was being made in the others, and exchange of lessons learned along the way. Partners (and perhaps funders) may have under-appreciated the resourcing required for coordination, causing UNEP-WCMC to be slightly self-consciousness about spend on "bureaucracy"; but it is well justified if an enterprise such as this is to be effective. (See also section 3H).

3F.5 Some partners did not have as much of a sense as they had hoped of working in common cause, and some external bodies continued dealing as they had done before with individual partners without adequately recognising the BIP context. Partners themselves did not always make good use of BIP connections and opportunities to recognise the brand, and perhaps inevitably, engagement was often less where funding support was less. The achievements of any partnership however tend not to grow in a linear fashion but to jump forward when some threshold or “critical mass” is achieved. Most consultees saw importance in belonging to the joint effort, and gained the benefit at threshold moments when shared work plans were agreed, gaps were spotted, wheel-reinvention was avoided or their own story was woven into a bigger one. Visible outputs such as side-events at MEA meetings and published results helped to gel the partnership in a sense of collective strength.

3F.6 Success in such things depends on being motivated to participate by perceiving cost-effective added value, but also having a sense of confidence, trust, moral support, excitement and reputation. The creation of these intangible factors is hard to evaluate objectively, but it is central to the achievement of output 1.1. The vast majority of subjective evidence collected by this evaluation is that BIP did very well on this front. One indirect measure of this is the extent to which partners pulled together and “went the extra mile” in the project’s final 18 months to deliver impressively for the sake of shared goals. Another is the sign that positive relationships built through BIP will continue in future (see section 3B on sustainability).

### **Output 1.2: Communication strategy meeting user needs prepared and implemented**

3F.7 Unlike their development, communication of the 2010 indicators was not directed by any CBD mandate. It had an uncertain start in the BIP, having originally been seen as something to be attended to in the “second phase”. A Communication Strategy formed part of the Project Document: it was expanded in December 2007 and supplemented in January 2010 by a Communication Plan for International Year of Biodiversity (2010). There was an emphasis on unified identity-recognition for the BIP, and some rather general intentions concerning promotion of indicator information through publications, web materials and the media. Attempts to demarcate responsibilities of the partners and the Secretariat were not very successful, and Terms of Reference and Letters of Agreement were at odds as to whether communication of outputs by partners was required: no serious problems arose in relation to indicator information, but partners did less than expected to profile the BIP. Audiences were defined, but thinking was confused as to whether the strategy was only about reaching decision-makers or also reaching the wider public. (Choices in that regard have implications for message content, i.e. simplicity for a public advocacy purpose versus robust depth for fine-tuned adaptive decision-making). The IYB Plan set out various intended outputs but added little in terms of objectives.

3F.8 As early as the PDF-B phase there were voices urging the development of intended hypotheses and “storylines” at the very start of the project, so that the project’s indicator analyses would be directed to a well-pitched communication purpose from the outset rather than “bolting-on” thinking about key messages at the end. It is a pity that this advice was not followed more closely: partners often tended to focus on their indicator analysis rather than the broader implications of the message it produced, or the options that decision-makers might have for doing something in response. Good thinking emerged, but somewhat under pressure of external drivers; and a more strategic approach could have broken more new ground. The use of specialist communications professionals was also recommended: this can either take a project to a new level or be an expensive waste: by default it was deemed a luxury and not pursued. In-house efforts were competent rather than world-class, but it is hard to say whether a major investment in external help would have been worthwhile.

3F.9 The wording of output 1.2 suggests that the strategy might be based on a needs assessment; which would be a good principle given that communication about biodiversity tends normally to be a very “supply-driven” business, with less attention to what incentivises

uptake, how stories are received and how recipients' thinking or action is changed in consequence. User needs surveys were provided for in the 2010BIP project, but as a monitoring tool rather than a basis for the communication strategy. The first one therefore took place half-way through the project in early 2009, with another addressing website questions in May 2010 and a third due at the end of the project. The first survey's 500+ responses (108 countries) were used as a basis for actions to enhance the website, improve the BIP profile, further develop national guidance materials and expand language translations.

3F.10 The communication products delivered by the project rose well above the weaknesses in strategy and the underestimates of time commitment required. Newsletters, two websites, factsheets, brochures, press releases and guidance documents flowed mostly as planned and were well received (especially the website, following its re-vamp in 2009), and some were targeted specifically at national users (see list in annex 3). Especially commendable was the translation of many materials into seven languages. The high point came with the publication of two group-authored papers in the refereed journal *Science*, one in particular presenting indicator results to give the first empirically-synthesised global assessment that the 2010 biodiversity target was not likely to be met. Reporting in the scientific literature in this way was a keystone of the project's overall impact. Involvement of statisticians as well as biodiversity specialists was important, and secondment of an expert from one partner to the BIP Secretariat to pull the paper together was decisive in bringing it to fruition. Alongside the *Science* papers, the Partnership provided most of the content for the status assessment section of the 3<sup>rd</sup> edition of the Global Biodiversity Outlook (GBO3), described by some as "the key CBD publication in 2010"; and compiled an in-depth treatment of indicators (including lessons learned) into a CBD Technical Series report. Other papers are planned.

3F.11 The GBO had high-profile launches and good media attention, and the *Science* paper stimulated coverage in over 60 newspapers and websites as well as broadcast media around the world. A large sample of this coverage reviewed for the present evaluation showed quite good success in getting across the message about biodiversity status and implications for the global target. Although there was often mention of a broad collaborative effort, recognition of BIP as a source was mostly absent. Most outlets chose to foreground an identifiable individual spokesperson, and while BIP made some use of eminent persons, it could perhaps have done more of this to achieve more awareness of the "brand" and its credentials. With a few exceptions, individual partners could also have done more synchronised reinforcement of the story. Uptake of GBO3 in CBD circles was very good, and the absence of dissenting challenge to its content (e.g. at SBSTTA14 and COP10) was remarkable; testifying to a well-managed building of technical consensus and a reliable source of guidance for governments and others. Reaching beyond the "biodiversity community" however remains a challenge.

3F.12 One activity for output 1.2 concerns the UN reports on the Millennium Development Goals (MDGs). Four of the 2010 biodiversity indicators contribute to progress-reporting on MDG7 on sustainability, and the BIP played its part in an inter-agency expert group ensuring coherence with the CBD framework and delivering input to the MDG process. This is a very significant destination for biodiversity indicator information if it is to influence key policy areas, and it was important for BIP to engage as it did. Attention is also drawn to the activity which concerned ways of communicating thematically integrated stories with suites of indicators that link policies to outcomes. Progress on this came late in the project but then some major successes were achieved, with the help of leveraged funding. The work on this so far is an important beginning of what can hopefully become a stronger feature of indicator communication in future, and some steps towards this are already in hand.

## **Output 2.1: Standards, guidelines and methods for indicator development, peer review and information sharing**

3F.13 The activity here to review development and implementation needs for individual indicators became somewhat bedevilled by the issues concerning partner expectations, discussed under output 1.1 above. A cold objective prioritisation among the long list of

indicators was not achieved, and some strategic choices suffered. The choice between using GEF support (a) to bring the best out of those indicators most likely to show strong stories by 2010 or (b) to fill gaps and catalyse new areas, was supposedly (and in line with donor advice) decided in favour of (a), but the project ended up trying at least to some extent to satisfy both objectives, and allocated a “seed funding” budget line for new indicators.

3F.14 This was intended to support partnership cohesion, but created mixed expectations and some overambition. The process produced a good picture of the state of development of different indicators, but there was no real assessment at the outset of user needs, or of the partners’ different capacities. While the seed funding bore fruit, some of the partners who were better equipped to deliver relevant indicators felt taken for granted, and saw the “breadth versus depth” balance as skewed too far towards breadth. Indeed there seems to have been no real discussion of how many indicators would be a manageable number, the ambition perhaps instead being determined more by the number of stakeholders and interest-areas that the project felt it had to satisfy. Timeframes were also underestimated, with 2010 assumed to be the delivery year whereas in fact much had to be finished in 2009 for publication.

3F.15 The 2010BIP brought together an unprecedented wealth of technical experience, and used this well to share and advance methodologies and scientific standards on indicators (although some consultees felt there was an opportunity to do more on the standards aspect). Details were documented authoritatively in the downloadable BIP manuals, factsheets and CBD Technical Series Document, and represented a key added value of the global partnership approach. In particular the integrated indicator analyses mentioned above, and new overlays of different indices, would not have happened in the same way without the BIP project.

3F.16 The Scientific Advisory Body created for peer-review did not become operational early enough, partners with their own peer-review processes and/or able to publish in the independent scientific literature questioned its role, and it was not effective (see section 3H). Although the Partnership had strong credentials of its own by virtue of its breadth and depth, no common or external assurance on the overall quality of indicator development was therefore in place. This would have been a significant flaw had it not been for the publication of the *Science* paper referred to above, but once that (and GBO3) was published, most partners and observers were content that peer-review objectives had been satisfied.

## **Output 2.2: Individual indicators strengthened and delivered**

3F.17 Comments made under 1.1 above concerning resource-allocation are also relevant to this output. Funding, and the compilation of partner wisdom into guidance, were the main forms of support provided for indicator development. Many partners felt a lack of central support on technical issues: the Secretariat team was not constituted to provide it, and the Scientific Advisory Body did not do so, for reasons described above and in section 3H. Despite Partnership meetings etc, technical cross-fertilisation and lesson-learning between partners was not very actively facilitated, and this was felt to be a deficiency.

3F.18 Under 22 headline indicators in the CBD framework, 34 specific metrics were defined, and of these 19 (56%) are reported as having been strengthened during the 2010BIP project (in terms of increased data input, greater time-series coverage, and better capability to demonstrate trends in rates of change). Details are given in annex 6. The net difference made to this by the GEF project of course varies across the indicator suite. The ones with already-strong institutional backing (such as the Living Planet and Red List indices) would have been developed and delivered to the CBD and others in any case: the project had more of a role in helping with some of the others, and of course in linking together the overall picture.

## **Output 3.1: Enhanced capacity of national governments and regional organisations to contribute to global indicator delivery**

3F.19 The formulation of outputs 3.1 and 3.2 was a creditable response to enthusiasm for national capacity-building, but there are conceptual challenges in integrating this into a

project about an indicator system designed to function at global level. The chosen solution was to talk in terms of “improving global-national linkages”, but that notion was not immediately meaningful to many stakeholders. In practical terms it became a “national delivering to global” strand and a “global supporting national” strand. Activities were undertaken for both of these, but as a project output, the first (3.1) proved difficult to achieve and the emphasis went instead on 3.2.

3F.20 Only a few of the global indicators rely on data reported at the national scale. One (coverage of protected areas) was directly addressed by one of the national guidance documents produced by the 2010BIP. The project’s regional workshops (see under 3.2 below) covered the process of using national indicator data in compiling national reports to the CBD, and helped to enhance awareness on this; but no firm evidence is available of reports improving as a result (although given that the 4<sup>th</sup> national reports were due in March 2009 this would be more fairly judged with the 5<sup>th</sup> round). Future MDG reporting would also be relevant. The African workshops generated input to SBSTTA14 on lessons for global indicators from national experiences, but the purpose was not to present analyses of data.

### **Output 3.2: Guidelines and other tools available to governments and regional organisations for the use of global indicators and their methodologies**

3F.21 Not all of the global 2010 indicators are applicable at other scales, and the project’s capacity-building efforts needed time to map this out (logging useful lessons along the way). CBD decisions emphasise that the global framework can be applied flexibly, but the BIP project found that national priorities were often quite different and it chose to focus on those, largely without reference to the 2010 target. (If the terms of output 3.2 had been revised to reflect the reality of its implementation, the word “global” should have been bracketed or removed). A guidance document on national indicator development was produced, as well as four guides on specific indicators, on-line factsheets in multiple languages, an index tool, and a national indicators web-portal (also in multiple languages) alongside the BIP website. These are all of high quality, have a “shelf-life” beyond the project and show strong uptake.

3F.22 In combination with the “Biodiversity Indicators Capacity Strengthening” project in Africa (leveraged by 2010BIP and funded by the UN Development Account), ten capacity-building workshops were held involving 45 countries in Asia, the Americas and Africa. Technical assistance at other times was also provided. These efforts were impressive in catalysing new collaborations among indicator producers and users in academia, NGOs, government ministries and statutory agencies, including national statistics offices. Participants report taking new understanding and motivation into their daily work and wider interactions where “suddenly everything made sense”, and appropriate indicator methods appear to have been applied in new ways. With one or two exceptions (e.g. bird monitoring in Uganda and Botswana) the relatively small budget allocation for this activity did not extend to improving real data collection, but within its focus on institutional systems issues it showed a flourish of successful outcomes in the later parts of the project. Keen user demand for further support appears to be focused and progressive, rather than reflecting dependency (which the project took pains to avoid).

3F.23 Regional-level players have also been prominent in the process, and the capabilities being developed are as much to do with tailoring indicator approaches to the scale of a particular need rather than necessarily perfecting e.g. a “global” or “national” model *per se*. Output 3.2 in some instances usefully reached beyond the biodiversity sector. Data availability remains a key limitation in many developing countries, but the project helped to build confidence in ways of “using what you’ve got” to good effect, and by demystifying key concepts. The overall scale of activities for output 3.2 were small in global terms, but a replicable approach has been validated, and helped by a peer-to-peer “ripple effect” and the published products (including the well-received report on the project’s African capacity-building experiences), it can be hoped that lessons and benefits might spread more widely.

### 3 (G) Preparation and readiness

3G.1 As an Executing Agency, UNEP-WCMC came to the project with good institutional management infrastructure in place, and a technical and political familiarity with the field of work, including experience from previous projects as mentioned in section 1 above. Internal finance and human resources processes provided high standards of formal safeguards. The project lost momentum and some institutional memory at certain stages by unavoidable turnover of staff through career progression moves: by their nature these events are unplannable, but all projects should probably assume that such things will happen and more thought could perhaps have been given to contingency options and risk management in this area. Ultimately, however, no significant lasting impact on project performance occurred.

3G.2 Section 1 of the present report and the Mid-Term Evaluation have both discussed the drawn-out journey to project start-up over 2005-07, and the significant revision (by force of external circumstance) of the dimensions of the original project which shrank it radically in time and budget. When the project was finally approved, UNEP and UNEP-WCMC were however very quick to get it up and running. In the period of delays prior to this, although energy went into modifying the proposals, insufficient energy probably went into anticipating and managing the “downstream” consequences of the changed scale of the project.

3G.3 One aspect of this concerns the project’s ultimate ambition. Even without delays related to staff turnover, the contraction of the timeframe “at both ends” effectively left only two years between approval and having to report on a wide range of global biodiversity trends, and this was by that stage really too ambitious a goal. Being designed to serve the already-existing CBD framework of headline indicators (although many of the specific metrics for them of course did not yet exist) made use of an advantage in one sense, i.e. that the project itself did not have to devise the framework. In another sense however this was a challenge, partly because of drawbacks in the framework’s design, but also because it presented the extent of the indicator landscape as a *fait accompli* which the project was not in a position to tailor to its own capacity (having assumed, more implicitly than explicitly, that a selective approach was not appropriate).

3G.4 Another aspect relates to the complex mix of expectations which had been nurtured in the minds of the BIP partners from the time of the PDF-B onwards. These expectations in many cases were allowed to persist during the delays and revisions to the FSP in 2006-07, when there should instead probably have been a deeper re-think of what was going to be possible with the reduced funds available. There was an element of “chicken and egg” to this, in that the natural process for a re-think would have been a Partnership meeting, while such a meeting was a step that project commencement itself was going to enable. Again, contingency scenarios for such things did not appear to be part of the planning process.

3G.5 Moreover, as discussed in section 3F, a number of consultees felt that there should in any case (i.e. on any resourcing scenario) have been more of a joint strategic assessment of options regarding the spread of effort across the indicator suite. Again the pre-existence of the CBD framework may have allowed aspects of this to be assumed when in fact some major choices remained to be made and needed debate (e.g. whether to put more emphasis on making the most of already well-developed indicators, or instead to major on helping to bring forward those most in need of development - an issue that reared its head later - and how many indicators would be a manageable number for in-depth work).

3G.6 Rules of engagement and terms of reference for the Partnership and its various organisational entities have been an area of comment by consultees in this evaluation and are discussed in other sections of this report; but it should be noted that good efforts were made by the BIP Secretariat to set out thinking on various aspects of this in full documentation for project inception stages. Two aspects that were not so well covered however were (i) resource-allocation processes and (ii) options/choice-points for adaptive course-correction.

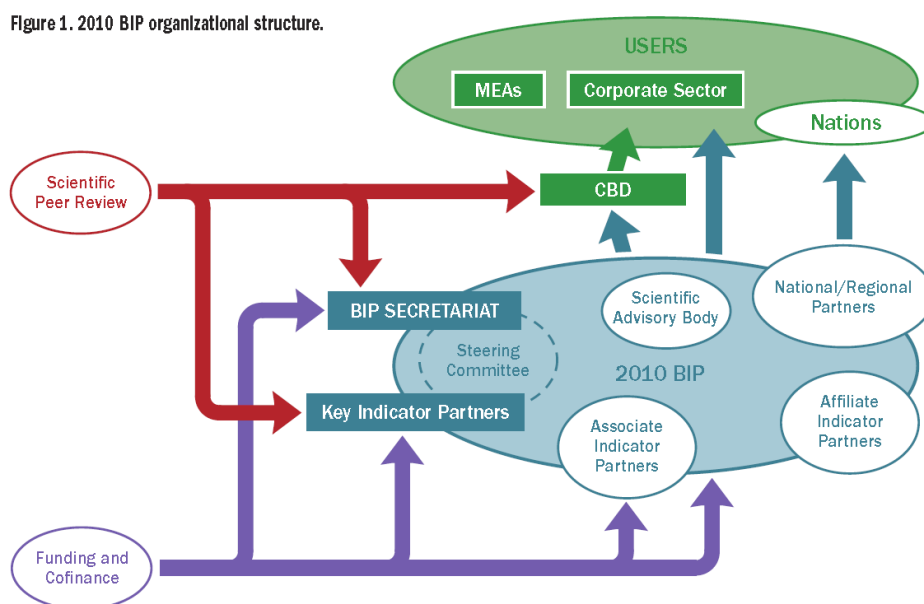
### 3 (H) Implementation approach and adaptive management

3H.1 This section focuses on the management of the project and its responsiveness to events. Some relevant aspects are also covered in sections 3J (financial control), 3K (UNEP supervision) and 3I (monitoring and evaluation).

#### Organisational structure

3H.2 The project was managed by a Secretariat provided by the Executing Agency (UNEP-WCMC) and overseen by a Steering Committee. Partners were categorised as “key”, “associate” or “affiliate” according to their role in the development and implementation of relevant indicators and hence whether they were recipients of project funding or not. The basic structure is shown in figure 3H-1.

Figure 3H-1. Basic organisational structure of the 2010 BIP



3H.3 Building a new structure of 40 disparate partners involves some complexity, and gaps or overlaps can be expected to become apparent: whether there were flaws in the design is perhaps less important than whether there were mechanisms to spot and correct them. There was some initial confusion about the affiliate and associate partner categories, the involvement of some partners changed during the project, and differential resource-allocation caused some structural tensions. The resource-allocation issue could have been managed more incisively (see section 3F), but ultimately all these issues were overcome.

