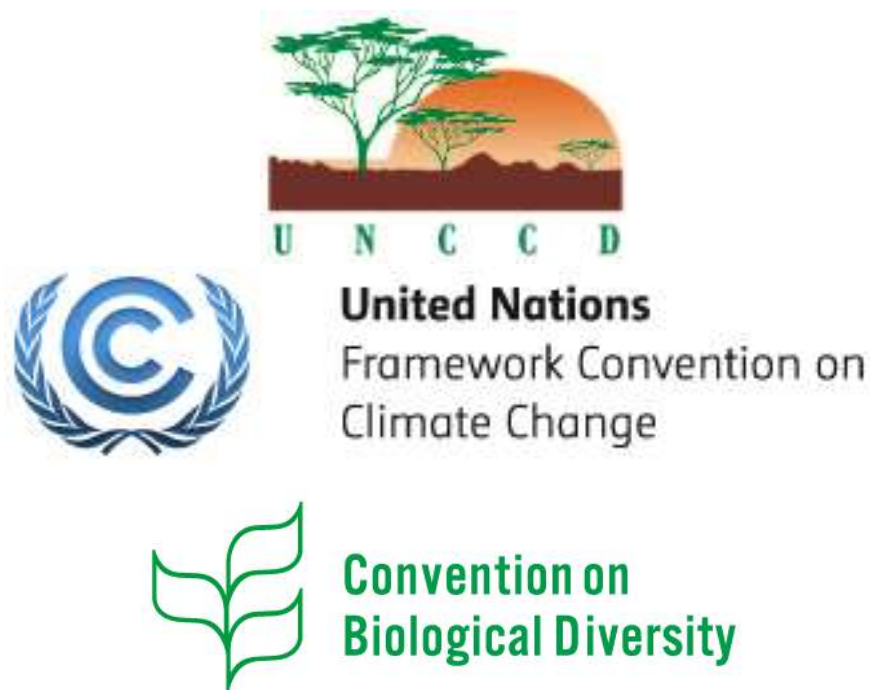


Strengthening Capacity to Integrate Environment and Natural Resource Management for Global Environmental Benefits

Romania

**GEF Agency: United Nations Development Programme
Executing Agency: Ministry of Environment and Forests /
Ecological University of Bucharest**



**GEF Capacity Building Operational Program; Strategic Program SGP-1
Medium-sized Project: GEF ID: 3069; UNDP PIMS: 3687
UNDP Atlas Project Number: 61965; Award Number: 50245**

**Terminal Evaluation
June 29, 2012**

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Acronyms

APR	Annual project review
CBD	Convention on Biological Diversity
CEO	Chief Executive Officer
CHM	Clearing House Mechanism
CIDD	Inter-ministerial Committee for Sustainable Development
EIA	Environmental Impact Assessment
EPA	Environmental Protection Agency
EU	European Union
EUB	Ecological University of Bucharest
GEF	Global Environment Facility
GIS	Geographical Information System
ha	Hectares
ITA	International Technical Advisor
Km	Kilometers
MAFRD	Ministry of Agriculture, Forests and Rural Development (former)
MEA	Multilateral Environmental Agreement
MEWM	Ministry of Environment and Water Management (former)
MoEF	Ministry of Environment and Forests
M&E	Monitoring and evaluation
MSP	Medium-sized Project
N/A	Not applicable
N/S	Not specified
NCSA	National Capacity Self Assessment
NEX	National Execution
NFP	National Focal Point
NGO	Non-governmental organization
NIM	National Implementation
NPD	National Project Director
NSC	National Steering Committee
PDF-A	Project Development Funding Block A
PIR	Project implementation Report
PMIS	Project Management Information System
PMU	Project Management Unit
PPU	Public Policy Unit
PSC	Project Steering Committee
RCM	Regional Coordinating Mechanism
SEA	Strategic Environmental Assessment
SOE	State of Environment
TORs	Terms of Reference
TNA	Training Needs Assessment
UA	Unable to assess
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States dollars

I. Executive Summary

Project Summary Table

Project Title:	Strengthening Capacity to Integrate Environment and Natural Resource Management for Global Environmental Benefits			
GEF Project ID:	3069		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	3687	GEF financing:	0.47	0.47
Country:	Romania	IA/EA own:	0.02	0.02
Region:	ECA	Government:	0.71	23.87
Focal Area:	Multi-focal	Other:	0.00	0.00
Focal Area Objectives, (OP/SP):	Capacity Building, SGP 1	Total co-financing:	1.20	23.89 ¹
Executing Agency:	Ministry of Environment and Forests	Total Project Cost:	1.20 (not including 0.03 in project development funding)	24.36
Other Partners involved:	Ecological University of Bucharest	ProDoc Signature (date project began):		June 30, 2008
		(Operational) Closing Date:	Proposed: June 30, 2011	Actual: June 30, 2012

1. The Romania CB-2 project is classified as a Global Environment Facility (GEF) Medium-sized Project (MSP), with total GEF support of \$0.47 million (not including \$0.03 in project development funding), and originally proposed co-financing of \$0.73 million United States dollars (USD), for a total project budget of \$1.20 million USD. The United Nations Development Programme (UNDP) is the GEF Agency, and the project is executed under UNDP's national execution (NEX) modality, with the Ministry of Environment and Forests (MoEF) as the national executing partner, although the project activities are carried out by the Ecological University of Bucharest (EUB).

2. According to the project document, the overall project goal is *"To expand Romania's capacity to generate global environment benefits through mainstreaming the Rio Conventions into national decision-making."* The project objective is *"To strengthen systemic, institutional and individual capacity to integrate Rio Convention themes into national, regional¹⁸ and local decision-making."* The project objective was planned to be achieved through two main outcomes:

3. **Outcome 1: Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments**

¹ According to the information provided by the project team, approximately \$23.7 million USD worth of projects supportive of the CB-2 project's objective were implemented by the government during project implementation, primarily in the framework of the European Union PHARE Twinning program. This may be more accurately considered parallel or associated financing, but is accounted here as co-financing for the sake comprehensiveness.

¹⁸ As explained in the project document, "regional" refers to Development Regions established to conform to European Union requirements for an intermediate statistical territorial level between "country" and "county" for pre and post accession absorption of European Union programme funds.

4. **Outcome 2: Improved capacity of MEWM and MAFRD² to integrate environmental and sectoral resource management**

5. In some of the project documentation (and ATLAS budget documents) project monitoring and evaluation is referred to as Outcome 3, and project management is referred to as Outcome 4. However these two aspects do not make up the substantive work of the project and are not considered as outcomes in the same sense as Outcomes 1 and 2 above.

6. According to GEF and UNDP evaluation policies, terminal evaluations are required for GEF funded MSPs, and the terminal evaluation was a planned activity of the monitoring and evaluation plan of the Romania CB-2 project. This terminal evaluation reviews the actual performance and progress toward results of the project against the planned project activities and outputs, based on the standard evaluation criteria: relevance, efficiency, effectiveness, results and sustainability. The evaluation assesses project results based on expected outcomes and objectives, as well as any unanticipated results. The evaluation identifies relevant lessons for other similar projects in the future in Romania and elsewhere, and provides recommendations as necessary and appropriate. The evaluation methodology was based on a participatory mixed-methods approach, which included three primary elements: a) a desk review of project documentation and other relevant documents; b) interviews with key project participants and stakeholders; and c) a visit to project partners in the region of Sibiu, Romania. The findings are based on evaluative evidence from the start of project implementation (May 2008) into June 2012 (with expected project closure at the end of June 2012). The desk review was begun in March 2012, and the evaluation mission was carried out from March 19–23, 2012.

7. The project's **Overall Achievement and Impact** is rated **moderately satisfactory**.

8. The project **relevance** is rated as **relevant**. The project supported implementation of the National Capacity Self Assessment (NCSA) in Romania, and was responsive to the needs of local level stakeholders in the two regions targeted for demonstration approaches. The project contributes to Romania's implementation of the Convention on Biological Diversity (CBD), United Nations Framework Convention on Climate Change (UNFCCC), and United Nations Convention to Combat Desertification (UNCCD) as well as other relevant multilateral environmental agreements (MEAs).

9. Based on all aspects of project implementation and financial management, project **efficiency** is rated **moderately satisfactory**.

10. The expected results for the two project outcomes were mostly achieved, and in some cases exceeded. Project **effectiveness** is considered **satisfactory**.

11. While many positive results have been achieved, there remains a need to continue consolidating results and promoting good practices and lessons from the project experience. There are some positive indications for potential sustainability, but without confirmed funding for follow-up activities and without confirmed government commitment (resulting from the regular turnover in Romania's political system) prospects for sustainability are uncertain, and overall **sustainability** is considered **moderately unlikely**.

² Prior to project start-up, the project-relevant portions of these two ministries were merged into the current Ministry of Environment and Forests, which then became the single primary relevant government institution.

12. The following are the recommendations and lessons drawn from this evaluation report.

13. **Recommendation 1:** Given that the Romania CB-2 project is only one of the full suite of CB-2 projects supported by the GEF and implemented by UNDP and the United Nations Environment Programme (UNEP), there would be valuable lessons and knowledge sharing to be gained by examining the full cohort of CB-2 projects through a broad lens, rather than just through the individual project lens of terminal evaluations. The individual projects have no doubt contributed specific results, but it would be highly useful to gain a perspective on what the portfolio of CB-2 projects have contributed as a whole. The projects were not designed in a way to somehow complement each other or synergize at a supra-national scale, but considering that the starting point of the projects was similar – building from the NCSAs – to synthesize the full complement of project results should provide insights on broader results. In addition, it could be valuable to assess whether the CB-2 approach is something that should be supported in additional countries, or if there are particular types of CB-2 interventions and particular country contexts that are most effective. There are at least two ways this could be pursued, and both options could complement each other: 1. Through a single workshop of all CB-2 projects for lesson documentation and knowledge sharing; 2. Through a desk-based meta-review of the CB-2 project terminal evaluations. There may be other approaches that would also be applicable for taking a collective view of the CB-2 portfolio, but this evaluation recommends that UNDP and the GEF undertake at least one if not both of the two proposed review options above. [UNDP, GEF Secretariat, GEF Evaluation Office]

14. **Recommendation 2:** While the substantive aspects of the project have notable risks related to sustainability, the project did produce many analyses and reports that were useful and are likely to have continued relevance in Romania – if they are accessible to those who need them. These may disappear and fade away as “gray” literature unless they are appropriately archived and referenced for broader long-term availability. The most useful way to do this would most likely be by ensuring that the key project outputs are posted on the MoEF website, in the appropriate location. The EUB website could also be an appropriate location, and/or materials could be posted on both website with links referencing each other. This should be done as soon as possible following project completion to strengthen the sustainability of project results as much as possible. [UNDP, MoEF, EUB]

15. **Recommendation 3:** The project produced a valuable awareness product in the brochure on the Rio Conventions that is to be distributed to the list of project contacts. It would be useful if the follow-up on this outreach effort could be linked to potential future professional development activities, in line with the project’s work on developing training modules based on the Training Needs Assessment (TNA). As public servants are informed further about the Rio Conventions and integrated resource management issues, they may wish to learn more about it, and if this demand is expressed through the appropriate channels, this could increase the likelihood that the public training institute will incorporate the project’s training modules in its catalog. [UNDP, Project Team, MoEF]

16. **Recommendation 4:** While this evaluation was not able to specifically analyze the training modules developed by the project, these are certain to be valuable outputs from the project. Their future utility currently lies in the potential for them to be included in the catalog of the public training institute, or to wait until something like the Clearing House Mechanism

(CHM) proposed by the project becomes reality. However, it could be possible to increase the immediate utility of the training modules by transposing them into a basic e-learning platform within the MoEF, which could be used by public servants. Creating such a platform could be much cheaper and easier than a comprehensive electronic platform such as the CHM. The MoEF would then be responsible for providing a basic certificate of training to those staff that complete the e-learning course on Rio Conventions and integrated resource management. An example of such an e-learning platform can be found in the UNDP-GEF project in Turkey on Marine and Coastal Protected Areas (GEF ID #3550, UNDP PIMS ID #3697). [UNDP, EUB, MoEF]

17. **Lesson 1:** Despite challenging circumstances and a difficult national institutional context, the Romania CB-2 project was able to make good progress in establishing a foundation on which future work on integrated environmental management in Romania can be carried forward. This is a significant achievement considering the size of the project and planned implementation period. The results achieved have been a result of the dedication, creativity, innovation, flexibility, and perseverance with which the project team and other key stakeholders have pursued the project activities. Thus it has been demonstrated that even in difficult project implementation contexts, with perseverance and adaptability important results can be achieved.

18. **Lesson 2:** Operational challenges can often frustrate positive intentions. The project concept, coming from the NCSA, was well grounded, but various operational issues created a slow down in project implementation and contributed to uncertainty with respect to sustainability. This is not just an issue for this project, but has been seen with many projects throughout the GEF portfolio. Operational risks need to be clearly and carefully analyzed at the project design phase, and appropriate risk mitigation measures identified from the beginning.

19. **Lesson 3:** One good practice example for the project was the inclusion of an external International Technical Advisor (ITA) for the project. Such a practice has been undertaken in some UNDP-GEF projects in the past (particularly in Romania) and has proven to be highly beneficial in terms of supporting the project team's results-focus, providing ad-hoc recommendations and suggestions during implementation, and assisting to identify critical issues and key lessons. Such an arrangement may not be necessary or appropriate for all projects, but experience has shown that in some circumstances an external International Technical Advisor is a valuable addition for project monitoring.

20. **Lesson 4:** Even when a situation is challenging in the national context, taking practical concrete steps forward at the local or regional level can yield significant results. The project's proposals at the national level have an uncertain future, but the practical experience of demonstrating the Regional Coordinating Mechanism (RCM) at the local level has made this one of the most valuable aspects of the project. The stakeholders that participated in this activity are now invested in the process and are seeking pathways forward.

21. **Lesson 5:** Projects such as this that are investing significant human and financial resources in developing proposals and recommendations for a wide range of channels of activity need to have a clearly thought out exit strategy from the beginning. The project document for the Romania CB-2 project included a section on sustainability, but the measures proposed therein were far from adequate to reach necessary conditions for sustainability of

major proposals developed under the project such as the CHM and Environmental Impact Assessment / Strategic Environmental Assessment (EIA/SEA) concepts.

22. **Lesson 6:** GEF projects are inherently tied to government institutions in recipient countries. The GEF draws its mandate from being the financial mechanism for multiple multilateral environmental agreements, to which sovereign nations are the only parties. GEF projects require the endorsement of the “GEF focal point”, which is a designated position within the government institutional framework. During project implementation, many GEF projects are also directly tied to the participation and effective collaboration of government institutional stakeholders. Achieving results within GEF funded efforts is not just dependent on “the project,” but on all key stakeholders playing their part, living up to their responsibilities, and accepting joint responsibility for results. The experience from the Romania CB-2 project adds to the growing body of evidence within the GEF portfolio that there is only so much “the project” can do in the absence of fully engaged government stakeholders.

23. **Lesson 7:** For projects with strong direct links to government institution beneficiaries, locating the project management unit within the physical premises of the respective government institution may be a more effective means of fully engaging with key stakeholders. In the case of the Romania CB-2 project the project team was located at the physical premises of the Ecological University of Bucharest based on some clear practical considerations. In this way the Project Management Unit (PMU) was also able to create some synergies with the work of the university. However, for a project in which the primary objective was to strengthen governmental capacity for environmental management, locating the PMU within the MoEF offices may have been more effective for strengthening communication and building political ownership of the project, while opening further channels for sustainability of key project results.

Romania CB-2 Project Terminal Evaluation Rating Summary

24. The terminal evaluation ratings table summaries are included below. A version of the first ratings table, with short qualitative accompanying statements, is located at the end of the main body of the evaluation report. The recently revised UNDP-GEF terminal evaluation ratings table is also included below. The guidance requiring this ratings table was published during the course of drafting the evaluation report, and thus both the originally expected ratings table and the revised required ratings table are included below. The ratings in the second, revised, ratings table are aggregated based on the respective ratings given in the original ratings table.

Project Components	Rating
Project Formulation	
Relevance	R
Conceptualization / design	MU
Country-drivenness	MS
Stakeholder involvement in design	S
Project Implementation	
Implementation Approach (Efficiency)	MS
Management implementation	S
Use of the logical framework	MS
Financial planning and management	S
Adaptive management	S
Use and establishment of information technologies	HS
UNDP supervision and support	S
Operational relationships between the institutions involved	MS
Technical capacities	HS
Monitoring and Evaluation	
M&E design	MU
M&E plan implementation	S
M&E budgeting	S
Stakeholder Participation	
Production and dissemination of information	S
Local resource users and civil society participation	N/A
Establishment of partnerships	S
Involvement and support of governmental institutions	U
Project Results	
Overall Achievement of Objective and Outcomes (Effectiveness)	S
Objective: To strengthen systemic, institutional and individual capacity to integrate Rio Convention themes into national, regional and local decision-making	MS
Outcome 1: Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments	MS
Outcome 2: Improved capacity of MEWM and MAFRD to integrate environmental and sectoral resource management	MS
Impact	N/A
Sustainability	
Overall Sustainability	MU
Financial	MU
Socio-political / Institutional framework and governance	MU
Environmental	N/A
Overall Achievement and Impact	MS

Note: The ratings for the main evaluation criteria are narratively highlighted in the report; other ratings are not. Ratings explanation: HS – Highly Satisfactory; S – Satisfactory; MS – Moderately Satisfactory; MU – Moderately Unsatisfactory; U – Unsatisfactory; HU – Highly Unsatisfactory; UA – Unable to Assess; N/A – Not Applicable. Sustainability ratings: L – Likely; ML – Moderately Likely; MU – Moderately Unlikely; U – Unlikely. Impact ratings: Significant (S); Minimal (M); Negligible (N).

UNDP-GEF Terminal Evaluation Summary Ratings Table (as of June 2012)

Criteria	Rating
Monitoring and Evaluation	
M&E Design at Entry	MU
M&E Plan Implementation	S
Overall Quality of M&E	MS
IA & EA Execution	
Quality of UNDP Implementation	S
Quality of Execution – Executing Agency	S
Overall Quality of Implementation / Execution	S
Assessment of Outcomes	
Relevance	R
Effectiveness	S
Efficiency	MS
Overall Project Outcome Rating	MS
Sustainability	
Financial Resources	MU
Socio-political	MU
Institutional Framework and Governance	MU
Environmental	N/A
Overall Likelihood of Sustainability	MU
Impact	
Environmental Status Improvement	N/A
Environmental Stress Reduction	N/A
Progress Towards Stress/Status Change	N/A
Overall Project Results	MS

II. Introduction: Evaluation Scope and Methodology

25. According to GEF and UNDP evaluation policies, terminal evaluations are required practice for GEF funded MSPs, and the terminal evaluation was a planned activity of the monitoring and evaluation plan of the Romania CB-2 project. The UNDP Romania office initiated the terminal evaluation near the completion of the project's planned three-year implementation period. Based on the evaluation Terms of Reference (TORs) (see Annex 1) this terminal evaluation reviews the actual performance and progress toward results of the project against the planned project activities and outputs, based on the standard evaluation criteria: relevance, efficiency, effectiveness, results and sustainability. The evaluation assesses project results based on expected outcomes and objectives, as well as any unanticipated results. The evaluation identifies relevant lessons for other similar projects in the future, and provides recommendations as necessary and appropriate.

26. In addition to assessing the main GEF evaluation criteria, the evaluation provides the required ratings on key elements of project design and implementation. Further, the evaluation will, when possible and relevant, assess the project in the context of the key GEF operational principles such as country-drivenness, and stakeholder ownership (see Annex 2).

27. The evaluation methodology was based on a participatory mixed-methods approach, which included three primary elements: a) a desk review of project documentation and other relevant documents; b) interviews with key project participants and stakeholders; and c) a visit to project partners in the region of Sibiu, Romania. The evaluation is based on evaluative evidence from the start of project implementation (May 2008) into June 2012 (with expected project closure at the end of June 2012). The desk review was begun in March 2012, and the evaluation mission was carried out from March 19–23, 2012 (see Annex 7). The list of stakeholders interviewed is included as Annex 6 to this evaluation report.

28. All evaluations face limitations in terms of the time and resources available to adequately collect and analyze evaluative evidence. Also, as is understandable, some documents were available only in Romanian language, although all key documents were available in English, and language was not a barrier to the collection of evaluative evidence. Altogether the evaluation challenges were not significant, and the evaluation is believed to represent a fair and accurate assessment of the project.

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

30. The intended users of this terminal evaluation are the Government of Romania and Ecological University of Bucharest as the project executing partners, and the UNDP country and regional offices. As relevant, the terminal evaluation report may be disseminated more widely with additional stakeholders to share lessons and recommendations.

III. Project Overview and Development Context

A. Development Context³

31. Romania is located in central Europe, halfway between the North Pole and the equator and halfway between the Atlantic Ocean and Ural Mountains. The total area of the country is 238,391 km², of which 31% is covered by mountains, 36% by hills and plateaus, and 33% by plains and meadows. Its neighbors are Ukraine, Moldova, Hungary, Serbia and Montenegro, Bulgaria and the Black Sea. The elevation of the country varies significantly, from sea level in the Danube delta to the highest peaks of over 2,500 m elevation in the Carpathian Mountains.

32. The Latin roots of the Romanian language and its cultural and historical ties link it with the traditions of European civilization. After a half of century of Communist rule between 1948-1989, Romania became a parliamentary Republic in 1989 and entered a period of transition to a market economy. Romania applied to join the European Union (EU) in 1995 and became a full member on January 1, 2007. In the UNDP Human Development report 2004, Romania ranked 69th, with a Human Development Index of 0.836.

33. Romania had a population of 21,680,974 in 2002. The economy relies primarily on industrial development, agriculture and the service sector. The country is endowed with a vast range of natural resources from crude oil to gold; fertile land and climate suitable for mixed agriculture; and large natural areas offering scenic natural attractions for tourism activities, such as skiing, hiking and hunting. These resources also provide the basis for the industrial and agricultural economy and materials for expansion and upgrading of roads and other infrastructure. The analysis in the NCSA demonstrated that sound management of renewable and non-renewable resources, as well as the continuing ability of Romanian ecosystems to provide environmental services (air, water, land, ecological processes) is needed to provide the basis for truly sustainable development in the country.

34. The MoEF is responsible for developing Romania's general environmental protection policies and strategies and overseeing the transposition of EU legislation into Romanian laws and norms. Triggered by EU requirements, Environmental Protection Agencies (EPAs) have also been established at the national, regional and local levels. These agencies are responsible for enforcing the policies and legislation developed by the MoEF, and are directly accountable to it. Their staff are also appointed and funded by the MoEF through the state budget. The national EPA assists the MoEF in drafting new laws and norms and provides technical support to regional EPAs, which work at the development region level and local EPAs, which operate at the county level. The national EPA also coordinates the activities of regional EPAs, while the regional EPAs coordinate the activities of the local EPAs.

35. MoEF is also the lead national forestry authority through its Forestry Department, while the autonomous agency, Romsilva, is responsible for state forest administration and management. Romsilva is self-financed but is under the authority of MoEF. The Environment Fund is an independent extra-budgetary funding tool, coordinated by MoEF, which funds environmental projects submitted by businesses and NGOs, based on selected criteria. The fund

³ Portions of this section of the evaluation report are drawn directly from the relevant sections of the project document.

finances sectoral projects and to date has not funded projects related to Rio convention themes. A “Local Agenda 21 Programme” has been established in 20 municipalities and will be extended to three others. Local Agenda 21s address local sustainable development, including environment, and are administered by local councils and funded by local budgets, bilateral agreements and the UNDP. Local authorities tend to focus more economic and social elements than environment and natural resources, but there are opportunities to integrate convention issues into local Agenda 21s where there is local interest.

36. One important and ultimately beneficial consideration for project implementation was that when the project was designed the responsibilities for the respective Rio Conventions were distributed between the former Ministry of Environment and Water (MEWM) and the Ministry of Agriculture, Forestry and Rural Development (MAFRD). However, following the Romanian elections in late 2009, the forestry division of the MAFRD was transferred to the MEWM, creating the current Ministry of Environment and Forests. This united the Rio Convention focal points under one ministry, creating efficiencies for project implementation.