3H.4 The impression given by the diagram that indicator services are provided to other MEAs via the CBD is potentially misleading, but refers to CBD-led processes such as the GBO and shared interests in the 2010 target indicator framework. One fact not visible in the figure is that UNEP-WCMC was a funded indicator implementing partner itself as well as being the Secretariat: no problems of conflict of interest arose, but safeguards against this risk could have been more transparent. The Project Document referred to an “Information Management Working Group” as another entity in the structure: this was never progressed and its absence seems not to have been felt.

#### Scientific Advisory Body

3H.5 One unsuccessful component of the structure was the Scientific Advisory Body (SAB). Scientific integrity was seen as central to the project, and the SAB was conceived for setting data and methodological standards and providing quality assurance for delivery of the

indicators. Its members were appointed but it never became fully operational in the way envisaged, mainly because many of the individual indicator systems and organisations had their own specialised peer-review processes, as did the publishers of refereed papers and the GBO and CBD Technical Series. The Mid-Term Evaluation (see MTE report for further discussion) concluded that the SAB was an overdesigned element of the project and not a cost-effective approach to quality assurance. There might have been a valid role for it in conceptual leadership, but the debate centred instead on peer-review. Fulfilling the SAB role in other ways once the true position was apparent could be seen as adaptive management in action, but it is not a shining example because there were lengthy periods of indecision, and a lack of clarity for too long among partners and the SAB itself as to what was being decided.

### **Secretariat**

3H.6 The Secretariat was staffed by UNEP-WCMC and housed within the Centre, giving a strong, well-managed and well-respected institutional infrastructure for the project, backed by relevant experience and with specialised services for finance and personnel (which also allowed a separation of powers to minimise mismanagement risks). As mentioned above, WCMC also had a direct stake in the project as an indicator development partner, and although safeguards against conflicts of interest could have been more transparent (and some other stakeholders did speculate about the risk of bias), the evidence collected for the present evaluation points to high professionalism and the first loyalty of Secretariat staff being to the BIP project rather than UNEP-WCMC. Evaluation consultees overall had a very high regard for the good spirit and dedication of the team.

3H.7 Problems arose in the first half of the project from staff turnover, as discussed in the MTE. All projects should probably assume that such things will happen: more thought could perhaps have been given to contingency options and risk management in this area, and change could have been handled more efficiently, with better handover briefings etc; but ultimately no lasting impact on project performance was caused. The MTE also comments on well-meaning restraint by WCMC (in light of their dual role) being perceived by partners as insufficiently strong leadership; but this was subsequently redressed. The Secretariat did let standards slip in relation to management of documentation and other preparation for meetings, liaison with the Partnership and the Steering Committee, and timely submission of reports. Improvements were made in later stages of the project, although attention to detail and “thinking ahead” were still not always what they might have been. Feedback from UNEP Task Managers and others was acted upon diligently, and Project Implementation Review reports show a significant improvement in PIR ratings across the three years, testifying to good adaptive management and learning from experience.

### **Steering Committee**

3H.8 The Steering Committee was composed of about a dozen individuals drawn from key global institutions and individual countries with perspectives on the project (usually as stakeholders in it, whether as implementers or end-users, rather than being independent of it). Representational balance across different interests and regions was always going to be a challenge and this was a preoccupation for a time at the beginning. Similar unsurprising challenges affected participation, with tradeoffs between cost-effectiveness and equitability meaning that a preponderance of meetings in Europe required more travel from those elsewhere, and teleconferencing did not work well for those with technological constraints.

3H.9 The Committee was chaired by the UNEP-WCMC Director, and although his conduct as chair was praised, there is a consensus in hindsight (shared by the chair himself) that as a matter of principle it would have been better to have a chair with a more neutral affiliation (such as a chair of the CBD’s scientific body SBSTTA). There was also some ambiguity as to whether members were representing institutions or participating as eminent individuals: when an SC member who had joined as SBSTTA Chair rotated off the SBSTTA Bureau they also left the BIP SC, perhaps unnecessarily depriving it of relevant expertise. In light of the



project's cross-cutting global reach, unusually for a GEF project the GEF Secretariat also participated in the Steering Committee: no specific ways of getting maximum value from this feature were spelled out, but it offered connections between BIP thinking and the GEF's own internal indicator perspectives, and allowed GEF advice on the project to be given directly.

3H.10 Evaluation consultations overall leave an impression that the Steering Committee was a competent "hand on the tiller" but was not felt to be a primary engine of project governance. Perhaps a victim of tradeoffs between frequency of meetings and cost, its information-exchange with the rest of the Partnership was minimal, and it seemingly more often took stock of progress rather than setting a course ahead.

3H.11 The evaluation facilitated a self-assessment of the SC's own effectiveness - see annex 2 for details. Members scored seven statements about the SC's effectiveness on a six-point scale according to the extent to which they felt each statement reflected their own experience. The average scores are shown in table 3H-1 (statements have been re-ordered by score). Scores for all the statements are satisfactory in terms of how the SC saw itself, and while the differences between them are useful feedback to the Committee they are not hugely significant. The one surprise is that the SC perceived itself as highly influential in guiding the project, whereas the Partnership at large (as reported above) felt otherwise.

Table 3H-1. Results of first part of Steering Committee self-assessment exercise  
(higher scores = stronger agreement with the given statement: possible range = 1-6)

Statement	Average score
The SC's decisions were influential in guiding the BIP project	5.4
The SC had a strong sense of purpose and awareness of its Terms of Reference	5.2
The SC had the right number and mix of members	4.8
My engagement with the SC was as comprehensive as I would have liked	4.7
My engagement with the BIP Secretariat was as comprehensive as I would have liked	4.6
Responsibilities for taking action were clearly assigned and communicated	4.2
Discussions in the SC were open, and allowed me to voice concerns and to challenge thinking when necessary	4.2

3H.12 The second part of the exercise asked for written responses to two questions, (i) "With hindsight, what would you have wanted to happen differently in relation to the SC?" and (ii) "Do you have any other comments on the effectiveness of the SC?". Points which emerged can be roughly distilled as follows (paraphrased by evaluator):

- There were some gaps in representational balances on the SC (certain regions, partner types)
- There were too many changes in the representatives sent by some organisations
- The Committee could have sought broader/better engagement by MEA Secretariats
- There were some challenges in handling the volume of material, receiving it early enough, and being able to keep abreast of technical progress
- Changes of (Secretariat) personnel had knock-on effects on the rhythm and content of SC work
- It might have been wise to have an interim SC for an inception period at the beginning of project, and then to have refreshed its composition and *modus operandi* etc once things settled into operational mode
- There could have been more interactions/consultations/meetings in the early parts of the project; and maybe in the rest of it as well
- It might have been good to manage more explicitly the risk of perceived conflicts of interest among SC members who were also indicator developers funded by the project (note however that although the SC presided in a general sense over the disbursement process, it did not decide allocations)
- The SC's effectiveness improved over the project's lifetime, especially in the final year.

## Response to Mid-Term Evaluation

3H.13 The GEF Mid-Term Evaluation (undertaken in fact well beyond the project's mid-point, and reporting in April 2010) made five "key recommendations" and eight "other recommendations" for the final year of the project, linked to an assessment of critical risk factors and priorities applying at that time. The report was welcomed, and although the Secretariat entered reservations in respect of three of the conclusions, both it and the SC accepted all of the recommendations. A management response was compiled, detailing the action taken or planned in relation to each of the recommendations, and the issues were considered by the Steering Committee on two occasions, with a final action update being tabled at the SC meeting in December 2010. In the present section's context of adaptive management this is noted as good practice.

3H.14 In the same spirit, this evaluation has reviewed the management response, the actions taken subsequently and the SC's scrutiny of them. Some details were found to have been glossed over or were a little slow to be addressed, but overall satisfactory attention has been given (including by the SC) to the points raised. Most action areas have been attended to or adequate reasons have been given for not doing so, including in some cases simply being superseded by the march of events. One recommendation concerning policy briefings to other sectors would still merit some work, but none of the issues remains a concern.

## Other aspects of management

3H.15 Several consultees commented on the Partnership meetings process; some bemoaning an excess of process over content while others praised the spirit of collaborative commitment. The regional workshops were said to have been flexible and adaptive to what emerged. The overall collective enterprise responded to major time and other pressures that became clear in 2009, by an acceleration of effort in the project's final 18 months, partners pulling together and "going the extra mile" to deliver impressively for the sake of shared goals.

3H.16 The complexity of managing the development and operation of a kaleidoscopic partnership such as the 2010BIP cannot be underestimated. Beneath the surface of the project were some unsung heroics of diplomacy and imaginative "fixing" that were achieved within (for its size) a fairly streamlined, "light touch" and distributed management model. A more internally homogenised and heavily hierarchical "control" model would have been totally inappropriate, but the alternative demands a challenging set of subtle skills and creativity. The project is to be commended on generally charting a good course through this.

3H.17 One of the biggest risks in these circumstances is that of mis-matched assumptions, expectations and "world-views" among those concerned. The Secretariat and Steering Committee were mindful of this in many ways; but one instance where more could have been done was when the initial much larger project concept was re-shaped and reduced: a more fundamental collective re-planning exercise would have been worth actively managing.

3H.18 Linked to this is the issue (covered in section 3G) of option-planning for contingencies, and the related one of providing in Partnership rules of engagement/Terms of Reference for adaptive course-corrections in response to the unexpected/lessons learned along the way. Both of these could have been stronger elements in the project's management system. Nonetheless some eventualities produced very good adaptive responses. As an example, the scope for the project to apply its lessons learned (from indicator work) about the 2010 biodiversity target, in helping to shape the "post-2010" (now "2020") global biodiversity targets and indicators regime, was only vaguely foreseen in the project plan. Perhaps it could have been better anticipated; but in the event, the BIP process was turned very deftly and effectively to making a significant impact on the deliberations (particularly at the meeting in Reading in 2009) which fed into decisions on the 2020 regime at CBD COP10.

### 3 (I) Monitoring and evaluation

3I.1 The Terms of Reference for evaluating the project's monitoring and evaluation (M&E) regime are given in annex 1; which includes the standard GEF list of minimum requirements for M&E and guidelines on rating. Ratings are required for "M&E design", "M&E plan implementation" and "budgeting and funding for M&E activities".

#### **M&E design - the 2010BIP Monitoring and Evaluation Plan**

3I.2 The 2010BIP principal project document includes a Monitoring and Evaluation Plan, described as "following UNEP guidelines and incorporating UNEP monitoring activities". It takes the 21 indicators and their means of verification listed in the project logical framework as its basis for monitoring outputs and outcomes, and adds a further eight indicators for monitoring "implementation and performance". The allocation of responsibilities for monitoring, reporting and evaluating is tabulated (including supervision by the Partnership Steering Committee and the UNEP project Task Manager), and a reporting timetable is set out.

3I.3 Implementation was to be verified throughout the project by reports to the SC and UNEP TM (see comments on M&E implementation below). This depended in turn on a feed of verifiable information from all the project partners on their individual progress in biodiversity indicator development work. The Plan also provides for the independent mid-term and terminal project evaluations.

3I.4 Overall the project's M&E Plan was adequately designed and it satisfies the GEF design standards. One exception cited in the Mid-Term Evaluation was that some of the indicators in the logical framework did not qualify as "SMART" according to the standards. In relation to the project's immediate objective for example, "increased availability and use of the 2010 biodiversity indicators by decision-makers" is too vague and unquantified as to the extent or magnitude of achievement which should be sought. Indicators at output level were generally better, and timeframes generally well specified.

3I.5 A need to augment the M&E Plan was identified in comments by the UNEP TM on the first Project Implementation Report (PIR) in 2008, and further provisions for monitoring of partner biodiversity indicator development and implementation were seemingly added. While the TM checklist for the first PIR indicated that the Plan did not have sufficiently SMART indicators, the equivalent checklists for subsequent PIRs (2009 and 2010) refer to SMART indicators being in place, and the TM rating for the quality of the Plan was elevated from Satisfactory to Highly Satisfactory. The MTE however, although it was produced subsequent to the 2009 PIR, still criticises the lack of SMART indicators and rates M&E design as Moderately Unsatisfactory. The Terminal Evaluation's investigation of this has been unable to identify what changes were made in 2008, and for example the indicators in the up-to-date logframe presented the final Steering Committee meeting in December 2010 are the same as those in the original Project Document.

3I.6 For certain types of indicator that are central to the project, such as availability of biodiversity information and use of information in decision-making, the establishment of baselines and assumed "without-project" trajectories is challenging. Baseline information in the initial project document was described by the TM in the 2008 PIR as "sparse and inconsistent", but it was subsequently improved in two ways: (i) by retrospectively better detailing the status of development of the different biodiversity indicators so that (although not part of the logframe) progress in this could be tracked over the project's lifetime; and (ii) undertaking a user needs survey which (although rather late, in 2009) could be compared with another to be undertaken at the end of the project. A desk study was undertaken of the 3<sup>rd</sup> and 4<sup>th</sup> CBD national reports to look for evidence of change in uptake and use of biodiversity indicators at national level. Statements of baseline condition for each outcome and output were tabulated in the PIRs.

3I.7 Defining baselines and monitoring impact at the project's development objective level is even more elusive, and has the element of circularity described in section 1 above whereby making this easier to do is itself an objective of the 2010BIP project. The M&E Plan refers to reliance on demonstrating changes in the rate of biodiversity loss; but given the timelines for reporting on and responding to findings concerning achievement of the global 2010 target, it was never going to be reasonable to expect this to serve as a workable indicator of impact during the project's lifetime. The extent to which this may be done on a predictive basis instead is discussed in the Review of Outcomes to Impacts analysis in annex 5 and in section 3A.

3I.8 Although not brought out very strongly in the GEF design standards, two further elements of the project M&E design are considered by this evaluation to be important. One is the explicit reference in the 2010BIP M&E Plan to early warning of anticipated problems - this is specifically applied to alerts from indicator development partners, although the principle would be applicable across the whole of the project's management system. It would have been good to see something on what the triggers for early warning were supposed to be; but the inclusion of the principle in the Plan is positive. The second is identification of a clear locus for acting on the results of M&E, and the pathway for using these results in adaptive management decisions where necessary. There is a GEF standard on this in relation to Plan implementation (see below, and also section 3H of this report), but it should also be visible in design. The 2010BIP M&E Plan could have said more, but it does make reference to the role of the SC in advising the Secretariat on resolving any difficulties revealed, and there is reference in PIRs to distilling lessons learned from partner experience.

### **M&E Plan implementation**

3I.9 Implementation was verified throughout the project by reports to the SC and UNEP TM, including quarterly financial statements and other financial reports, biannual Secretariat reports and technical progress reports, annual Project Implementation Reports (PIRs) and minutes of key meetings. All of these were reviewed for this evaluation: see annex 3 for a list, and section 3J for additional comments on financial monitoring.

3I.10 The quality and timeliness of some reports was cause for criticism by the TM and by some SC consultees mainly (but not wholly) in relation to earlier parts of the project, when staff turnover played a part. Improvements were noticeable in later parts of the project, and guidance and hands-on testing of the information by the TM was an influence in this. M&E in general was implemented as planned, and was enriched further in later parts of the project when data on indicator development built into a discernible pattern, and other intelligence was gathered to compare progress against baselines, e.g. analysis of CBD national reports as mentioned above. A standard UNEP progressive risk assessment tool was also employed as part of the PIR process.

3I.11 The Steering Committee was given a role in M&E at the outset, but it was perhaps a little vague to some of its members what this entailed in practice during project implementation. The subject could perhaps have featured more explicitly in meeting agendas, with feedback and action options being clear to all: for example there could have been a brief standing agenda item on new, emerging or fast-evolving risks. At its meeting at the end of the project in December 2010, one of the "lessons learned" identified by the Committee from its perspective was that M&E could have been stronger within the project from the start.

3I.12 Concerning financial monitoring, the Project Document stated that "an external audit will be conducted at the [BIP Secretariat] and presented to UNEP on an annual basis to monitor financial expenditure for the project". While forms of internal auditing in the Secretariat took place on a monthly basis and financial reports were mostly submitted to UNEP as required, the only external audits are those of UNEP-WCMC as a whole. These identify certain budget-lines as relating to 2010BIP activities but they do not constitute audits of the project as such (and they exclude its third party co-financing). In fact no project-

specific external audit of the 2010BIP was undertaken; but since this was not a requirement but only an implied intention in the Project Document (which is ambiguously worded in any case and may not have meant exactly that), it is not seen as significant in the present context. This conclusion rests primarily on the high standards of financial monitoring and control demonstrated by UNEP-WCMC and the BIP Secretariat overall, discussed in section 3J.

3I.13 Concerning the independent project evaluations, the Mid-Term Evaluation (MTE) took place later than planned, three-quarters of the way through the project instead of half-way through, and reported in April 2010. The resulting report was comprehensive and raised several recommendations: action in response has been carried out and reported back to the Steering Committee (see section 3H). Two of the recommendations related to requirements for the Terminal Evaluation and both have been acted upon. The Terminal Evaluation has been undertaken in parallel with the final stages of the project: this makes it slightly less than definitive as to the final position on some issues, but (in line with the MTE recommendations) it was deemed to be more of a priority to have the evaluation promptly, so it could contribute to maintaining momentum on further global biodiversity indicators work post-2010.

### **Budgeting and funding for M&E activities**

3I.14 As far as can be ascertained, funding has been deployed as required for M&E activities. Costs for monitoring and reporting were not separately identified in project budgets, but were regarded as included in funding agreements with partners and in the management costs of the Secretariat and UNEP-DGEF. The GEF minimum requirements refer to a “fully budgeted monitoring and evaluation plan”, but this could be read either as a plan for which there is a full exposition of budgeting for each component, or a plan for which there is an adequate allocation of funds for its full implementation. On the latter interpretation the 2010BIP meets the requirement. A total budget of \$95,000 was allocated for evaluation costs, seemingly relating only to externally-contracted evaluation rather than covering aspects such as internal audit. For this it was an adequate allocation, and in fact this budget-line was under-spent (see annex 4).

### 3 (J) Financial planning and control

#### Total budget and co-financing

3J.1 The total project budget figures (in US\$) are as follows:

GEF:	3,639,000
Co-financing:	5,177,893
Total:	8,816,893

3J.2 A breakdown of co-financing figures is given in tables A4-1 and A4-2 in annex 4. In data provided for the evaluation, the total of planned in-kind support was given as \$2,347,753, whereas adding the individual contributions listed in table A4-2 in annex 4 in fact gives \$2,377,753. Adding the latter to the planned cash support figure of \$2,377,753 produces the seemingly correct total of \$5,177,893 (i.e. it then matches the figure in project documents). It seems that the discrepancy may have arisen from a simple transcription or keystroke error, accidentally substituting a “4” for a “7” in the total. In fact it would appear that this is something that has been carried forward from the formal Project Document, where co-financing sub-totals are given of \$2,800,140 (cash) and \$2,347,753 (in kind), although peculiarly the co-financing total given there is not the sum of those two numbers but is instead the seemingly correct total of \$2,377,753. On the other hand the co-financing commitment letters appended to the Project Document produce a different total, of \$4,859,457.20 (\$2,681,027.20 cash + \$ 2,178,430.00 in kind), a difference which is unexplained. The figure adopted for this report is the one in the summary table.

3J.3 A final annual Partners co-financing report falls due after the submission date of this TE report, which may allow some of the details given here to be embellished further. One or two areas of leveraged activity are continuing on beyond the project timeframe too. The picture presented here however is a reasonable reflection of the complete situation at project-end.

3J.4 The main observation concerning co-financing is the excellent performance of the project in securing over 350% more cash co-financing than the amount that was budgeted. Based on the evidence adduced for other aspects of this evaluation, it seems likely that this can be interpreted as testimony to the confidence built by the project (and more particularly by the Partnership) in the quality and credentials of its work, as a worthwhile and reliable investment for donors. At the same time, if reported correctly, realised in-kind co-financing support was significantly less than the planned amount (down by 34%). The reasons for this are not clear; but it is in any case harder to substantiate quoted figures for in-kind support than for cash grants, so some caution is needed so as not to over-interpret the in-kind figures.

3J.5 Additional actual co-financing above the levels budgeted came both from higher contributions being made by partners and others who had been identified in the planned budget, and from contributions being made by other organisations or initiatives which had not initially been listed as co-funders but which then became involved. This therefore represents two types of leverage achieved by the project.

3J.6 The leverage concept in this context has not been completely clear or consistently interpreted among all those concerned. In the ToRs for the Terminal Evaluation, leveraged resources are described as “additional resources - beyond those committed to the project itself at the time of approval - that are mobilised later as a direct result of the project”. This suggests that the term should embrace all additional actual co-financing above the level budgeted; plus possibly some other intimately linked parallel supporting activities that may not necessarily have been formally labelled as 2010BIP project work, but which to all intents and purposes are logically treated as part of delivering its defined objectives (especially if they were brought about as a direct result of the project).

3J.7 This leaves two areas of potential ambiguity. One concerns the degree to which synergistic activities were directly attributable to the project as their cause (some may be,

while others may have evolved in a more mutual way, and still others might in truth have been a happy convergence of independent thinking). The second is the extent to which work linked to 2010BIP by a partner or supporter grades imperceptibly into other activities by that partner or supporter that go beyond the objectives of 2010BIP, making the boundary of leveraged support for the project *per se* hard to define.

3J.8 One successful example in the present case relates to the “global-national linkages” aspect of the 2010BIP project (outcome area 3). In addition to three sub-regional workshops in south-east Asia, the Caribbean and Central America & Mexico which were funded as part of the GEF project, six workshops with similar purposes were held in southern and eastern Africa by a project of the UNEP Regional Office for Africa (implemented by UNEP-WCMC) entitled “Building national capacities for biodiversity indicators and reporting in southern and eastern Africa”, also known as “Biodiversity Indicators Capacity Strengthening in Africa” or “BICSAfrica”.

3J.9 This was funded by the UN Development Account (a fund for capacity building work by UN agencies), and one year into the project a further contribution was secured (i.e. leveraged) from UNEP. The project’s total budget of US \$585,000, less contributions to it in cash and in kind from 2010BIP, represents leveraging for 2010BIP of some \$574,000. The project began in September 2008: its concept had been submitted to UNDA in 2006, at the time that the BIP GEF project was being defined, and its justification to UNDA included the fact that it would complement and integrate with the BIP. Thus although the concept was already in existence of at the time that BIP was being formulated, there was a clear articulation between the two projects, and there are strong grounds for considering that the funding for BICSAfrica was secured at least partly on the basis of the merits of the 2010BIP GEF project, and hence that it constitutes a genuine case of leverage.

3J.10 Another example concerns the development and delivery of the indicator on management effectiveness of protected areas (outcome area 2). In addition to the planned project activities on this indicator, a contribution was made by a European study on the subject (PAME, or Protected Areas Management Effectiveness), largely implemented by the Universities of Greifswald (Germany) and Queensland (Australia), with support from the Federal Government of Germany, UNEP-WCMC and other partners. The overall budget for this European study was approximately \$70,000. Part of its motivation was to follow up a previous global study which pre-dated the 2010BIP, but once underway it had obvious close interlinkages with 2010BIP, and an unspecified amount of GEF funding was used to support UNEP-WCMC input to the work. In this case it has been reasoned that since the whole study contributed to some aspects of the GEF project (such as methodological development) then its full budget should be cited as the amount of leveraging secured. The proportional split between the contributors to the European study is not clear, nor is the split between cash and in-kind. For the purposes of table A4-2 in annex 4 therefore, a single line has been included combining all three bodies, and the \$70,000 has arbitrarily been divided into two equal amounts for cash and in-kind support.

3J.11 The Royal Botanic Gardens, Kew (UK) was an “associate indicator partner” of the 2010BIP, and undertook development and analysis work on a Sample Red List (SRL) indicator for the plant kingdom. This work was not funded by the GEF project, and was not completed in time to be included in 2010BIP products such as the results delivered for Global Biodiversity Outlook 3. Nonetheless it is explicitly described as a contribution to the 2010BIP. If the resources expended by RBG Kew (and its army of volunteer analysts) on the work are counted as leveraged co-funding towards the project, then a figure of approximately \$978,000 (split equally between cash and in-kind) should be added to the total. (This is based on figures provided by the RBG Kew representative interviewed for this evaluation, and it is assumed they are correctly reported as relating specifically to work on the SRL). Because this amount was not a pledged commitment to the project and there was no formal documenting of it through project channels, it is noted here in this narrative as a more “loosely associated”

form of leveraging, and the figures have not been included in the formally-tabulated data on co-financing.

### **Project expenditure by activity**

3J.12 Table A4-3 in annex 4 shows expenditure of the GEF-funded component of the project budget (ie excluding co-financing) broken down by the numbered activity areas listed in the project logical framework. Since the Terminal Evaluation was conducted during the closing weeks of the project, figures as they stood at the end of December 2010 have been used.

3J.13 The proportionately large figure budgeted for activity 2.2.1 relates to the numerous sub-contracts with Partners for the project's indicator development work. All of these sub-contracts were completed.

3J.14 The considerable underspend on activities 1.2.11 and 2.1.3 (largely reallocated to other activities) relates to the peer-review provisions, which were subsequently considered to have been an overdesigned element of the project, as discussed in section 3F of this report.

3J.15 Although the final column of the table shows a difference between the budget and the actual spend at the end of December 2010 (an apparent underspend of \$162,186), in fact remaining income and expenditure payments due thereafter, or still to be logged, are confidently expected to enable a final account reconciliation to zero (as reported by the BIP Secretariat to the evaluator and formally to the Steering Committee on 14 December 2010). This will include subtracting the eventual total for project evaluation work, which is accounted separately through UNEP and has not yet been integrated into the balance shown in table A4-3. Confirmation of the eventual final budget position should be reported subsequently.

### **Financial management and control**

3J.16 UNEP-WCMC has centralised administration functions and a dedicated finance unit with integrated common accounting conventions and processes across a large portfolio of projects. Segregation of duties, auditing and other safeguards were therefore automatically built in to the financial management and control of the 2010BIP. Project accounts were internally updated on a monthly basis and reports submitted to UNEP-DGEF every quarter. Apart from some occasional slippage in submission of the latter, the system operated very efficiently. Budgets were broken down according to the 2010BIP project's list of 27 activities (see table A4-3) and also according to almost 40 UNEP codes: this latter degree of subdivision was with hindsight considered unnecessary, and some coding, calculating and checking time could have been saved by using aggregated categories at a higher level in the coding hierarchy. Co-financing data were also broken down by the biodiversity indicators to which each co-financing contribution related, as well as by source.

3J.17 It is not clear to what extent financial management and auditing processes were risk-based, in the sense of being linked to systematic organisational risk assessments; although the Terminal Evaluation has not attempted any specific investigation of this. Safeguards against fraud and error included more intensive cross-checking and more senior levels of sign-off for 2010BIP finances than for many other WCMC projects, given the size and complexity of the project. No self-authorisation of expenses was allowed, and quarterly reports were subject to a "dual-key" process of sign-off by the senior programme manager and the finance director. The project Steering Committee routinely reviewed summary financial information, but internal controls placed no reliance on its oversight and in retrospect it could have been used more actively as a further source of accounting assurance.

3J.18 The annual Director's Report and audited Financial Statements for UNEP-WCMC were reviewed by the evaluation for the three years 2007-2009 (that for 2010 not being due until spring 2011). These are the external audits for WCMC as a UNEP Executive Agency: its partner entity WCMC 2000 (which holds capital assets and acts as employer for most of



the staff) is also subject to formal audit as a UK charity, but at a more basic level. There is scope for additional audits of specific projects to be undertaken. These are rare and did not happen in the case of the 2010BIP, although it appears that there may have been an intention to do so: according to the project's Monitoring & Evaluation Plan (see section 3I) "An external audit will be conducted at the [BIP Secretariat] and presented to UNEP on an annual basis to monitor financial expenditure *for the project*" (emphasis added).

3J.19 Significant sums were disbursed to indicator development partners: the proportionately large figure budgeted for activity 2.2.1 (table A4-3) relates to numerous sub-contracts with partners for this work. All of these sub-contracts were completed. The contract terms required submission of financial reports by the partners to the Secretariat, and supposedly a clause entitling WCMC to initiate audits of partners to confirm reported co-financing (i.e. expenditure on BIP activities incurred by partners, given that this would not go through WCMC's own books). It has not been possible to verify this: the clause does not appear in the generic Letter of Agreement template and one specific contract examined did not contain it. It is even less clear what substantiation was sought (or would have been possible) concerning partner in-kind support.

3J.20 In these respects and in others the terms of the sub-contract agreements could have been tighter. The Secretariat itself acknowledges that there should have been a condition requiring completion of satisfactory delivery before release of final payments: in the event no delivery-defaulting problems were experienced as a result, but if they had been, no sanctions or protection against losses and fruitless payments were available. This constitutes a control weakness and an unnecessary risk, specially given that at \$1.75 million this was the largest single activity in the budget.

3J.21 Internal reallocations between budget-lines within the project were permitted up to 10% of each component. Larger virements required authorisation from UNEP-DGEF: only one formal revision of the budget occurred in this way, at the end of the second year, to channel underspends at that time into enhanced communication activities in the final year. The final end-of-project budget is expected to be balanced but this may require further internal adjustments (e.g. allocation of the underspend on evaluation). At the time of concluding the present report a possible short no-cost extension into 2011 is under discussion, and any surplus will be used for appropriately authorised wind-up/legacy activities in any such period.

3J.22 Although the structure of financial controls as described above (apart from the subcontract elements referred to) was generally very good, some elementary accuracy-testing by this evaluation encountered a number of sizeable transcription errors and discrepancies in figures provided; so quality control and attention to detail in practice was not perfect (see also section 3H).

3J.23 Concerning efficiency and cost-effectiveness, the complex Partnership architecture of the project inevitably gives different views on this from different perspectives, since standards varied across the partners. Overall the management costs have been seen as proportionate to the size of the project. Some partners felt however (without being very specific) that some project components were over-priced, that resources could have been husbanded more wisely in some areas, and in particular that there were distortions in some of the joint partner-WCMC activities whereby the partner made relatively more effective use of their share than the Secretariat did with theirs. It is hard to come to an objective view on this without more details and without an idea of common standards; and in any event this evaluation cannot serve as a value-for-money assessment (which would require a specialist audit).

3J.24 The project (both Secretariat and partners individually) experienced some currency exchange rate losses as a result of a net decline in the value of the US dollar over the life of the project. There were no prudent steps that could have been taken e.g. to phase payments differently to minimise this; although reporting of accounts was managed so as not to show

actual book values as spuriously less than their actual value. The issue was treated as an “accepted risk”, and losses were balanced by efficiencies elsewhere in the budget.

3J.25 Overall, considering the complex architecture, various delays caused by staff turnover etc, the exchange rate issue and the fact that the project’s trajectory was not constant but had substantial phasing peaks, it is commendable that expenditure was managed as tightly-to-target as it was.

### **3 (K) UNEP supervision and backstopping**

3K.1 The relationship between WCMC as project Executing Agency and UNEP began with the advantage that WCMC is an Executive Agency of UNEP, so there were familiar institutional links on a daily basis already, as well as links in the context of certain MEAs and of earlier GEF projects such as the Biodiversity Indicators for National Use project.

3K.2 No specific project supervision plan (as mentioned in the evaluation Terms of Reference) could be traced, but the supervisory role of UNEP is referred to in the project Monitoring & Evaluation Plan, discussed in section 3I of this report. Project Implementation Reports (PIRs) were submitted annually, and comments, action points and ratings were all added by the UNEP-DGEF Task Manager (TM). This process benefited from a range of interactions including visits in person and teleconferences (the latter instituted to increase frequency of contact when more dialogue on implementation challenges was required). Risk issues were rated in PIRs separately by both the project manager and the TM - all scored low or medium (on a 4-point scale) and in most cases the PM and TM's ratings were the same, showing a good shared understanding on this front. Secretariat reports, technical reports, financial reports and minutes of meetings were also submitted. Along with the PIRs these have all been reviewed by the evaluation, in addition to relevant TM mission reports (see list in annex 3).

3K.3 Allusions are made in some reports to revisions of certain formal project documents such as the logical framework, the M&E plan and the budget, but a paper audit-trail of these changes was hard to find.

3K.4 Some aspects of the start-up phase might have benefited from better guidance from UNEP, such as interpretation of GEF procedures (as mentioned in the Mid-Term Evaluation) and a review of the scale of the project's aspirations in light of its reduced budget and timeframe. The TM changed in 2009, leading to some loss of institutional memory for example on the engagement of non-CBD MEAs and the history of some indicators, but the handover was generally smooth.

3K.5 Personal rapport between the project team and UNEP supervisors has been good. In the second half of the project especially, TM supervision and support was accessible, hands-on, proactive and supportive. In addition to formal participation in Steering Committee meetings the TM attended a variety of partnership technical meetings, regional workshops and the associated meeting on post-2010 indicators held in the UK in 2009. The BIP Secretariat was given good feedback on performance, the information on which M&E progress reporting was based was diligently tested, and (when necessary) nudging was given e.g. to meet financial reporting deadlines. The TM strove to help the project sharpen its standards of meeting preparation and reporting, and occasionally gave a strategic steer on prioritisation of effort.

3K.6 PIR ratings overall improved markedly over the three years (see also section 3F), suggesting good adaptive management and learning from experience, and therefore also suggesting good supervision and provision of feedback by UNEP (this is corroborated by the evaluation's review of TM comments in the PIRs).

### **3 (L) Complementarity with UNEP Medium Term Strategy and Programme of Work**

3L.1 UNEP aims to undertake GEF-funded projects that are aligned with the UNEP Medium Term Strategy (MTS) and its Programmes of Work (POW), and with the Strategic Plan for technology support and capacity-building endorsed by the UNEP Governing Council in 2005 (known as the Bali Strategic Plan or BSP, after its adoption by a high-level open-ended intergovernmental working group in Bali, Indonesia in 2004).

3L.2 Since the Medium Term Strategy is for 2010-13 and the Programmes of Work are biennial (2010–2011 and 2012–2013), it is recognised that projects designed prior to the production of these documents would not necessarily be aligned with them; but that complementarity may exist nonetheless. Hence evaluations are asked to comment on complementarity with the MTS/POW, but this aspect is not included in the formal evaluation ratings.

3L.3 Since June 2000 the World Conservation Monitoring Centre (WCMC, the Executing Agency for the 2010BIP project) has been integrated into UNEP as a specialist biodiversity information and assessment centre, with a role both in biodiversity assessment and in the use of information to support the implementation of international agreements and programmes. UNEP-WCMC has a mandate from UNEP Governing Council (decision GC/22/1/III) to support the CBD through the provision of information, and helping to monitor progress towards meeting biodiversity-related objectives set by Convention and by the World Summit on Sustainable Development (WSSD) Plan of Implementation (while noting that no specific budget is provided for this, and that the Centre derives the majority of its revenue from non-UNEP sources).

#### **Links to UNEP's Expected Accomplishments**

3L.4 The UNEP Medium Term Strategy specifies desired results (termed “expected accomplishments”) in six cross-cutting thematic priority areas, namely (in alphabetical order):

- (i) climate change;
- (ii) disasters and conflicts;
- (iii) ecosystem management;
- (iv) environmental governance;
- (v) harmful substances and hazardous waste;
- (vi) resource efficiency – sustainable consumption and production.

Of the 16 expected accomplishments defined under these six areas, the 2010BIP project has delivered outcomes of particular relevance to five.

3L.5 In the ecosystem management priority area (iii), the project has been of relevance to all three of the expected accomplishments listed, namely:

- (a) countries and regions increasingly integrate an ecosystem management approach into development and planning processes;
- (b) countries and regions have capacity to utilise ecosystem management tools;
- (c) countries and regions begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services.

3L.6 This relates mainly to the support which has been provided both through published indicator results (giving feedback on achievement of global biodiversity conservation objectives) and through guidance on indicator methodologies. Countries and regions have been helped to be better equipped with the synthetic tools needed to make sense of monitoring and assessment intelligence, as an integral part of ecosystem management strategies. In selected areas targeted by the project (through the activities in project outcome area 3), the capacity of some countries (individually and in sub-regional clusters) to use relevant indicator tools has been enhanced, with a good likelihood of this enhanced capability being sustained. The project's work on integrated indicator storylines (see section 3F) offers strong scope for

eventual further benefits for the integration of ecosystem management into cross-sectoral planning processes (expected accomplishment (a)). Progress with indicators for ecosystem services (expected accomplishment (c)) has been slower, as this is an emerging field and inherently more complex.

3L.7 With the ecosystem management priority area overall, the challenge that remains is twofold: (i) achieving sufficient purchase in the arena of tradeoffs and sectoral inequalities that characterises policymaking of relevance to ecosystem management; and (ii) scaling-up from the relatively few places where impact has occurred so far.

3L.8 In the environmental governance priority area (iv), the project has been of relevance to two of the four expected accomplishments listed, namely:

- (a) the United Nations system demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements;
- (d) national and international stakeholders have access to sound science and policy advice for decision-making.

3L.9 This relates mainly to the partnership-building and communications activities in project outcome area 1. An unprecedented technical consensus has been formed around distilled findings and key interpretation messages from global biodiversity indicators, directly producing more coherent perspectives in the UN system and beyond, and including some initial examples of decisions themselves having enhanced coherence (CBD COP10). The “sound science” from the project (including data, analysis and methodological guidance) has been bequeathed as a legacy with on-going accessibility to, and utility for, national and international stakeholders.

3L.10 It is worth noting also that the UNEP MTS lists a number of “means of implementation” through which its six cross-cutting thematic priorities will be delivered, and these include several which are closely matched by aspects of the 2010BIP project. The main ones are:

(a) Sound science for decision-makers: early warning, monitoring and assessment (“...Integrated environmental assessments that highlight the state of the environment and trends will be used to inform decision-makers...”, “...Keeping the environment under review through scientifically credible monitoring and assessments is a foundation upon which UNEP will build to deliver on the Medium-Term Strategy’s six cross-cutting thematic priorities...”).