B. Concept Development and Project Description

i. Concept Background

37. The project concept is rooted firmly in the NCSA process, which identified key areas for capacity development to strengthen environmental management in Romania. As stated in the project document, “The Final Report [of the NCSA] contains a Joint Action Plan, with 25 recommended cross-cutting capacity development actions under seven topics. The proposed CB-2 project directly addresses 5 of the 7 topics (Institutional Framework, Legislative Framework, Planning, Training/Education and Technology/knowledge Transfer) and 15 of the 25 actions.”

38. The Romania CB-2 project is one of a suite of 23 such NCSA follow-up projects implemented by UNDP and UNEP with GEF support.

ii. Project Description

39. The Romania NCSA identified multiple root causes that contribute to barriers for effective Rio Convention implementation:

- Political and institutional: poor awareness of conventions among high-level decision-makers; institutional and administrative weaknesses of lead agencies for the conventions; lack of cooperation, even some competition within and among government agencies.
- Knowledge and technical: lack of expertise in convention topics; information gaps; poor understanding of interconnections among conventions; weaknesses in regulatory processes, e.g., environmental impact assessment, natural resource valuation.
- Cultural: low levels of governmental and public awareness regarding the relevance of environment sustainability to economic and social well-being.

40. Seven areas of key capacity constraints were identified, and the project was designed to address multiple of these issues, namely: Institutional and legislative framework, policy framework, planning framework, and institutional and individual capacity.

41. The project is classified as a GEF MSP, since the funding received from the GEF is less than \$1 million USD. Total GEF support is \$0.47 million (not including \$0.03 in project development funding), and originally proposed co-financing is \$0.73 million USD, for a total project budget of \$1.20 million. The project is executed under UNDP's NEX execution modality, with MoEF and EUB as the national executing partners.

42. According to the project document, the overall project goal is *"To expand Romania's capacity to generate global environment benefits through mainstreaming the Rio Conventions into national decision-making."* The project objective is *"To strengthen systemic, institutional and individual capacity to integrate Rio Convention themes into national, regional¹⁸ and local decision-making."* The project objective was planned to be achieved through two main outcomes:

Outcome 1: Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments

Outcome 2: Improved capacity of MEWM and MAFRD to integrate environmental and sectoral resource management

43. In some of the project documentation (and ATLAS budget documents) project monitoring and evaluation is referred to as Outcome 3, and project management is referred to as Outcome 4. However these two aspects do not make up the substantive work of the project and should not be considered as outcomes in the same sense as Outcomes 1 and 2 above.

iii. Project Milestones and Duration

44. The project's key milestone dates are shown in Table 1 below. The development period from pipeline entry to GEF approval was 27 months, and another two months were required to reach implementation start (first disbursement), in May 2008. However, the project inception workshop was only finally held in Bucharest on April 29th, 2009. In addition, as discussed in detail in Section IV.A on the project management arrangements, due to start-up issues the project did not substantively begin activities until early 2010, an additional 24 months after official start. Therefore, practically speaking, project activities began approximately 53 months after Project Development Funding Block A (PDF-A) approval.

45. Previous GEF program evaluations have determined that the average for GEF MSPs from PDF-A to implementation start (up to 2006) was approximately 30 months (2.5 years).⁴ Thus, if considering the official project implementation start, this project was one month faster than average. However, if considering the actual start of substantive project activities, the project was significantly slower, due to the execution arrangements start-up issues. In total for the project, PDF-A to project operational closing spanned a total period of 78 months (6.5 years).

¹⁸ As explained in the project document, "regional" refers to Development Regions established to conform to European Union requirements for an intermediate statistical territorial level between "country" and "county" for pre and post accession absorption of EU programme funds.

⁴ GEF Evaluation Office. 2007. "Joint Evaluation of the GEF Activity Cycle and Modalities," Evaluation Report No. 33. Washington, D.C.: GEF Evaluation Office.

Table 1 Project Key Milestone Dates⁵

Milestone	Expected date [A]	Actual date [B]	Months (total)
1. PDF-A Approval	Not Applicable	December 19, 2005	
2. Pipeline Entry	Not Applicable	December 18, 2006	12 (12)
3. CEO Approval	Not Specified	March 20, 2008	15 (27)
4. Agency Approval (Prodoc signature)	April 2008	June 30, 2008	3 (30)
5. Implementation Start (first disbursement)	June 2008	May 5, 2008	-2 (28)
6. Mid-term Review	February 28, 2010	February 28, 2011	32 (60)
7. Terminal Evaluation Completion	December 30, 2011	March 2012	15 (75)
8. Project Operational Completion	June 30, 2011	June 30, 2012	3 (78)
9. Project Financial Closing	June 30, 2012	June 30, 2013	12 (90)

46. The project design was focused at the national level, but included demonstration of the Regional Coordinating Mechanism approach in two of Romania's seven development regions, Brasov and Galati (though the regional EPA for Brasov region is located in Sibiu, rather than Brasov city).

iv. Stakeholder Participation in Development

47. The development of the NCSA in Romania was a national consultative multi-stakeholder process, and thus considering that the project is a follow-up to and based on the NCSA, it is possible to assert that there was appropriate stakeholder participation in the project development. This is also an indicator of the country-drivenness of the project, along with the other standard metrics for this aspect, such as the national relevance (discussed below) and the approval by the GEF Focal Point. The main project stakeholder organizations and institutions are listed in Table 2 below. At the same time, the specific design of the project outcomes and outputs did require further stakeholder consultation, including development of mutual understanding with stakeholders in the two project demonstration regions for the RCMs. According to the project document, "Project team members also held individual meetings with key government counterparts. The three Convention Focal Points and the GEF Operational Focal Point were kept informed at all stages. With UNDP support, two stakeholder workshops were held, involving 18 and 12 people, respectively. The team also consulted with Regional Environmental Protection Agencies from Brasov and Galati to ascertain their interest in being involved." All evidence collected during the terminal evaluation indicates that appropriate stakeholder input and involvement was incorporated during the project development phase.

⁵Sources: 1.A. N/A; 1.B. GEF online project database; 2.A. N/A; 2.B. GEF online project database; 3.A. N/S; 3.B. 2009 PIR; 4.A. Project document milestones; 4.B. 2009 PIR; 5.A. Project document milestones; 5.B. 2009 PIR; 6.A. 2009 PIR; 6.B. Date of mid-term management review report; 7.A. 2009 PIR; 7.B. Date of terminal evaluation country visit/primary data collection process; 8.A. 2009 PIR; 8.B. Direct communication during terminal evaluation; 9.A. 2009 PIR; 9.B. As per UNDP standard operating procedures.

Table 2 Romania CB-2 Project Main Stakeholders

Stakeholder	Represented by	Involvement
Ministry of Environment and Forests	<ul style="list-style-type: none"> • State Secretary • GEF political and operational focal points Focal points for CBD, UNFCCC, UNCCD Directors of divisions • Experts involved in CC, LD, and CBD issues • Members of the ministry public policy (liaison) unit 	<ul style="list-style-type: none"> • Executing agency • Primary beneficiary • Co-financier
Public Policy Unit (PPU)	<ul style="list-style-type: none"> • Members of the Permanent Inter-ministry Councils and members of the Council of Strategic Planning 	<ul style="list-style-type: none"> • Partner
United Nations Development Programme Romania	<ul style="list-style-type: none"> • Representative Resident 	<ul style="list-style-type: none"> • Observer
Ecological University of Bucharest	<ul style="list-style-type: none"> • Rector of the University • Experts 	<ul style="list-style-type: none"> • Project Implementation Unit
National Environmental Protection Agency (NEPA)	<ul style="list-style-type: none"> • Directors of divisions • Experts involved in CCC, LD and CBD issues 	<ul style="list-style-type: none"> • Partner
National Agricultural Consultancy Agency (NACA)	<ul style="list-style-type: none"> • Deputy director • Experts 	<ul style="list-style-type: none"> • Partner
National Forests Administration – Romsilva (& territorial branches)	<ul style="list-style-type: none"> • Directors of divisions • Experts 	<ul style="list-style-type: none"> • Partner
Regional Environmental Protection Agencies (REPA)	<ul style="list-style-type: none"> • Directors of divisions • Experts 	<ul style="list-style-type: none"> • Partner
Territorial Inspectorate for Forestry Regime and Hunting	<ul style="list-style-type: none"> • Directors of divisions • Experts 	<ul style="list-style-type: none"> • Partner
Local Environmental Protection Agencies (LEPA)	<ul style="list-style-type: none"> • Directors of local agencies • Experts 	<ul style="list-style-type: none"> • Partner

v. Key Elements of Project Design and Planning

48. The project document is comprehensive, and includes relevant and necessary sections such as key barriers, risks and assumptions, sustainability analysis, monitoring and evaluation plan, stakeholder involvement plan, replicability, etc.

49. A key consideration for the Romania CB-2 project is the sustainability of project results, and thus it is critical to examine the sustainability plan put forth at the time of project development, which is found in section 3.3 of the project document. The project document identifies three strategies for sustaining successful capacity development over time: a.) Use of multiple 'entry points'; b.) Identification and strengthening of incentives to use capacity; c.) Stimulation of local benefits from global initiatives. These three strategies have been effective to some extent in increasing likely sustainability of some project elements (e.g. the RCMs, individual training activities, policy framework), but some critical barriers to sustainability of the project results for national institutional capacity (such as government commitment and

institutional instability) were not adequately identified and analyzed at the project development stage. Sustainability aspects are further discussed in Section VI.A of this evaluation report.

50. The risks and assumptions (under section 3.2.3 of the project document) is another important tool for assessing the adequacy of project preparation and design. The risk assessment section for the Romania CB-2 project identifies three overall risks, and proposes one-sentence mitigation strategies for each:

- *Senior government officials and staff in MEWM and MAFRD, as well as the Public Policy Unit are preoccupied with extensive EU-related legislative, regulatory and institutional change, and it may be difficult to engage them in convention-related project activities, due to lack of time or interest. The project team must convince them that there will be practical benefits for them and their agencies from project participation.*
- *There is a long history of sectoral approaches to solving environmental and resource management issues at the regional and local levels. The success of the project outcomes related to regional collaboration depends on finding national, regional and local authorities who are willing and available to work together and build their capacity in Integrated Resource Management.*
- *The institutional and legal framework for environmental management has undergone significant changes in recent years; the project will be more likely to succeed if current ministry structures remain relatively stable for the duration of the project, or do not change significantly. Periodic project monitoring and evaluation will ensure that the project is refined over time to adjust to changing circumstances.*

51. The project inception report does not re-examine these broad risks, but looks at (and revises) the individual risks identified in the project logframe for the overall objective and two outcomes, with many more risks identified, including multiple operational, strategic and political (rather than technical) risks. However, many of these risks have in fact affected the project. As discussed in Section IV.C below, execution arrangements proved difficult in the project start-up stage, which ultimately delayed effective project activities by two years. Secondly, the turnover in staff and institutional turmoil in the MoEF has created hang-ups for the project to reach its full objective, and for the consolidation and sustainability of results, as discussed in Section **Error! Reference source not found..** This second issue is beyond the power of the project to influence, yet is critical for project success, and the identification of an appropriate risk mitigation strategy during the project development phase may have strengthened the project's path toward an exit strategy. In some ways the project was designed to overcome government turnover by "institutionalizing" Rio Convention coordination within the MoEF, but successfully reaching this level of institutionalization has been hampered by the very issue it was designed to address.

52. One aspect of the project design that could have strengthened the project approach would have been to have a clearer linkage and synergy in the actual project activities with EU-driven environmental policies, strategies and priorities in Romania, following accession. The project document highlights the relevance of Romania's EU accession at multiple points, but the activities of the project design do not identify any direct linkages with EU-driven activities.

The planned project activities only briefly mention relevance to EU accession activities in the capacity development / training aspect of the project. If the project design had been more clearly linked with EU accession environmental commitments and priorities, the government might have seen the project as a helpful addition. According to information in project documentation, it is considered that the EU accession process took some of the MoEF's attention away from the project. The project team attempted to improve the integration with the EU activities during implementation through identifying the linkages between EU directives and the Rio Conventions in the first Rio Conventions assessment report, which was officially approved by the government.

53. Overall, the original project design was overambitious for a project of this size and scope – less than \$0.5 million USD over three years (which in reality became two years of implementation). The project covered diverse issues – from EIA/SEA analysis, to regional mechanisms, to national mechanisms, monitoring and reporting, and training. And, it was anticipated that the project would secure changes in legislation and government policy – more a matter of time than money, but achieving such changes is difficult for any project – projects can work to catalyze legislative and policy changes, but the actual final government approval is up to the vagaries and whims of national policy processes, which are often affected by elections and broad issues of national context. Thus it is hard to hold external donor-funded projects accountable for achieving policy changes, a process to which they can only be contributing parties. This fact was reflected in the project inception phase when a consensus decision among project stakeholders was made to reduce the ambitiousness of the project's reach (see Section IV.C.ii on adaptive management below), but key logframe targets remained. As further discussed under Section V.A on results, the project did reach a significant achievement in securing the issuance of the Government Ordinance 741/2011 that re-established the Inter-ministerial Committee for Sustainable Development (CIDD)⁶ in an active manner to support implementation of the National Strategy on Sustainable Development, from the CIDD's original 2001 creation.

54. The project activities as designed, in their breadth, sometimes lack specificity and direct linkages to the immediate project objective, and create redundancies. This issue was also partly addressed in the inception phase with the consolidation of some of the project outputs (see Section IV.C.ii below on adaptive management). For example, for Output 1.3 *“Environmental screening is part of the national policy-making process,”* includes an activity for developing an “environmental screening tool” but it is not clear what this really means, how it would be applied, or how it is necessary beyond the policy development processes already in place. In addition, Output 2.5 *“A peer training network and database to support integrated resource management is established to serve regional and local environmental and resource management staff”* sounds like a good idea in theory, but in reality is not a practical or sustainable activity of the project, particularly in the context of high staff turnover in relevant government institutions. As one project participant noted, such a network “would never last” because of staff turnover, and in practice it was only that “the project itself acted as a kind of

⁶ CIDD is the official acronym from Romanian. The CIDD was originally established under Government Resolution no. 1.097/2001 regarding the creation and functioning of the Inter-ministerial Committee for coordinating the integration for environment protection in the sectoral policies and strategies at the national level.

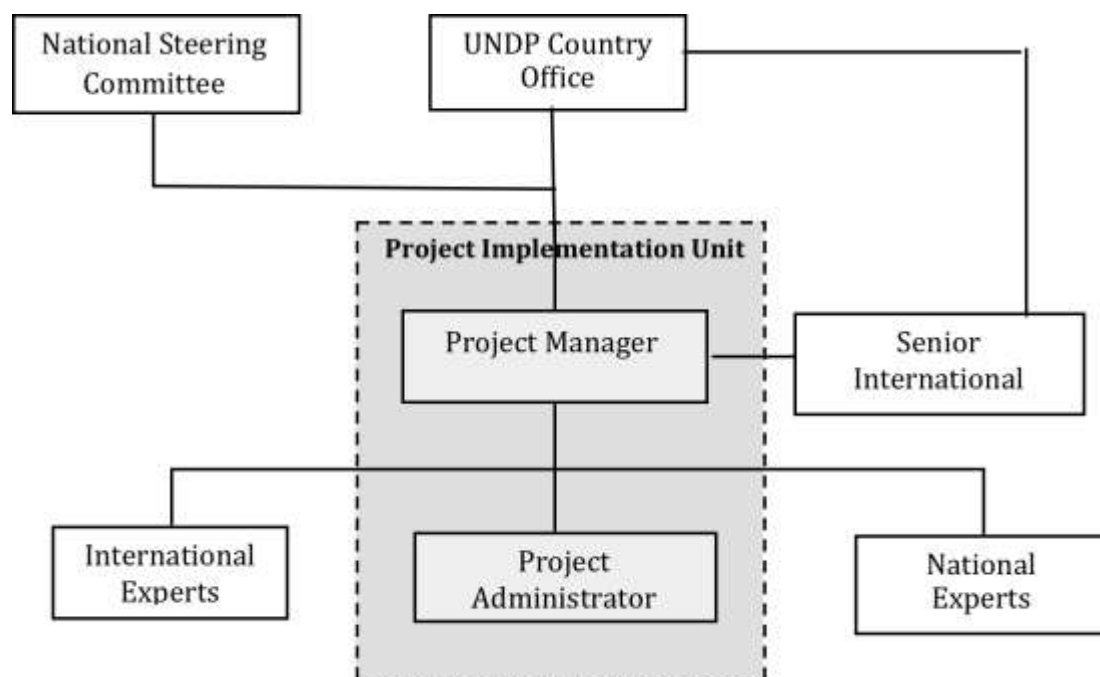
network”. Not surprisingly, Outputs 1.3 and 2.5 highlighted above had few concrete results beyond what was accomplished under other relevant project outputs, such as the CIDD and RCM (i.e. the inclusion of the Public Policy Units (PPUs) in the CIDD serves as a kind of environmental screening mechanism). With the budget and time available, the project would have been better served by a project document that focused on maximum achievement of even fewer, but significant results – especially the CIDD and RCM. Additional details on the project results are discussed in Section V.

IV. Project Design and Implementation

A. Romania CB-2 Project Implementation Approach

55. The project is implemented under UNDP’s national execution/implementation, or NEX/NIM, modality, with the MoEF as the national implementing partner,⁷ with project execution activities delegated to the EUB. Figure 1 below provides a diagram of the project execution arrangements. The original secondary executing partner, as foreseen in the project document, was the University of Bucharest. This arrangement was switched to the EUB in January 2010 following the initial project execution arrangement issues and subsequent management review in September 2009, as discussed in Section IV.C, below. The PMU consists of the project manager and project officer, with the project office housed on the EUB campus. A senior staff member of the MoEF serves as the National Project Director (NPD). A number of local consultants were contracted to carry out the respective project activities and outputs.

Figure 1 Romania CB-2 Project Execution Arrangements⁸



⁷ According to UNDP procedural terminology the MoEF would be the national implementing partner. According to GEF terminology UNDP is the GEF Agency/Implementing Agency, and the MoEF is the Executing Agency.

⁸ Source: Project inception report.

56. A National Steering Committee (NSC) was established to provide project oversight and take project management decisions. As stated in the project document, “Whenever possible, existing bodies/representatives will be used, include past members of the NSC for the NCSA. The NSC will be multi-disciplinary and multi-sectorial in fields related to capacity development for the Rio Conventions. It will include an UNDP representative, representatives of all government agencies with relevant mandates and from private sector and civil society organisations, as appropriate.” According to the project document, the NSC was to meet “at least semi-annually”. The NSC members are drawn from key relevant national government institutions (Box 1); there were four NSC meetings held (Box 2). At the NSC meetings the project annual workplan and budget were approved, key issues discussed, and decisions taken. The

Box 1 NSC Membership

- Ministry of Environment and Forests (multiple representatives)
- National Agency for Environmental Protection
- Parliamentary representation
- UNDP
- Ecological University of Bucharest

Note: the Ministry of Agriculture was originally included in the NSC when the Rio Convention focal points were not all under the same ministry.

Box 2 Dates of NSC Meetings Held

- April 24, 2009
- March 24, 2010
- September 9, 2010
- January 13, 2011
- February 13, 2012

project team maintained regular communication with NSC members, and could request time-sensitive decisions be taken on an ad-hoc basis as necessary. After the project management restructuring in late-2009/early-2010 the PMU staff has remained consistent, although there has been turnover in the position of NPD and among members of the NSC.

57. The project implementation arrangements also included the position of a Senior International Technical Advisor, a consideration that proved valuable throughout the project’s life, but particularly during the refocusing of project work following the shift of management arrangements in January 2010.

B. Romania CB-2 Project Relevance

58. Based on the assessment of project relevance to local and national priorities and policies, priorities related to relevant international conventions, and to the GEF’s strategic priorities and objectives, overall the project is considered to be **relevant**.

i. Relevance at Local and National Levels

59. The project concept was developed directly from Romania’s NCSA and thus the project is clearly relevant to Romania’s needs and priorities for environmental management. The project document identifies each aspect of the NCSA supported by the project’s activities. According to stakeholders, the project has been the most important tool to assist the government in formally approving the National Strategy for Sustainable Development, and

organizing the institutional framework for to support this. At the local level the RCM activity of the project was relevant to supporting the needs and priorities of regional environmental management institutions and officials. There are dozens of regional level institutions responsible for various aspects of environmental management, and effective management for sustainable development requires appropriate levels of information sharing and coordination, depending on the issue at hand. Thus the project's work to develop the RCM mechanism as a demonstrated effective approach to integrated management is necessary.

60. While the content and focus of the project is relevant and produced some important results within a relatively short implementation period (particularly the government ordinance establishing the CIDD), the GEF / UNDP / UNEP single CB-2 project modality raises broader relevance questions in relation to the most effective – or “relevant” - way to support capacity development for national environmental management. Capacity development is an iterative long-term process, requiring a sustained engagement and clear long-term strategy. By contrast, the Romania CB-2 project was a three-year \$500,000 project that was not well-integrated into a larger program of capacity development work within the country, particularly with respect to Romania's EU accession, and there was no planned follow-up support for the project. As discussed in the sections of this report on results (Section V) and sustainability (Section VI.A), while the project produced a good foundation for future work and some impressive progress toward the project objective, the key project results (e.g. CIDD, RCMs, actual changes in EIA/SEA processes, a functioning CHM) remain to be formalized and fully operationalized.

61. The project developed multiple pathways for future work, but now additional stakeholder support and additional financial resources are required to continue moving the capacity development process forward. This is especially true with respect to the project's work on the RCMs, the TNA, the EIA/SEA proposal, and the CHM concept. There is only so much that can be achieved with a three-year \$500,000 project (e.g. the CB-2 project) on such a broad issue (though it is appropriate to begin with a moderate engagement), and a clear long-term GEF / UNDP strategy for ongoing support for the NCSA is required. A review of the GEF's NCSA portfolio highlighted the critical importance of stakeholder engagement, but even supportive government institutions face challenges with political instability and turnover (exemplified by the case of Romania), and the same NCSA review also stated that “many countries lack clarity in their organizational set-up to adequately finance environmental management”⁹; thus, sustained GEF and UNDP engagement and support is required. The CB-2 projects in Romania and Bulgaria may be unique cases because now as EU member-states they are not eligible for further GEF funding, but in the other 21 “CB-2 countries” it would also presumably be necessary to take a “programmatic approach” for capacity development support on environmental management. The GEF has produced a strategy for GEF-5 for cross-cutting capacity development,¹⁰ and it can only be hoped that this is being implemented in a more integrated and sustained manner for capacity development in the CB-2 countries that remain eligible for GEF funding.

⁹ Bellamy, Jean-Joseph and Kevin Hill, 2010. “National Capacity Self-Assessments: Results and Lessons Learned for Global Environmental Sustainability”, Global Support Programme, Bureau for Development Policy, United Nations Development Programme, New York, USA.

¹⁰ GEF, 2010. “Cross Cutting Capacity Development Strategy,” pp. 99-107 of “GEF-5 Focal Area Strategies.”

ii. Relevance to Multilateral Environmental Agreements

62. The GEF is a designated financial mechanism for the United Nations CBD, UNFCCC, and UNCCD. As such, projects funded by the GEF must be relevant to and support the implementation of these conventions. Romania is a party to these conventions, having ratified them on August 17, 1994; June 8, 1994; and August 19, 1998, respectively. The project's primary goal was to support implementation of these MEAs – the Rio Conventions - in Romania, and thus there is no question that the project was relevant in this respect.

iii. Relevance to GEF Strategies, Priorities and Principles

63. The GEF strategic approach to capacity development has evolved through different phases of the GEF. The GEF-5 capacity development strategy includes five strategic objectives, with associated expected outcomes, core outputs, and indicators.

1. Enhance capacities of stakeholders for engagement through consultative process
2. Generate access and use of information and knowledge
3. Strengthened capacities for policy and legislation development for achieving global benefits
4. Strengthened capacities for management and implementation on convention guidelines
5. Capacities enhanced to monitor and evaluate environmental impacts and trends

64. Although approved and developed under GEF-4, the Romania CB-2 project is supportive of the GEF-5 capacity development results framework. Specifically, the project is relevant to the outcomes, core outputs and indicators shown in Table 3 below.

Table 3 Relevant Elements of the GEF-5 Capacity Development Results Framework

Expected Outcomes	Core Outputs and Indicators
Outcome 2.2 “Increased capacity of stakeholders to diagnose, understand and transform complex dynamic nature of global environmental programs and develop local solutions”	Stakeholders are better informed via workshops and trainings about global challenges and local actions required
	Ability of stakeholders to diagnose, understand and transform information and knowledge into local actions increased and retained in 16 countries
Outcome 3.1 Enhanced institutional capacities to plan, develop policies and legislative frameworks for effective implementation of global conventions	National plans, policies and legal frameworks developed
	Institutional capacities enhanced in recipient countries to implement global conventions
Outcome 4.1 Enhanced institutional capacities to manage environmental issues and implement global conventions	Institutional capacities for management of environment strengthened
	Management capacities for implementation of convention guidelines and reporting enhanced countries

65. The project's work on the CHM and EIA/SEA is also relevant to some other outcomes and outputs in the GEF's capacity development results framework (i.e. Outcome 4.2 Good environmental management standards defined and adopted; Outcome 5.1 Enhanced skills of national institutions to monitor environmental changes), but as they are only developed proposals with no immediate prospect for operationalization, these aspects are not highlighted in the table above.

66. As the project was approved under GEF-4, it was considered to be under one of four programmatic frameworks covering the GEF's full suite of CB-2 projects:

- a) Strengthening the policy, legislative and regulative frameworks and their enforcement;
- b) Mainstreaming global environmental priorities into national policies and programmes;
- c) Improving national Convention institutional structures and mechanisms;
- d) Strengthening financial and economic instruments in support of the global environment.

67. The Romania CB-2 project was considered to fall primarily under the Environmental Mainstreaming program (b), but clearly is relevant to and supportive of the other programs as well, particularly on improving national Convention institutional structures (c).

68. Furthermore, as highlighted throughout this evaluation, the project is supporting and meeting the GEF's core operational principles, as outlined in Annex 2 of this report.

C. Project Management and Cost Effectiveness (Efficiency)

69. The project was initially supposed to be executed through the University of Bucharest, but difficulties with the contracting procedures for the project manager led to delays in project start-up. The project was approved June 30, 2008, but the project manager (a university professor, not the current project manager) was not officially contracted until November 2008. The project start-up was also delayed by the elections in Romania in 2008 – local elections were held in June 2008 and parliamentary elections in November 2008. Given that government institutions were the key stakeholders and beneficiaries of the project, it was therefore not possible to establish the NSC until after the government changeover following the November 2008 elections. As noted in the 2009 Project Implementation Report (PIR), "The whole process led to the delay of the Inception Workshop with several months, which could have taken place in the absence of relevant decision-makers." The project was given a marginally unsatisfactory rating in the 2009 PIR, its first. In the 2010 PIR it was further explained that "Last year two major issues impeded the project progress: i) insufficient ownership and political support due to periodic changes in the national executing agency following different elections in the country; and ii) delayed execution of important administrative tasks (such as recruitment of consultants) by the University of Bucharest (then the delegated executing agency) due to cumbersome internal procedures." Although the project had gotten underway in late 2008, by late 2009 project progress was still lagging, again partly due to unfortunate circumstances beyond the project's control as the project manager encountered significant health problems, eventually leading to his passing in June 2010. In September 2009 UNDP and MoEF conducted a management review in an effort to find a productive path forward for the project. The end of 2009 was identified as a cut-off point for finding a constructive resolution to the situation. It was decided that execution duties would be transferred to the EUB, and in December 2009 the MoEF (as the National Executing Agency) signed off on this approach. In January 2010 the EUB

also formally accepted responsibility for the project, and in February 2010 the current project team was brought on board.

70. Once the new execution arrangements and project team were in place in early 2010, the project made up for lost time so to speak, by completing the major primary first output (the Phase 1 report) by mid-2010. The original project completion date was June 30, 2011, and this was extended to June 30, 2012 to allow adequate time for project execution of the planned activities. Therefore, in actuality, the project was only executed over a two-year period, instead of the originally planned three years, although the official project duration ended up being four years. Correspondingly, practically speaking, the delivery rate of the project team and stakeholders during the past two years has been exceptional. However, this evaluation must consider the full extent of the project (even including the design phase), and thus the delivery rate for the project across the four-year period was lower than expected at project approval. Condensing the majority of the project activities into two years may also have led to the project results not being as consolidated and formalized as they might have been (see Section V on results) with the benefit of another year of activity and project presence. In addition, by spreading over a four-year period, the project has run into the same issue that delayed start-up to begin with – the pause in political decision-making and institutional instability that goes along with national elections.

71. Although the delays in project implementation created challenges on some fronts, there has been one beneficial aspect as well – the timing of the project completion during the lead-up to the Rio+20 preparation process – in Romania, and globally – has provided a highly relevant platform to draw attention to and emphasize the work of the project on integration of the Rio Conventions, and to consolidate the project results. The Romania CB-2 project was highlighted in UN publications related to the Rio+20 conference, and has drawn additional attention within the Romanian government as a result of the Rio+20 activities.

72. The project team produced annual project review reports (APRs) (as well as completing the PIR form), and submitted to UNDP quarterly project review reports based on the 150 word format of the ATLAS system. Project funds were advanced by UNDP to EUB on a quarterly basis, taking into account cash flow projections and the approved annual work plan. The project team prepared annual work plans and corresponding budgets for approval by the NSC. Official annual or semi-annual budget revisions are completed as necessary (approved by UNDP), to reflect updates in the project work plan.

73. The project management budget was at the UNDP-GEF targeted ceiling of 10% of project costs, and as far as can be assessed from the project financial records, this amount was not exceeded in actuality.

74. Overall the **efficiency** of the project is rated ***moderately satisfactory***. This rating is based on multiple factors. Although the current project team was quite efficient once project activities were actually underway, the total official timeframe of the project is 50 months (from first disbursement to operational closure), notably longer than the originally foreseen 36 month period, which equates to a much lower annual delivery rate than the average for GEF projects, even for MSPs. The efficiency rating must also take into account the long-term value of the project investments, which is partly dependent on sustainability. Given the overall sustainability rating of moderately unlikely (see Section VI.A), it is not clear that the project investments in

some core outputs (particularly CHM prototype and EIA/SEA proposal) will lead to any significant long-term outcomes or impacts, although they clearly have potential value. The project certainly led to some important results, particularly in achieving approval of one government ordinance for the start-up of the CIDD, but the efficiency evaluation criteria must consider the overall cost-effectiveness of the entire project.

i. Financial Planning by Component and Co-financing

75. Table 4 below provides an overview of proposed and actual expenditures by component, including project management. Although accounting of project funding won't be finalized until after project completion, it is expected that project delivery of funds will reach 100%. Outcome 1 was budgeted for 1/3rd of GEF resources (33.0%), while Outcome 2 was budgeted for 50.9% of GEF resources. Project management was budgeted for the GEF prescribed ceiling of 10.0% of resources, and monitoring and evaluation accounted for 6.2% of GEF resources.

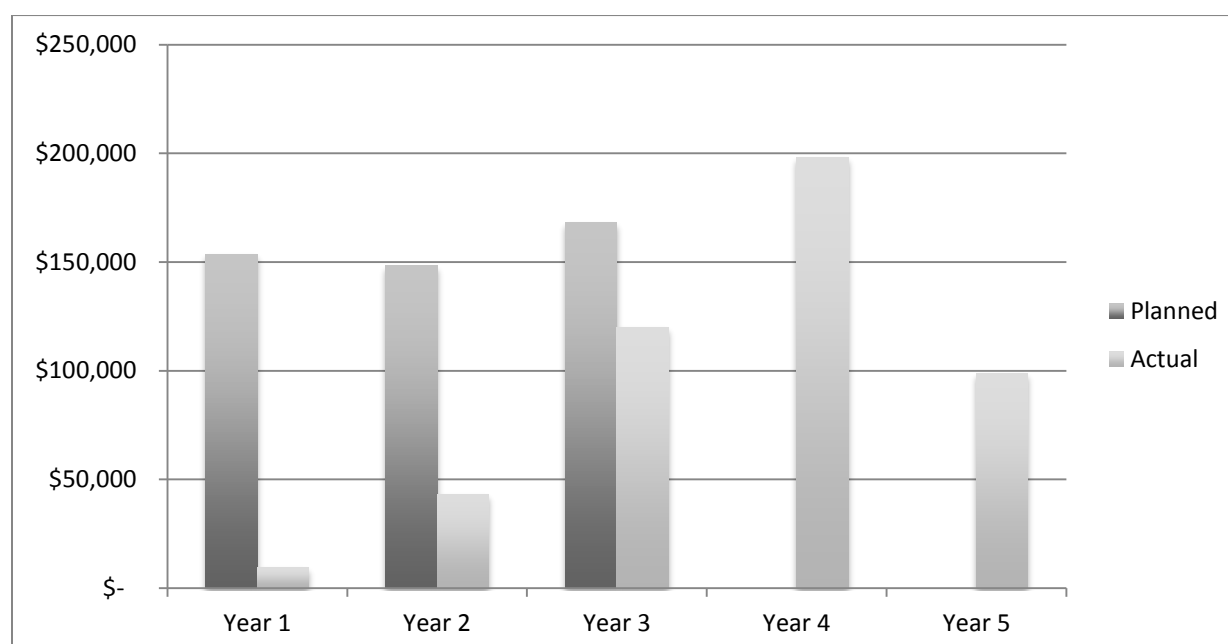
76. A budget revision was undertaken in December 2011 to allocate funds for activities in the 2012 extension based on remaining unspent funds from 2010 and 2011. Based on the requests of the MoEF, the project further supported i) Strengthening the coordination mechanisms between the Rio Conventions NFPs; ii) Formal endorsement of the National Strategy for Sustainable Development, as general implementation framework for Rio Conventions; iii) Mainstreaming of Rio Conventions issues into the work of the Inter-Ministerial Committee for the integration of environment into sectoral policies and strategies.

77. Partially as a result of the above budget revision, actual expenditures have varied significantly from the planned resource allocation, with Outcome 1 at 43.8%, Outcome 2 at 33.8%, M&E at 14.6%, and project management at 7.8%. Based on the execution arrangements, 71.6% of the budget (\$0.350) was executed under UEB, approximately \$0.070 under University of Bucharest (during the first year and a half of implementation), and \$0.050 under UNDP (for items such as some procurement, financial audit, event organizing, and terminal evaluation costs).

78. The project's expected and actual delivery rate is shown in Figure 2 below.

79. The management of project funds (including budget revisions, disbursements, record keeping, accounting, reporting, and utilization of accrued interest income in the project accounts) observed the UNDP rules and procedures in force. Quarterly financial reports were submitted to UNDP with the quarterly operational reports, at which point the project also requested the quarterly cash advance to feed the account on the basis of cash flow projections. There were minor budget adjustments throughout the project based on the annual work plan and the actual disbursement in the previous year (typically unspent funds for a certain year are transferred to the following year). Based on the individual budget lines tracked in the ATLAS system UNDP produces corresponding Combined Delivery Reports.

Figure 2 Romania CB-2 Project Delivery Rate (USD)¹¹



80. As an established legal entity in Romania, EUB complies with Romanian laws, norms, and standards. A Romanian firm audited the project for the year ended December 31, 2011; some required adjustments to financial record keeping were identified, but overall the audit report states “We noted no matters involving the internal control structure and operations that we consider to be material weakness as defined above.” According to the project team, there were some financial challenges with respect to the national context, as summarized in the project final report: “A challenging factor, though, was the sudden change of the Fiscal Code and Labour Contracts, in Romania, at mid 2010, which determined a stop of project contracting of experts and related work progress, for four month (from June, 2010 – October, 2010), as well as with an impact on the budget execution, due to new taxation rules, including the switch of VAT from 19% to 24%, and of collaboration contracts charges from 16% to 25.5%, or 27% (pending on the individual type of labour status).” Issues of this specific nature related to taxation and contracting issues based on national policies are common to many GEF projects.

81. The planned and the actual co-financing of the project are shown in Table 5 below. At project approval, the Government of Romania had committed \$0.710 million USD in co-financing - \$0.135 through direct in-kind co-financing, and \$0.575 from other projects to be implemented under the EU pre-accession Phare Twinning program.¹²

¹¹ Source: December 2011 budget revision. The planned/actual amounts for year 1 may not be fully reflective of reality as this would depend on what point in the calendar year the project actually started. However, the first disbursement for the project was in May (2008), so it would be expected that actual expenditure would be at least 50% of the planned amount. In this figure, Year 1 is 2008 and Year 5 is 2012, with the project closing June 30, 2012.

¹² See http://europa.eu/legislation_summaries/enlargement/2004_and_2007_enlargement/e50004_en.htm and http://ec.europa.eu/enlargement/how-does-it-work/technical-assistance/twinning_en.htm for additional information.

82. Overall the level of co-financing expected at the project development phase was reached – and extensively exceeded, depending on how co-financing is accounted. The GEF generally considers “co-financing” as only those funds committed at project approval; for the Romania CB-2 project the project co-financing committed at project approval was from in-kind sources provided by the relevant government ministries, and from other projects to be implemented during the timeframe of the CB-2 project. On this basis, 100% of “co-financing” was reached for the Romania CB-2 project, according to information provided in the project documentation and by the project team. Funding contributing to the project objective after project approval is defined as “leveraged” or “associated” funding. Funding supporting the project objective from Phare Twinning projects, and additional funding from other sources implemented after project approval, reached a total of \$23.738 million USD (based on present day euro-USD exchange rates), which would equate to nearly 4000% of the planned co-financing. It seems unlikely that any of this funding was directly tied to the GEF financing for the CB-2 project, and thus should most likely be given the definition of “associated” financing, if the funding for these projects was in fact within the limited scope of the project objective. However, without extensive analysis to clarify this issue, all non-GEF funding is accounted in Table 4 as co-financing, for the sake of ensuring documentation of potentially relevant funding.

Table 4 Project Planned Budget and Actual Expenditure as of December 31, 2011 (USD)

	GEF amount planned	% of GEF amount planned	Total planned	% of total planned	GEF amount actual	% of GEF amount actual	Total actual _‡	% of actual total _‡
Outcome 1: Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments	\$0.155	33.0	\$0.463	38.6	\$0.206	43.8	N/A	N/A
Outcome 2: Improved capacity of MEWM and MAFRD to integrate environmental and sectoral resource management	\$0.239	50.9	\$0.526	43.8	\$0.159	33.8	N/A	N/A
Monitoring and evaluation	\$0.029	6.2	\$0.039	3.3	\$0.069	14.6	N/A	N/A
Project coordination and management	\$0.047	10.0	\$0.172	14.3	\$0.037	7.8	N/A	N/A
Total	\$0.470		1.200		\$0.470			

Sources: Project Document for planned amount; UNDP Combined Delivery Reports and project budget documents for actual GEF amounts.

‡ The breakdown of co-financing was not specifically tracked by component because it was disbursed by the project partners rather than channeled through the project, and therefore the project team was not required to report co-financing by component.

Table 5 Project Planned and Actual Co-financing Through June 30, 2010* (USD)

Co-financing (Type/Source)	UN Agency		Central Government		NGOs		Other Sources		Total Co-financing		Percent of Expected co-financing
	Proposed	Actual	Proposed**	Actual‡	Proposed	Actual	Proposed	Actual	Proposed	Actual	Actual share of proposed
Grant	0.020	0.020	0.575	23.738					0.595	23.758	3989.6%
Credits											
Loans											
Equity											
In-kind			0.135	0.135					0.135	0.135	100.0%
Non-grant instruments											
Other types											
Total	0.020	0.020	0.710	23.873					0.730	23.893	3273.0%

* Information on co-financing was provided by the project team covering co-financing reported in the 2010 PIR, although some of the co-financing for the associated projects identified was still in implementation in 2012. Please see discussion of types of co-financing in preceding section.

**Proposed central government co-financing was to come from the relevant government ministries at the time, the MEWM, and the MAFRD. Co-financing was partially in-kind (a total of \$135,000) and through other projects under these ministries that were supportive of the project objectives (additional cash co-financing of \$575,000).

‡ According to the information provided by the project team, approximately \$23.7 million USD worth of projects supportive of the CB-2 project's objective were implemented by the government during project implementation, primarily in the framework of the EU PHARE Twinning program.

ii. Flexibility and Adaptive Management

83. Flexibility is one of the GEF's ten operational principles, and all projects must be implemented in a flexible manner to maximize efficiency and effectiveness, and to ensure results-based, rather than output-based approach. Thus, during project implementation adaptive management must be employed to adjust to changing circumstances. The Romania CB-2 project was implemented in a flexible manner, particularly considering the adjustments in the management arrangements required during the first part of the project, and the challenging political-institutional context in which the project was operating. As a result of these initial delays, the project received a no-cost extension for 12 months, through June 30, 2012.

84. The project did not undergo changes to the overall strategy nor to its objectives during the implementation.

85. Some adjustments to the project activities were implemented at the inception workshop, such as consolidating Outputs 2.3 and 2.4 of the project document into a single output, and consolidating Outputs 1.3 and 1.4. A significant change was made to Output 1.2, reflecting a general consensus decision among stakeholders to limit the project's efforts to suggestions and recommendations for legislative changes, rather than setting the bar for actual legislative changes. As such, under Output 1.2, the project activities were changed from "elaborate and modify laws and norms" to "Elaborate and proposals to modify laws and norms". According to the inception report, *"The main reason for this change was due to the well-known long process for legislation amendments in Romania. The approval of any legislation and norms by the government is beyond the project control and moreover, the final approval of the suggested changes can happen after the project closure."*

86. In addition, during the inception workshop the project logframe indicators were revised, and expanded from the original nine up to seventeen. However, the revised indicators for Outcome 1 did not adequately reflect the revisions to Output 1.2. For example, the revised indicators for Outcome 1 included: "6. Conventions obligations integrated in related legislation, 7. Conventions obligations integrated in related policies, national plans, strategies and programmes, 8. Conventions obligations embedded into effective environmental screening process of policy making" which are all measures that require modifications of legislation and policy to be considered successful. These indicators were incorporated in the project logframe, and are the indicators against which the project has reported annually in the PIRs.

87. The significant change to Output 1.2, the revised logframe indicators for Outcome 1, and their lack of coherence following the inception workshop, present a slight quandary for the terminal evaluation. As approved by the GEF, the project document represents the expectations of the donor of the results to be achieved, and a lowering of the expected results from actual changes in legislation and policy to just recommendations and suggestions for changes is significant. A results-based approach to implementation requires more than just activities generating recommendations that may never be taken up by the government. At the same time, experience across the GEF portfolio has historically shown that achieving actual legislative changes at the national level is an overambitious target, and projects are better served to find more realistic measures of success. Furthermore, changes to project activities

proposed and approved by a Project Steering Committee are considered to be fully acceptable, and therefore such changes represent the standard against which a project should be evaluated. At the same time, GEF and UNDP policy generally holds that project outcomes cannot be changed without re-approval by the GEF.

88. Based on the above constraints, this evaluation takes the approach of evaluating the results necessary to achieve Outcome 1, whether or not these include legislative changes (see Section V.A.i below on results). Outcome 1 is stated as “Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments.” Therefore the key results for achievement of Outcome 1 are considered to be the existence and function of the necessary framework for implementation of the Rio Conventions. In literal terms for the project, this means the establishment and operationalization of the CIDD, the institutionalization of the convention focal points, and the establishment and functioning of the RCMs. Other aspects of Output 1.2, such as the “integration of conventions into development plans, sectoral plans, and environmental action plans at local, regional and national levels” (and as measured by the revised indicators 6, 7, and 8 highlighted above) are expected to result from the “enhanced framework” established by the project, perhaps some time after project completion.

iii. UNDP Project Oversight and Responsibility

89. UNDP is the responsible GEF Agency for the project, and carries general backstopping and oversight duties, as well as handling financial management. UNDP sits on the NSC, and provided technical and political support to the project during implementation. As the responsible GEF Agency, UNDP is partially accountable for the project development process (keeping in mind the responsibilities of national counterparts and beneficiaries), and for ensuring effective project execution.

90. Responsibility associated with the challenges with initial project execution arrangements under the University of Bucharest must be partly borne by UNDP. At the same time, it was thanks to UNDP’s oversight that an appropriate solution and path forward in partnership with the EUB was identified. Thus UNDP can be credited with effective adaptive management in the face of challenges, but should also document and integrate the lessons learned from this aspect of the project for future reference in Romania and elsewhere.

91. All evidence gathered during the evaluation mission indicates that once the project was truly up and running, UNDP fulfilled its oversight and supervision responsibilities fully, with strong communication with key project partners and the project team. In fact, the regular turnover in government staff (especially at the top levels within the MoEF) required a more active engagement from UNDP to inform key government stakeholders about the project, and to advocate on the project’s behalf. UNDP also worked to ensure the project was linked with the relevant convention Conferences of Parties (i.e. UNFCCC in 2009 and 2011, CBD in 2010) as well as the relevant major global summits (e.g. Rio+20 in 2010-2011). UNDP Romania’s efforts supporting the project resulted in the Romania CB-2 project being highlighted in the UNDP Director General’s report for Rio+20. Key project stakeholders reported very good coordination and collaboration with UNDP during project implementation. UNDP has worked with the project team to ensure comprehensive and timely financial and progress reporting.

V. Romania CB-2 Project Performance and Results (Effectiveness)

A. Achievement of Anticipated Outcomes

92. As described further below, the project made adequate progress toward the project objective, and based on achievement of expected outcomes, **effectiveness** is rated **satisfactory**. Although many of the key project results are not yet codified through formal government decisions or financial commitments, there is optimism that they will be, and the key government ordinance on re-establishment of the CIDD was issued in August 2011. The satisfactory rating for effectiveness of the project (instead of moderately satisfactory) is founded primarily on the results achieved in the practical period of implementation (approximately two years), namely holding the first meeting of the CIDD (in February 2012) with the view that these meetings will continue, and the demonstration results achieved for the RCMs in Brasov and Galati. In addition to these key results, the project also had many other useful outputs and results.

93. The project had two main outcomes, with the first focused on improving the enabling environment (institutional, legislative, policy, and planning frameworks) for implementation and integration of the Rio Conventions, and the second focused on supporting capacity development, tools, and mechanisms for implementation of integrated resource management under the Rio Conventions.

94. Overall this was an ambitious project for its size, as previously discussed in Section III.B.v on project design – the logframe indicators and targets propose actual modification of various legislation, policies, and by-laws. These are clearly processes within the government dominion, and while projects can influence the legislative or policy process, actually achieving the adoption or formal approval of legislative and policy mechanisms is typically time-consuming and resource intensive – besides the fact that it is dependent on engaged and supportive government partners. It was on this basis that at the inception phase the project stakeholders determined to reduce the scope of the project from actual modification of legislation to proposals pertaining to the integration of the Rio Conventions, as discussed in Section IV.C.ii above, on adaptive management.

95. The Romania CB-2 project was focused on strengthening the government's framework for meeting Rio Convention obligations, but the project's ability to move many of the relevant issues forward was limited to developing and submitting recommendations to the government, or drafting government decisions to be signed off on by decision-makers. The project was successful in securing in August 2011 the Government Ordinance 741/2011 that re-established the CIDD to actively support implementation of the National Strategy on Sustainable Development. There are still multiple key project results that are dependent on further government action in one form or another: 1. The practical operationalization of the CIDD through issuance of the internal Rule of Organization and Functioning; 2. The institutionalization of the National Focal Points (NFPs) for the Rio Conventions; and 3. The operationalization of the RCMs.

96. Taking each of these processes further requires government complicity with the overall objective; in theory this is indicated by the government's sign-off on and support for the project in the development approval stage, but in a context where there is significant regular instability

in the relevant government institutions, actually reaching many of the project's final targets (as indicated by formal government decisions), as envisioned in the project objective, outcomes and logframe (even in the activities and indicators revised at the inception phase), are yet to occur. As noted in the 2011 PIR, the UNDP Romania Country Office and project team had to be actively engaged to handle "the national context fluctuations induced by political elections, cabinet reshuffling or impact of the economic crisis and government's package of austerity measures on the institutional and human capacities (e.g., 25% of public servants laid off, high staff turnover, discontinued institutional memory, weakened institutional capacities)."