(b) Awareness-raising, outreach and communications.

(c) Capacity-building and technology support (Bali Strategic Plan - see below).

(d) Cooperation, coordination and partnerships (“...The value of working in partnership within the United Nations system and with civil society and the private sector has been continually reinforced...” “...UNEP recognises the critical importance of engaging with United Nations entities, international institutions, multilateral environmental agreements, bilateral aid agencies, civil society and the private sector in delivering on its broad environmental mandate...” “...UNEP will engage the full range of major groups and non-governmental actors, whether local, national, regional, or global...” “...UNEP recognises the ... importance of identifying synergies and linkages between various international agreements”).

### **Bali Strategic Plan**

3L.11 The Bali Strategic Plan represents a significant evolution in the role and mandate of UNEP, requiring the organisation to become increasingly responsive to country needs. Of the ten objectives in the Plan, the 2010BIP project can be seen as making a contribution to five (wordings paraphrased):

- (a) to strengthen the capacity of governments of developing countries and countries in transition;

- (c) to provide a framework for capacity-building to ensure the effective participation of developing and transition countries in negotiations concerning multilateral environmental agreements;
- (f) to enable collaboration with all relevant stakeholders and provide a basis for a comprehensive approach to developing partnerships;
- (g) to emphasise the identification and dissemination of best practices and the fostering of entrepreneurship and partnerships;
- (i) to strengthen cooperation among UNEP, multilateral environmental agreement secretariats, and other bodies engaged in environmental capacity-building.

The partnership-building aspects of the project (outcome area 1) have contributed particularly to objectives (f), (g) and (i) of the BSP, while the global-national linkages aspects (outcome area 3) have contributed particularly to objectives (a) and (c); but in fact there is much overlap and many different parts of the project relate to several of the BSP objectives.

### **South-south cooperation**

3L.12 South-south cooperation is regarded as the exchange of resources, technology and knowledge between developing countries. The evaluation Terms of Reference ask for any aspects of the project which could be considered as examples of south-south cooperation to be identified.

3L.13 Inherent in the 2010BIP partnership has been the animation of a web of connections and cross-fertilisations in all directions, “vertically”, “horizontally”, across disciplines, sectors, scales and geographical areas. The clearest example of south-south cooperation relates to the sub-regional developing country capacity-building workshops which formed part of the project’s outcome area 3, and are discussed in section 3F of this report. The process followed for these made good use of collaborators within the regions concerned to take co-leading roles in their organisation and implementation. Workshop reports, participant feedback and consultations for the present Terminal Evaluation suggest that the central Secretariat leadership required left ample space for mutual skills transfer to take place among participants. In the case of the leveraged UNDA-funded “BICSA” project workshops in Africa, the same participants or agencies took part in three successive workshops each, allowing this mutual support element to grow, and enhancing the continuation of their (“south-south”) dialogues afterwards. The involvement of regional cooperation entities (such as the ASEAN Centre for Biodiversity in the south-east Asian workshop) also provided a ready-made and enduring mechanism for optimising within-region knowledge-exchange.

## 4 Conclusions and rating

4.1 Project ratings in the table below are compiled according to the system prescribed by the GEF Office of Evaluation and explained in the Terms of Reference given in annex 1 of this report. According to GEF guidance, the overall rating for “attainment of objectives and results” may not be higher than the lower of the ratings for the “relevance” and “effectiveness” components of that criterion; the overall rating for “sustainability” may not be higher than the lowest of the ratings among all four components of that criterion; and the overall rating for “monitoring and evaluation” may not be higher than that for “M&E implementation”. The rating for “overall likelihood of impact achievement” (effectiveness) is derived from the ratings generated by the Review of Outcomes to Impacts analysis (see annex 5), wherein “AA” corresponds to “HL” on the scale used below<sup>1</sup>. Complementarity with UNEP’s strategy (report section 3L) is not included as it does not require a rating.

4.2 Other sections of this report discuss the evidence and conclusions on which the ratings for the 2010BIP project are based, and brief head-points are re-summarised under “Evaluator’s summary comments” below. Overall this unique project has performed remarkably well considering its ambition and the challenges it faced. It was always due to have a culmination of outputs in its final year, and it adapted to lessons and feedback throughout. These two factors produced a flourishing of effort and results in later stages, which is reflected in a steep improvement in the ratings given by the Implementing Agency over the three years and in the higher overall rating here compared to that given by the Mid Term Evaluation. It was remarked during one project meeting that it is almost impossible for a project of this complexity to attain a maximum score: the overall “satisfactory” rating therefore signifies major achievements of which all concerned can justly be proud.

Key:

Sustainability (and effectiveness <sup>1</sup> )		Other criteria	
HL	Highly likely	HS	Highly satisfactory
L	Likely	S	Satisfactory
ML	Moderately likely	MS	Moderately satisfactory
MU	Moderately unlikely	MU	Moderately unsatisfactory
U	Unlikely	U	Unsatisfactory
HU	Highly unlikely	HU	Highly unsatisfactory

Criterion	Evaluator’s summary comments	Rating
<b>A. Attainment of project objectives and results (overall rating)</b>	A development objective of reducing global biodiversity loss was probably over-ambitious, but policies likely to impact on this are being influenced by the project’s results.	S
Effectiveness - overall likelihood of impact achievement	Effectiveness was felt in the final year. BIP improved some indicators but more importantly built an unprecedented global coalition consensus assessment of biodiversity that fed authoritatively into CBD decisions. National work is likely to have some impacts too, on a modest scale.	HL <sup>1</sup>
Relevance	The project is relevant to GEF’s biodiversity focal area, the GEF-4 strategic priority concerning best practices, and six of the Operational Programmes. It also responds to needs defined by Parties to the CBD.	S
Efficiency	Partner sub-contracting had a few shortcomings, and cost-effectiveness of indicator development was not uniform, although the general construct had some in-built efficiency. Externally-imposed time reductions were difficult, but were responded to with a redoubling of effort that ultimately produced impressive results. Some elements were notably cost-efficient. Overheads were proportionate, financial controls robust, co-funding significantly exceeded targets and the project came in on budget.	S
<b>B. Sustainability of project outcomes (overall)</b>	Progress in the project’s final year in particular give good grounds for considering that many of the outcomes will be sustained	L
Financial	There is a formal commitment and widespread willingness to continue the Partnership in some form. Partners are likely to continue working	L

<sup>1</sup> The guidance in the ToRs is internally inconsistent, referring both to the “L” scale and the “S” scale for this component. Since the component relates to “likelihood”, the more logical “L” option has been used here.

	on their own indicators, but the scale of what may be possible on a joint basis is dependent on further investment. BIP's success in attracting co-funding is a good sign, and some future pledges have already been made.	
Socio-political	BIP outcomes and impacts are tied to well-enshrined intergovernmentally mandated processes, and socio-political risks to sustainability are small (though uptake will be best where there is active support). The year 2010 ostensibly marked a culmination of "2010 target"-related initiatives, but the indicators are fully relevant both to the successor regime (2020) and also e.g. to NBSAPs, the MDGs and MEA reporting (though work to cement these links more strongly is desirable).	L
Institutional framework	Each partner's relationship to the shared effort is different, but robust knowledge systems are well embedded in enduring institutional structures (though global data governance keeps evolving). Sustainability is likely.	L
Environmental	Environmental risks to sustainability are not considered applicable.	n/a
<b>C. Catalytic role and replication</b>	Documented guidance on methods in particular has enhanced indicator transferability between contexts. The partnership was catalytic by nature.	S
<b>D. Stakeholder participation and public awareness</b>	This was a core purpose of many project outputs. Awareness efforts were adequate; products were better. Some groups could have been better served and some misperceived BIP as a "club", but others engaged strongly.	MS
<b>E. Country ownership and drivenness</b>	The project was tied to the indicator framework and needs defined by Parties to the CBD, and was thus a response to country priorities in that (stretched) sense. The "global-national linkages" strand served more specifically the national needs of its target countries, albeit as a smaller part of the project and somewhat decoupled from the global agenda.	S
<b>F. Achievement of outputs and activities</b>	Work-planning was well tracked and all activities satisfactorily delivered. The "national linkages" outputs became tacitly redefined.	S
<b>G. Preparation and readiness</b>	Being forced to shrink the initial project proposal did not ultimately injure delivery of the approved objectives, but thanks mainly to key players heroically going "beyond the call". Ambitions could have been more deeply re-thought and expectations better managed (and staff turnover contingencies perhaps anticipated). In terms of infrastructure however, UNEP-WCMC was a well-prepared Executing Agency.	MU
<b>H. Implementation approach and adaptive management</b>	Resource-allocation could have been more incisively managed, the Scientific Advisory Body never found its role and the Steering Committee, while a good hand on the tiller, was not felt to be a primary engine of project governance (though its own assessment of this was more favourable). The complexity of a kaleidoscopic partnership such as the 2010BIP cannot be underestimated however, and helped by good spirit and a highly dedicated and professional BIP Secretariat (bar occasional lapses in detail) the project showed good adaptive management and learning from experience, and can be commended for charting a good course through its many implementation challenges.	S
<b>I. Monitoring and evaluation (overall)</b>	M&E was treated seriously, and overall was adequately factored in to project management	S
M&E design	Some weaknesses in the M&E Plan were seemingly addressed in response to the MTE and PIRs, though the audit-trail is opaque. Definition of baselines was challenging but received attention.	MS
M&E plan implementation	M&E in general was implemented as planned, and was enriched further in later parts of the project when data built into patterns.	S
Budgeting and funding for M&E activities	Accounting in this area was not very detailed, but M&E was adequately budgeted and ultimately was delivered with savings.	S
<b>J. Financial planning and control</b>	This complex project was brought in on budget, leverage was impressive and controls were good. Fully timely reports and a better grip on co-financing data might have allowed a rating of "HS".	S
<b>K. UNEP supervision and backstopping</b>	UNEP tested M&E information and gave feedback, prompting and support. This was thoughtfully framed and was acted upon.	S
<b>Overall rating</b>	While indicator development from 2007-10 is not all attributable to the 2010BIP, the project had demonstrable impacts that could not have been achieved otherwise, and overall it performed remarkably well considering its ambition and the challenges it faced.	S



## 5 Lessons (to be) learned

5.1 Lessons emerging from the project in respect of *compiling, communicating and using indicators* (and targets) have been fed into relevant processes, principally of the CBD. The present section focuses on lessons learned in respect of the *project*. Those on matters of detail have been mentioned elsewhere in the text: the ones below highlight more strategic issues. “Lessons learned” from the 2010BIP about an issue may arise *either* from BIP discovering it had a weakness on that issue *or* by contrast that it modelled good practice: no inference either way should necessarily be drawn from what follows (see instead other report sections).

- (i) **Building and running a partnership is harder than it looks!** A partnership of differing motivations and varied degrees of investment requires politically astute governance and a central coordinating body that is sufficiently resourced to devote the labour-intensive management and support required. Sensitive and flexible leadership is needed, since the best engagement-building rarely happens in linear or predictable ways, and distributed responsibilities for performance standards mean that problems cannot be corrected by a “controlling” management model. Special quality assurance, risk and contingency provisions would be wise, and ways of recognising critical intangible factors such as “trust” and “confidence” should be built in to evaluation systems. Expectations on all sides should be made very explicit (including post-project scenarios) and should be actively managed, especially if plans change.
- (ii) **Variable cash disbursement systems need absolute transparency.** Resource allocation in a partnership is fraught with risk and needs disproportionate care. What one BIP evaluation consultee called “throwing small money at piranhas” can exacerbate tensions rather than build bonds. Fairness is a better ideal than equality, and absolute clarity about the rationale is essential: above all *openness* is the key. Levels of engagement can be expected to mirror levels of funding.
- (iii) **Short feedback loops to specified response options make the best indicators.** Supplying brilliant indicator information does not constitute “communication” unless it is picked up and used. This is best ensured with a strategy that defines likely ultimate “storylines” at the outset and works “backwards” from those (especially important when reporting timeframes are externally imposed). Findings have the best chance of being *used* (not just “useful”) when they are directed towards a specific named policy response mechanism or decision-opportunity. The clearer/tighter those linkages are, and the shorter the “feedback loops” from monitoring to response, the more effectively will indicators meet recipient needs and contribute to biodiversity status improvements. There are post-project opportunities to make more of this with BIP products, for example in global links between science and policy (IPBES), next-generation national biodiversity plans (NBSAPs) and multi-sector reporting (MDGs).
- (iv) **One-off projects are better used for niche innovation than plugging programmatic gaps.** The 2010BIP had to deliver the headline core assessment findings for the 2010 target, and moreover it ambitiously aimed thereby to improve global biodiversity too. Although it delivered very well, there is an incongruity in recurrent tracking of biodiversity status by reference to intergovernmentally-adopted policy goals being as project-dependent as this, rather than being integrated into the on-going core resourcing of the bodies adopting the goals. Projects are best used for more time-bound purposes. Indicators are only *indications*: much can be achieved with illuminating samples and smart use of qualitative information, rather than necessarily seeking always to scale-up more of the same existing approaches to “bigger coverage” (in time or space). The BIP added particular new value where it pioneered methods and standards, built integrated indicator storylines, overlaid different indices, interested non-biodiversity sectors, facilitated networking between

countries and had flexibility to respond to emerging issues such as ecosystem service metrics and reflections on target-construction.

- (v) **Over-stressing “country-drivenness” may not serve GEF objectives well, in some cases.** A strategic, global-level project serving CBD mandates is a response to country priorities expressed through the Convention, but unless the GEF’s “country ownership” principles are seen in that sense, it is difficult to foreground them here in the way some might wish. Since the GEF also responds to CBD Party priorities there should be compatibility across the piece, but any differences in emphasis could lead to confusion. There was enthusiasm for including a national capacity-building strand in the 2010BIP and some excellent work was done in that area, but it proved conceptually difficult to integrate it into a project about an indicator system designed to function at global level. The original vision of a coherent and balanced “bottom-up” and “top-down” interaction between global indicators and national priorities did not turn out to be the reality. Few of the global indicators rely on data reported at the national scale, and not all are operable at other scales. Countries participating in the project consequently focused on national priorities largely without reference to the global biodiversity target. If anything, this part of the project served national priorities well at the expense of coherence with the global framework. That may satisfy the “country-drivenness” criterion but is not ideal for the bigger picture, and there may be an issue here for the GEF to consider in relation to global projects.

## 6 Recommendations

6.1 Terminal Evaluations are expected to have few if any recommendations, which are defined in the Terms of Reference (annex 1) as “actionable proposals for improvement of the *current project*”. Several were included in the 2010BIP Mid-Term Evaluation, and their follow-up has been referred to in section 3H above. Two further ones are offered here.

- (i) **Seeing analyses through.** The BIP Secretariat in conjunction with relevant partners should actively pursue opportunities for publication of further papers in the scientific literature derived from the project’s indicator analyses, including from work (which should be continued as far as capacity allows) on thematically integrated indicator sets. Final project budget reconciliations should be completed as well as the third user survey, whose results should be compared with earlier ones to assess differences. A follow-up review of the project’s impact on MEA and other processes would be desirable in late 2011.
- (ii) **Continuing the Partnership.** The agenda for continuation of the BIP roughed out in section 3B of this report should be pursued immediately by UNEP-WCMC, including urgent concerted efforts to seek funding. The new role of the Partnership should be formalised among all concerned as soon as possible in relation to the listed priorities, in particular “completing/capitalising on what is already there”, expert input to the “2020” targets and indicators agenda (including via the CBD AHTEG), “new stories” (= 7 priorities), and input to other global processes, notably MDG reporting and the 2012 Earth Summit component on “assessing progress towards internationally agreed commitments”.

## Annex 1 Evaluation Terms of Reference

Note: A factual summary of the project, included in the Terms of Reference for the evaluation, has been excluded from this annex since the relevant details appear in the body of the report. The section of the original ToRs which describes the GEF methodology used for Reviews of Outcomes to Impacts (ROtI) also does not appear here, but has been included instead in its context in annex 5, which presents the ROtI analysis for the evaluated project.

### 1. Objective and Scope of the Evaluation

The objective of this Terminal Evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

Did the methodology of the 2010BIP project contribute to:

- Building a 2010 Biodiversity Indicators Partnership to generate information useful to decision-makers;
- Development of improved global indicators;
- Providing support to national governments and regional organizations in using and contributing to the improved delivery of global indicators.

### 2. Methods

This Terminal Evaluation will be conducted as an in-depth evaluation using a participatory mixed-methods approach, during which the UNEP/DGEF Task Manager, key representatives of the Executing Agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP Evaluation Office and the UNEP/DGEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be delivered to the Evaluation Office. The Chief of Evaluation will circulate the report to UNEP/DGEF Task Manager, who will then distribute the report to key representatives of the Executing Agencies for comments. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on multiple approaches:

1. A desk review of project documents including, but not limited to:
  - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
  - (b) Notes from the Steering Group meetings.
  - (c) Other project-related material produced by the project staff or partners.
  - (d) Relevant material published on the project web-site : [www.twentyten.net](http://www.twentyten.net).
2. Interviews with project management and technical support including the current UNEP-WCMC team based in UK and key actors involved; visits to WCMC HQ in Cambridge are required.
3. Interviews and telephone interviews with intended users for the project outputs and other stakeholders involved, including Governments, especially Parties to the biodiversity-related conventions and other MEAs., and agencies and organizations involved in developing and delivering the indicators, such as UN agencies and programmes, international organizations, NGOs and research/academic institutions.. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with an electronic survey.

4. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with 2010BIP related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.
5. Attend the Steering Committee Meeting/Evaluation Workshop scheduled for December in Rome.

### Key Evaluation Principles

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions *“what happened?”* and *“what would have happened anyway?”*. These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

### 3. Project Evaluation Parameters and Ratings

The success of project implementation will be rated on a scale from ‘highly unsatisfactory’ to ‘highly satisfactory’. In particular the evaluation shall **assess and rate** the project with respect to the **eleven categories (A-K)**<sup>2</sup> defined below.

It should be noted that many of the evaluation parameters are interrelated. For example, the ‘achievement of objectives and planned results’ is closely linked to the issue of ‘sustainability’. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of ‘catalytic effects/replication’ and, often, ‘country ownership’ and ‘stakeholder participation’.

The *ratings for the parameters A-K will be presented in the form of a table (see Annex 1)*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

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

#### A. **Attainment of Objectives and Planned Results:**

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness:* Evaluate the **overall likelihood of impact achievement**, taking into account the “achievement indicators”, the achievement of outcomes and the progress made towards impacts. UNEP’s Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROtI)** method (described in Annex 6) to establish this rating.

<sup>2</sup> However, the views and comments expressed by the evaluator need not be restricted to these items.

- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies and country priorities? The evaluation should also assess the whether outcomes specified in the project document and or logical framework are actually outcomes and not outputs or inputs. Ascertain the nature and significance of the contribution of the project outcomes to the wider portfolio under GEF's Strategic Priority 3.
- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing, and any additional resources leveraged by the project, to the project's achievements. Did the project build on earlier initiatives; did it make effective use of available scientific and/ or technical information? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

## B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROtI method** described in Annex 6 will also assist in the evaluation of sustainability.

Four aspects of sustainability should be addressed: financial, socio-political, institutional frameworks, and environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that may jeopardize sustenance of project outcomes and onward progress towards impact? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes and eventual impact of the project dependent on continued financial support?
- *Socio-political*. Are there any social or political risks that may jeopardize sustenance of project outcomes and onward progress towards impacts? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public/ stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework*. To what extent is the sustenance of the outcomes and onward progress towards impacts dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/

benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.

- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

### C. Catalytic Role and Replication:

The catalytic role of the GEF is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and showing how new approaches and market changes can work. GEF aims to support activities that upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of GEF activities: (1) “**foundational**” and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2)

**demonstration** activities, which focus on demon-stration, capacity development, innovation, and market barrier removal; and (3) **investment** activities, full-size projects with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

In this context the evaluation should assess the catalytic role played by this project by consideration of the following questions:

- INCENTIVES: To what extent have the project activities provided incentives (socio-economic/ market based) to contribute to catalyzing changes in stakeholder behaviour?
- INSTITUTIONAL CHANGE: To what extent have the project activities contributed to changing institutional behaviours?
- POLICY CHANGE: To what extent have project activities contributed to policy changes (and implementation of policy)?
- CATALYTIC FINANCING: To what extent did the project contribute to sustained follow-on financing from Government and/ or other donors? (This is different from co-financing.)
- PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the project would not have achieved results)?

The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up through investment or scaling up of financial means

(Note: the **ROTI analysis** should contribute useful information to address these questions)

Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects: *replication proper* (lessons and experiences are replicated in different geographic area) or *scaling up* (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the project suitable for replication? If so, has the project approach been replicated? If no effects are identified, the evaluation will describe the strategy/ approach adopted by the project to promote replication effects.

#### **D. Stakeholder Participation/ Public Awareness:**

This consists of three related and often overlapping processes: (1) information dissemination, (2) consultation, and (3) “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. Note: the RoTI analysis should assist the evaluator in identifying the key stakeholders in each step of the causal pathway from activities to objectives. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses with respect to the achievement of the intended outcomes and objective of the project..
- Assess the degree and effectiveness of collaboration/ interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

#### **E. Country Ownership/ Drivenness:**

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership and commitment. Specifically, the evaluator should assess whether the project was effective in providing and communicating information improve decisions relating to selection of appropriate biodiversity indicators in each country.

#### **F. Achievement of Outputs and Activities:**

- Delivered outputs: Assessment of the project’s success in producing each of the programmed outputs, both in **quantity and quality** as well as **usefulness and timeliness**.
- Assess to what extent the project outputs produced so far have the weight of authority / credibility, necessary to influence policy and decision-makers, particularly at the national or regional levels.

#### **G. Preparation and Readiness:**

Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other

relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

#### **H. Implementation Approach and Adaptive Management:**

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed and whether the project document was clear and realistic to enable effective and efficient implementation.
- Assess the role of the various committees established and the project execution arrangements at all levels policy decisions: (1) Steering Group; (2) day to day project management in each of the country Executing Agencies.
- Assess the extent to which the project responded to the mid-term evaluation.
- Evaluate the effectiveness, efficiency and adaptability of project management and how well the management was able to adapt to changes during the life of the project.
- Identify administrative, operational and/ or technical problems and constraints that influenced the effective implementation of the project.

#### **I. Monitoring and Evaluation:**

The evaluation shall 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 Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in Annex 4). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

##### **M&E during project implementation**

**(1) 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 (see Annex 4) 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 evaluator should use the following questions to help assess the M&E design aspects:

##### SMART-ness of Indicators

- Are there specific indicators in the logical framework for each of the project objectives and outcomes?
- Are the indicators relevant to the objectives and outcomes?
- Are the indicators for the objectives and outcomes sufficient?
- Are the indicators quantifiable?



Adequacy of Baseline Information

- Is there baseline information?
- Has the methodology for the baseline data collection been explained?
- Is desired level of achievement for indicators based on a reasoned estimate of baseline?

Arrangements for Monitoring of Implementation

- Has a budget been allocated for M&E activities?
- Have the responsibility centers for M&E activities been clearly defined?
- Has the time frame for M&E activities been specified?

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?

**(2) M&E Plan Implementation.** A Terminal Evaluation should verify that:

- An M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logical framework or similar);
- Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
- That the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
- And that projects had an M&E system in place with proper training for parties responsible for M&E activities.

**(3) Budgeting and Funding for M&E Activities.** The Terminal Evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

**J. Financial Planning and Control:**

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

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co-financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP Fund Management Officer of the project (table attached in Annex 2 "Co-financing and leveraged resources").

**K. UNEP Supervision and Backstopping:**

The purpose of supervision is to work with the Executing Agency in identifying and dealing with problems which arise during implementation of the project itself. Such

problems may be related to project management but may also involve technical/substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF including:

- (i) The adequacy of project supervision plans, inputs and processes;
- (ii) The emphasis given to outcome monitoring (results-based project management);
- (iii) The realism/ candor of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- (iv) The quality of documentation of project supervision activities; and
- (v) Financial, administrative and other fiduciary aspects of project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 5).

#### **L. Complementarity with UNEP Medium Term Strategy and Programme of Work:**

UNEP aims to undertake GEF funded projects that are aligned with its strategy. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS)<sup>3</sup>/ Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarity may exist nevertheless. For this reason, the complementarity of GEF projects with UNEP's MTS/ POW will not be formally rated, however, the evaluation should present a brief narrative to cover the following issues:

*Linkage to UNEP's Expected Accomplishments* The UNEP Medium Term Strategy specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed **ROtI analysis**, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent any contributions and the causal linkages should be fully described.

*Project contributions that are in-line with the Bali Strategic Plan (BSP)*<sup>4</sup>. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

*South-South Cooperation* 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.

#### **4. Evaluation Report Format and Review Procedures**

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

<sup>3</sup> <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

<sup>4</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Chapter 3 of this TOR. ***The ratings will be presented in the format of a table (Annex 1) with brief justifications based on the findings of the main analysis.***

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) **A Project Identification Table:** Identify: (1) Project ID, (2) Title, (3) Location, (4) Start and End Date, (5) Mid-Term Evaluation (if applicable), (6) Executing and Implementing Agencies, Partners, (7) and Budget.
- ii) **An Executive Summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- iii) **Introduction and Background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology;
- iv) **Scope, Objective and Methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- v) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – L above);
- vi) **Conclusions and Rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);
- vii) **Lessons (to be) Learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
  - Briefly describe the context from which they are derived;
  - State or imply some prescriptive action;
  - Specify the contexts in which they may be applied (if possible, who when and where).
- viii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

*Prior to each recommendation*, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high **quality recommendation** is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available;
2. Commensurate with the available capacities of project team and partners;
3. Specific in terms of who would do what and when;
4. Contains results-based language (i.e. a measurable performance target);

5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.
- ix) **Annexes** may include additional material deemed relevant by the evaluator but must include:
  1. The Evaluation Terms of Reference (**TOR**),
  2. A **list of interviewees**, and evaluation timeline,
  3. A **list of documents** reviewed/ consulted,
  4. Summary **co-finance information** and a **statement of project expenditure by activity**,
  5. Details of the project's 'impact pathways' and the '**ROtI**' analysis,
  6. The expertise of the evaluation team (**brief CV**).

TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.

Examples of UNEP GEF Terminal Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou).

### **Review of the Draft Evaluation Report**

Draft reports shall be submitted to the Chief of Evaluation. The Chief of Evaluation will share the report with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Where, possible, a consultation is held between the evaluator, Evaluation Office Staff, the Task Manager and key members of the project execution team. The consultation seeks feedback on the proposed recommendations and lessons. UNEP Evaluation Office collates all review comments and provides them to the evaluator(s) for their consideration in preparing the final version of the report.

### **5. Submission of Final Terminal Evaluation Reports.**

The final report shall be submitted in electronic form in MS Word format and should be sent directly to:

Segbedzi Norgbey, Chief,  
UNEP Evaluation Office  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel.: (+254-20) 762 3387  
Fax: (+254-20) 762 3158  
Email: [segbedzi.norgbey@unep.org](mailto:segbedzi.norgbey@unep.org)

The Chief of Evaluation will share the report with the following individuals:

Maryam Niamir-Fuller, Director  
UNEP/Division of GEF Coordination (DGEF)  
P.O. Box 30552-00100  
Nairobi, Kenya  
Tel: (+254-20) 762 4686  
Fax: (+254-20) 762 3158/ 4042  
Email: [Maryam.Niamir-Fuller@unep.org](mailto:Maryam.Niamir-Fuller@unep.org)

Mr. Jon Hutton  
Director, UNEP World Conservation Monitoring Centre,  
219 Huntingdon Road,  
Cambridge,  
CB3 0DL.

Tel: +44 (0)1223 277314  
Fax: +44 (0)1223 277136  
E-mail: [Jon.Hutton@unep-wcmc.org](mailto:Jon.Hutton@unep-wcmc.org)

With a copy to:

Matt Walpole  
Head of Ecosystem Assessment  
UNEP-WCMC  
219c Huntingdon Road  
Cambridge, CB3 0DL  
UK  
E-Mail: [matt.walpole@unep-wcmc.org](mailto:matt.walpole@unep-wcmc.org)

The final Terminal Evaluation report will be published on the Evaluation Office website [www.unep.org/eou](http://www.unep.org/eou) and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

## **6. Resources and Schedule of the Evaluation**

This final evaluation will be undertaken by an international evaluator contracted by the UNEP Evaluation Office. The contract for the evaluator will begin on **1<sup>st</sup> November 2010** and end on **31<sup>st</sup> January 2011** - 6 weeks spread over three months - (5 days of travel, to Cambridge, UK and a further 5 days to Rome, Italy). The evaluator will submit a draft report on 31<sup>st</sup> December 2010 to UNEP/EO, the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / EO for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by **19<sup>th</sup> January 2011** after which, the consultant will submit the final report no later than **31<sup>st</sup> January 2011**.

The evaluator will after an initial telephone briefing with EO and UNEP/GEF travel to Cambridge and meet with project staff at the beginning of the evaluation.

In accordance with UNEP/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluators should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project. The evaluator will work under the overall supervision of the Chief, Evaluation Office, UNEP. The evaluator should have a Master's degree or higher in conservation and environment or from a related field and at least 10 years of experience working with international policy and law concerning the natural environment and capacity building. The evaluator should possess a sound understanding of biodiversity, strategic policy development, legislation and have the following minimum qualifications: (i) experience in information management and capacity building for information-related issues; (ii) experience with management and implementation of global projects and in particular with a particular emphasis on use of the internet to access information relevant to decision-making; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable. Fluency in oral and written English is a must.

## **7. Schedule Of Payment**

### **Lump-Sum Option**

The evaluator will receive an initial payment covering the travel costs upon signature of the contract. A further 40% will be paid upon acceptance of the draft report. A final payment of 60% will be made upon satisfactory completion of work. The fee is payable under the individual Special Service Agreement (SSA) of the evaluator and is **inclusive** of all expenses such as travel, accommodation and incidental expenses.

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

### **Overall ratings table**

Criterion	Evaluator's Summary Comments	Evaluator's Rating
<b>A. Attainment of Project Objectives and Results (overall rating)</b>		
<b>Sub criteria (below)</b>		
A. 1. Effectiveness - overall likelihood of impact achievement		
A. 2. Relevance		
A. 3. Efficiency		
<b>B. Sustainability of Project Outcomes (overall rating)</b>		
<b>Sub criteria (below)</b>		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework		
B. 4. Environmental		
<b>C. Catalytic Role and Replication</b>		
<b>D. Stakeholder Participation/ Public Awareness</b>		
<b>E. Country Ownership/ Drivenness</b>		
<b>F. Achievement of Outputs and Activities</b>		
<b>G. Preparation and Readiness</b>		
<b>H. Implementation Approach and Adaptive Management</b>		
<b>I. Monitoring and Evaluation (overall rating)</b>		
<b>Sub criteria (below)</b>		
I. 1. M&E Design		
I. 2. M&E Plan Implementation		
I. 3. Budgeting and Funding for M&E activities		
<b>J. Financial Planning and Control</b>		
<b>K. UNEP Supervision and Backstopping</b>		
<b>Overall Rating</b>		

### **Rating of project objectives and results**

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

**Please note:** Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

### **Ratings on sustainability**

Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal Evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives/ or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

#### Rating system for Sustainability sub criteria

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

Highly Likely (HL): There are no risks affecting this dimension of sustainability.

Likely (L): There are minor risks that affect this dimension of sustainability.

Moderately Likely (ML): There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are moderate risks that affect this dimension of sustainability.

Unlikely (U): There are significant risks that affect this dimension of sustainability

Highly Unlikely (HU): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an “Unlikely” rating in any of the dimensions then its overall rating **cannot be higher** than “Unlikely”, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

### **Ratings of project M&E**

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on “M&E Design”, “M&E Plan Implementation” and “Budgeting and Funding for M&E activities” as follows:

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

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

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

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

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

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

“M&E Plan Implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will **not be higher** than the rating on “M&E plan implementation.”

### All other rating

All other ratings will be on the GEF six point scale.

GEF Performance Description	
HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

### Co-financing and leveraged resources

Co-financing (basic data to be supplied to the consultant for verification)

Co financing (Type/Sour ce)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Plann ed	Actual	Plann ed	Actual	Plann ed	Actual	Plann ed	Actual	Plann ed	Actual
Grants										
Loans/Conc essional (compared to market rate)										
Credits										
Equity investments										
In-kind support										
Other (*)										
<b>Totals</b>										

\* Other refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

### Leveraged Resources

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. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

**Table showing final actual project expenditure by activity to be supplied by the UNEP Fund management Officer. (insert here)**

### Review of the draft report

Draft reports submitted to the UNEP Evaluation Office are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP Evaluation Office collates the review comments and provides them



to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

### Quality Assessment of the Evaluation Report

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

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

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

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

#### Rating system for quality of Terminal Evaluation reports:

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

## Minimum requirements for M&E

### Minimum Requirement 1: Project Design of M&E<sup>5</sup>

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
  - a description of the problem to address
  - indicator data
  - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

### Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

**SMART indicators** GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be “SMART”:

1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

*[TE Note: The remainder of the original of this text repeats the “M&E during Project implementation” part of Section I of ToRs above, and so is not included again here]*

<sup>5</sup> <http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

**Expectations regarding the role of the DGEF task managers in GEF project supervision and a list of documentation relevant for the evaluation of project supervision (provided to evaluator by DGEF)**

**Project start up phase**

- Pink File preparation and signature (including detailed project supervision plan)
- Co-financing arrangements
- Bank account opened and/or information provided
- Initial cash advance
- Supervision of recruitment of project staff
- Office set up (office space, procurement of equipment, host agreements)
- Establishment of project steering committee and any other advisory/governing structures.

**Inception mission and workshop**

- Preparation
- Review of institutional arrangements and project implementation responsibilities
- Workshop including providing training (important to discuss at inception how project will be evaluated at exit)
- First Steering Committee meeting
- Revised project implementation, M&E or supervision plan as necessary.

**Project implementation**

- Project financial and substantive reporting (includes audited statements, inventories of non-expendable equipment)
- Active monitoring of progress in achieving outcomes
- Liaising with co-implementing agency if applicable
- Steering committee meeting preparation and attendance
- Field visits as relevant/required
- Risk monitoring (social and environmental safeguards)
- Preparation and coordination of MTR (or support to MTE)
- Adaptive management to respond to risk and problems (includes follow up to MTR/MTE recommendations, and risk mitigation plan if applicable)
- Revisions
- Other technical assistance (e.g., output review, support to communications efforts)
- Database maintenance
- Knowledge management.

**Project completion**

- Review/clearance of outputs
- Clearance of terminal report and review of audited financial statement
- Completion revision
- Request for disposal of equipment
- Support to Evaluation Office for Terminal Evaluation (review of draft evaluation TOR, project information, comments to draft TE, completion of management response / implementation plan, follow up on recommendations [if any])
- Knowledge management.

**Documents to inform evaluation of project supervision**

- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted

- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)
- Mid-term Evaluation and associated action plans, (if any)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).

Possible additional documents:

Has a project extension occurred?

- Extension documentation.

Has a formal revision of project activities or objectives occurred? (Beyond modifications to project plans based on normal adaptive management procedures)

- Project revision documentation.

Has a formal budget revision occurred?

- Budget revision documentation.

## Annex 2 Consultations undertaken

An overview of the methods used for the evaluation is given in section 2 of this report. The present annex gives further details of standard key consultation questions, consultees, respondents and the “evaluation day” organised for the project Steering Committee.

### Main email consultation

Approximately 160 project stakeholders were contacted by personal email, including Secretariat staff, Steering Committee members, partners, collaborators, workshop participants and beneficiaries. Free comments were invited, but to assist further, a standard set of five key open questions was also provided.

The brevity of this list was designed to be more appealing to consultees than something appearing to be “yet another questionnaire”, and thereby hopefully to produce a better response. It was also kept short so that the email could encourage recipients to provide quick instinctive responses, which sometimes better crystallise what people really think. At the same time, the questions addressed “big issues” and were posed openly, so respondents were free to provide as much information as they wished. This approach requires more time for analysis than a “multiple choice” questionnaire, and allows mainly qualitative rather than quantitative findings; but hopefully offers a chance for deeper insights.

The five questions were as follows:

1. What are the most significant new collaborations on biodiversity indicators that have been brought about by the BIP project, which you think would not have happened otherwise?
2. From things you have witnessed personally, how well do you think the activities of this project have equipped governments and international institutions with a reliable understanding of progress towards the global 2010 target?
3. Please name at least (a) one strength and (b) one weakness in the way the project was organised and managed. (Elaborate as much as you wish).
4. Do you have evidence or experience of BIP indicator outputs/results being the cause of a useful change in any relevant policies, programmes, plans or decisions? (At any scale, global to local). Please describe.
5. What should happen to the Partnership now?

All replies were individually responded to. In some cases additional emails were exchanged on particular issues.

Substantive responses were received from the following (three of whom were also interviewed in person) (SC = Steering Committee):

Teresita Borges	Government of Cuba, and BIP SC
Thomas Brooks	NatureServe
Stuart Butchart	BirdLife International, and UNEP-WCMC
Monique Dubé	University of Saskatchewan
Maurizio Ferrari	Forest Peoples Programme
Alessandro Galli	Global Footprint Network
Marc Hockings	University of Queensland, and IUCN World Commission on Protected Areas
Valerie Kapos	UNEP-WCMC, and Cambridge Conservation Forum
Jonathan Loh	Living Planet Index
Georgina Mace	Imperial College London
David Morgan	Convention on International Trade in Endangered Species
Thomasina Oldfield	TRAFFIC International
Frederik Schutyser	European Environment Agency
Spencer Thomas	Former CBD SBSTTA Chair and BIP SC

### Email consultation to participants in regional workshops (re project outcome 3)

A separate mailing was sent to 50 consultees who had participated in the regional workshops conducted under outcome area 3 of the project (on global-national linkages). This posed a different standard set of three key open questions. The message read: “We would like to invite you to make any comments on what you found particularly good, or less good, about this project:

1. What was the best part?
2. Was there anything you were hoping for that didn’t happen?
3. In particular it would be good if you could point to examples where relevant national policy or decision-making has been improved by the indicator information you have been able to develop.”