97. The specific project results are described under the respective following outcomes and outputs. Key results from the project included:

- A baseline analysis of the status of Rio Convention implementation legislation and institutional framework (Phase 1 report), including identification of gaps and recommendations to address them
- Issuance of Government Ordinance 741/2011 that re-established the Inter-ministerial Committee on Sustainable Development to actively support implementation of the National Strategy on Sustainable Development, and moving toward operationalization of the CIDD, with a first meeting held in February 2012
- Strengthening awareness of the position of the Rio Convention NFPs
- Various capacity development activities (trainings, workshops, awareness raising, etc.) on the importance of integrated natural resource management and sustainable development, as supported by the Rio Conventions, including development of a proposed training program on identified capacity needs related to implementation of the Rio Conventions
- Review and assessment of the EIA/SEA procedure and recommendations for improvement for harmonization with EU standards and for meeting Rio Convention requirements
- Successful piloting of the RCM in two regions for implementation of the Rio Conventions

98. The project logframe had three objective level indicators:

1. Alignment of institutional, legislative and policy frameworks with the objectives and obligations of the global environmental conventions signed by Romania; Target: Conventions obligations are well integrated into national institutional, legal and policy frameworks
2. Quality of national monitoring reports and communications integrating conventions obligations; Target: State of Environment and other national reports / communications include quality information on the state of implementation of the Rio Conventions in Romania
3. Capacity development monitoring scorecard rating; Target: 34 from a baseline of 7

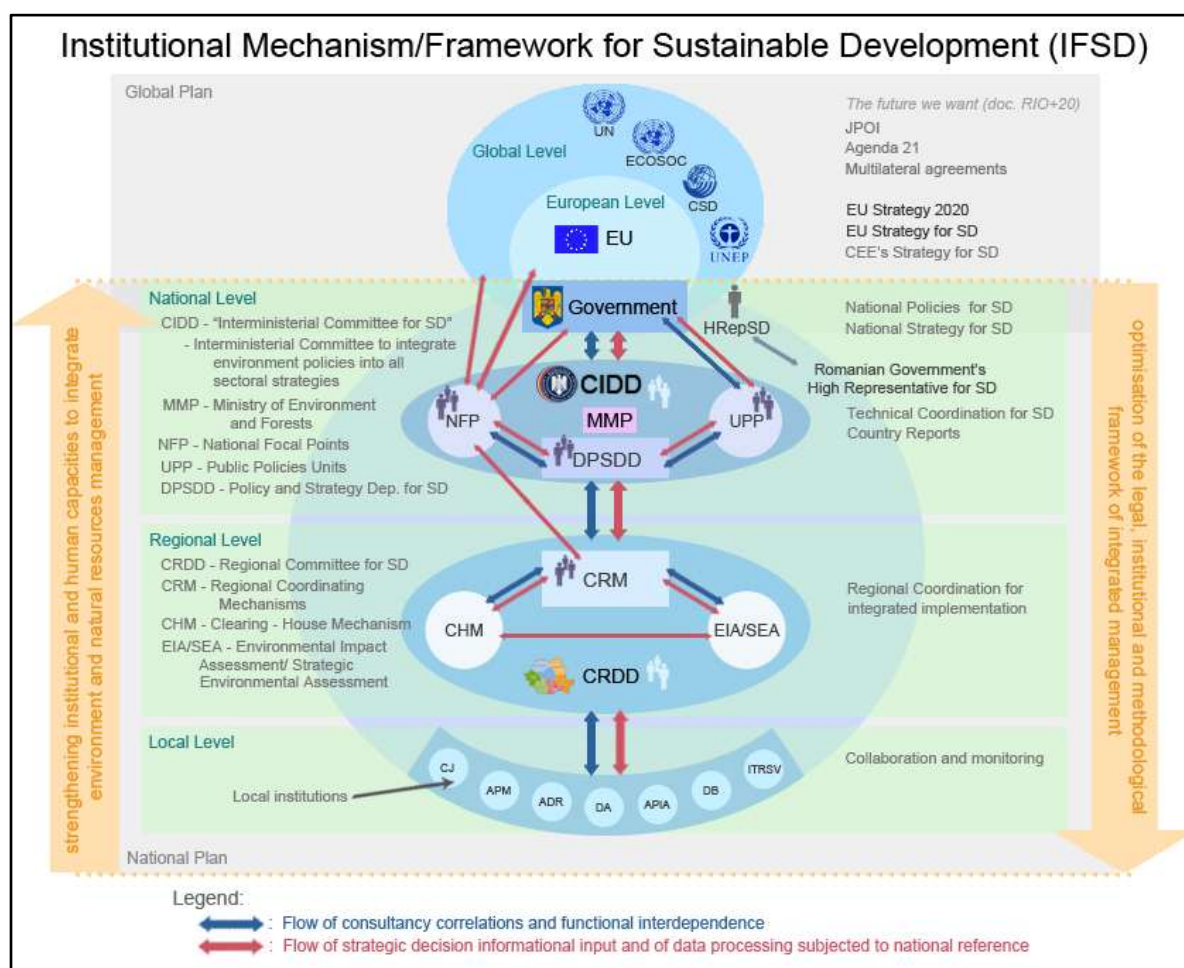
99. The first indicator and target is relatively unclear (how is "well-integrated" defined?), but in the context of the project design this can be inferred to relate to the project's Phase 1 report, the CIDD, institutionalization of the Rio Convention NFPs, and the EIA/SEA analysis carried out. In all of these respects there is opportunity for significant additional work and

results to be completed, but within the scope of the project (see additional details under the Outcome 1 and Outcome 2 below), it can be considered that target was mostly achieved. For the second indicator, the project also made adequate progress. For the indicator relating to the capacity development scorecard, the target was achieved by the end of the project, with an assessed score of 41 out of 45 maximum possible in July 2012 (see Annex 4), an increase from a score of 28 assessed in July 2011.

100. Additionally, at the broad conceptual level the project team has formulated a framework for overall integrated Rio Convention implementation in Romania from the global to local level, which was referenced by the Romanian national delegation during the Rio+20 conference in June 2012. The visual representation of this framework is shown in Figure 3 below. As also mentioned elsewhere in this report, the project was selected as a case study for the United Nations Director General's report for the Rio+20 conference. The inclusion of the project's NPD from the MoEF on the official Romanian delegation for the Rio+20 conference has helped ensure strong linkages between the project results and Romanian national activities related to Rio+20.

101. The project also produced some unplanned results as further discussed in Section V.B following discussion on Outcomes 1 and 2 below.

Figure 3 Framework for Integrated Implementation of Rio Conventions



i. Outcome 1: Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments

102. As described in the project document regarding Outcome 1, “The purpose of this intervention is to improve convention management and strengthen the enabling environment for convention implementation, including the mainstreaming of convention themes into policies, plans, programmes and projects. There is already a well-developed, if complex, institutional system for environmental and natural resource management in the country. There are numerous opportunities to address convention issues as part of implementing the numerous national plans and strategies to promote environmental sustainability. Activities under this output will rationalize the currently fragmented and uncoordinated convention arrangements to allow government to more effectively and efficiently take advantage of the timely opportunities provided by EU accession reforms to promote global benefits.”

103. There have been many notable results under Outcome 1, most significantly the effort and process that went into achieving issuance of the Government Ordinance 741/2011 for re-organization of the CIDD, and developing relevant drafts of Ministerial Orders for operationalization of the CIDD through its internal Rule of Organization and Functioning, and institutionalization of the NFPs for the Rio Conventions. The inclusion of the Rio Convention commitments in the mandates of the Public Policy Units from the other ministries that participate in the CIDD would be another major step toward strengthening this framework, but is not considered as a critical element for project results under Outcome 1. The establishment of the RCM is carried out under Outcome 2, but can also be considered part of the “enhanced framework” under Outcome 1 for implementing Rio Convention commitments at the local level.

104. The project has put as much effort as possible on these issues with the resources available, but pending issuance of the government decisions to fully operationalize, formalize and institutionalize these results, achievement of Outcome 1 must be considered **moderately satisfactory**. As previously discussed in Section IV.C.ii on adaptive management, at the inception phase the project stakeholders confirmed a change in the project approach from the modification of legislation to only proposals for integration of Rio Convention commitments. However, the evaluation is still obligated to assess the progress toward Outcome 1 overall, for which full achievement would be government adoption and operationalization of the project proposals related to the enhanced institutional, legislative, policy and planning framework for Rio Convention implementation. The promulgation of the Government Ordinance re-establishing the CIDD is significant, but is by itself not all that is required. It must be recognized that this has not yet been achieved due to contextual factors, and actions and commitments required by the Government of Romania, and that the project team has done everything within its capacity to advance these initiatives. In GEF projects where the government is a key partner (and in this case primary beneficiary), national governments have commitments and roles for which they are responsible; and the full achievement of GEF project results can be dependent on their actions. For the Romania CB-2 project there is a reasonable chance that the final expected results may be achieved, but the national context in which there has been high turnover within the MoEF among key staff, as well as at the ministerial level, has contributed to

the situation where the project results have not yet reached the fully satisfactory level by the end of the project.

105. Output 1.1 Institutional framework and processes for coordinated management and implementation of the Rio Convention established and Output 1.3 Environmental screening is part of the national policy-making process, and officials within the Public Policies Unit and two Inter-ministerial Councils¹⁹ are able to use it to integrate conventions into sectoral policies

106. The primary activity under this output was for the project to support the government in establishing a coordinating mechanism for integrated environmental coordination and policy approaches. This was developed as the Inter-Ministerial Committee for Sustainable Development (the "CIDD"), a body that was foreseen in the government's institutional structure of the time, but which was not operational. Following the production of the Phase 1 report (see Output 1.2 below), at the NSC meeting on September 9, 2010, the government representatives asked for support from the project team and experts in drafting the Substantiation Note and draft Government Decision to re-organize and operationalize the CIDD. The main formal government documents supporting this goal are:

- The promulgation of Government Ordinance 741/2011 to re-establish the CIDD
- The initiation of the procedure for issuing a Ministerial Order on the Internal Regulations / Rule of Organization and Functioning of this body
- The initiation of a process to issue another Ministerial Order on the institutionalization of the NFPs for the Rio Conventions
- The modification of the Ministerial Order establishing the Romanian ministries' PPUs to incorporate Rio Convention commitments in their mandate

107. . The project has succeeded in catalyzing the re-organization of the CIDD through Government Ordinance 741/2011. The first meeting of the CIDD was held on February 13, 2012, with project support, with 35 participants. The CIDD includes representatives from the relevant stakeholder organizations (including the Rio Convention NFPs), as well as the Secretary of State and the representatives of the ministerial PPU, and academic representatives from the University of Bucharest and Ecological University of Bucharest. This meeting also functioned as a final project NSC meeting.

108. While the CIDD was officially re-organized under the Government Ordinance 741/2011 to actively support implementation of the National Strategy on Sustainable Development, the further Ministerial Order articulating the internal Rule of Organization and Functioning of the CIDD is still required and is pending. This Ministerial Order has been expected since late 2011, but remains outstanding, and issuance has presumably been challenging due to the government turnover within the MoEF, including a change in the position of Environment Minister in April 2012. The documentation and information required for this Ministerial Order have been provided by the project.

109. The PPU of each ministry handles the institutional strategies for each ministry, and these are communicated to the government through the government's General Secretariat to

¹⁹ #8. Inter-ministerial Council for Agriculture, Fishing, Rural Development and Environment and #9 Inter-ministerial Council for Regional Development, Infrastructure, Territory Planning and Tourism

ensure as much as possible coordination of government strategies. The inclusion of representatives from the ministerial PPU in the CIDD is an excellent mechanism for mainstreaming the requirements of Rio Convention implementation in all sectoral policies. However, based on the inputs from the project, an amendment to the Ministerial Order on the establishment of the PPU is required to incorporate within their mandate responsibilities derived from the Rio Convention requirements. Were such a step to be taken, this would represent a significant advancement of the sustainable development agenda in Romanian national policy. This mechanism would truly embody the “enhanced framework” envisioned under Outcome 1, and the “mainstreaming” of the Rio Conventions in Romanian public policy and economic development. However, this evaluation does not consider the inclusion of the Rio Convention commitments in the PPU’s mandates as critical to consider Outcome 1 as satisfactory.

110. Another key activity under Output 1.1 is the “institutionalization” of the position of the NFPs for the Rio Conventions in Romania, which did not previously have a formal designation. This includes development of TORs for the relevant positions, and identification of capacity development needs for NFPs to effectively serve this capacity. The focus of the project in this regard is to have a formal recognition of the role of the NFPs for the Rio Conventions, and to promote the position as one with decision-making authority within the government, and who has the right to negotiate government positions during convention Conferences of Parties for the Rio Conventions. The CB-2 project developed a proposal on the institutionalization of these positions within the government (including for NFPs for MEAs other than the Rio Conventions, as well as an NFP for Sustainable Development), but achieving the recognition of these positions requires a Ministerial Order establishing the NFPs. The project proposal would also recognize the National Strategy for Sustainable Development as an integrative policy framework for all MEAs, including the Rio Conventions.

111. The project proposal for this institutionalization has been submitted to the MoEF and has generated some discussion, but it does not have a clear path for government approval, and some aspects of the proposal appear unlikely to receive political support, such as confirming employment status of the NFPs within the MoEF on level with diplomatic staff of the Ministry of Foreign Affairs. This activity is also challenged by the turnover of government staff within the MoEF, including the Minister himself, who, after three years in the position, resigned in April 2012. Thus with a new minister and associated staff turnover, there is a new process for lobbying and informing the decision-making levels of the MoEF about this goal of the project.

112. The project did not have a heavy public awareness and outreach component, but one of the valuable outputs is a brochure on the Rio Conventions, that is targeted for public servants working in environmental management. This document serves as a practical short-hand guide, and was developed with a level of information that will ensure it does not need to be regularly updated. The guide has been distributed to 800 stakeholders in the project’s contact database. Another important aspect is that the document will be posted on the website of the MoEF, for wider distribution. This is one critical way for the project outputs and results to have a lasting influence, and to not just be documents that end up on a shelf. By being archived in the appropriate location online, others interested in these issues or working on related projects can easily find, draw on and carry forward the foundational aspects undertaken by the project. This

evaluation recommends that to help increase the likelihood of sustainability of the project that all of the relevant project outputs and reports be posted in the appropriate location of the MoEF website.

113. The EIA/SEA support work also done under Output 2.2 (see below) also partially addresses the environmental screening aspect of Output 1.3.

114. Output 1.2 Legislation and norms amended to better enable mainstreaming of Rio Convention themes into policies, plans and programmes

115. As previously discussed above and in Section IV.C.ii on adaptive management, Output 1.2 was where the most significant change was made to the planned project activities at the inception phase.

116. Under this output the first phase of the project was to establish the legislative and policy baseline for implementation and integration of the Rio Conventions. Although the project activities were initially delayed due to implementation issues (see Section IV.C), once the project was up and running the project team and associated experts worked extremely efficiently to produce in approximately three months the Report Number 1, completed in June 2010. The team analyzed all of the legal and institutional requirements related to the three Rio Conventions by reviewing the articles of each convention, and assessing the legal requirements at the national level. Following this, key gaps in the national context relevant for the Rio Conventions were identified, and recommendations made on addressing these gaps. The recommendations were developed based on a stakeholder consultation process that included two national working groups, three workshops, 100 responses to an online survey, and 25 interviews carried out in the two project pilot regions. The recommendations included:

- (i) Institutionalization of NFPs of Rio Conventions and an internal communication mechanisms among them;
- (ii) Operationalization of the Inter-Ministerial Committee for the Coordination of Integration of Environment Protection into the Regional Level Sectoral Policies and Strategies;
- (iii) Formal recognition of the National Sustainable Development Strategy as an integrative umbrella for Rio Conventions;
- (iv) Operationalization of the proposed RCMs;
- (v) An internal memorandum that will include the Rio Convention responsibilities in the mandates of the PPU of the line ministries;
- (vi) Amendments to the legislative and methodological framework for EIA/SEA; and
- (vii) Mainstreaming integrated Rio Convention indicators.

117. This report was a critical first step for the project as it established the overall national baseline situation, and was approved by the project NSC, and accepted by the MoEF, for which the MoEF's Secretary General submitted a statement confirming that the report "summarises the legislative and institutional recommendations proposed by the representatives of the MoEF for the harmonisation of the Romanian legislation with the three Conventions. In this respect, the MoEF has validated the Phase 1 Report of the Project, in order to start the procedures for its next phase."

118. Considering the stakeholder-approved modifications to Output 1.2 at the inception phase, the official government recognition and acceptance of the recommendations resulting from the Phase 1 report can be considered as fully meeting the project's requirements under this activity, except in the case where additional steps are required to achieve Outcome 1 overall, as discussed above. This includes the recommendations (i), (ii), and (iv) cited above. The recommendations (iii), (v), (vi), and (vii) are not considered critical for the achievement of Outcome 1, and the government's recognition and acceptance of the Phase 1 report is considered fully satisfactory for the achievement of Output 1.2.

119. Output 1.3 Environmental screening is part of the national policy-making process, and officials within the Public Policies Unit and two Inter-ministerial Councils are able to use it to integrate conventions into sectoral policies

120. Joint with Output 1.1 above, although at the project inception phase this output was consolidated with Output 1.4 below.

121. Output 1.4 A convention monitoring system is part of national State of the Environment reporting, with targets and indicators to assess progress on implementing the Rio Conventions

122. Under this output the project team and experts analyzed policy documents relating to national environmental reporting to assess reporting needs and current practices. There were two main products from this activity. First, the project made recommendations for improving the quality of State of the Environment reporting in terms of better harmonization with EU level reporting and additional integration of Rio Convention synergistic indicators in sectors such as: forest health, afforestation, reforestation, and deforestation rates, and carbon sequestration. Corresponding amendments and recommendations were proposed for national State of the Environment reporting to integrate reporting requirements for the Rio Conventions. The second product is the paper produced by the project that analyzes environmental indicators in relation to the Rio Conventions, and highlights the integrated approach that should be taken in national environmental reporting. This was based on and linked to work from the Joint Liaison Group of the Rio Conventions.

123. One positive implication coming from the first CIDD meeting in February 2012 meeting is that the representative of the Romania National Statistics Office expressed interest the project's work on national environmental reporting, the RCMs (see Output 2.3 below) and the project CHM proposal (see Section V.B on additional results), with a view to the possibility of integrating and streamlining environmental reporting through feeding up of local level data, by linking with local environmental agencies. It is currently the responsibility of the statistics office to produce much of the data used in national environmental reporting.

ii. Outcome 2: Improved capacity of MEWM and MAFRD to integrate environmental and sectoral resource management

124. Outcome 2 is designed to practically support Outcome 1 through various capacity development activities; as described in the project document, it is intended "ensure that the lead agencies responsible for convention implementation have the institutional and individual capacity to participate in implementing Outcome 1, i.e., enhancing the institutional, legal and policy framework *and* to use this enhanced framework to more effectively address convention

themes. It will do this by increasing their technical and managerial expertise through technical support, tools, training and on-going support.”

125. The project achieved multiple important results under Outcome 2, including the work on the RCMs, which is potentially the most promising aspect of the project’s activities, as further discussed below. The other main results under Outcome 2, also further discussed below, were the work on the TNA for government staff related to Rio Conventions, the proposal for an improved EIA/SEA system, and the proof-of-concept CHM proposal. The project has taken important steps to advance each of these ideas in Romania, work which has the potential to strengthen the implementation of the Rio Conventions in Romania, and the sustainable development agenda overall. Stakeholders at the regional and national levels have acknowledged the potential usefulness of such tools. At the same time, a further government ordinance is required for formal operationalization of the RCMs in the two pilot regions, and each of other initiatives requires significant additional work and follow-up to be actually operationalized and sustained. On this basis, the achievement of Outcome 2 is considered **moderately satisfactory**. The revised results framework indicators for Outcome 2 adopted at the inception workshop still clearly envision an end-of-project situation beyond the development of proposals to the government, a status the project has not yet reached. With the time and resources available the project has produced important and valuable work on each of the above mentioned issues, but with project completion it is now dependent on all other relevant stakeholders to carry this work forward.

126. One of the important overall indicators for project results is the Capacity Development scorecard, also discussed under the project overall objective above. This was an “objective level” indicator in the project logframe, but is clearly relevant to Outcome 2. Although the target for this indicator was a score of 34 (out of 45), the project has contributed to reaching a score of 28 as of the 2011 PIR, which is a significant and notable increase. (The rationale for the target of 34 is not clear, although this represents approximately 75% of the total, so it may have been considered a “reasonable” level for the project to strive for.)

127. Output 2.1 Enhanced technical and managerial capacity of MEWM and MAFRD staff to integrate environmental and sectoral resource management, using Integrated Resource Management techniques

128. The project conducted a Training Needs Assessment for central and local levels by disseminating a survey to more than 800 individuals identified as relevant stakeholders; the survey received 58 responses, a ~7% response rate. At the central level the main training needs identified were: legal framework/EU requirements; case studies on synergistic Rio Convention implementation; environmental reporting; calculation of Green House Gasses and inventory; Land-use, Land-use Change and Forestry; monitoring and evaluation of climate change effects in different sectors of economy; and data collection and availability. Slightly different needs were identified at the local level: national and international Rio Convention frameworks; synergies in Rio Convention implementation; environmental monitoring and reporting; case studies and good practices. The project team then analyzed the currently available educational curricula in Romania at multiple education levels (e.g. university, etc.) to identify key gaps in education and training on these issues.

129. Following the TNA the project drew on these topics to develop curricula for training modules that could be undertaken by public servants in relevant government positions. National level government institutions provide some basic resources for staff professional development, but according to MoEF staff, there is little structured material in the public training institute catalog that would be of use to them. There has been some discussion between the project and MoEF staff about the public training institute incorporating the project's training modules in the course catalog, which would be beneficial not only for MoEF staff, but also for all government staff who are interested in these issues or would find applications in their jobs. Although offered by the public training institute, courses could be actually taught and supported by faculty of the EUB that have the technical knowledge of the relevant topics. The likelihood of this potential collaboration remains uncertain, but there have been positive initial discussions between the parties.

130. *Output 2.2 Codes of good practice, checklists and training established to strengthen Integrated Resource Management tools for integrating environment into sectoral programmes and projects*

131. The project team and contracted experts reviewed Romania's Environmental Impact Assessment / Strategic Environmental Assessment (EIA/SEA) to determine how the process might be improved with the inclusion of considerations for the Rio Convention implementation commitments. A total of six meetings for stakeholder consultation on the EIA/SEA process were held at the national level and in the two demonstration regions, collecting input and informing approximately 250 individuals involved in EIA/SEA work in Romania. The project study identified gaps and provided a proposal with recommendations on improvements through the application of technology to improve transparency and efficiency of the EIA/SEA process, and to make the process as comprehensive as possible. The main proposals coming from this analysis are:

- Preparation of detailed **methodological guides** with clear requirements regarding the methodologies of analysis and **unitary interpretation** of environmental impacts and effects.
- Preparation of a **Support System for Assisting Environmental Evaluation Decisions** (SSAEED) as a modern (an IT application including a database, GIS visualization and a forum), effective and transparent tool that can provide a unitary platform of communication and of data and information exchange within the two procedures. The SSAEED can ensure:
 - An increase in the effectiveness of the Environmental authorities' activity;
 - Responsibility of environmental experts and quality control of their reports;
 - An increase in the level of involvement of the public in environmental decision-making.
- Adoption of a package of **measures** regarding the **avoidance of conflicts of interest** in performing environmental assessments.
- **Annual training** of the staff responsible for EIA/SEA procedures from the involved agencies and the stipulation of requirements regarding the permanent training of environmental experts.

- Introduction of minimum (but strict) **requirements** regarding the **baseline assessment** in the EIA procedure, at least of the “Conspectus of habitats, flora and fauna”.
- **Annual assessment of the cumulative impact** of the proposed plans and projects (an analysis that should complement the current reports on the state of the environment). This analysis could be easily conducted with the help of the SSAEED (see above).
- Introduction of the **cumulative criterion** as a decisive element for running the environmental assessment at the SEA procedure implementation stage.
- Environmental experts’ adherence to a **code of conduct** (on becoming members in the National Registry).