All replies were individually responded to. Substantive responses were received from the following (including two that were prompted by a separate earlier message):

Samuel Andanje	Kenya Wildlife Service
Alphonse Fofo	National Institute for Environment and Wildlife Conservation, Burundi
Leanne Hart	Department of Environmental Affairs and Tourism, South Africa
Clydecia McClure	Environmental Protection Agency, Guyana
Muslim Anshari Rahman	National Parks Board, Singapore
Marcelo Windsor	Ministry of Natural Resources and Environment, Belize
Eugenia Wo Ching	Institute for Environmental Policy, Costa Rica

### Individual interviews

Individual interviews were held with 33 consultees, lasting up to 2 hours each, in person or by telephone. A framework of over 40 questions was constructed for consultation interviews, but this served mainly as an adaptable aide mémoire, was not shared with consultees and on many occasions was not needed, so it is not reproduced here. Those interviewed are listed below (SC = Steering Committee; and “former” affiliations are mentioned where they are relevant to the period of the 2010BIP project). Where necessary, subsequent questions of clarification and amplification were followed up by email or telephone.

Jackie Alder	UNEP Division of Environmental Policy Implementation, and formerly University of British Columbia
Neville Ash	IUCN, and formerly UNEP-WCMC
Steven Bachman	Royal Botanic Gardens, Kew
Charles Besancon	UNEP-WCMC
Olivier Biber	Government of Switzerland
Bastian Bomhard	UNEP-WCMC
Neil Brummitt	Natural History Museum, UK, and formerly Royal Botanic Gardens, Kew
Philip Bubb	UNEP-WCMC
Stuart Butchart	BirdLife International, and UNEP-WCMC
Achilles Byaruhanga	NatureUganda
Anna Chenery	UNEP-WCMC
Geoff Cowan	Government of South Africa
Nick Davidson	Convention on Wetlands, and BIP SC
Holly Dublin	IUCN Species Survival Commission, and formerly BIP SC
Rodrigo Fuentes	ASEAN Centre for Biodiversity
Alex Gee	UNEP-WCMC
Jerry Harrison	UNEP-WCMC
Marc Hockings	University of Queensland and IUCN World Commission on Protected Areas
Robert Höft	Convention on Biological Diversity, and BIP SC
Jon Hutton	UNEP-WCMC, and BIP SC
Valerie Kapos	UNEP-WCMC, and Cambridge Conservation Forum
Paul Matiku	Nature Kenya, and BIP SC

Alfred Oteng-Yeboah	Council for Scientific and Industrial Research, Ghana, and former CBD SBSTTA Chair
Christian Prip	United Nations University, and Government of Denmark, and former CBD SBSTTA Chair
Aggrey Rwetsiba	Government of Uganda
Christian Schlatter	Government of Switzerland
Damon Stanwell-Smith	UNEP-WCMC
Alison Stattersfield	BirdLife International
Simon Stuart	IUCN Species Survival Commission, and BIP SC
Anne Teller	European Commission
Stephen Twomlow	UNEP Division of GEF Coordination
Matt Walpole	UNEP-WCMC
Mark Zimsky	GEF Secretariat, and BIP SC

### “Evaluation day”, Rome 13 December 2010

A special “evaluation day” for members of the project team and Steering Committee was designed and led by the evaluator on 13 December 2010 in Rome, scheduled back-to-back with the final Steering Committee meeting the following day (at which its outcomes were reviewed). This opportunity added considerable value to the lesson-learning and sustainability dimensions of end-of-project thinking for all concerned, and may be regarded as an extra bonus benefit of the evaluation process (as well as having fed good input to the TE itself). The agenda included presentations, discussion questions, an exercise on elements of the ROtI analysis and a self-assessment by the Steering Committee of its own effectiveness (which helped to inform aspects of section 3H of this report, and was also made available in an interactive on-line format for those who could not be present). The agenda and questions are reproduced below.

<b>Biodiversity Indicators Partnership: past, present and future</b> <i>Monday, 13 December 2010</i>	
09.00	Meeting commences - Welcome & housekeeping
<b>Morning – “20:20 hindsight”: distilling experiences from the 2010 BIP</b>	
09.30	<ol style="list-style-type: none"> <li>1. Overview of the scope and process for the UNEP Terminal Evaluation (TE)</li> <li>2. Quick exercise: self-assessment of the Steering Committee’s own effectiveness</li> <li>3. The steps to ultimate impact: how is better indicator information improving the status of biodiversity? (Input to the TE section on “Outcomes to impacts”)</li> </ol>
11.00	Break for tea & coffee
11.30	<ol style="list-style-type: none"> <li>4. Exercises, possibly in two groups, to discuss selected questions of relevance to the TE framework and to wider lesson-learning</li> </ol> <p>The morning session will conclude by agreeing a list of <b>5 key lessons</b> emerging about the implementation of the 2010 BIP project, which could in principle be practically applied in future projects dealing with partnership building or biodiversity indicators.</p>
13.00	Break for lunch
<b>Afternoon – Life after 2010 BIP: where next?</b>	
14.00	<ol style="list-style-type: none"> <li>5. Quick overview of types of comment made on the “where next?” question by consultees in the BIP Terminal Evaluation</li> <li>6. Update on recent relevant mandates in eg decisions of MEA COPs</li> <li>7. Ideas session: opportunities for engagement with other processes, eg AHTEG, IPBES, CSAB, Diversitas, GEO BON</li> </ol>

15.30	Break for tea & coffee
16.00	<p>8. Exercise: priorities for future ‘partnershiping’ and ‘indicatoring’</p> <p>9. Steps towards bids for funding</p> <p>The afternoon session will conclude by agreeing a <b>draft statement of desired future directions</b>, which can be refined overnight for endorsement by the Steering Committee on the following day.</p>
17.30	Meeting adjourns

### Steering Committee self-assessment questionnaire

The short questionnaire given to Steering Committee members is reproduced below. An even number of options were offered for the scores, in order to avoid “exactly 50-50” responses and artificially to force a choice of a positive or negative stance on each issue.

*Please tick the relevant box to assign a score to each of the following statements, according to the degree to which you personally agree with it. (SC = Steering Committee).*

	Strongly disagree	Disagree	Slightly disagree	Slightly agree	Agree	Strongly agree
1. The SC had a strong sense of purpose and awareness of its Terms of Reference						
2. The SC’s decisions were influential in guiding the BIP project						
3. The SC had the right number and mix of members						
4. Responsibilities for taking action were clearly assigned and communicated						
5. Discussions in the SC were open, and allowed me to voice concerns and to challenge thinking when necessary						
6. My engagement with the SC was as comprehensive as I would have liked						
7. My engagement with the BIP Secretariat was as comprehensive as I would have liked						

*Please answer the last two questions below with a brief comment or two.*

8. With hindsight, what would you have wanted to happen differently in relation to the SC?	
9. Any other comments on the effectiveness of the SC?	

### Discussion questions

The discussion suggested for agenda item 4 aimed to avoid issues well reviewed already, or where consultee opinion had been unanimous, or where the project was constrained by the construct of the CBD indicator framework. It also did not address questions of what should happen next (those were discussed instead in the afternoon). It was stressed that the emphasis should be on strategic and oversight issues (the business of the Steering Committee) rather than on technical content of indicators etc. The questions offered for discussion on this item (two groups, each discussing two questions) are as follows:



### **1. Building a partnership**

Discuss lessons learned from the project about the problems and rewards of building a multi-organisation partnership.

### **2. Project governance and management**

Discuss the best and worst of the project's governance and management, including:

- adaptation to unforeseen contingencies;
- appreciation of risk factors;
- the monitoring and evaluation regime;
- financial controls and cost-efficiency

### **3. Strategic choices that had to be made in supporting the development of a varied suite of indicators**

- what dilemmas were faced?
- what balances had to be struck?
- what choices were made?
- what would we do differently if we were starting again?

### **4. Catalytic role and replication**

GEF evaluations look for the creation of an enabling environment, and activities which are innovative and show how new approaches can work. This includes “foundational” activities focusing on policy, priority setting; demonstration activities; and catalysing investments.

INCENTIVES: To what extent have the project activities provided incentives (socio-economic/ market based) to contribute to catalysing changes in stakeholder behaviour?

INSTITUTIONAL CHANGE: To what extent have the project activities contributed to changing institutional behaviours?

POLICY CHANGE: To what extent have project activities contributed to policy changes (and implementation of policy)?

CATALYTIC FINANCING: To what extent did the project contribute to sustained follow-on financing from government and/ or other donors? (This is different from co-financing).

Replication in the context of GEF projects is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. This can be replication proper (lessons and experiences are replicated in a different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the project suitable for replication? If so, has the project approach been replicated? If not, what strategy/ approach has been adopted by the project to promote replication effects?

### **Outputs from the evaluation day**

The BIP Secretariat produced a brief note of the evaluation day, essentially transcribing what the various breakout group discussion sessions had captured on flipcharts, and which they had reported back to the meeting. The note was circulated to those present and to other Steering Committee members who had been unable to attend.

The evaluator's five powerpoint presentations were uploaded to the shared document area on the 2010BIP website for Steering Committee members to access.

Issues arising from the evaluation day were taken forward to the formal meeting of the Steering Committee on the following day, including points from the presentation on Terminal Evaluation consultee comments concerning future activity (evaluation day agenda item 5

above), as a basis for initial thinking and SC decisions about next steps. This therefore helped to minimise delays in providing help from the TE to this process; although of course the present final report will now provide a fuller contribution to it.

Otherwise, the discussions during the evaluation day have been taken into account in drafting this TE report. The SC self-assessment results from agenda item 2 helped to inform aspects of section 3H of the report, and are summarised there. Agenda item 3 helped to inform the Review of Outcomes to Impacts (ROtI) analysis presented in annex 5, which in turn has been taken into account in several sections of the report. Discussion question 4 from agenda item 4 relates directly to report section 3C, and relevant issues that were raised have been taken up there.

The aim of the morning session was to agree a list of 5 key lessons emerging from the discussions. In fact a larger number of lessons was captured, and they have been taken forward into section 7 of this report. The aim of the afternoon session was to agree a draft statement of desired future directions for the SC to consider. Elements of this were duly taken to the SC meeting and discussed there, with further refinement to be carried out by email consultation after the meeting. The elements produced have been incorporated into section 3B of this report.

### List of participants

Teresita Borges	Government of Cuba
Linda Collette	UN Food and Agriculture Organisation
Nick Davidson	Convention on Wetlands
Jon Hutton	UNEP-WCMC, and BIP SC Chair
Dave Pritchard	Terminal Evaluator and facilitator
Damon Stanwell-Smith	UNEP-WCMC
Stephen Twomlow	UNEP Division of GEF Coordination
Tristan Tyrrell	UNEP-WCMC
Matt Walpole	UNEP-WCMC
Rawson Yonazi	Government of Tanzania

## **Annex 3 List of documents**

The following documents were consulted for this evaluation.

### **Principal project documents**

- Building the partnership to track progress at the global level in achieving the 2010 biodiversity target. UNEP GEF Project Document. GEF ID No. 2796; UNEP GEF GF/1010-07-01 (4977).
- BIP Secretariat (2007). 2010 Biodiversity Indicators Partnership - Terms of Reference.
- BIP Secretariat (2007). 2010 Biodiversity Indicators Partnership - Information Pack.
- BIP Secretariat (2010). 2010BIP project logical framework with annotated updates. BIP Secretariat paper S6 for BIP Steering Committee meeting, Rome, 14 December 2010.

### **Project evaluations**

- Brann, J (2007). Biodiversity Indicators for National Use. Terminal Evaluation of UNEP GEF Medium-Sized Project GEF ID No 1384; UNEP ID No 341. 20 June 2007.
- Brann, J (2010). Building the partnership to track progress at the global level in achieving the 2010 biodiversity target. Mid-Term Evaluation of GEF Full-Sized Project GEF ID No. 2796, UNEP ID No 4977. April 2010.
- BIP Secretariat (2010). Management Response to 2010 BIP Mid-Term Evaluation. August 2010.

### **Project Implementation Review reports**

- BIP Project Implementation Review Report, fiscal year 2008 (1 July 2007 to 30 June 2008).
- BIP Project Implementation Review Report, fiscal year 2009 (1 July 2008 to 30 June 2009).
- BIP Project Implementation Review Report, fiscal year 2010 (1 July 2009 to 30 June 2010).

### **Secretariat reports**

- BIP Secretariat Half Yearly Progress Report to UNEP/DGEF, July - December 2007.
- BIP Secretariat Half Yearly Progress Report to UNEP/DGEF, December 2007 - June 2008.
- BIP Secretariat Half Yearly Progress Report to UNEP/DGEF, 16 June 2008 - 15 December 2008.
- BIP Secretariat Half Yearly Progress Report to UNEP/DGEF, 16 December 2008 - 15 June 2009.
- BIP Secretariat Half Yearly Progress Report to UNEP/DGEF, 16 June 2009 - 15 December 2009.
- BIP Secretariat Half Yearly Progress Report to UNEP/DGEF, 16 December 2009 - 15 June 2010.
- BIP Secretariat update report on progress to December 2010. Paper S3 for project Steering Committee meeting, Rome, 14 December 2010.

### **Steering Committee minutes**

- Minutes of 2010BIP Steering Committee meeting, 14 December 2005, Cambridge.

- Minutes of 2010BIP Steering Committee meeting, 9 February 2006, Cambridge.
- Minutes of 2010BIP Steering Committee meeting, 8 July 2007, Paris.
- Minutes of 2010BIP Steering Committee meeting, 25 May 2008, Bonn.
- Minutes of 2010BIP Steering Committee teleconference, 21 May 2009.
- Minutes of 2010BIP Steering Committee meeting, 13 November 2009, London.
- Minutes of 2010BIP Steering Committee meeting, 22 June 2010, London.

### **Notes of meetings with UNEP/DGEF Task Manager**

- Notes of teleconference, 28 January 2010.
- TM Mission Report 20-25 June 2010, including BIP meeting in UK.
- TM Mission Report 5-11 July 2009, including BIP meeting in UK.
- TM Mission Report 24 May - 5 June 2009, including BIP meeting in UK.
- TM Mission Report 9-23 September 2010, including BIP meeting in UK.

### **Partnership technical meeting reports**

- Report of Biodiversity Indicators Partnership Meeting, 12-13 December 2005, Cambridge.
- Report of Biodiversity Indicators Partnership Meeting, 7-8 February 2006, Cambridge.
- Report of Biodiversity Indicators Partnership Meeting, 11-12 September 2007, Cambridge.
- Report of Biodiversity Indicators Partnership Meeting, 25-26 June 2008, Montréal.
- Report of Biodiversity Indicators Partnership Meeting, 9-10 July 2009, Cambridge.
- Report of Biodiversity Indicators Partnership Meeting, 23-24 June 2010, London.

### **Technical substantive reports**

- Half Yearly Progress Report to UNEP: July – December 2007.
- Half Yearly Progress Report to UNEP: December 2007 – June 2008.
- Half Yearly Progress Report to UNEP: June – December 2008.
- Half Yearly Progress Report to UNEP: December 2008 – June 2009.
- Half Yearly Progress Report to UNEP: June – December 2009.
- Half Yearly Progress Report to UNEP: December 2009 – June 2010.

### **Financial reports and statements**

- UNEP-WCMC Audited Accounts, 2007.
- UNEP-WCMC Audited Accounts, 2008.
- UNEP-WCMC Audited Accounts, 2009.
- 2010BIP Partners Co-financing report, December 2007.
- 2010BIP Partners Co-financing report, December 2008.
- 2010BIP Partners Co-financing report, December 2009.
- Quarterly project statements of allocation (budget), expenditure and balance for third quarter of 2010.
- Statements of expenditure summarised by project activity, as at mid December 2010. Paper S7 (version 2) for Steering Committee meeting, Rome, 14 December 2010.

### **Communication plans**

- 2010 Biodiversity Indicators Partnership Communication Strategy, December 2007.
- 2010 Biodiversity Indicators Partnership Communication Plan for 2010 International Year of Biodiversity, January 2010.

- 2010 Biodiversity Indicators Partnership International Year of Biodiversity communications work plan, January 2010.

### **Regional workshop reports**

- Report of ASEAN regional workshop and training on biodiversity indicators, their calculation, interpretation and communication: 18-21 November 2008, Bangkok, Thailand.
- Report of Caribbean biodiversity indicators capacity development workshop, 9-11 December 2008, Port of Spain, Trinidad & Tobago.
- Report of Mesoamerican workshop on capacity building for biodiversity indicators, 24-26 June 2009, Heredia, Costa Rica.
- Biodiversity Indicators Capacity Strengthening in Africa project: report of Eastern Africa inception workshop, 30 March - 3 April 2009, Nairobi, Kenya.
- Biodiversity Indicators Capacity Strengthening in Africa project: report of Eastern Africa second workshop, 22-24 September 2009, Nairobi, Kenya.
- Biodiversity Indicators Capacity Strengthening in Africa project: report of Eastern Africa third workshop, 13-15 April 2010, Nairobi, Kenya.
- Biodiversity Indicators Capacity Strengthening in Africa project: report of Southern Africa inception workshop, 21-23 July 2009, Cape Town, South Africa.
- Biodiversity Indicators Capacity Strengthening in Africa project: report of Southern Africa second workshop, 9-11 February 2010, Pretoria, South Africa.
- Biodiversity Indicators Capacity Strengthening in Africa project: report of Southern Africa third workshop, 17-19 August 2010, Windhoek, Namibia.

### **National/regional guidance**

- McRae, L., Loh, J., Bubb, P.J., Baillie, J.E.M., Kapos, V. and Collen, B. (2008). The Living Planet Index - guidance for national and regional use. UNEP-WCMC, Cambridge.
- Bubb, P.J., Fish, L. and Kapos, V. (2009). Coverage of protected areas - guidance for national and regional use. UNEP-WCMC, Cambridge.
- Bubb, P.J., Butchart, S.H.M., Collen, B., Dublin, H., Kapos, V., Pollock, C., Stuart, S. N. and Vié, J.-C. (2009). IUCN Red List Index - guidance for national and regional use. IUCN, Gland.
- Sheehan, D.K., Gregory, R.D., Eaton, M.A., Bubb, P.J. and Chenery, A.M. (2010). The Wild Bird Index - guidance for national and regional use. UNEP-WCMC, Cambridge.
- 2010 Biodiversity Indicators Partnership (2010). Guidance for national biodiversity indicator development and use. UNEP-WCMC, Cambridge.
- Bubb, P., Chenery, A. and Stanwell-Smith, D. (2010). Biodiversity Indicators Capacity Strengthening: experiences from Africa. UNEP-WCMC, Cambridge.

### **Others**

- BIP Secretariat (2009). Report of User Needs Survey 2009.
- Walpole, M. et al. (2009). Tracking progress toward the 2010 biodiversity target and beyond. *Science* 325: 1503-1504. Additional supporting on-line material: [www.sciencemag.org/cgi/content/full/325/5947/1503/DC1](http://www.sciencemag.org/cgi/content/full/325/5947/1503/DC1)
- Butchart, S.H.M. et al. (2010). Global biodiversity: indicators of recent declines. *Science* 328: 1164-1168. Additional supporting on-line material: [www.sciencemag.org/cgi/content/full/science.1187512/DC1](http://www.sciencemag.org/cgi/content/full/science.1187512/DC1)
- 2010 Biodiversity Indicators Partnership (2010). Biodiversity indicators and the 2010 Target: experiences and lessons learnt from the 2010 Biodiversity Indicators

- Partnership. Published by Secretariat of the Convention on Biological Diversity, Montreal, Canada. CBD Technical Series No. 53.
- 2010 Biodiversity Indicators Partnership (2010). Joined up indicators guide policy better. Brochure published by 2010BIP Secretariat.
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## Annex 4 Finance information

This annex presents a summary of relevant financial information for the 2010BIP project, as specified in the Terms of Reference for the Terminal Evaluation. The ToRs ask for data on co-financing, and on overall expenditure broken down by project activity type. Comments on this, and on financial planning and control, are not given here but in report section 3J instead.

### Total budget and co-financing

The total project budget figures (in US\$) are as follows:

GEF:	3,639,000
Co-financing:	5,177,893
Total:	8,816,893

A breakdown of co-financing figures is given in tables A4-1 and A4-2 below.

The format for table A4-1 follows that provided in the TE ToRs, except that the section on “own financing” has been changed to refer to the Executing Agency rather than the Implementing Agency, since in this case it was UNEP-WCMC providing the resourcing referred to. Although no figures are given in the “government” column, in the case of some of the international agency co-funders of the project of course, national government budgets have contributed to the sums provided. The disbursement figures match the provision figures on the basis of information from the project Secretariat to the effect that there was no under-spend or over-spend of the co-financing component of the budget, although detailed accounts have not been available in exactly this form. In some cases in table A4-2 where two or more organisations have collaborated on the development of a given indicator, the relevant co-financing amount has been assigned to the line for the organisation regarded as leading on that indicator.

### Project expenditure by activity

Table A4-3 below shows expenditure of the GEF-funded component of the project budget (ie excluding co-financing) broken down by the numbered activity areas listed in the project logical framework. Since the Terminal Evaluation was conducted during the closing weeks of the project, figures as they stood at the end of December 2010 have been used. Although the final column of the table shows a difference between the budget and the actual spend at that date, remaining income and expenditure payments due thereafter, or still to be logged, are confidently expected to enable a final account reconciliation to zero.



Table A4-1. Summary of project co-financing. (EA = Executing Agency).

Co financing (type/source)	EA own financing (US\$)		Governments * (US\$)		Other (US\$)		Total (US\$)		Total disbursements (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	1,191,650	1,493,819		*	1,608,490	8,384,527	2,800,140	9,878,346	2,800,140	9,878,346
Loans/concessional rates (compared to market rate)										
Credits										
Equity investments										
In-kind support	195,000	c195,000		*	2,182,753	1,374,845	2,377,753	1,569,845	2,377,753	1,569,845
Other										
<b>Totals</b>	1,386,650	1,688,819		*	3,791,243	9,759,372	5,177,893	11,448,191	5,177,893	11,448,191

\* In a global project such as this, most national government support comes as generic programme contributions blended with other funding for the multilateral bodies which then in turn, as one part of those programmes, have made contributions to the project. It is therefore not possible to distinguish separate figures for a “governmental” component of the project’s financing. The category “other” in this table therefore includes the total of all financing that is not from the EA’s own resources.

Table A4-2. Breakdown of co-financing sources.

Source	Cash (US\$)		In-kind (US\$)	
	Planned	Actual	Planned	Actual
BirdLife International		60,312	416,603	503,473
Centre for Genetic Resources (CGN)		0	5,000	5,000
CITES Secretariat		0	?	85,000
European Commission		467,000 (Other EC amounts channelled via FAO and UNEP-WCMC, and counted in their figures below)		0
Federal Government of Germany, Universities		35,000		35,000

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of Greifswald and Queensland, for European PAME study				
FAO	10,000	1,925,484	855,000	628,372
Global Footprint Network	401,990	1,739,093		0
Global Invasive Species Programme (GISP)		50,000	145,000	43,000
Institute of Zoology	486,000	930,930	137,000	0
ILRI		0	5,000	5,000
IPGRI		0	40,000	0
IUCN		0	50,000	5,000
Ramsar Convention on Wetlands		0	53,150	0
SwedBio	185,000	185,000	0	0
The Nature Conservancy	22,000	0	105,000	0
UN Development Account (for BICSAfrica project)		504,000		
UNEP GEMS/Water		5,000	110,000	15,000
UNEP (for BICSAfrica project)		70,000		
UNESCO (with Terralingua)	10,000	646,187	90,000	25,000
University of British Columbia	5,000	0	20,000	0
University of Saskatchewan	0	800,000	0	0
University of Virginia (INI)	25,000	171,370	25,000	25,000
University of Queensland (excluding European PAME study)	202,500	598,004		0
Wetlands International	321,600	0	126,000	0
WWF International and WWF US	124,400	197,147		0
<b>Sub-total “other” sources</b>	<b>1,608,490</b>	<b>8,384,527</b>	<b>2,182,753</b>	<b>1,374,845</b>
Executing Agency own resources (UNEP-WCMC) (for indicator development)	1,191,650	1,493,819	195,000	approx 195,000
<b>Total co-financing</b>	<b>2,800,140</b>	<b>9,878,346</b>	<b>2,377,753</b>	<b>1,569,845</b>

Table A4-3. Project expenditure by activity

Output	Activity	Actual expenditure					Budget	Difference at end Dec 2010
		2007	2008	2009	2010	Project total at end Dec 2010		
<b>Output 1.1</b> <i>Working partnership on 2010 indicators established and maintained</i>	<b>Activity 1.1.1:</b> <i>Develop a 2010 Biodiversity Indicators Partnership, based on organizations and agencies delivering the various agreed 2010 indicators</i>	45,529	42,074	146,117	38,925	272,645	206,500	-66,145
	<b>Activity 1.1.2:</b> <i>Implement processes to share ideas, standards, guidelines, methodologies and data amongst the Partnership and more widely</i>	5,261	875	-23	7,490	13,602	47,500	33,898
	<b>Activity 1.1.3:</b> <i>Hold four full Partnership meetings and four meetings of the 2010 BIP Steering Committee during the course of the project</i>	69,173	53,607	31,585	45,572	199,936	215,000	15,064
	<b>Activity 1.1.4:</b> <i>Identify other stakeholders and encourage their contribution to the activities of the Partnership</i>	0	0	4,179	1,044	5,223	13,000	7,778
	<b>Activity 1.1.5:</b> <i>Coordinate and manage the full suite of activities of the 2010 BIP, including maintaining documentation of on-going lessons learned from the implementation of the project</i>	45,529	42,074	146,117	39,496	273,216	231,500	-41,716
<b>Output 1.2:</b> <i>Communication strategy meeting user needs prepared and implemented</i>	<b>Activity 1.2.1:</b> <i>Undertake periodic review of potential users of the 2010 indicators and their needs</i>	9,325	13,158	644	785	23,912	29,000	5,088
	<b>Activity 1.2.2:</b> <i>Review and refine communications and outreach strategy</i>	2,229	1,810	2,201	3,377	9,617	8,000	-1,617
	<b>Activity 1.2.3:</b> <i>Develop promotional and outreach materials for use of Partnership members and others</i>	8,917	7,238	8,803	13,509	38,467	32,000	-6,467
	<b>Activity 1.2.4:</b> <i>Further identify and implement means to relate the 2010 indicators to other international conventions and programmes</i>	18,011	13,247	4,220	13,281	48,760	49,500	740
	<b>Activity 1.2.5:</b> <i>Establish and maintain Partnership web site</i>	0	24,456	10,939	6,998	42,393	30,600	-11,793
	<b>Activity 1.2.6:</b> <i>Conduct analysis on the links between the full suite of 2010 biodiversity indicators</i>	0	16,755	39,286	17,368	73,408	116,250	42,842
	<b>Activity 1.2.7:</b> <i>Further identify and implement means to relate the 2010 indicators to the MDGs, targets and</i>	0	9,586	3,564	6,510	19,659	27,500	7,841

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	<i>indicators</i>							
	<b>Activity 1.2.8:</b> Further identify the relationship of the indicators arising from other relevant conventions and programmes to the suite of 2010 indicators	0	8,721	2,032	0	10,753	9,500	-1,253
	<b>Activity 1.2.9:</b> Deliver appropriate analysis of 2010 indicators for use in products developed and delivered by other processes and initiatives, including MEAs and other assessment processes	0	5,585	13,095	5,789	24,469	38,750	14,281
	<b>Activity 1.2.10:</b> Develop a range of suitable products based on outputs and analysis of the 2010 biodiversity indicators	16,066	24,034	11,767	37,981	89,849	90,500	651
	<b>Activity 1.2.11:</b> Establish and implement a process for peer review of the products delivered from the Partnership	5,261	2,420	-20	7,490	15,151	62,500	47,349
	<b>Activity 1.2.12:</b> Translate, publish and disseminate Partnership products widely	0	34,228	23,387	78,174	135,789	135,000	-789
<b>Output 2.1:</b> Standards, guidelines and methods for indicator development, peer review and information sharing	<b>Activity 2.1.1:</b> Review needs for further development and implementation of individual indicators	0	0	48,984	70,484	119,468	160,000	40,532
	<b>Activity 2.1.2:</b> Establish basic standards for each indicator, including quality assurance processes and documentation	0	1,545	3	0	1,549	15,000	13,452
	<b>Activity 2.1.3:</b> Implement peer review strategies for all indicators developed within the 2010 BIP	0	0	0	538	538	35,000	34,463
	<b>Activity 2.1.4:</b> Update and maintain indicator methodologies, metadata, and completed indicator time series in Partnership information sharing facilities	0	2,717	1,215	778	4,710	3,400	-1,310
<b>Output 2.2:</b> Individual indicators strengthened and delivered	<b>Activity 2.2.1:</b> Further develop identified indicators in support of the CBD headline indicators, including developing and implementing short and long term plans for data collection, management and use	360,204	548,109	652,481	167,016	1,727,809	1,745,000	17,191
<b>Output 3.1:</b> Enhanced capacity of national governments and regional organizations to contribute to global indicator delivery	<b>Activity 3.1.1:</b> Develop guidelines to facilitate increased contribution of local, national, and regional data to the development of global 2010 indicators	5,306	7,606	9,512	4,343	26,768	29,000	2,232
	<b>Activity 3.1.2:</b> Contribute to regional capacity building workshops and other appropriate fora to disseminate and facilitate the use of such tools	0	28,800	26,025	0	54,825	60,000	5,175
<b>Output 3.2:</b> Guidelines available to governments and	<b>Activity 3.2.1:</b> Develop guidelines to facilitate use of global 2010 indicator methodologies and development processes at national and regional level	6,018	13,267	17,461	10,491	47,236	47,000	-236

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<i>regional organizations for the use of global indicators and their methodologies in national and regional decision making</i>	<b>Activity 3.2.2:</b> <i>Develop guidelines on the options for use of global 2010 indicators in national and regional level policy and decision-making</i>	6,018	13,267	17,461	10,491	47,236	47,000	-236
	<b>Activity 3.2.3:</b> <i>Contribute to regional capacity building workshops and other appropriate fora to disseminate and facilitate the use of such tools</i>	0	28,800	26,025	0	54,825	60,000	5,175
<b>Totals:</b>		602,848	943,979	1,247,059	587,929	3,381,815	<b>3,544,000</b>	<b>162,186</b>
<b>Non-activity-linked expenditure</b> (project evaluations)		(Figures not allocated)					95,000	
						<b>Totals:</b>	3,381,815	<b>3,639,000</b>

## Annex 5 Review of Outcomes to Impacts analysis

This Annex examines the project's "impact pathways" and its "theory of change" or "intervention logic", according to the GEF methodology known as the "Review of Outcomes to Impacts" or ROtI analysis. The methodology is given as an annex in the Terminal Evaluation Terms of Reference, but instead of including it with the body of the ToRs in Annex 1 of the present report, it is reproduced below (adapted very slightly for the context). The results of the application of this analysis to the 2010BIP project are then described.

### Extract from TE ToRs: Introduction to the theory of change/impact pathways, the ROtI method and the ROtI results scoresheet

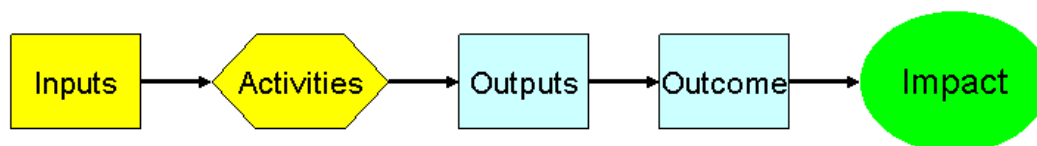
Terminal Evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing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

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

### Theory of Change (TOC) / impact pathways

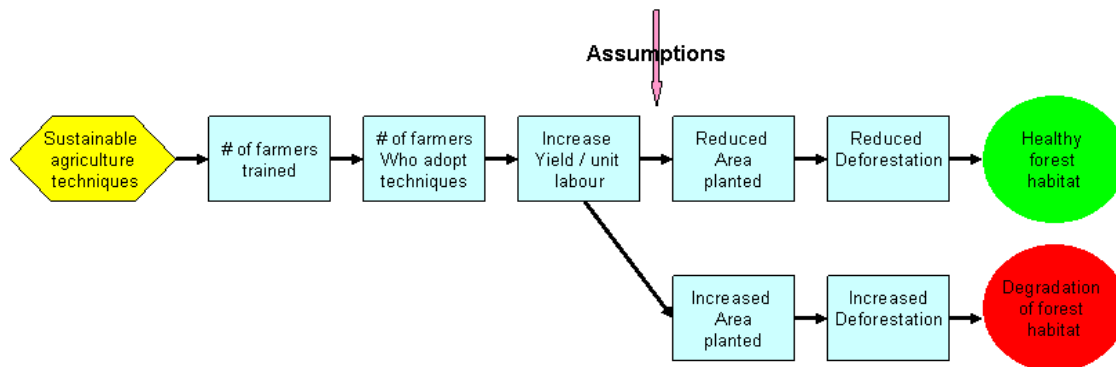
Figure A5-1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

Figure A5-1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in figure A5-2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure A5-2. An impact pathway / TOC for a training intervention intended to aid forest conservation



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)<sup>6</sup> and has three distinct stages:

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

The **identification of the project's intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method<sup>7</sup>. The aim of this stage is to develop and understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impacts often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure A5-3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

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

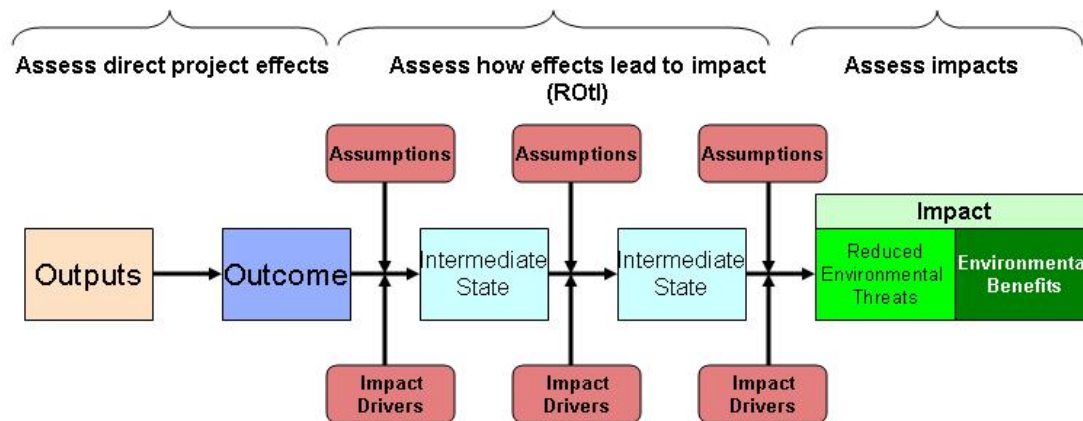
<sup>6</sup> GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. [http://www.gefweb.org/uploadedFiles/Evaluation\\_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf](http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf)

<sup>7</sup> Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

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

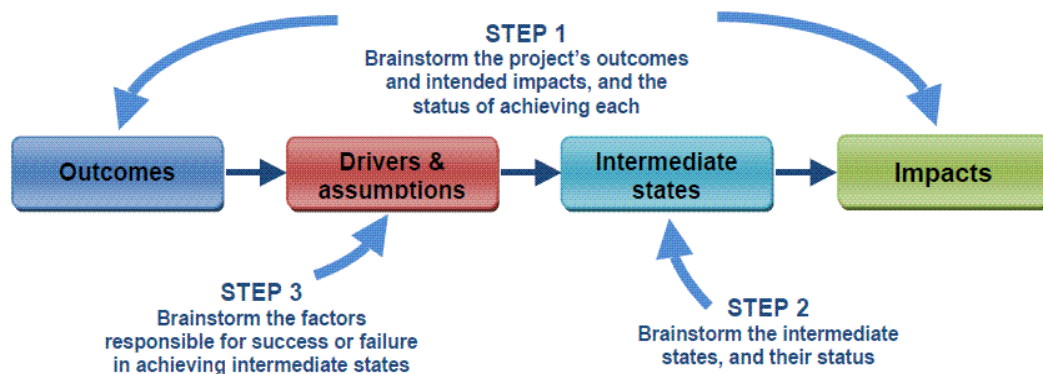
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each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

Figure A5-3. A schematic ‘impact pathway’ showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009)



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project’s theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure A5-4 below shows the suggested sequence of the group discussions needed to develop the TOC for the project.

Figure A5-4. Suggested sequencing of group discussions (from GEF EO 2009)





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

The ROTI method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According to the GEF guidance on the method; *“The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.”*

For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table A5-1).

Table A5-1. Rating scale for outcomes and progress towards ‘intermediate states’

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

Thus a project will end up with a two-letter rating, e.g. AB, CD, BB. In addition the rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six-point rating scale used in all UNEP project evaluations in the following way (a + score above moves the double-letter rating up one space in the six-point scale).

Table A5-2. Shows how the ratings for ‘achievement of outcomes’ and ‘progress towards intermediate states’ translate into ratings for the ‘overall likelihood of impact achievement’ on a six-point scale.