132. The underlying idea is that with a properly developed technology based system (the SSAEED), a decision-making tree could be pre-structured to remove the lack of transparency in human decision-making. Essentially, with appropriate GIS technology and environmental data entered into a geo-spatial database, the system would make a clear recommendation on the issuance of requested permits. The system would have a level of public access, so potential project proponents can clearly see what economic activities are allowed in which areas. In addition the system could build a database of EIAs over an extended period, developing an overall body of knowledge that could be re-applied, and which might have broader value. Such systems have been proposed in other parts of Europe and elsewhere, but are not yet widely implemented. According to a memorandum on the project results issued by the Minister of Environment’s office, the activities supporting the recommendations for improvement of the EIA/SEA process was the first such effort undertaken in the country, and was a necessary approach for harmonization of practices with the EU. At the same time, according to the analysis produced, implementation of the above proposed measures would require at least two to three years, and an initial investment of \$0.5 million euros, with annual operational costs of \$0.06 euros.

133. In addition to the above-described analysis, the project team also supported development of a training module on EIA/SEA for the MoEF and relevant institutions, with enhancements focusing on the gaps identified in the analysis.

134. The project outputs for supporting EIA/SEA improvement have been endorsed by the MoEF, but there is so far little momentum with steps for actual implementation of such a system.

*135. Output 2.3 Regional Coordinating Mechanisms (RCMs) are established as demonstration models in two of Romania’s eight Development Regions, then expanded to the remaining six regions, based on lessons learned and Output 2.4 Each of the two model Regional Coordinating Mechanisms implements a demonstration activity which shows how Integrated Resource Management tools can be used to address priority regional issues and the results are disseminated to all eight Development Regions*¹³

136. The Regional Coordinating Mechanisms (RCMs) on Rio Convention integrated implementation is the sub-national corollary to the project’s work on the CIDD in Output 1.1, and is a critical element for practical application of integrated natural resource management.

¹³ These two outputs in the project document were in fact consolidated into one output at the project inception phase.

Government policy anticipated the application of such an RCM mechanism for environmental management in the 2005 Law on Environment (195/2005), but no RCM mechanism was actually functioning. The project-supported RCM approach is based on the Regional EPAs (the regional authorities of the MoEF) serving as the technical secretariat for a regional council on environmental management, consisting of all relevant stakeholders.

137. The project worked in two pilot regions – Galati and Brasov (although the Regional EPA for Brasov is located in Sibiu), which were selected based on criteria outlined in the project document. To introduce and build stakeholder ownerships for the RCM demonstrations a series of meetings was held in both pilot regions to starting in November 2010 to develop a functional approach for the RCM.

138. The project supported the drafting of the Government Ordinance required for operationalization of these two RCMs – the Rule of Organization and Functioning. This includes information on the composition of the RCM, the responsibilities of involved organizations and institutions, and information on mechanisms for data collection, reporting, national networking and linkages with national institutional partners. The RCMs have two potential variations for implementation: as a consultative (informal) body for development related decisions that affect the environment, or as a decisional (formal) body. Clearly the option of a decisional body is preferred in terms of improving environmental management, though various stakeholders who fear increased bureaucracy will hinder economic development oppose this approach. If the committee were only a consultative body, according to regional stakeholders, it is feared that all issues discussed will not be applied in practice. Without legal authority as a decision-making body, the committee's recommendations and strategies can't be referred to for official decision-making, or for example have validity as a reference in court proceedings. The Rule of Organization and Functioning drafted with project support includes pros and cons of both approaches. The formal government approval for operationalization of the RCMs is dependent on the Ministerial Order issuing the Rule of Organization and Functioning, which will include the final decision on whether the RCM operates as a consultative or decisional body. This process requires approval from all government ministries, which normally takes approximately nine months, but the process may be delayed until a new government is set following the Romanian elections in late 2012. Approval as a decisional body would also facilitate government budgetary provisions for the operations of the RCM, without which the RCM is unlikely to function.

139. The project's work on demonstrating and developing the RCMs included actual case studies in both regions, which is partly why it is one of the most valuable project results, with prospects for some continued activity and relevance following project completion. The case study in Brasov focused on the development of micro-hydro power installations in the region. The regional energy strategy specifies that it is not recommended to develop micro-hydro units due to the potential environmental sensitivity of the mountain waterways in the region, some of which have been designated as Natura 2000 sites. A single micro-hydro installation can cause significant environmental damage in such conditions. However, there has been micro-hydro development, resulting from a lack of coordination and information sharing about the regional energy strategy. According to regional stakeholders participating in the case study, it was only through this pilot RCM process that the importance of putting the roles and responsibilities of

each government institution in the larger context became clear, and without such a perspective poor decisions may be taken. Also highlighted was the value of a mechanism such as the RCM in limiting special political or economic interests that can have negative influences for society as a whole through damage to environmental resources with “downstream” consequences for people.

140. The case study for the Galati region focused on issues related to biodiversity conservation measures in Natura 2000 sites (e.g. Macin Mountains National Park), linked with wind power energy, and health and environment safety measures in urban planning. The evaluator did not visit this region during the terminal evaluation field mission, so less detailed information was immediately available on this case study.

141. In the case study process, the importance and value of adequate information flows and sharing was emphasized, which is the main mechanism for catalyzing appropriate decision-making. In its role as the technical secretariat for the RCM, the Regional EPA could inform all stakeholders and raise awareness about potential environmental consequences of development decisions. This work would be supported by the implementation of a regional CHM, which stakeholders emphasized has important potential value for facilitating the work of the RCM and Regional EPA. This is also highlighted under Output 2.5 below.

142. The work on the RCM also supports national environmental reporting (see Output 1.4, above) as the Regional EPAs (which are intended to serve as the RCMs’ technical secretariats) are responsible for State of Environment reporting and data collection. Thus with stronger capacity on Rio Convention synergies and integrated environmental management, the national environmental reporting may be strengthened in this respect as well.

143. An important element of this project activity is also the potential to scale-up the RCM approach to the other six regions in Romania (as foreseen in the project document) and the project logframe indicator related to this output had a target of having the RCM model adopted in all eight development regions in Romania. To help eventually move in that direction the project held national level workshops on the RCM mechanism, with participation from other regions in Romania. In addition, the project documented the process applied for developing and testing the RCM mechanism through drafting 60-page methodological guidelines, which will also be valuable in contributing to the potential catalytic effect of the project. At this stage, the mechanism has yet to be officially adopted by the national government for the first two pilot regions. The target of adoption for all eight regions was ambitious for the project timeframe, and particularly considering the national government and institutional context. On top of this, the project was practically implemented in a little over two years, instead of the originally planned three, so having the RCM adopted in all eight regions was not realistic.

144. *Output 2.5 A peer training network and database to support integrated resource management is established to serve regional and local environmental and resource management staff*

145. According to the project document, under this output the project was to set-up “a mechanism to share experiences through the Internet, exchanges of managerial and technical staff, seminars, workshops and on-going working groups organized around topics of mutual interest.” Such a mechanism was already established under the national CBD CHM, but is not actively used by stakeholders, according to staff of the MoEF. This output of the project is

primarily be supported by the proposed CHM, which is further discussed under the section on Additional Results below, as the CHM relates to and supports multiple elements of the project, although it was not originally planned as such in the project document.

146. The CHM proposal has been submitted to and accepted by the MoEF, but the CHM is currently not a functioning and operational “peer training network and database”, per se, although the web-based proof-of-concept regional platform is functional and was tested during the RCM demonstration activities. There are other such internet-based network tools and discussion forums available for environmental management public servants in Romania, but according to some stakeholders these are not actively used. The overall CHM, and all associated networking and engagement “tools” provide an ideal approach for stakeholder knowledge sharing and involvement in integrated natural resource management issues. Practically speaking however, creating a stand-alone dynamic forum typically proves to be much more of a challenge, and developing and operationalizing such a mechanism may not be an efficient use of resources if not actively taken up by users. With significant staff turnover in the MoEF and without a clear champion following the completion of the CB-2 project, creating such a dynamic and active forum in Romania would appear to be an uphill battle. Other forums already freely available in the public sphere, such as LinkedIn Groups, can serve at last some of the same purposes at no cost. A LinkedIn group clearly would not duplicate the functions of the proposed full-featured CHM. A full CHM would have significant capacity for exchanging and disseminating critical environmental data and other information among various stakeholders, which would be exceptionally useful on multiple fronts, and particularly for the RCM approach highlighted under Outputs 2.3 and 2.4 above. LinkedIn groups, however, can be effective for building a community of practice, with opportunities for sharing information about key events and meetings (including, for example, online training and webinars), exchanging best practices and lessons learned, and gathering input from stakeholders on particular issues. In this respect a tool such as a LinkedIn group bringing together Romanian civil servants working on environmental management issues, as well as other stakeholders, could be useful, and is highly cost-effective considering there is no initial investment required to create a specific custom online platform.

B. Additional Results

147. In relation to the project’s work on national State of Environment reporting, EIA/SEA and the RCMs, a proposal for strengthening the national CHM on environment was developed. The CHM was not specifically foreseen in the project document, but has developed as a mechanism through which multiple project goals could be met. The CHM is broadly defined as the online portal/interface for coordinating and reporting information and data on environmental management, which is accessible to and actively used by all relevant national stakeholders, as well as providing linkages for international data sharing and reporting with respect to the Rio Conventions. The CHM would have two main components: an information sharing and dissemination platform, and a data management and reporting element. The platform includes collaborative “tools” such as: (i) Consultation tools that will allow networking among practitioners but also other interested stakeholders and the public; (ii) On-line surveys facility that will aggregate indicators/data and generate reports and useful information for policy makers; (iii) Meeting planning tools with an on-line event planner that will simplify the

organization of regional meetings; (iv) Discussion forums and other inter-active participation tools facilitating the involvement of all stakeholders and general public to create awareness. The Convention on Biological Diversity applies a CHM for reporting and interaction with the parties, and the Romania CB-2 CHM concept foresees these linkages, but with enhanced functionality for national level networking, data reporting, and knowledge management.

148. The firm contracted by the project to construct the online CHM developed the “proof-of-concept” platform at the regional level in a way that could be used to support the RCM during the demonstration phase, for example, through document circulation ahead of RCM meetings. To pilot the data management element of the CHM the developers focused on data for Natura 2000 sites, and integrated data on these protected areas with a GIS-based map layer. Data can be filtered by species, biogeoregion, and protected area classification. Land use data from Corine land cover classification is also incorporated.

149. Regional and national government stakeholders have confirmed the potential benefits of the CHM for integrated environmental management in Romania, but this mechanism will need to be made operational, which requires significant political and institutional momentum, and some level of financial support. The project team and stakeholders’ propose to take this forward by further developing the pilot CHM at the regional level, which could later be scaled up for national applications, as appropriate. Building on the already-developed platform incorporating some Natura 2000 site data, stakeholders have identified protected area management an area where such a CHM portal could be usefully applied. For example, the Brasov Department for Protected Areas only has four staff, though officially they should have seven. Thus an efficient information management and decision-making system would help overcome the staff shortage. This is a promising approach, but still faces the practical hurdles of securing funding, and then successful implementation. The stakeholders in the pilot regions are supportive of developing funding proposals to take this forward, but there are at least a few bureaucratic and logistical hurdles still to be overcome (see further discussion in Section VI.A on sustainability). The regional CHM pilot is developed and was tested during the RCM demonstration activities, but is unlikely to be actively used without formal operationalization of the RCM, as discussed under Outcome 2, above.

150. One aspect of the project that is difficult to quantify is the extent to which the CB-2 project has contributed to the overall raising of awareness, understanding of and appreciation for the sustainability development agenda within the country among key stakeholders. The project organized more than 10 national and regional workshops focusing on the awareness of the Rio Conventions and their purpose. A number of publications were produced and disseminated during the project, which also likely contributed to an overall increase in awareness of these issues. It is only through initiatives such as the CB-2 project that there are individuals continuously advocating for a continued and increasing focus on sustainable development.

151. The project also provided support ot the MoEF on multiple specific issues that were deemed to be within the scope of the objective of the project. These included support to assist the MoEF in accomplishing:

- The National Communication on Climate Change for the UNFCCC COP 16 in December 2010;

- The mitigation portion of the National Strategy for Climate Change
- Governmental awareness on Rio+20 targets

152. As part of Romania's preparatory activities building toward the Rio+20 conference in June 2012, the project also supported the conference "Green Economy – The New Challenge of the Present World", held November 22, 2011. The project activities and results were highlighted at this national conference, over which the Minister of Environment presided.

153. The project also supported the UNEP Territorial Approach to Climate Change initiative in conducting a regional survey on climate change issues, examining public perception and identifying case studies.

154. The project activities and the conceptual framework for sustainable development have also been presented in various national fora, including for example presentations at the universities in Cluj-Napoca, and Lucian Blaga University in Sibiu in June 2012.

C. Romania CB-2 Project Logframe Indicator Achievement Summary

155. A more detailed version of the logframe is included as Annex 3 of this evaluation report. Table 6 below provides a summary of the level of achievement for each of the project logframe indicators. As previously highlighted throughout this evaluation report, the project design was overambitious for the time and resources available; hence it is not surprising that the actual project results achieved have not reached the target level. As discussed throughout the "Results" section of this report, the project has produced numerous important results that have set a strong foundation for future work to strengthen integrated environmental management in Romania.

Table 6 Romania CB-2 Logframe Summary and Achievement

Component	Indicator	Target at end of project	Level of Achievement
Objective: To strengthen systemic, institutional and individual capacity to integrate Rio Convention themes into national, regional and local decision-making	1. Alignment of institutional, legislative and policy frameworks with the objectives and obligations of the global environmental conventions signed by Romania	• Conventions obligations are well integrated into national institutional, legal and policy frameworks	Partially achieved – Government Ordinance 741/2011 re-establishing the CIDD approved; Ministerial Ordinance for internal Rule of Organization and Functioning for CIDD pending; NFP institutionalization proposed and pending issuance of Ministerial Order; Further requirement for amendment of Ministerial Order on PPU for integration of Rio Conventions.
	2. Quality of national monitoring reports and communications integrating conventions obligations	• SOE and other national reports/communications include quality information on the state of implementation of the Conventions in Romania	Limited achievement – Analysis conducted, but as yet limited changes to SoE reporting information quality resulting from project inputs
	3. Capacity development monitoring scorecard rating	34	Achieved – Reached score of 28 in July 2011 from baseline of 7, and in July 2012 a score of 41 out of 45 maximum possible.
Outcome 1. Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention	4. Responsibilities for Rio Convention obligations assigned to institutional mandates	<ul style="list-style-type: none"> • All conventions obligations are clearly assigned to key institutions • Institutional mechanism (e.g. regular meetings; modification of the job description) that will ensure the cooperation of the three focal points with regard to implementation of the Rio 	Partially achieved – NFP institutionalization proposed, but not yet formalized / operationalized by government; issuance of Ministerial Order on institutionalization of NFPs pending.

Component	Indicator	Target at end of project	Level of Achievement
commitments		Conventions, especially reporting requirements.	
	5. Effective multi-agency conventions coordination mechanisms	<ul style="list-style-type: none"> Convention management units are rationalized to be more efficient and effective; National Councils are empowered and tasked to address the issues of Rio conventions implementation -Coordination mechanisms established among convention units, and between these units and other relevant Ministries and units Membership of Inter-ministerial Councils permits integration of convention obligations into sectoral policy-making and planning 	Partially achieved - CIDD mechanism re-organized by Government Ordinance 741/2011, and one meeting held, issuance of Ministerial Order on internal Rule of Organization and Functioning pending. The institutionalization of convention NFPs is pending issuance of a Ministerial Order. Amendment required to Ministerial Order on PPU for integration of Rio Conventions in their mandate, though they are represented on the CIDD.
	6. Conventions obligations integrated in related legislation	<ul style="list-style-type: none"> Key laws and norms revised to be consistent with convention obligations "Secondary" legislation and norms in place to enable integration of conventions into sectoral policy-making and planning processes 	Achieved – At the inception workshop stakeholders revised Output 1.2 to just make proposals for amendments to legislation rather than actual changes, which would be beyond the scope and resources of the project. A key project output was the Phase 1 report, with recommendations for legislation revisions based on gaps for convention implementation. As yet no specific legislative changes resulting from these recommendations.
	7. Conventions obligations integrated in related policies, national plans, strategies and programmes	<ul style="list-style-type: none"> Related national policy-making and planning processes incorporate convention obligations 	Partial achievement – The project's proposals (including Rule of Organization and Functioning for the CIDD) stipulates that representatives from the PPU should be represented in the CIDD. As yet the government has not formalized this. The reduction in scope to Output 1.2 limits the projects commitments in terms of actual changes in policy and legislation resulting from the enhanced framework supported by the project. With only one CIDD meeting to date, policy-making has not yet systematically begun incorporating convention obligations, though the project successfully promoted the national strategy for sustainable development as a key policy framework for the government.
Outcome 2: Improved capacity of MESD and MARD to integrate environmental and sectoral natural resource management	8. Conventions obligations embedded into effective environmental screening process of policy-making	<ul style="list-style-type: none"> Environmental screening tools (e.g., checklists) incorporating conventions obligations are part of policy-making processes Key officials trained on environmental screening 	Limited achievement – "Environmental screening tools" not well defined, but progress in this area is limited to the project's EIA/SEA analysis and proposal, and the inclusion of the PPU representatives in the CIDD. The EIA/SEA work is cutting edge in Romania, and would significantly enhance the current situation for environmental decision-making if recommendations from this report were to be implemented.
	9. Roles and responsibilities for implementing conventions obligations assigned in job descriptions	<ul style="list-style-type: none"> Roles and responsibilities for implementing conventions obligations clearly assigned to key job descriptions 	Partial achievement – The project developed a proposal on NFP institutionalization, but this is yet to be approved / operationalized by the government through issuance of a Ministerial Order.
	10. Implementation of conventions monitored effectively and information included in SOE reports	<ul style="list-style-type: none"> Indicators to monitor conventions obligations identified and are part of SOE reporting Database of convention activities established and integrated into related ministry's databases Key staff trained to monitor and report on SOE indicators 	Limited achievement – The project produced an analysis on indicators related to convention monitoring for SoE reporting, but as yet this has not been incorporated in SoE reporting processes. A database of convention activities has not been established or linked with related MoEF databases – this is envisioned in the project's CHM proposal, but significant additional input would be required to make the CHM reality. The training aspect of this indicator is unclear.
	11. MESD and MARD staff with the necessary skills and knowledge to	<ul style="list-style-type: none"> Staff trained and apply skills and knowledge to the implementation of conventions obligations 	Limited achievement – The project Training Needs Assessment is a key output, but this has yet to be translated into a comprehensive and implemented training program. Through the various project stakeholder meetings the Rio

Component	Indicator	Target at end of project	Level of Achievement
	address conventions obligations	• Staff trained in key IRM techniques	Conventions were promoted and awareness on integration of these issues was raised. The effectiveness of individual trainings is limited due to high staff turnover.
	12. Effective code of practice, guidelines, checklists to address conventions obligations	• IRM tools strengthened through additional guidelines, codes of good practice, checklists, etc.	Limited achievement – The project's EIA/SEA analysis has contributed to this, but there have as yet been no actual changes at the national level in terms of implemented guidelines, codes of good practice, checklists, etc. produced under the project. The proposal for a comprehensive technology-driven EIA/SEA system is visionary but remains far from actual implementation.
	13. Effective participation of stakeholders in the implementation of conventions	• All relevant stakeholders involved in convention implementation	Good achievement – The project involved all relevant stakeholders and increased awareness of implementation commitments related to the Rio Conventions.
	14.A model for regional coordination mechanism (RCM) is developed and adopted by two Development Regions using integrated resource management (IRM) tools	• Formal Regional Collaborative Mechanisms involving national, regional and local authorities developed and tested in two regions	Partial achievement – The RCM mechanism was effectively demonstrated in the two pilot regions, and regional stakeholders are supportive of such a mechanism, but require further support for continued implementation. The government has yet to formalize / operationalize such RCM mechanisms with the required Ministerial Order, and if/when it does so, there is a chance that the RCM would be defined as a consultative rather than decision-making body, which would limit its effectiveness due to lack of budget and legal validity.
	15. The RCM model and IRM tools are replicated to all regions in Romania	• RCM Model adopted by MESD and MARD for all eight regions, with possible expansion to include regional office of other ministries	Partially achieved – The project involved stakeholders from all regions in the RCM development process through workshops, information sharing, etc. However, the RCM mechanism has yet to be formally adopted for the two pilot regions, much less the other regions of Romania. While the above information sharing activities related to the RCM have undoubtedly been helpful, stakeholders estimate that successful initiation of the RCM mechanism in a region requires a series of three to five meetings to involve stakeholders and build understanding and ownership.
	16.An IRM peer training network used by participants throughout Romania	• Peer training network established and functioning with members the two pilot regions and other regions • Database established with IRM references and contacts	Not achieved – During its implementation the project functioned as a central node of a peer network related to Rio Convention implementation issues, but this will not remain following project completion. Such a network and database is envisioned in the project's CHM proposal, but this requires significant additional investment of financial and human resources to reach effective implementation. During the project the regional proof-of-concept regional CHM was used by regional environmental management institutions during the RCM demonstration process.

D. Stakeholder Participation During Implementation

156. A project like the CB-2 project, with government institutions as direct beneficiaries, are most efficient and effective when the government partners are fully engaged and supportive of the project's intervention. This has only partially been the case with the Romania CB-2 project, for various reasons. As described in Section IV.C of this report and also highlighted in Section V.A, there were some implementation delays in getting the project up and running. At the same time, government instability has meant that the project faced regular challenges with the engagement among key government institutions due to staff turnover during the course of the project resulting from multiple elections.

157. At a basic level of participation, the involvement and consultation of stakeholders during the project has been appropriate, with various meetings held and information

disseminated to relevant institutions. A list of meetings, training sessions and consultative workshops held under the project is included as Annex 5 to this evaluation report. The project team has developed a database of contacts for up to 2,800 individuals involved in environmental management in Romania and approximately 300 individuals have directly participated in project activities and supported initiatives. In the demonstration regions, relevant stakeholders have been involved in the meetings and workshops undertaken by the project to catalyze the development of the RCM mechanism. According to project documentation, in the regions there are more than 60 potentially relevant institutions, and approximately 40 of these have been involved in the project work on the RCM.

158. At a more substantive level, the involvement of key national stakeholders has been more formal and superficial than was necessary to achieve full buy-in of the project results for institutional sustainability of results (also see Section **Error! Reference source not found.** of this report). The government has demonstrated recognition and accepted literal “ownership” of project results through an official letter acknowledging the project’s work and confirming project results, yet there remains uncertainty about the extent to which results will be “institutionalized” and carried forward in a practical and operational manner. This issue was already noted in the mid-term management review of the project in February 2011, which stated:

The set up of a small project management unit located at the Ecological University of Bucharest and not within the ministry of environment (main stakeholder) seems to have contributed to a less than adequate participatory process. The extensive assessment conducted in the first half of 2010 was endorsed by the government; however, more participation of stakeholders in project activities is needed to improve the ownership of the project by national partners. It is important that stakeholders are involved in validating all assessments supported by the project, in prioritizing the recommendations to be implemented and also in implementing these recommendations. The long-term impact and sustainability of project achievements will be directly dependent on the participation of stakeholders.

159. This issue is not due to shortcomings during project implementation, but is a result of at least three external factors. First, the project implementation arrangements, with the PMU housed externally from the MoEF meant that the project team was primarily operating outside the immediate purview of the key MoEF staff responsible for the Rio Conventions. This is not a new issue in the GEF portfolio – past experience has demonstrated that projects tend to be more effective at engaging national government institutions when the project staff have the opportunity to be in immediate physical proximity, with a PMU housed in a relevant government ministry. One example of this can be found in Armenia, where multiple GEF projects are executed by a unit in a government building that also contains a number of government offices relevant for environmental management. In the CB-2 project in Bulgaria the PMU was also located in the relevant government institution.

160. A second issue was that the initial delays in project execution meant that when the project did become fully operational there was a need to rapidly carry out multiple activities to “catch-up” for the time lost. Although the official project implementation is more than four years (from May 2008 to June 2012), practically speaking the project has only been in operation for less than three years, which was the originally planned execution period. With a less hurried

pace of implementation the project may have had more time to more comprehensively engage individuals in relevant national government institutions.

161. The third, and perhaps most significant issue, is that regular turnover of staff in the MoEF has naturally limited the uptake and engagement of staff responsible for the implementation of the Rio Conventions. The project was approved in the first part of 2008, and the NSC was formed, but from a practical and political point of view it was not possible to have input and approval of the project workplan and budget with elections pending. Some of the initial issues faced relating to staff turnover were well articulated in the project inception report (dated October 2009, although the project was approved in the first half of 2008) (see Box 1 below), and these issues continued throughout implementation.