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

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

### Scoring guidelines

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

### Outcomes:

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

### Examples

***Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved.*** People attended training courses but there is no evidence of increased capacity. A website was developed, but no-one used it. (Score - D)

***Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future.*** People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because intended end users had no access to computers. People had meetings that led nowhere. Outcomes hypothesized or achieved, but either insignificant and/or *no evident linkages forward* to intermediary stages leading towards impacts. (Score - C)

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

***Outcomes plus explicit linkages forward.*** Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar

panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score - A)

### Intermediate stages:

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

#### ***In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends.***

Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. (Score - D)

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

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

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

**Impact:** Actual changes in environmental status. “Intermediate stages” scored B to A; measurable impacts achieved at a globally significant level within the project life-span. (Score - ‘+’)

### ROtI analysis for the 2010BIP project

The 2010BIP Mid-Term Evaluation report offered a few initial draft elements of a ROtI analysis for the project, mainly in respect of defining some of the assumptions, and two suggested intermediate states. At that time of course it was somewhat early to form a developed view on likelihood of ultimate impacts. For the present report, those early ingredients have been reorganised into three tables, bringing them together with elements of the project’s logical framework for each of the three project outcome areas in turn. These tables are given on the following three pages, and an explanation follows.

Tables A5-3 to A5-5 (following pages). ROtI elements as at Mid-Term Evaluation, 2009

Outcome 1: A 2010 Biodiversity Indicators Partnership generating information useful to decision-makers			
Outputs	Intermediate states		Impact
<b>Output 1.1.</b> Working partnership on 2010 indicators established and maintained  <b>Output 1.2</b> Communication strategy meeting user needs prepared and implemented	<b>States:</b>  MTE: - Quality of policy decisions improved with respect to effects on biodiversity; - increased number of policy decisions specifically seeking to benefit biodiversity	<b>Project immediate objective:</b> decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level.  As expressed in MTE ROTI: Quality of policy decisions improved with respect to effects on biodiversity; increased number of policy decisions specifically seeking to benefit biodiversity	<b>Project development objective:</b> a reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity.  As expressed in MTE ROTI: Reduced threats to biodiversity and more effective conservation actions for biodiversity result in improved biodiversity status at global level
	<b>Assumptions:</b> LF: The improved information delivered from this project is used to help make better decisions on the conservation and sustainable use of biodiversity. LF: The availability of sufficient data to ensure full development of the databases underlying the global indicators. LF: The relevance of the suite of 2010 indicators identified by the CBD to particular policy agendas. LF: Organisations working on indicators continue to cooperate and contribute to the project. LF: The willingness of Partners to work together to develop the full suite of indicators. LF: The availability of Partnership members for meetings of the Partnership LF: Sufficient resources are available in Partner organisations to fully implement a decentralized communications strategy. LF: Products can be developed that meet users' needs.  MTE: Active partner collaboration and cooperation MTE: Adequate management capacity for partnership		
	<b>Impact drivers:</b> MTE: Policy decisions are adequate to overcome root causes of biodiversity loss [ <i>TE comment: this appears to be more like an assumption</i> ]		

Outcome 2: Improved global indicators are implemented and available			
Outputs	Intermediate states		Impact
<b>Output 2.1:</b> Standards, guidelines and methods for indicator development, peer review and information sharing  <b>Output 2.2:</b> Individual indicators strengthened and delivered	<b>States:</b>  MTE: - Quality of policy decisions improved with respect to effects on biodiversity; - increased number of policy decisions specifically seeking to benefit biodiversity	<b>Project immediate objective:</b> decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level.  As expressed in MTE ROTI: Quality of policy decisions improved with respect to effects on biodiversity; increased number of policy decisions specifically seeking to benefit biodiversity	<b>Project development objective:</b> a reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity.  As expressed in MTE ROTI: Reduced threats to biodiversity and more effective conservation actions for biodiversity result in improved biodiversity status at global level
	<b>Assumptions:</b>  LF: The improved information delivered from this project is used to help make better decisions on the conservation and sustainable use of biodiversity. LF: The availability of sufficient data to ensure full development of the databases underlying the global indicators. LF: The relevance of the suite of 2010 indicators identified by the CBD to particular policy agendas. LF: Data are available to collate for use in indicators. LF: Appropriate methodological advances are possible within the timeframe of the project. LF: Peer review and information management strategies are implemented by 2010BIP Partners involved in indicator development. LF: Agreement can be reached on a process for individual indicator implementation. LF: Technical solutions to indicators exist and can be agreed on.  MTE: Resources available to implement decentralized communication strategy MTE: End users needs can be met by products developed by partnership MTE: Indicators can be adequately developed to report on 2010 target MTE: Technological solutions to methodological challenges exist, can be identified, and agreed upon		
	<b>Impact drivers:</b>  MTE: Effective communication strategy MTE: Policy decisions are adequate to overcome root causes of biodiversity loss [ <i>TE comment: this appears to be more like an assumption</i> ]		

Outcome 3. National governments and regional organisations using and contributing to the improved delivery of global indicators			
Outputs	Intermediate states		Impact
<b>Output 3.1:</b> Enhanced capacity of national governments and regional organizations to contribute to global indicator delivery  <b>Output 3.2:</b> Guidelines and other tools available to governments and regional organizations for the use of global indicators and their methodologies.	<b>States:</b>  MTE: - Quality of policy decisions improved with respect to effects on biodiversity; - increased number of policy decisions specifically seeking to benefit biodiversity	<b>Project immediate objective:</b> decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level.  As expressed in MTE ROTI: Quality of policy decisions improved with respect to effects on biodiversity; increased number of policy decisions specifically seeking to benefit biodiversity	<b>Project development objective:</b> a reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity.  As expressed in MTE ROTI: Reduced threats to biodiversity and more effective conservation actions for biodiversity result in improved biodiversity status at global level
	<b>Assumptions:</b> LF: The improved information delivered from this project is used to help make better decisions on the conservation and sustainable use of biodiversity. LF: The availability of sufficient data to ensure full development of the databases underlying the global indicators. LF: The relevance of the suite of 2010 indicators identified by the CBD to particular policy agendas. LF: Governments and regional organizations are willing to contribute relevant data for incorporation into the global indicators. LF: Governments and regional organizations recognize the value of the 2010 biodiversity indicators for tracking change in biodiversity at the national and regional level. LF: Capacity and resources for data collection, collation, and analysis exist, or can be built, at national and regional levels to contribute to global indicator development. LF: 2010BIP products are used and disseminated at regional workshops and other events held independently of the 2010BIP project. LF: Global data and indicator methodologies are useful at sub-global scales. LF: 2010BIP products are used and disseminated at regional workshops and other events held independently of the 2010BIP project.  MTE: Adequate data are available to analyze MTE: Partner organizations have adequate information management approaches MTE: Technological solutions to methodological challenges exist, can be identified, and agreed upon		
	<b>Impact drivers:</b> MTE: Policy decisions are adequate to overcome root causes of biodiversity loss [ <i>TE comment: this appears to be more like an assumption</i> ]		

The three preceding tables show the six principal outputs for each of the project's three outcome areas on the left, and the ultimate impact (expressed as the project's development objective) on the right. In the Mid-Term Evaluation ROTI discussion the development objective was formulated slightly differently, and that different formulation is also shown. Under "intermediate states" are shown the definitions offered by the Mid-Term Evaluation (signified by "MTE"), and also the project's stated immediate objective, which is itself an intermediate state on the way to achieving the development objective (again a slightly different formulation of this deriving from the MTE is also given).

Assumptions are listed as given in the project logical framework (signified by "LF"), plus some additional ones defined for ROTI purposes in the Mid-Term Evaluation report (signified by "MTE"). One or two suggestions for impact drivers from the MTE are also given, although as noted the main one appears to be more in the nature of another assumption.

In the June 2010 Project Implementation Report a number of actions were specified for achieving sustainable project outcomes, and these appear to add some additional thoughts on impact drivers, including the following:

- regular outputs, emphasising different aspects of the indicator suite
- increased interaction through regional and global workshops
- successful national level engagement
- Global Biodiversity Outlook 3 (GBO-3) widely read and coherent
- engagement with MEAs.

As part of the Terminal Evaluation, the "Evaluation Day" workshop held with members and observers of the Steering Committee in December 2010 (see section 2 and annex 2) included a discussion of further draft elements of the ROTI analysis prepared by the evaluator, and that discussion contributed additional thoughts to the process.

A summary of the intervention logic produced from all this is given in table A5-6 on the next page. Note in this that reference to "decision-makers" refers not only to those in the biodiversity community, but governments acting on behalf of all sectors, and also decision-makers in the other individual sectors themselves.

Finally, following the methodology described above, the ratings for outcomes achieved by the project and the progress made towards the "intermediate states" at the time of the evaluation are given in table A5-7.

Table A5-6. Review of Outcomes to Impacts – intervention logic for the 2010BIP

Outcomes	Intermediate States	Impact
<p><b>1:</b> A 2010 Biodiversity Indicators Partnership generating information useful to decision-makers</p> <p><b>2:</b> Improved global indicators are implemented and available</p> <p><b>3:</b> National governments and regional organisations using and contributing to the improved delivery of global indicators</p>	<pre> graph LR     A["(i) Quality, completeness and relevance of information improved"] --&gt; B["(ii) Decision-makers have easier access to the information they need for better decisions"]     B --&gt; C["(iii) Decision-makers have positive perceptions of the improved information provided, and then make use of it"]     C --&gt; D["(iv) Decisions are reasoned more completely/rationally in relation to the information they are based on"]     D --&gt; E["(v) Increased number of relevant decisions taken with the intention and likelihood of benefiting biodiversity"]     E --&gt; F["Project immediate objective: decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level"]     F --&gt; G["Project development objective: a reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity."]           </pre>	<p><b>Project immediate objective:</b> decisions made by governments and other stakeholders are better informed to improve the conservation status of species, habitats, and ecosystems at the global level</p> <p><b>Project development objective:</b> a reduction in the rate of biodiversity loss at the global level, through improved decisions for the conservation of global biodiversity.</p>
<p><b>Assumptions</b></p>	<ul style="list-style-type: none"> <li>- Widespread consensus and confidence in results (e.g. of status and trends vis-a-vis 2010 target) can be achieved</li> <li>- Sufficient knowledge of what biodiversity effects are produced by a given decision</li> <li>- Those who become favourably disposed towards the information provided also have the power to use it relevantly</li> </ul>	
<p><b>Impact drivers</b></p>	<ul style="list-style-type: none"> <li>- Direct provision of information: improved web access; language translation</li> <li>- Information tailored and matched to whatever incentivises given decision-makers to use it</li> <li>- Information tailored and matched to specific identified policy choices and decision-points</li> <li>- Creation of confidence, assurance and peer-endorsement</li> </ul>	



Table A5-7. Ratings for outcomes and progress towards intermediate states.

Outcomes	Rating	Intermediate states	Rating	Impact	Rating	Overall rating
1: A 2010 Biodiversity Indicators Partnership generating information useful to decision-makers	A	Comments: Scientific and technical consensus built by Partnership has enhanced the authority with which decision-makers have been able to make decisions in favour of environmental benefit (as in the CBD example below)	A	Comments: ("Impact" would be given a rating of "+" if there had been measurable changes in actual environmental status at global level as a result of the project and during its life-span. It was inherent in the nature of the BIP project that it would enable other processes to achieve such impacts, and over a longer timescale, rather than directly producing them itself before the end of 2010).		AA
Comments: Institutional forward links to decision-making processes thoroughly ensured by effective delivery of the Partnership construct						
2: Improved global indicators are implemented and available	A	Comments: Decisions by CBD COP, in particular adoption of new Strategic Plan, likely to lead to improved biodiversity status, and attributable influenced in doing so (e.g. via GBO3) by the BIP project	A			
Comments: Indicators delivered to meet intergovernmentally-mandated action agendas; results effectively disseminated to appropriately targeted audiences, with evidence of positive uptake						
3: National governments and regional organisations using and contributing to the improved delivery of global indicators	A	Comments: Enthusiastic takeup at technical level and some impact on reporting, but although there is some reported likelihood of impact on decisions, evidence of this is sparse and small-scale (a very few countries) at this stage	B			
Comments: Regional/national outputs (guidelines etc) cascaded effectively through catalytic key players, leaving legacy of policy-relevant action commitments						

Again according to the methodology described, the overall rating of "AA" for the 2010BIP project translates on the six point scale of ratings for "overall likelihood of impact achievement" to a rating of "Highly Likely". Although explicit forward linkages to ultimate impact (as expressed by the development objective) are evident, a question is raised about the adoption of a development objective in those terms for a project such as the 2010BIP. The project was designed to provide tools for others to achieve global environmental benefits, rather than ever setting out itself directly to achieve those benefits. Moreover, responses to conclusions about the extent to which the 2010 target was met would not be expected to be fully formulated until late in 2010, and to take effect only some time after that. It could be argued therefore that reduction in the rate of global biodiversity loss was an over-ambitious yardstick against which to aim to be judged, and the project inherently was never going to achieve a "+" rating for "impact".

## Annex 6 Progress in development and delivery of indicators over the life of the 2010BIP GEF project (= project output 2.2)

(NB the table below was compiled by the evaluator using the BIP Secretariat's own assessments of status, based on reports from Partners)

0	not being developed
1	under development
2	fully developed with established methodologies and global time-series data

2006-2010	
↑	10
↗	9
→	15

Indicator	2010 BIP Partners	Progress in indicator development						Example data on BIP website	Data submitted for GBO3	
		06	07	08	09	10	Overall			
Status and trends of the components of biodiversity										
1.1.1. Trends in extent of selected biomes, ecosystems and habitats: Extent of forests	FAO	2	2	2	2	2	➡	✓	✗	
1.1.2 Trends in extent of selected biomes, ecosystems and habitats: Others	UNEP-WCMC	0	0	0	1	2	⬆	✓	✓	
1.2.1 Living Planet Index	ZSL & WWF	2	2	2	2	2	➡	✓	✓	
1.2.2 Global Wild Bird Index	BirdLife International	1	1	1	1	2	↗	✓	✓	
1.2.3 Waterbird Indicator	Wetlands International	0	1	1	1	1	↗	✓	✓	
1.3.1 Coverage of protected areas	UNEP-WCMC	2	2	2	2	2	➡	✓	✓	
1.3.2 Overlay of biodiversity with protected areas	UNEP-WCMC	0	0	0	1	2	⬆	✓	✓	
1.3.3 Management effectiveness of protected areas	University of Queensland & UNEP-WCMC	0	1	1	1	1	↗	✓	✓	
1.4.1 Red List Index and Sampled Red List Index	ZSL	2	2	2	2	2	➡	✓	✓	

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1.5.1 <i>Ex situ</i> crop collections	FAO & Bioversity International	0	1	1	1	2	↑	✓	✗
1.5.2 Genetic diversity of terrestrial domesticated animals	FAO & ILRI	0	1	1	1	1	↗	✓	✓
<b>Sustainable use</b>									
2.1.1 Area of forest under sustainable management: certification	UNEP-WCMC	0	1	1	1	2	↑	✓	✗
2.1.2 Area of forest under sustainable management: degradation and deforestation	FAO	0	1	1	1	1	↗	✓	✓
2.1.3 Area of agricultural ecosystems under sustainable management	FAO	1	1	1	1	1	→	✓	✗
2.2.1 Proportion of fish stocks in safe biological limits	FAO	2	2	2	2	2	→	✓	✗
2.2.2 Status of species in trade	CITES	0	1	1	1	2	↑	✓	✗
2.2.3 Wild Commodities Index	UNEP-WCMC	0	1	1	1	1	↗	✓	✗
2.3 Ecological footprint and related concepts	Global Footprint Network	1	2	2	2	2	↗	✓	✓
<b>Threats to biodiversity</b>									
3.1 Nitrogen deposition	International Nitrogen Initiative	2	2	2	2	2	→	✓	✗
3.2 Invasive alien species	Global Invasive Species Programme	0	1	1	1	2	↑	✓	✓
<b>Ecosystem integrity and ecosystem goods and services</b>									
4.1 Marine Trophic Index	University of British Columbia	2	2	2	2	2	→	✓	✗
4.2 Water quality	UNEP GEMS/Water Programme	1	1	1	2	2	↗	✓	✓
( ) Trophic integrity of other ecosystems		0	0	0	0	0	→	✗	✗
4.3.1 Forest Fragmentation	UNEP-WCMC & FAO	1	1	1	1	1	→	✓	✗
4.3.2 River fragmentation and flow regulation	The Nature Conservancy	1	1	1	1	1	→	✓	✓
( ) Incidence of human-induced ecosystem failure		0	0	0	0	0	→	✗	✗
4.4 Health and well-being of communities	UNEP-WCMC & WHO	0	1	1	1	2	↑	✓	✗

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4.5.1 Nutritional status of biodiversity	FAO	0	1	1	1	2	↑	✓	✗
4.5.2 Biodiversity for food and medicine	TRAFFIC Intl	0	1	1	1	1	↗	✓	✓
<b>Status of knowledge, innovations and practices</b>									
5.1 Status and trends of linguistic diversity and Nos of speakers of indigenous languages	UNESCO & Terralingua	0	1	1	1	2	↑	✓	✓
( ) Other indicator of status of indigenous & traditional knowledge		0	0	0	0	0	→	✗	✗
<b>Status of access and benefit sharing</b>									
( ) <i>To be determined</i>		0	0	0	0	0	→	✗	✗
<b>Status of resource transfers</b>									
7.1 Official development assistance provided in support of the Convention	OECD	0	1	1	1	2	↑	✓	✗
( ) Indicator of technology transfer		0	0	0	0	0	→	✗	✗

Of the 34 metrics defined under the CBD indicator framework, 19 (56%) became strengthened during the 2010BIP project, in terms of increased data input, greater time-series coverage, and better capability to demonstrate trends in rates of change. The net difference made to this by the GEF project of course varies across the indicator suite. Those with already-strong institutional backing (such as the Living Planet and Red List indices) would have been developed and delivered to the CBD and others in any case: the project had more of a role in helping with some of the others, and of course in linking together the overall picture. See report section 3F.

## **Annex 7 Evaluator CV**

**Dave Pritchard** is an independent consultant in both the environment and culture sectors. He has worked for almost 30 years in national and international policy and law with bodies like UNESCO, the Foundation for International Environmental Law & Development, the Ramsar Convention and BirdLife International, and has been a non-executive Director of both Wetlands International and the UK Government's Joint Nature Conservation Committee, in which he has chaired Programme & Science and Audit & Risk Management Committees respectively. As one of the longest-serving members of the Ramsar Convention's Scientific & Technical Review Panel, he currently chairs its working group on assessment, monitoring and reporting, and has originated much of the Convention's technical guidance on these subjects, as well as editing the Convention's 4<sup>th</sup> edition guidance Handbooks. Dave has authored or edited several books, and in 2008 he was awarded the Wetland Conservation Award.

Dave also serves on the Ramsar Convention's Culture Working Group and the IUCN Specialist Group on Cultural and Spiritual Values of Protected Areas. In the UK he chairs the Arts & Environment Network, is a Trustee of the Centre for Contemporary Art & the Natural World, an arts adviser to the Forestry Commission, an Assessor for Arts Council England, formerly Vice-Chair of Bedford Creative Arts, and a collaborator with the Research in Art, Nature & Environment Group at University College Falmouth.

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