Box 1 Challenges with Political Ownership Following Project Approval

Following the elections, UNDP has visited the newly appointed Minister of Environment (February 2009) in order to assess the political ownership. The new Minister of Environment has been very supportive to the objective of the project. However, over time the priorities of the Ministry of Environment seem to focus more on initiatives related to water and water treatment and less on Rio Convention themes. The biodiversity and climate change departments in the Ministry of Environment are severely understaffed. Nevertheless, meetings on the CBD reporting requirements and CHM role have been held, and linkages with the CB-2 project and the integration of the implementation of the Rio Conventions were discussed. The land degradation focal point has left the Ministry of Agriculture in October 2008 and since that time, another focal point was nominated but left his position too. Currently, no focal point for land degradation has been nominated. Finally, the government stakeholders that were involved in the NSCA process and the development of the CB-2 project are no longer working with the respective ministries; only two or three government officers are aware of the CB-2 project, its objective and its strategy.

Following significant changes of staff in key ministries there has been little interest in the CB-2 project from the government side. This is not because the project is considered unimportant, but because there have been other pressing priorities such as:

- a. Uncertainty of positions occupied by government counterparts due to staff changes;
- b. High staff turnover due to several reasons such as political or financial;
- c. High administrative burden on ministries staff, including reporting requirements to the EU and a general confusion among the staff regarding the roles and responsibilities attached to their position;
- d. Problems within the Department of Biodiversity - where the CBD focal point is operating – with Natura 2000 sites; particularly the lack of implementation of management measures as per the requirements of the European Directives and – as a consequence - the imminent infringement threats. This critical situation is a high priority in biodiversity, preventing a focus on CBD reporting requirements and on the CB-2 project.

Source: Romania CB-2 Project Inception Report (October 2009)

162. UNDP and the project team worked consistently throughout the project implementation to strengthen government partner stakeholder ownership, with some limited success. The MoEF has remained supportive of the project overall throughout implementation (particularly the NPD, though this position has changed three times during the project, and the current NPD has only been in the position since October 2011), even if Rio Convention implementation has not been the highest priority for the government overall. The true test will be the extent to which the government decisions and proposals drafted and recommended by the project are actually implemented (see following section).

VI. Key GEF Performance Parameters

A. Sustainability

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

164. Based on GEF evaluation policies and procedures, the overall rating for sustainability cannot be higher than the lowest rating for any of the individual components. Therefore the overall **sustainability** rating for the Romania CB-2 project for this terminal evaluation is ***moderately unlikely***. There is no doubt that many of the project outputs will remain relevant, and have some influence in the work of the individuals involved in environmental management in Romania for at least the near future, but for the present the main targeted project outcomes have yet to be fully consolidated and institutionalized. It is possible that in a few years Romania will have a significantly improved national environmental policy making process and excellent inter-governmental coordination on sustainable development and it will be possible to look back and cite the CB-2 project as a major contributor; but it is also possible from the present perspective that in a few years the CB-2 project will be a dim memory and few substantive changes will be seen in Romania's environmental policy process. Previous GEF evaluations have identified the importance of stakeholder ownership and financial resources – the “will” and the “way” - as critical elements for sustainability. On the former, the situation with respect to the CB-2 project is split, with good ownership from the local/regional level, and positive words but limited action (thus far) at the national level. The situation with respect to financial resources, as further discussed below, does not at present have any concrete threads for continuation.

i. Financial Risks to Sustainability

165. In addition to institutional ownership and political will to sustain the project results, there is also the obvious financial need to move certain aspects of the project's work forward. This partially includes items such as the RCM and training program, but most significantly items such as the CHM and EIA/SEA proposals. It has been suggested that an EIA/SEA system such as that proposed by the project could be developed at a basic level for as little as 500,000 euros, though further implementation and ongoing maintenance would require additional resources. The path forward for these results of the project in the short term appear to be to pilot CHM and EIA/SEA mechanisms at the regional level, supporting the RCM approach. The relevant key regional stakeholders (Regional EPA in Sibiu, Regional Development Agency in Alba Iulia, and Regional Development Council in Targu Mures) are supportive of developing donor proposals for implementation. In Alba Iulia it was agreed that the Regional Development Agency would work in a collaborative effort on a proposal to be led by the Regional EPA, which would then be endorsed by the Regional Development Council – the body responsible for giving approval from the Romanian side for use of EU funding support.

166. Unfortunately there have been some barriers to pursuing further financial support – calls for proposals for funding from sources such as the EU Life+ program, Norwegian government support, and even the Romanian Environmental Fund were placed on hold as the country has multiple sets of elections in 2012, with parliamentary elections anticipated in November. Regional stakeholders have remained supportive following the June 10, 2012 local elections, but moving any potential proposals for donor funding forward will take some time as the government re-organizes.

167. At present there are no clearly confirmed and committed resources from the government or donors to further implement the key project proposals. Such resources may be available with time, particularly considering the multiple windows for EU support for environmental initiatives, and the interest of diverse bilateral donors such as Norway, the Netherlands, and the United Kingdom that have been active in Romania in the past. However, the global economic crisis continues to put pressure on government budgets, including the aid budgets of western European countries. Although the situation could change at any time, at present, financial sustainability is considered moderately unlikely.

ii. Sociopolitical, and Institutional Framework and Governance Risks to Sustainability

168. Political ownership has been a consistent challenge for the project, not due to any shortcomings by the project team or to any specific failures of national counterparts. As highlighted at multiple points throughout this report, the situation has resulted from a combination of factors, most importantly turnover in the government from elections resulting in institutional instability and high turnover at the individual level within the MoEF.

169. First and foremost it should be highlighted that the Government Ordinance 741/2011 has re-organized the CIDD (from its original 2001 incarnation), the primary inter-ministerial coordinating mechanism for integration of Rio Convention obligations, and for overall implementation of the National Strategy for Sustainable Development. Building up to (and during) the Rio+20 conference there has been increased interest and enthusiasm within the MoEF at the highest levels, perhaps also in conjunction with a change in Minister of Environment in the second quarter of 2012. There has been interest from the MoEF following Rio+20 for organization of a high level briefing on the project outputs and results, the potential for multiple press conferences on the project results in relation to Rio+20 issues, and to move ahead with the project drafted Ministerial Ordinances on the Rule of Organization and Functioning of the CIDD and RCMs, and institutionalization of the NFPs. There is optimism that the issuance of the Ministerial Ordinances can happen within a few weeks of the end of the project at the end of June 2012, but it is worth noting that there has been such optimism on these issues before, going back to mid-2011. Despite the current positive momentum, until all the necessary government decisions have been signed off at all the necessary levels – and the mechanisms proposed by the project are operational and well-functioning, given the history with Romanian government turmoil in recent years sociopolitical and institutional sustainability for many of the project's key efforts can only be considered moderately unlikely – particularly considering that national parliamentary elections are anticipated later in 2012. All involved parties hope that this will prove not to be the case and that within a year or two Romania will

have a well-functioning CIDD and RCMs, designated and active MEA NFPs, and progress toward effective CHM and EIA/SEA mechanisms.

iii. Environmental Risks to Sustainability

170. Since the project is focused on the enabling environment and capacity development, environmental risks to sustainability are not applicable.

B. Catalytic Role: Replication and Scaling-up

171. The project's main catalytic influence is in the potential scaling-up of the RCMs from the two pilot regions to all eight regions in Romania. The project's experience in developing the RCMs in the two regions (and the documentation of this experience) is an important result for potentially applying such practices across Romania. While there is still limited actual progress for this level of scaling-up, it is not unreasonable to imagine it happening, with due time.

172. Many other outputs of the project – the proposals, recommendations, reports, etc. on various aspects related to the Rio Conventions and integrated environmental management in Romania – have the potential to have a catalytic influence, but are dependent on political will and funding to carry them forward. In particular, the project's work to develop training modules related to the Rio Conventions will have a significant catalytic influence if they are eventually included in the public training institute catalog.

173. As previously mentioned, the project's timing with respect to the Rio+20 conference was also beneficial, and helped catalyze Romania's inputs to this event. The project provided direct inputs to the Romanian delegation, and the synergies with the project focus and the Rio+20 event may lead to renewed efforts and opportunities with respect to Rio Convention integration and synergies.

C. Monitoring and Evaluation

i. Project Monitoring, Reporting, and Evaluation

174. The Romania CB-2 project document includes a full description of the project M&E plan and activities, which is included in Section 3.6 of the project document. The M&E section includes the planned M&E activities, responsible parties, and expected timeframe. The M&E plan conforms to standard UNDP and GEF M&E procedures, standards and norms. Foreseen M&E activities include the Performance Management Framework (logframe), project inception stage, internal mid-term review, mid-term lessons learned workshop, and final evaluation. The M&E section of the project document does not include the M&E budget, but in the project workplan in Annex M of the project document M&E is included a separate budget line item in the proposed ATLAS budget. This is not commonly found in UNDP-GEF ATLAS budgets, and should be considered good practice. The total indicative M&E budget is given as \$29,000 (excluding project team staff time) – or 6.2% of GEF resources - which is relatively high for a project of this size, but fully justifiable.

175. The project M&E design, as outlined in the project document, is not comprehensive and does not align with current UNDP-GEF good practice standards for M&E plans, in terms of clearly outlining all relevant project M&E activities with roles, responsibilities, budgets and timeframes.

176. Overall, the M&E plan was implemented as envisioned, or in a more results-based adaptive manner. Reporting was generally timely and comprehensive, although the anticipated NSC meetings were held irregularly, with multiple meetings in 2010 and only one meeting in 2011. It does not appear that the specified “mid-term lessons learned workshop” was held, but any of the project NSC meetings around the mid-point of the project can be considered to have served this purpose. One issue was that the project’s initial implementation delay meant that there were actually two “mid-term reviews” – a mid-term management review in September 2009 to identify practical ways to move ahead with project implementation, and a separate mid-term review by the International Technical Advisor in February 2011.

177. One good practice example for the project was the inclusion of an external International Technical Advisor for the project. Such a practice has been undertaken in some UNDP-GEF projects in the past (particularly in Romania) and has proven to be highly beneficial in terms of supporting the project team’s results-focus, providing ad-hoc recommendations and suggestions during implementation, and assisting to identify critical issues and key lessons. Such an arrangement may not be necessary or appropriate for all projects, but experience has shown that in some circumstances an external International Technical Advisor is a valuable addition for project monitoring.

178. The key element of the project M&E system for a results-based approach is the project logframe, with indicators, baseline data, and targets. To meet GEF and UNDP M&E minimum standard, project logframe indicators must meet SMART criteria.¹⁴ The Romania CB-2 project logframe is based on the standard UNDP logframe structure and approach. The logframe was further adjusted and updated at the inception phase, increasing the number of indicators from nine to 17. Designing capacity development indicators has always been challenging (the capacity development scorecard notwithstanding), but with some moderate revisions the logframe indicators could have been improved with respect to SMART criteria.

179. The UNDP Capacity Development scorecard was applied and was also provided as an indicator in the logframe, to link to the GEF capacity development results framework.

D. Project Impacts and Global Environmental Benefits

180. Impact results in the context of the GEF are defined as a change in environmental status, or a mitigation of direct environmental threats. Global Environmental Benefits are impact-level results of a certain scale or focus to be considered globally significant. Impact level results are receiving increasing focus in the GEF portfolio – for example, note the focus on this issue in the GEF Evaluation Office’s 2011 Annual Performance Review. At the same time, many GEF projects focus on addressing the enabling environment for generating broader environmental results through interventions related to policies and capacity development. The Romania CB-2 project is one of those taking this strategic approach. Therefore it is not possible to identify any specific direct intervention pathways for the project leading to impact level results.

¹⁴ The GEF Evaluation Office defines SMART indicators as those that are: Specific, Measureable, Achievable and Attributable, Relevant and Realistic, Timebound, Timely, Trackable and Targeted. See http://www.gefcountrysupport.org/report_detail.cfm?projectId=232 for additional information.

VII. Main Lessons Learned and Recommendations

A. Lessons from the Experience of the Romania CB-2 Project

181. Below are lessons considered by the evaluation team to be some of the more significant lessons drawn from the project experience, but these should not necessarily be considered comprehensive. The project team and stakeholders should continue analyzing and drawing on the project experience to identify additional or more comprehensive lessons, and support dissemination of these lessons through documentation in knowledge products. The project's 2011 PIR also includes a good set of self-identified lessons, which are replicated here in Box 2 below for reference, and to avoid duplication for the evaluation.

182. **Lesson 1:** Despite challenging circumstances and a difficult national institutional context, the Romania CB-2 project was able to make good progress in establishing a foundation on which future work on integrated environmental management in Romania can be carried forward. This is a significant achievement considering the size of the project and planned implementation period. The results achieved have been a result of the dedication, creativity, innovation, flexibility, and perseverance with which the project team and other key stakeholders have pursued the project activities. Thus it has been demonstrated that even in difficult project implementation contexts, with perseverance and adaptability important results can be achieved.

183. **Lesson 2:** Operational challenges can often frustrate positive intentions. The project concept, coming from the NCSA, was well grounded, but various operational issues created a slow down in project implementation and contributed to uncertainty with respect to sustainability. This is not just an issue for this project, but has been seen with many projects throughout the GEF portfolio. Operational risks need to be clearly and carefully analyzed at the project design phase, and appropriate risk mitigation measures identified from the beginning.

184. **Lesson 3:** One good practice example for the project was the inclusion of an external International Technical Advisor for the project. Such a practice has been undertaken in some UNDP-GEF projects in the past (particularly in Romania) and has proven to be highly beneficial in terms of supporting the project team's results-focus, providing ad-hoc recommendations and suggestions during implementation, and assisting to identify critical issues and key lessons. Such an arrangement may not be necessary or appropriate for all projects, but experience has shown that in some circumstances an external International Technical Advisor is a valuable addition for project monitoring.

185. **Lesson 4:** Even when a situation is challenging in the national context, taking practical concrete steps forward at the local or regional level can yield significant results. The project's proposals at the national level have an uncertain future, but the practical experience of demonstrating the RCM mechanism at the local level has made this one of the most valuable aspects of the project. The stakeholders that participated in this activity are now invested in the process and are seeking pathways forward.

186. **Lesson 5:** Projects such as this that are investing significant human and financial resources in developing proposals and recommendations for a wide range of channels of activity need to have a clearly thought out exit strategy from the beginning. The project document for the Romania CB-2 project included a section on sustainability, but the measures

proposed therein were far from adequate to reach necessary conditions for sustainability of major proposals developed under the project such as the CHM and EIA/SEA concepts.

187. **Lesson 6:** GEF projects are inherently tied to government institutions in recipient countries. The GEF draws its mandate from being the financial mechanism for multiple multilateral environmental agreements, to which sovereign nations are the only parties. GEF projects require the endorsement of the “GEF focal point”, which is a designated position within the government institutional framework. During project implementation, many GEF projects are also directly tied to the participation and effective collaboration of government institutional stakeholders. Achieving results within GEF funded efforts is not just dependent on “the project,” but on all key stakeholders playing their part, living up to their responsibilities, and accepting joint responsibility for results. The experience from the Romania CB-2 project adds to the growing body of evidence within the GEF portfolio that there is only so much “the project” can do in the absence of fully engaged government stakeholders.

Box 2 Romania CB-2 Project Lessons Internally Developed (from the 2011 PIR)

- (i) To effectively mainstream Rio Conventions concerns at the regional or local level, there needs to be a mechanism by which the primary actor (project manager, park director, etc.) can interact on a regular basis with key stakeholders to develop effective relationships, more so when the project implementation unit is not positioned within the Implementing partner (i.e. MoEF). This mechanism can take various forms – a sustainable development committee, such as those modeled by the EU’s “LEADER” program (e.g. Local Action Group in “LEADER” parlance), or an active project steering committee are examples. The mechanism should be sustainable once a project has finished. By building key relationships with stakeholders through such a mechanism, the project can work to incorporate Rio Convention concerns into development procedures, from local development approvals to enforcement activities.
- (ii) The RCM detailed extensively under DO and IP, on strengthening environmental governance, and the (local) regional CHM supporting a peer-network, provide excellent concrete examples of practical ways in which Rio Convention considerations can be mainstreamed in development processes without setting up new institutions, but merely identifying already existing suitable institutional platforms for joint decision making and better information flow at horizontal level (inter-sectorial) and vertical level (hierarchical).
- (iii) From a project operational and design perspective, having the ongoing input of an external technical expert and applying adaptive management can be extremely useful to keep project implementation focused on results, clarify original work plans, and support adaptive management.
- (iv) The experience of the Romanian CB-2 project (and other Romanian GEF funded initiatives) also demonstrates that capacity development is a long-term iterative process, and time frames related to capacity development goals should be appropriately calculated. Whether at the individual, institutional or systemic levels, capacity development requires a large amount of time; in particular, the time for activities such as changing a piece of legislation or creating a new institution or an institutional mechanism, is often underestimated, and a three year implementation period for such projects proves insufficient.
- (v) Finally, the CB-2 experience in Romania shows the need of adapting to a continuous changing and increasingly complex political and social context. The project needed to reposition itself in a Middle Income Country and EU context, and in so doing, it has managed to advocate for and support the implementation of an institutional mechanism that goes far beyond the synergic implementation of the Rio Conventions. The project responded to the national priorities and realities, which requires a radical shift in national and regional planning. It became clear that the necessity of Rio Conventions mainstreaming must be integrated under a larger umbrella, that will create a conducive environment for a green economy and will encourage the development of a society with a mentality oriented towards sustainable consumption patterns. On the same time, the project strengthens national and regional capacities for sustainable development, supporting the institutions in the environmental field to deliver on their mandate - which is the ultimate catalyst for a real transformational change for global environmental benefits in the long term.

188. **Lesson 7:** For projects with strong direct links to government institution beneficiaries, locating the PMU within the physical premises of the respective government institution may be a more effective means of fully engaging with key stakeholders. In the case of the Romania CB-2 project the project team was located at the physical premises of the EUB based on some clear practical considerations. In this way the PMU was also able to create some synergies with the work of the university. However, for a project in which the primary objective was to strengthen governmental capacity for environmental management, locating the PMU within the MoEF offices may have been more effective for strengthening communication and building political ownership of the project, while opening further channels for sustainability of key project results.

B. Recommendations for Stakeholders Following Project Completion

189. The recommendations from this terminal evaluation are provided below. As this is the terminal evaluation of the project, there is limited scope for recommendations as there is not a clearly established continuation process for the project activities. Nonetheless, recommendations are provided with a view that they may be taken up by the stakeholder organizations and institutions in Romania, to continue strengthening integrated environmental management. It goes without saying that at the broad level, this evaluation strongly recommends that each of the key project results be further followed up, consolidated, and institutionalized. This includes the CIDD, RCMs, CHM, EIA/SEA proposal, and training module. For the RCMs, CHM, and EIA/SEA activities this will require development of funding proposals, a line of follow-up that this evaluation again also strongly supports.

190. The primary targeted audience for the recommendation is included in brackets after the recommendation text.

191. **Recommendation 1:** Given that the Romania CB-2 project is only one of the full suite of CB-2 projects supported by the GEF and implemented by UNDP and UNEP, there would be valuable lessons and knowledge sharing to be gained by examining the full cohort of CB-2 projects through a broad lens, rather than just through the individual project lens of terminal evaluations. The individual projects have no doubt contributed specific results, but it would be highly useful to gain a perspective on what the portfolio of CB-2 projects have contributed as a whole. The projects were not designed in a way to somehow complement each other or synergize at a supra-national scale, but considering that the starting point of the projects was similar – building from the NCSAs – to synthesize the full complement of project results should provide insights on broader results. In addition, it could be valuable to assess whether the CB-2 approach is something that should be supported in additional countries, or if there are particular types of CB-2 interventions and particular country contexts that are most effective. There are at least two ways this could be pursued, and both options could complement each other: 1. Through a single workshop of all CB-2 projects for lesson documentation and knowledge sharing; 2. Through a desk-based meta-review of the CB-2 project terminal evaluations. There may be other approaches that would also be applicable for taking a collective view of the CB-2 portfolio, but this evaluation recommends that UNDP and the GEF undertake at least one if not both of the two proposed review options above. [UNDP, GEF Secretariat, GEF Evaluation Office]

192. **Recommendation 2:** While the substantive aspects of the project have notable risks related to sustainability, the project did produce many analyses and reports that were useful and are likely to have continued relevance in Romania – if they are accessible to those who need them. These may disappear and fade away as “gray” literature unless they are appropriately archived and referenced for broader long-term availability. The most useful way to do this would most likely be by ensuring that the key project outputs are posted on the MoEF website, in the appropriate location. The EUB website could also be an appropriate location, and/or materials could be posted on both website with links referencing each other. This should be done as soon as possible following project completion to strengthen the sustainability of project results as much as possible. [UNDP, MoEF, EUB]

193. **Recommendation 3:** The project produced a valuable awareness product in the brochure on the Rio Conventions that is to be distributed to the list of project contacts. It would be useful if the follow-up on this outreach effort could be linked to potential future professional development activities, in line with the project’s work on developing training modules based on the TNA. As public servants are informed further about the Rio Conventions and integrated resource management issues, they may wish to learn more about it, and if this demand is expressed through the appropriate channels, this could increase the likelihood that the public training institute will incorporate the project’s training modules in its catalog. [UNDP, Project Team, MoEF]

194. **Recommendation 4:** While this evaluation was not able to specifically analyze the training modules developed by the project, these are certain to be valuable outputs from the project. Their future utility currently lies in the potential for them to be included in the catalog of the public training institute, or to wait until something like the CHM proposed by the project becomes reality. However, it could be possible to increase the immediate utility of the training modules by transposing them into a basic e-learning platform within the MoEF, which could be used by public servants. Creating such a platform could be much cheaper and easier than a comprehensive electronic platform such as the CHM. The MoEF would then be responsible for providing a basic certificate of training to those staff that complete the e-learning course on Rio Conventions and integrated resource management. An example of such an e-learning platform can be found in the UNDP-GEF project in Turkey on Marine and Coastal Protected Areas (GEF ID #3550, UNDP PIMS ID #3697). [UNDP, EUB, MoEF]

C. Romania CB-2 Project Terminal Evaluation Ratings

Project Components	Rating	Qualitative Summary
Project Formulation		
Relevance	R	Considering its origin in the NCSA, the project was relevant to national priorities and strategies for integrated environmental management. The project was also clearly relevant to the MEAs for which the GEF is a financial mechanism, and relevant to the GEF’s capacity development strategies and priorities. However, the mechanism of support, through a small, short-term project without clear linkages to a broader overall program may not be the most relevant modality for such capacity development efforts, which generally require a long-term, well-integrated, iterative process.
Conceptualization / design	MU	There were multiple design issues with the project, as discussed in the body of the evaluation report.

Country-drivenness	MS	The project was coming from the NCSA, and was signed off on by the government at the time of development and approval. However, the project faced significant challenges with political ownership of the project throughout the implementation period.
Stakeholder involvement in design	S	The relevant stakeholders were appropriately involved in the project design, again keeping in mind the fact that the project was derived from the NCSA, which was a large-scale consultative process.
Project Implementation		
Implementation Approach (Efficiency)	MS	Overall good cost-effectiveness in terms of the outputs and results produced, but the overall project implementation from approval was slow, which may have had corollary effects on the level of achievement of results.
Management implementation	S	Although there were initial challenges in the management arrangements, once the current project team was in place (more than 18 months after project approval) the project management was strong.
Use of the logical framework	MS	The project team was not able to effectively use the logframe to guide a results-based approach because the logframe did not fully meet SMART criteria in some respects.
Financial planning and management	S	The fact that the project was able to successfully execute the workplan despite an initial extended start-up delay provides a positive reference for the financial planning and management. The most recent audit identified some small errors in the project financial records, which are being appropriately corrected.
Adaptive management	S	The project was implemented in a flexible and adaptive manner, particularly in the stakeholders finding an acceptable solution to the initial execution difficulties. The project also took the opportunity to slightly extend the scope of the project beyond the three Rio Conventions to consider the basic overall concept of sustainable development.
Use and establishment of information technologies	HS	The project work particularly under the CHM is very advanced from a technical perspective. The project has also developed a “visionary” approach with the EIA/SEA proposal, which would primarily take advantage of modern information technologies.
UNDP supervision and support	S	There were no significant issues in UNDP supervision and support. When challenges were encountered UNDP found adequate solutions to keep the project moving forward. Due to the regular turnover in the government UNDP was called upon for intensive political lobbying with each new government regime to support the project’s goals and objectives. UNDP also made important contributions supporting the government’s participation in relevant global summits such as the COPs of the CBD and UNFCCC, and the Rio+20 conference.
Operational relationships between the institutions involved	MS	There were strong institutional partnerships between UNDP and EUB, while the institutional partnership with MoEF varied over time, due to the high level of staff turnover and challenges in securing political ownership of the project activities. The project might have benefited from the PMU being located within the MoEF physical premises; there are some practical limitations in this regard, but sometimes it is necessary to overcome practical limitations. The relationships with the regional level institutions were also good within the RCM component of the project.
Technical capacities	HS	Excellent technical qualities of project team members, as seen in the outputs. This is highlighted by the CHM and EIA outputs, but overall

		this was a strong aspect of the project across the board.
Monitoring and Evaluation		
M&E design	MU	The project M&E plan as outlined in the project document is not adequately comprehensive, and the project logframe indicators and targets do not adequately meet SMART criteria.
M&E plan implementation	S	There were no issues with M&E implementation.
M&E budgeting	S	M&E budgeting was fully adequate for a project of this size.
Stakeholder Participation		
Production and dissemination of information	S	The project's activities in this regard were adequate, highlighted by the final product of the brochure on the Rio Conventions that will be widely distributed.
Local resource users and civil society participation	N/A	There is a need for civil society input broadly in sustainable development and Rio Convention implementation, but in the specific context of this project's activities, the relevance of direct engagement and participation of civil society and local resource users was limited.
Establishment of partnerships	S	This parameter is not highly relevant in the context of this project as there was a limited scope of the project, and it was overall focused on capacity development activities related to key beneficiary government institutions. The project execution partnership was adequate.
Involvement and support of governmental institutions	U	Securing strong political ownership of the project has been a challenge throughout implementation, as highlighted in multiple points in this evaluation report. The key government institutions have been verbally supportive, but have been hamstrung in taking substantive supportive actions due to institutional instability and staff turnover.
Project Results		
Overall Achievement of Objective and Outcomes (Effectiveness)	S	The project can be considered effective from the perspective of what was achieved with the time and resources available, once the current management arrangements were in place. The project has established a clear foundation for integrated resource management in Romania, and put forward critical analyses and key proposals to identify the path toward improved environmental management through coordination and communication. The CIDD and RCM approaches are yet to be formally operationalized by the government, but particularly in the case of the RCM model the project has helped clearly demonstrate the value of this approach to regional stakeholders.
Objective: To strengthen systemic, institutional and individual capacity to integrate Rio Convention themes into national, regional and local decision-making	MS	There has been important progress made toward the overall project objective, as indicated by all of the hard work and key outputs from the project. The capacity development scorecard is another valid indicator, demonstrating an increase in capacity from a baseline score of 7 to 41. Perhaps partially due to the compact project implementation period, many of the project activities and outputs need significant additional support to become operational and integrated in Romania's standard operating procedures with respect to environmental management.
Outcome 1: Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments	MS	The project's "Phase 1" report is an invaluable resource establishing the legislative and policy context for implementation of the Rio Conventions, and identifying the gaps for future progress. Excellent work was made toward establishment of the CIDD and RCMs (as well as other results under this outcome), but these are pending formal government approval for operationalization, and will require additional human resource, data, and financial inputs for practical implementation. At the inception phase project stakeholders modified Output 1.2 of the planned project activities to limit the scope of the

		project to making proposals for amendments to government policy and legislation to integrate Rio Convention obligations. This is an important distinction and must be carefully considered in terms of assessing the project's expected results. At the same time, the overall project objective and outcomes remain as the intended project results, which includes an enhanced institutional framework for implementing Rio Convention commitments – i.e. the CIDD, institutionalized convention NFPs, and established RCMs.
Outcome 2: Improved capacity of MEWM and MAFRD to integrate environmental and sectoral resource management	MS	Important results with production of the TNA, but requires additional steps for implementation of a training program based on the findings of this initial work. The EIA/SEA and CHM proposals are visionary for Romania, but have no clear path toward actual implementation until stakeholders are successful in securing additional resources.
Impact	N/A	An impact rating is not applicable in the context of this project.
Sustainability		
Overall Sustainability	MU	The overall sustainability rating cannot be higher than the lowest of the components of sustainability below, and thus based on the below assessment, the overall rating for sustainability is moderately unlikely.
Financial	MU	As yet there are no concrete commitments to financially support follow-up and continue implementation the work streams of the project, which, at this stage, are critically dependent on additional financial support. Some results do not require additional financing support, such as many of the project contributions to increasing awareness about the Rio Conventions, and disseminating relevant information for their implementation, which will be sustained inherently through the continued availability of project publications and information.
Socio-political / Institutional framework and governance	MU	Stakeholders have consistently expressed support for the project results and activities (particularly at the local level), but multiple factors have thus far limited concrete action by the relevant government institutions to consolidate and institutionalize the key results of the project. There is optimism that this may change in the near future building on the momentum of the Rio+20 conference, but until the necessary concrete steps are taken (i.e. issuance of required Ministerial Orders, etc.) the sustainability of the key project results remains uncertain. One key institutional result that will be sustained is the re-establishment of the CIDD through Government Ordinance 741/2011.
Environmental	NA	
Overall Achievement and Impact	MS	

VIII. Annexes

Annex 1: Evaluation Terms of Reference

Annex 2: GEF Operational Principles

Annex 3: Logframe With Assessed Level of Target Delivery

Annex 4: Romania CB-2 Final UNDP Capacity Development Scorecard

Annex 5: List of Meetings, Training Sessions and Workshops Held

Annex 6: List of Persons Interviewed

Annex 7: Field Visit Schedule

Annex 8: List of Documents Reviewed

Annex 9: Evaluation Matrix

Annex 10: Interview Guide

Annex 11: Evaluation Consultant Agreement Form

Annex 1: Terminal Evaluation Terms of Reference

Note: For space considerations the annexes of the TORs have not been included.

Terms of Reference for the terminal evaluation of the UNDP/GEF Project

PIMS 3687 - “Strengthening Capacity to Integrate Environment and Natural Resource Management for Global Environmental Benefits”

Functional Titles:	International Evaluator
Duration:	Estimated 34 working days Over the period of: February – April 2012
Terms of Payment:	Lump sum payable upon satisfactory completion and approval by UNDP of the Final Evaluation Report
Travel costs:	The costs of in-country mission(s) of the consultant are to be included in the lump sum.

1. INTRODUCTION

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

The Final Evaluation is intended to assess the relevance, performance and success of the project. It looks at signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global and national environmental goals. The Final Evaluation also identifies/documents lessons learned and makes recommendations that project partners and stakeholders might use to improve the design and implementation of other related projects and programs.

The evaluation is to be undertaken in accordance with the “GEF Monitoring and Evaluation Policy”(see <http://www.thegef.org/gef/node/4184>).

This Final Evaluation is initiated by UNDP Romania Country Office as the GEF Implementing Agency for this project and it aims to provide managers (at the level of regulatory bodies of the Ministry of Environment and Forests and UNDP/GEF) with a comprehensive overall assessment of the project and with a strategy for replicating the results. It also provides the basis for learning and accountability for managers and stakeholders.

2. PROJECT DESCRIPTION

Summary:

The proposed CB-2 project aims to expand Romania's capacity to generate global environmental benefits through mainstreaming the Rio Conventions into national, regional and local decision-making. It will do this, firstly, by enhancing the enabling environment for convention implementation, including modifying institutional, legislative, policy and reporting frameworks to reflect convention commitments and, secondly, by improving institutional and individual capacity within the lead agencies for convention implementation. The latter component will strengthen mechanisms, tools and training to support the use of Integrated Resource Management to mainstream conventions themes into sectoral plans and programmes. The project also addresses the objectives of the three GEF focal areas and three of the four interim programming priorities under GEF Strategic Priority CB-2, Cross-cutting Capacity Development: (1) Improve national convention institutional structures and mechanisms; (2) Strengthen policy, legislative and regulative framework; and (3) Mainstream global environmental priorities into national policies and programmes. The project is consistent with a key UNDP programme objective for Romania: to enhance environmental governance at national and local levels for better compliance with EU standards and international conventions, through policy development and integration of environment into other sectors.

Background:

Romania has ratified over 20 Multinational Environmental Agreements (MEAs) since 1992, including the "Rio Conventions" on biodiversity, climate change and land degradation (CBD, UNFCCC, UNCCD) and prepared related Action Plans. Romania's accession to the EU in January 2007 has triggered improvements to the institutional, legal and policy framework for environmental management, and led to the preparation of numerous environmental and sectoral plans, strategies and programmes. However, Rio conventions management has continued to be fragmented and uncoordinated, and conventions implementation has been weak, due, in part, to poor integration of convention themes into EU-related reforms in policy-making, environmental and natural resource management, public administration, decentralization and regional and local planning.

Analysis of the baseline situation indicated that there are many positive initiatives to improve environmental and natural resource management, yet there are also missed opportunities to integrate convention themes into these initiatives. Moreover, convention responsibilities are unclear and convention units and activities are poorly integrated into the Ministry of Environment and Forests (MEF) programmes at national, regional or local levels, and there are no or weak collaborative mechanisms to involve other ministries or stakeholders in achieving convention goals. There have been only limited efforts to bring convention issues into sectoral plans and strategies, and there has been no involvement by regional and local environmental authorities.

The National Capacity Self Assessment (NCSA) exercise identified the lack of a rational and coherent institutional, legal and policy framework for managing both single and cross-cutting convention issues as one of the main capacity constraints. To improve systemic capacity and achieve synergies in convention implementation, Romania needs to rationalize its institutional, legislative and policy frameworks. It also needs to strengthen the capacity of the lead agencies to mainstream the conventions into their activities.

Goal:

The project aims to expand Romania's capacity to generate global environmental benefits through mainstreaming the Rio Conventions into national, regional and local decision-making. It will do this, firstly, by enhancing the enabling environment for convention implementation, including modifying institutional, legislative, policy and reporting frameworks to reflect convention commitments and, secondly, by improving institutional and individual capacity within the lead agencies for convention implementation. The latter component will strengthen mechanisms, tools and training to support the use

of Integrated Resource Management to mainstream convention themes into sectoral plans and programmes.

The project will fully integrate conventions themes into on-going institutional reforms and planning initiatives, so that Romania can better contribute to global environmental management. It will also strengthen the enabling environment to ensure more effective consideration of Rio Conventions themes, as well as the capacity of the lead agencies to mainstream the conventions into sectoral resource management, with a focus on environment (water, air, protected areas, and biodiversity), agriculture, forestry and rural development.

The Project Document was co-signed between the Ministry of Environment and Sustainable Development, the Ministry of Agriculture and Rural Development and UNDP Country Office in June 2008. The Project was originally planned for three years (June 2008 to June 2011) but a “no-cost” extension of 6 months was approved in 2011, due to delays in launching of the project activities.

Three project outcomes are defined in the Project Document and reviewed in the Inception Report:

1.	Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments
2.	Improved capacity of Governmental Agencies to integrate environmental policies and sectoral resource management

Associated with these outcomes there are a number of Outputs (please see Annex 1 for the Revised Logical Framework of the project). Progress towards them is reported in the 2011 Annual Project Implementation Review (PIR) (will be available to the Evaluation Team).

3. OBJECTIVES OF THE EVALUATION

The purpose of the Evaluation is:

- To assess overall performance against the Project objectives as set out in Project Document and other related documents
- To assess the relevance, effectiveness and efficiency of the Project
- To critically analyze the implementation management and evaluation arrangements of the Project
- To assess the sustainability of the Project’s outcomes
- To assess the catalytic or replication effect of the project
- To assess the processes that affected the attainment of the project results
- To present lessons and recommendations on all relevant aspects of the project

The objective of the Evaluation is to assess the achievement of project objective, the affecting factors, the broader project impact and the contribution to the general goal/strategy, and the project partnership strategy.

Project success will be measured based on Revised Project Logical Framework (see Annex 1), which provides clear performance and impact indicators for project implementation along with their corresponding means of verification.

The evaluation will assess the aspects as listed in evaluation report outline attached in Annex 2.

The Evaluation will focus on the following aspects:

- Project design and its relevance in relation to:
 - a) *Development priorities* at the national level;
 - b) *Stakeholders* – assess if the specific needs were met;
 - c) *Country ownership / drivenness* – participation and commitments of government, local authorities, public services, residents;
 - d) *UNDP mission to promote sustainable human development (SHD)* by assisting the country to build its capacities in the focal area of environmental protection and management;
- Performance - look at the progress that has been made by the project with regard to the achievement of its objective and outcomes;
 - a) *Effectiveness* - extent to which the project has achieved its objectives and the desired outcomes, and the overall contribution of the project to national strategic objectives;
 - b) *Efficiency* - assess efficiency against overall impact of the project for better projection of achievements and benefits resulting from project resources, including an assessment of the different implementation modalities and the cost effectiveness of the utilisation of GEF resources and actual co-financing for the achievement of project results;
 - c) *Timeliness* of results,
- Management arrangements focused on project implementation:
 - a) *General implementation and management* - evaluate the adequacy of the project, implementation structure, including the effectiveness of the UNDP Country Office, the partnership strategy and stakeholder involvement from the aspect of compliance to UNDP/GEF requirements and also from the perspective of “good (or bad) practice model” that could be used for replication / learn useful lessons.
 - b) *Financial accountability* – extent to which the sound financial management has been an integral part of achieving project results, with particular reference to adequate reporting, identification of problems and adjustment of activities, budgets and inputs.
 - c) *Monitoring and evaluation on project level* – assess the adoption of the monitoring and evaluation system during the project implementation, focusing on relevance of the performance indicators, that are:
 - **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective and only that objective.
 - **Measurable:** The monitoring system and indicators are unambiguously specified so that all parties agree on what it covers and there are practical ways to measure it.
 - **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.
 - **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.
 - **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 particular stakeholders group to be impacted by the project.
- Overall success of the project with regard to the following criteria:
 - a) *Impact* - assessment of results with reference to development objectives of the project and the achievement of global environmental goals, positive or negative, intended or unintended changes brought about by the project intervention (any changes in legal or regulatory environment that improved opportunities for Environmental Education (EE), Environmental Learning (EL) and Stakeholder Involvement (SI), impact on capacity of institutions involved in implementing EE, EL and SI initiatives, impact on commitment of local authorities and communities to use EE, EL and

- SI as tools for Natural Resource Management (NRM), and impact on NRM practices);
- e) *Global environmental benefits* – through educating and involving diverse national and local stakeholders in addressing Rio Conventions themes;
 - b) *Sustainability* - assessment of the prospects for benefits/activities continuing after the end of the project, *static sustainability* which refers to the continuous flow of the same benefits to the same target groups; *dynamic sustainability* use and/or adaptation of the projects' results by original target groups and/or other target groups. It should include a comparison of the baseline assessment of the CD Scorecard with the terminal assessment, and make some inferences as to what contribution(s) the project has made towards institutionalizing the capacities developed;
 - c) *Contribution to capacity development* - extent to which the project has empowered target groups and have made possible for the government and local institutions (municipalities) to use the positive experiences; ownership of projects' results;
 - d) *Replication* – analysis of replication potential of the project positive results in country and in the region, outlining of possible funding sources; replication to date without direct intervention of the project;
 - e) *Synergies* with other similar projects, funded by the government or other donors.

In addition to a descriptive assessment, criteria should be rated using the following divisions: Highly Satisfactory, Satisfactory, Marginally Satisfactory, and Unsatisfactory with an explanation of the rating. Also the Overall Rating of the project should be indicated. Criteria, which have to be rated are indicated in the evaluation report outline attached in [Annex 2](#).

Issues of special consideration:

The Evaluation will review and assess changes in development conditions, by addressing the following questions, with a focus on the perception of change among stakeholders:

- Has there been any substantive change in the legal and regulatory framework for an integrated approach to global environmental issues?
- Has the project contributed to strengthening the frameworks for cooperation and coordination between agencies responsible for the implementation of Rio Conventions at national and regional levels?
- Has there been any change in the perception and understanding of staff dedicated to the synergic implementation of Rio Conventions, at national and regional levels?
- Has the project contributed to the mainstreaming of Rio Conventions issues into the programmatic documents of the MEF, including strategies, programmes and action plans?
- Have there been changes in the understanding and knowledge of integrated natural resource management and policy in the context of the country's development and commitment made at international level with regard to environmental sustainability (MEAs)?
- Has the accession of the country to the EU and adoption of EU laws and policies made a difference with regard to integrated natural resource management and implementation of MEAs?
- Have there been changes in local/regional stakeholder behaviour, including local authorities and state agencies (e.g., implementation of environmental/sectoral policies) to address integrated resource management issues? If yes, in which way?
- Has the project provided a basis for the long-term sustainability of project outcomes? In what way(s)?
- What are the underlying factors beyond the project's immediate control that influence project achievements, and the wider economic and political development context of the country? What were the project's management measures put in place to mitigate these factors?
- To what extent did the project support the development of sustainable capacities at national, regional and local level?

- Using results of the CD scorecard over the life of the project (inception (baseline), mid-point and final), assess how the progress made in developing capacities to address natural resource management issues in Romania will be sustained over the long-term.

The Evaluation Report will present recommendations and lessons of broader applicability for follow-up and future support of UNDP and/or the Government, highlighting the best and worst practices in addressing issues relating to the evaluation scope.

4. PRODUCTS EXPECTED FROM THE EVALUATION

The key product expected from this final evaluation is a comprehensive analytical report in English that should, at least, follow minimum GEF requirements as indicated in Annex 2.

The Report of the Final Evaluation will be a stand-alone document that substantiates its recommendations and conclusions. The report will have to provide to the UNDP and the GEF Secretariat complete and convincing evidence to support its findings/ratings.

The Report will include a table of planned vs. actual project financial disbursements, and planned co-financing vs. actual co-financing in this project, according the table attached in Annex 3 of this TOR

The Report will be supplemented by Rate Tables, attached in Annex 4 of this TOR.

The length of the final evaluation report shall not exceed 30 pages in total (not including annexes).

5. EVALUATION APPROACH

An outline of an evaluation approach is provided below; however it should be made clear that the evaluation team is responsible for revising the approach as necessary. Any changes should be in-line with international criteria and professional norms and standards cleared by UNDP CO.

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

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

The evaluation will take place mainly in the field. The international consultant is expected to follow a participatory and consultative approach ensuring close engagement with the government counterparts, UNDP CO, Steering Committee, project team, and key stakeholders.

The Evaluation international consultant is expected to consult all relevant sources of information, such as the project document ("prodoc"), project reports – incl. Annual Reports, project budget revision, progress reports, CTA mission reports, project files, national strategic and legal documents, GEF Capacity Development scores from inception to end of project, and any other material that s/he may consider useful for evidence based assessment. The Final GEF Capacity Development Scorecard should be commented by the evaluation international consultant and finalized after incorporating her/his comments. The list of documentation to be reviewed is included in Annex 5 of this Terms of Reference.

The Evaluation International Consultant is expected to use interviews as a mean of collecting data on the relevance, performance and success of the project. S/He is also expected to visit the project sites.

The methodology to be used by the Evaluation International Consultant should be presented in the report in detail. It shall include information on:

- ♣ Documentation reviewed;
- ♣ Interviews;
- ♣ Field visits;
- ♣ Questionnaires;
- ♣ GEF CD Scorecard completed at the time of FE (by the Evaluation Team)
- ♣ Participatory techniques and other approaches for the gathering and analysis of data.

Although the Evaluation International Consultant should feel free to discuss with the authorities concerned all matters relevant to its assignment, it is not authorized to make any commitment or statement on behalf of UNDP or GEF or the project management.

The Evaluation International Consultant should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

The Evaluation International Consultant will coordinate all the activities with the responsible staff member of the Energy and Environment Section of UNDP Romania Country Office and the assigned project management team member of the Ecological University of Bucharest (UEB) International and national travel will be planned and organized with the assistance of UNDP Romania and UEB.

6. RESPONSIBILITIES, SKILLS AND QUALIFICATIONS

Duties and Responsibilities:

- Desk review of documents, development of draft methodology, detailed work plan and TE outline (maximum 4-days home-based);
- Debriefing with UNDP CO, agreement on the methodology, scope and outline of the TE report (2 days home based);
- Interviews with project implementing partner (executing agency), relevant Government, NGO and donor representatives and UNDP/GEF Resident Representative and/or Regional Technical Advisor (4 days in-country mission);
- Field visit to the pilot project sites (i.e., selected development regions), interviews (2 days in country mission);
- Debriefing with UNDP (1 day);
- Complete the final CD scorecard and Development and submission of the first TE report draft (maximum of 4 days). Submission is due on the 16-th day of the assignment. The draft will be shared with the UNDP CO, UNDP/GEF (UNDP/GEF RCU Bratislava) and key project stakeholders for review and commenting; (20 days)
- Finalization and submission of the final TE report through incorporating suggestions received on the draft report (maximum 2 days);

Competencies:

- (i) The International Evaluation Consultant must have recent experience with result-based management (RBM) evaluation methodologies
- (ii) The International Evaluation Consultant must have experience in applying participatory monitoring approaches;
- (iii) The International Evaluation Consultant must have experience applying SMART indicators and reconstructing or validating baseline scenarios;

- (iv) The International Evaluation Consultant must have recent knowledge of the GEF Monitoring and Evaluation Policy;
- (v) The International Evaluation Consultant must have recent knowledge of UNDP's results-based evaluation policies and procedures
- (vi) The International Evaluation Consultant must have competence in Adaptive Management, as applied to capacity building projects;
- (vii) It is desirable that the International Evaluation Consultant has expertise in the evaluation of similar projects in the Central and Eastern Europe and CIS region;
- (viii) The International Evaluation Consultant must have demonstrable analytical skills;
- (ix) It is desirable that the International Evaluation Consultant would have project evaluation experiences within United Nations system
- (x) It is desirable that the International Evaluation Consultant have Knowledge/understanding of Romanian/EU conservation policies and legislation, forestry management policies and institutional system, protected areas system, additional knowledge on NGO/local community would be an asset.
- (xi) The International Evaluation Consultant must have demonstrated expertise in areas of international projects' evaluation

Required Skills and Experience:

Work Experience

- The International Evaluation Consultant must have 10 years of working experience in providing environmental management including monitoring and evaluation or evaluation only or consultancy services, particularly in the national implementation of multilateral environmental agreements;

Languages

- The International Evaluation Consultant must be fluent in English.

Required Qualifications:

- Master's degree in Natural Resource Management, Environmental Economics and Policy or other related areas. Postgraduate degree(s) will be an advantage;

7. IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing the contracting of this evaluation lies with UNDP Country Office (UNDP CO) in Romania.. The project management team within the Ecological University of Bucharest (UEB) UEB will be responsible for liaising with the Evaluation International Consultant to provide the relevant project documentation, set up independent stakeholder interviews, arrange field visits, coordinate with the government counterparts, manage the logistic related to national travel to project site etc. UNDP Romania CO will support, coordinate and manage this assignment.

The total assignment entails 34 consultancy days over a period of two months February-April 2012.

The activity and tentative timeframe are broken down as follows:

Activity	Timing	Estimated duration
Desk review	Mid March 2012	4 days

Activity	Timing	Estimated duration
Correspondence with UNDP CO and UEB for clarifications of the details of this assignment	By 18 March 2012	2 day
Field visits, interviews, questionnaires, de-briefings, presentation of main findings	18-23 March 2012	6 days
Submission of the draft terminal evaluation report	No later than 6 May 2012	20 days
Validation of preliminary findings with stakeholders (electronic circulation of draft report facilitated by UNDP Romania) comments,	By 20 May 2012	
Finalization of the terminal evaluation report (incorporating comments received)	No later than 20 May 2012	2 days
Total consultancy		34 days

The report (draft and final version) shall be submitted to UNDP Country Office in Romania.

Prior to approval of the final report, UNDP CO will circulate the draft for comments to government counterparts and project management within the UEB: UNDP Country Office in Romania, National Project Coordinator, National Focal Points for Rio Conventions, Project Management Team, Committee for the integration of environment into sectoral policies and strategies, UNDP/GEF RTA.

UNDP and the national stakeholders will submit comments and suggestions within 10 working days after receiving the draft.

The finalised Terminal Evaluation Report shall be submitted no later than 20 May 2012.

If any discrepancies have emerged between impressions and findings of the evaluation team and the aforementioned parties, these should be explained in an annex attached to the final report.

Annex 2. GEF Operational Principles

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

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

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

Annex 3: Romania CB-2 Project Status of Objective and Outcome Indicators Target Delivery (from the 2011 PIR)

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
To strengthen systemic, institutional and individual capacity to integrate Rio Convention themes into national, regional and local decision-making	1. Alignment of institutional, legislative and policy frameworks with the objectives and obligations of the global environmental conventions signed by Romania	Romania is committed to meet its conventions obligations; however, some critical gaps in institutional, legal and policy frameworks exist; including an uneven capacity within key ministries	<ul style="list-style-type: none"> Conventions obligations are well integrated into national institutional, legal and policy frameworks 	The project has finalized the tools and methodologies, and has applied them in order to identify gaps and constraints of the legal, institutional and policy frameworks, at national and regional/local level, for the synergic implementation of Rio Conventions (RC). The project has finalized the assessments of the legal and administrative framework, and has developed punctual recommendations and proposals in order to improve the alignment of national legislative/policy/administrative framework with the international commitments following the ratification of Rio Conventions (RC), for their integrated implementation. Currently the studies and recommendations are subject to government's review.	Following the submission on the Synergistic Implementation of Rio Conventions (RC) report, the Ministry of Environment (MoE) formally endorsed the report, selecting a few priority recommendations and soliciting further support of the project. As a result, the project has helped the MoE to institutionalize the priority recommendations by developing a draft normative act that the MoE will seek official approval by the cabinet. The priority recommendations that will be enforced by this act are as follows: (i) strengthen the existing internal coordination mechanisms between the three RC national focal points by assigning them additional competencies and credentials in order to participate into the functioning and decision-making process regarding RC commitments; (ii) formal approval of the National Strategy for Sustainable Development (NSSD) in compliance with the deadline set by the EU (June 2011) and recognition of the NSSD as an integrative policy framework of all the MEAs, including the Rio Conventions; (iii) integration of all three Rio Convention commitments -envisaged initially under a National Commission for Climate Change- under the umbrella of the Inter-Ministerial Committee for the Coordination of Integration of Environment Protection into Regional Level Sectoral Policies and Strategies, which was finally re-named the National Committee for Policies and Strategies. This committee will be an inter-ministerial body that reports to the Inter-Ministerial Council for Agriculture, Rural Development and Environment. The Government Ordinance is expected to be issued during the next weeks.	Concur with self-reported results. Further discussed in Section V of this evaluation report.

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
	2. Quality of national monitoring reports and communications integrating conventions obligations	National reports and communications for meeting conventions obligations are produced but reflect a non-integrated approach within the national frameworks for environmental management	<ul style="list-style-type: none"> • SOE and other national reports/ communications include quality information on the state of implementation of the Conventions in Romania 	The project has supported the development of the 5th National Communication to UNFCCC and included the provisions and results pertaining to all the three Rio Conventions (RC). The report has been commended by the Secretariat of UNFCCC for integrating aspects of the three RC, Romania being one of the few countries that has implemented this integrated approach. Following the recent assessment studies conducted by the project, clear recommendations and suggestions have been highlighted to improve the country reporting methodologies under RC through the involvement of all three National Focal Points (NFPs) in the elaboration of national reports under each convention (i.e. Convention for Biological Diversity/ CBD - to include the other two conventions etc.).	The State of the Environment (SoE) evaluation report was finalized, highlighting the deficiencies and lack of reporting on integrated RC data and related data. The SoE is usually integrated at the European level by the European Environmental Agency. The project made recommendations for improving the quality of reporting in the SoE in terms of a better harmonization with EU level reporting and additional integration of RC synergistic indicators of various sectors such as: forest health, afforestation, reforestation, and deforestation rates, and carbon sequestration. The recommendations to improve the SoE are currently under review by the government and will form the basis of the training modules on reporting.	Concur with self-reported results. Further discussed in Section V of this evaluation report.
	3. Capacity development monitoring scorecard rating	7 (out of 45)	34	20	28	Concur with self-reported results. Further discussed in Section V of this evaluation report.
1. Enhanced institutional, legislative, policy and planning framework for implementing Rio Convention commitments	4. Responsibilities for Rio Convention obligations assigned to institutional mandates	Convention units in place, but institutional framework is fragmented and convention implementation is uneven. National focal points report independently to Conventions, with little collaboration; decisions sometimes conflict	<ul style="list-style-type: none"> • All conventions obligations are clearly assigned to key institutions • Institutional mechanism (e.g. regular meetings; modification of the job description) that will ensure the cooperation of the three focal points with regard to implementation of the Rio Conventions, especially reporting requirements. 	The project has conducted assessments of the institutional framework and mandates regarding Rio Conventions (RC) implementations and has identified the followings: (i) after the recent government's cabinet reorganization (fall 2009) the internal Regulations of Organization and Functioning (ROF) of the relevant ministries, do not include references for UNCCD operational implementation. Therefore the project has urged the host ministry (i.e. Ministry of Environment and Forests - hosting the three National Focal Points (NFPs)) to include the credentials and competencies for UNCCD operational implementation in its ROF (approved by Minister's Order) and Governmental Decision for its organization and functioning. (ii) The project has proposed ways to strengthen the existing internal coordination mechanisms between the three NFPs by assigning the NFP additional competencies and credentials in order to participate in the functioning and decision-making process of the National Commission for Climate Change (which includes technical staff members from all line ministries). Furthermore, the project	The project supported the elaboration of a government ordination that endorses: the institutionalization of an internal mechanism for NFP's additional competencies and credentials in order to participate in the functioning and decision-making process regarding RC commitments; the formal recognition of the National Strategy for Sustainable Development (NSSD) as an integrative policy framework of all the MEAs including Rio Conventions; the integration of all three Rio commitments (envisaged initially under a National Commission for Climate Change) under the umbrella of the Inter-Ministerial Committee for the Coordination of Integration of Environment Protection into the Regional Level Sectorial Policies and Strategies (this will be an inter-ministerial body that reports to the Inter-Ministerial Council for Agriculture, Rural Development and Environment). During the reporting period, the project facilitated the negotiation of a Government Ordinance (is to be issued by August 2011) that lays down the institutional mandate for RC integration.	Concur with self-reported results. The NFP institutionalization however is not yet final, still pending issuance of the Ministerial Ordinance supported by the project.

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
				proposes a mechanism for coordination between the National Commission for Climate Change and the Inter-ministerial Committee for Sustainable Development (a high political decision-making body, integrating all environment/development aspects in particular implementing the MDG). This way, the NFPs are part of a technical and political coordinating mechanism, therefore ensuring the cooperation of the three NFPs with regard to the synergic implementation of RC within the wider context of achieving MDGs. The recommendations are being currently analysed by the host ministry in view of further institutionalization of the proposed mechanism.		
	5. Effective multi-agency conventions coordination mechanisms	<ul style="list-style-type: none"> Conventions fall under two National Councils, but there is no provision to address them No formal inter-agency coordination mechanisms No regional or local agency involvement in conventions MESD is not on Council #8 on Territorial Planning, Energy and Infrastructure 	<ul style="list-style-type: none"> Convention management units are rationalized to be more efficient and effective; National Councils are empowered and tasked to address the issues of Rio conventions implementation -Coordination mechanisms established among convention units, and between these units and other relevant Ministries and units Membership of Inter-ministerial Councils permits 	(i) The project identified major gaps in the implementation of UNCCD in particular, which does not have an implementation unit after the recent government's cabinet reshuffle. Practical recommendations were highlighted in order to address the situation (please see above). (ii) The inter-ministerial Committee no. 9 has been replaced with the Interministerial Committee for Sustainable Development (responsible for the MDG implementation) and the project is supporting the Ministry of Environment and Forests in developing the TOR for the members of the Inter-ministerial Committee in order to ensure that the Rio Conventions (RC) related tasks will be reflected in the members' responsibilities and implicitly into the decision-making process. (ii) at regional level, the project has identified existing legal ground for the functioning of Regional Environmental Protection Committees, and has further recommended the institutional arrangements and potential members and their specific competencies for integrating the RC provisions into a synergic manner.	The Report on Rio Convention implementation outlined the basis for improved inter-agency coordination. The recommendations made were based on a consultative process: on-line surveys (3,000 sent and 100 completed) 25 interviews in pilot areas, 2 working groups and 3 workshops. The recommendations were fine-tuned based on stakeholder feedback and the result has been further distilled to a concise Government Ordinance draft.	Concur with self-assessed results. However, the issuance of the Ministerial Ordinance supported by the project for the Rule of Organization and Functioning of the CIDD is still pending. Nonetheless, the first official meeting of the committee was held in February 2012.

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
			integration of convention obligations into sectoral policy-making and planning			
	6. Conventions obligations integrated in related legislation	<ul style="list-style-type: none"> Laws in place to ratify Rio conventions, but "secondary" laws and norms not revised to be consistent with obligations 	<ul style="list-style-type: none"> Key laws and norms revised to be consistent with convention obligations "Secondary" legislation and norms in place to enable integration of conventions into sectoral policy-making and planning processes 	The project has analysed the legal framework and identified that the COP/MOP decisions related to Rio Conventions are largely transposed into the national legislation, except for Annex no 5 of UNCCD (adopted through COP 4 in 2001). The project has proposed though a set of corrective measures: (i) transposing the Annex 5 of UNCCD into legal/normative acts for its implementation; (ii) the synergic implementation of the Rio Conventions (RC) should be supported by an integrated enforcement framework for all three RC, starting with the international level (e.g. UNCCD did not develop the procedures for non-compliance and it is asking the Parties to send suggestions for development of such procedures, which Romania could provide based on the project's assessments). The project's recommendations are being currently analysed by the host ministry.	The assessment of the legislative framework produced a series of recommendations and draft bylaws that better align the Romanian legislation to EU priorities and international commitments under MEAs as follows: (i) institutionalization of NFPs of RCs and an internal communication mechanisms among them; (ii) operationalization of the Inter-Ministerial Committee for the Coordination of Integration of Environment Protection into the Regional Level Sectoral Policies and Strategies; (iii) formal recognition of the National Sustainable Development Strategy as an integrative umbrella for RC; (iv) operationalization of the proposed Regional Coordination Mechanism; (v) an internal memorandum that will include the RC responsibilities in the mandates of the Political Policies Units of the line ministries; (vi) amendments to the legislative and methodological framework for EIA/SEA; and (vii) mainstreaming integrated RC indicators.	Concur with self-reported results. The project made a number of recommendations and proposals to support the target of this indicator, but, as highlighted for the indicators above and following, the final formal government approval of each of the cited recommendations (i – vii) at left have yet to be approved by the government, though there is more progress on some than others.

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
	7. Conventions obligations integrated in related policies, national plans, strategies and programmes	<ul style="list-style-type: none"> Rio convention action plans not mainstreamed into national and regional policies and planning MESD and MARD programmes and activities are sector-oriented, with little collaboration 	<ul style="list-style-type: none"> Related national policy-making and planning processes incorporate convention obligations 	The coordination mechanism proposed by the project at national and regional level will enable the mainstreaming of the RC provisions into the national policy making.	The project proposed the empowerment of the Public Policy Unit within the ministry the MoEF to integrate RC considerations into policy making. The project also supported the MoEF in drafting the Government Ordinance for the establishment of the Inter-Ministerial Committee for the Coordination of Integration of Environment Protection into the Regional Level Sectoral Policies and Strategies. This is intended to ensure the mainstreaming of the synergistic aspects of the Rio Conventions into national policies and processes. The project supported the drafting of a second government ordinance for operationalizing the proposed Regional Coordination Mechanism (RCM). The latter will officially approve the RCM proposed and tested by the project. The mechanism will be in charge of the decision-making process regarding local programmes and development plans, ensuring the synergistic integration of the Rio Conventions and avoiding duplication of resources, e.g., approval of afforestation plans, investment plans in different economic sectors, and regional development plans.	Concur with self-reported results. The project developed and proposed the CIDD and RCM mechanisms, but these are only partially functional at present, and are pending further government approval.
	8. Conventions obligations embedded into effective environmental screening process of policy-making	<ul style="list-style-type: none"> New policy processes require environmental screening of policies, but conventions are not addressed and there are no technical tools or expertise to help policy proponents do screening 	<ul style="list-style-type: none"> Environmental screening tools (e.g., checklists) incorporating conventions obligations are part of policy-making processes Key officials trained on environmental screening 	Preliminary assessments were conducted towards this target; the analysis of the supporting legislation has been done. The findings pointed out that the environmental screening processes cover only partially the obligations under the Rio Conventions (RC). The finalization of the assessments, proposals for the checklist improvement and development of the training module for SEA officials is targeted for end of 2010.	The project conducted a comprehensive evaluation of the EIA/SEA process in Romania related to the Rio Convention obligations. The evaluation report formulated practical recommendations for environmental screening that will better address synergistic integration of the Rio Conventions. The report and recommendations were endorsed by the MoEF, an improvement of the screening procedures. The training module on EIA/SEA for MoEF and relevant institutions were refined based on the gaps identified in the report and the training will be delivered during September-October 2011.	Concur with self-reported results. The idea of "environmental screening tools" is somewhat vague, but it is not possible to state at present that project results in this regard have been practically or effectively incorporated in the policy-making process as yet.

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
Improved capacity of MESD and MARD to integrate environmental and sectoral natural resource management	9. Roles and responsibilities for implementing conventions obligations assigned in job descriptions	<ul style="list-style-type: none"> Roles and responsibilities for implementing conventions obligations are not well assigned to staffs and key ministries 	<ul style="list-style-type: none"> Roles and responsibilities for implementing conventions obligations clearly assigned to key job descriptions 	The reshuffling of the cabinet in early 2010 determined the transfer of the national focal point for UNCCD from the Ministry of Agriculture, Forest and Rural Development to the (new) Ministry of Environment and Forests. Therefore, all three Rio Convention (RC) focal points are hosted by the same Ministry i.e. Ministry of Environment and Forest. To date, the internal Regulation of Organization and Functioning (ROF) of the Ministry of Environment and Forests does not include references for UNCCD operational implementation. Therefore the project has urged the host ministry (i.e. Ministry of Environment and Forests - hosting the three National Focal Points (NFPs)) to include the credentials and competencies for UNCCD operational implementation in its ROF (approved by Minister's Order) and Governmental Decision for its organization and functioning. (ii)The project has proposed ways to strengthen the existing internal coordination mechanisms between the three NFPs by assigning the NFP's additional competencies and credentials in order to participate into the functioning and decision-making process of the National Commission for Climate Change (which includes technical staff members from all line ministries). Furthermore, the project proposes a mechanism for coordination between the National Commission for Climate Change and the Inter-ministerial Committee for Sustainable Development (a high political decision-making body, integrating all environment/development aspects in particular implementing the MDG). This way, the NFPs are part of a technical and political coordinating mechanism, therefore ensuring the cooperation of the three NFPs with regard to the synergic implementation of RC within the wider context of achieving MDGs.	The project proposed recommendations (and a draft internal Memorandum) for the institutionalization of an internal mechanism for NFP's additional competencies and credentials in order to participate into the decision-making process and better integrate RC related commitments.	Concur with self-reported results. As discussed elsewhere in this evaluation report, the Ministerial Order for formally institutionalizing the NFPs has not yet been issued.
	10. Implementation of conventions monitored effectively and information	<ul style="list-style-type: none"> Annual State of Environment (SOE) reporting system in place, but no mechanism to 	<ul style="list-style-type: none"> Indicators to monitor conventions obligations identified and are part of SOE 	The State of Environment (SOE) reporting formats were analysed for the last two years (2007-2009) and it has been concluded that: the reports do provide some information on the Rio Conventions (RC), however the reporting is not unitary at regional level (there is no unitary template for	The project developed a regional mechanism for the integration of natural resource management (RCM). The technical secretariat of the RCM's role of regional committees is fulfilled by Regional Agencies for Environmental Protection that are also in charge of SoE reporting and data	Concur with self-reported results. The analysis produced by the project on national environmental reporting, and integration of environmental indicators related to the Rio

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
	included in SOE reports	track performance on convention implementation and synergies • Ministry knowledge of SOE and how to use it to design programmes is weak	reporting • Database of convention activities established and integrated into related ministry's databases • Key staff trained to monitor and report on SOE indicators	regional data) hence the difficulty in aggregating data at national level; there are absolutely no aspects regarding synergic implementation of the RC. The project developed a set of recommendations for the establishment of a Regional Coordinating Mechanism (RCM) for RC implementations. The project also recommended that the RC implementation units hosted by the Ministry of Environment and Forests, require the mainstreaming of the specific indicators covering RC aspects into the general reporting format. The RCM secretariat is hosted by the Regional Environmental Protection Agencies under the National Environmental Protection Agency (NEPA), in charge inter alia with SOE development, the latter responding directly to the Ministry of Environment and Forests. Therefore, their awareness and information level regarding RC and their synergies will increase and will lead to an integrated reporting covering aspects of RC. The project will propose additional indicators to be added to SoE for an unitary reporting.	collection. The project developed a set of indicators for SoE that are expected to improve the reporting process and integrate actions to meet and sustain Rio Convention obligations. The project strengthened the capacity of these regional agencies for a better and integrated data collection and reporting and supports these agencies to deliver on their mandate and integrate better the RC. The project supports also the development of a regional Clearing House, that will be linked to the national CHM (under CBD) but will have multiple user-friendly functions to facilitate networking at the regional level, a better evidence on data and metadata and support to data collection and bottom up environmental reporting.	Conventions is valuable progress toward the target. It is not clear to what extent this work has been incorporated in current State of Environment reporting processes. The "database" portion of this indicator is unclear, but would be covered by the projects CHM proposal, were it to be effectively implemented. The project has conducted training for MoEF staff, but the high level of staff turnover in the government limits the long-term effectiveness of individual training sessions.
	11. MESD and MARD staff with the necessary skills and knowledge to address conventions obligations	• Uneven capacity of focal points and convention units to manage and implement conventions	• Staff trained and apply skills and knowledge to the implementation of conventions obligations • Staff trained in key IRM techniques	Based on the Ministry's feedback regarding the project's studies, assessments and set of recommendations undertaken so far, the project will develop a Training Needs Assessment (TNA) that will constitute the foundation of a training module for the strengthening of Rio Conventions (RC) implementation capacity of the Ministry of Environment and Forests and related agencies.	The project completed the Training Needs Assessment (TNA) based on the gaps in understanding the Rio Conventions and potential synergies, reporting and indicator gaps, and inadequate data collection methodologies. The TNA completion was delayed as it had to be informed by the technical and regional assessments. The project is currently developing the training modules for MoEF and relevant institutions, which will be delivered by October 2011.	Concur with self-reported results. The project undertook the TNA, and produced the respective training modules based on the gaps and needs identified. The project did contribute to an increase in awareness related to Rio Conventions and some training sessions were delivered, but overall this was not at the level of the target that "MoEF staff are trained and applying skills." As highlighted above, the effectiveness of one-off training session is limited when there is high staff turnover. The project's real contribution in this area will be if the public training institute incorporates some of the project's work and outputs in its catalog.

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
	12. Effective code of practice, guidelines, checklists to address conventions obligations	<ul style="list-style-type: none"> Non-government stakeholders are using some IRM technique, but government-non-governmental organizations collaboration is rare 	<ul style="list-style-type: none"> IRM tools strengthened through additional guidelines, codes of good practice, checklists, etc. 	Through the development of the Regional Coordination Mechanism (RCM) model, the project has prepared the ground for the establishment of codes of good practices such as: (i) the operativity and functionality of the RCM represents in itself a first tool that sets the framework for the Integrated Resources Management (IRM) in terms of institutional arrangements, and data/information flow; (ii) the project will take further steps to develop additional guidelines upon interviews and focus-groups at regional/local level, during an intensive consultation with the local authorities and RCM institutions, the project will develop appropriate checklists that will support the decision making process of the RCM. The checklist will cover all the relevant aspects of the Rio Conventions (e.g. the Integrated River Basins will consider biodiversity-climate change-desertification aspects while taking river management decisions).	The project is supporting the development of several examples of good practices: RCM functional code was described as a tool for integrated natural resource management, the use of which is detailed in the draft Government Ordinance; The EIA/SEA process will be improved after the full adoption of the recommendations for improving their checklist and for mainstreaming Rio Convention obligations; and GIS-supported regional clearing-house will improve data collection and access to information. Additional guidelines, "how to" guides, and codes of good practices are under development (these will include also RCM pilot testing results).	Concur with self-reported results. The project's EIA/SEA analysis has contributed to this, but there have as yet been no actual changes at the national level in terms of implemented guidelines, codes of good practice, checklists, etc. produced under the project. The proposal for a comprehensive technology-driven EIA/SEA system is visionary but remains far from actual implementation.
	13. Effective participation of stakeholders in the implementation of conventions	<ul style="list-style-type: none"> Minimal stakeholder involvement in conventions 	<ul style="list-style-type: none"> All relevant stakeholders involved in convention implementation 	The project has conducted institutional assessments which identified all the relevant stakeholders involved in the implementation of the Rio Conventions (RC). Although most of the stakeholders are implementing punctual measures that address the RC, there is no coordination among institutions or the activities in the field; moreover, the stakeholders have limited awareness on RC and the impact of their activities in terms of responding to RC obligations. Therefore, the RCM proposed will engage all the stakeholders, will make them aware on RC implementation at local level and will determine coordination of their activities, in order to maximize on the RC synergies, including reporting obligations. The positive aspect highlighted by the assessments, is that the mandates of the institutions/stakeholders are entailing also the obligations under RC, and the legal framework in place enable the mandate exercise. The negative aspect highlighted by the project so far, is that enforcement is poor and awareness and coordination among activities and institutions is lacking.	The project developed a regional coordination mechanism (RCM) for natural resources management that will ensure and provide stakeholders participation in the decision-making process. The project validated the RCM through three regional workshops, questionnaires, two working group meetings, and interviews and focus-groups with the relevant stakeholders. The RCM was officially endorsed by the MoEF. The project will support the organization of the two pilot testing of RCM functionality, based on the MoEF official letters. The workshops are scheduled for Sept 2011 (preliminary trainings with the founder groups took place during this current reporting period). The project is currently developing a regional Clearing House that will be linked with Romania's CHM (under the CBD) and is expected to enable a better interaction among stakeholders and offer a collaborative platform for synergistic implementation of the Rio Conventions.	Concur with self-reported results. The project involved all relevant stakeholders and increase awareness of implementation commitments related to the Rio Conventions.

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2010	Level at 30 June 2011	Evaluation Comments
	14.A model for regional coordination mechanism (RCM) is developed and adopted by two Development Regions using integrated resource management (IRM) tools	<ul style="list-style-type: none"> There are no collaborative mechanisms across units and ministries at regional and local levels to implement national environmental and sectoral policies and plans 	<ul style="list-style-type: none"> Formal Regional Collaborative Mechanisms involving national, regional and local authorities developed and tested in two regions 	The project has developed the criteria for designation of the two pilot demonstration models, and has identified the most suitable coordination model maximizing on the existing institutional and legislative framework. During the next reporting period, the project will implement the RCM.	The project developed the RCM models that were officially endorsed by the MoEF. Actual RCM implementation, i.e., testing of the RCM and simulation of a decision-making process regarding the approval of a programme or policy will take place in the two selected pilot regions beginning in September 2011.	Concur with self-reported results. The RCM mechanism was effectively demonstrated in the two pilot regions, and regional stakeholders are supportive of such a mechanism, but require further support for continued implementation. The government has yet to formalize / operationalize such RCM mechanisms with the required Ministerial Order
	15. The RCM model and IRM tools are replicated to all regions in Romania	<ul style="list-style-type: none"> Conventions and integrated resource management not addressed at regional and local levels, including Agenda 21 	<ul style="list-style-type: none"> RCM Model adopted by MESD and MARD for all eight regions, with possible expansion to include regional office of other ministries 	The project has developed the Regional Coordination Mechanism (RCM) based on the evaluation of all eight development regions of Romania, and determined which ones have the potential to be replicated at the national level. The implementation of the RCM will take place during the next reporting period. The replication phase will take place towards the end of the project implementation period, based on the decision of the relevant ministry (currently the Ministry of Environment and Forests) upon the endorsement of the National Commission for Climate Change (the proposed main integrating national body for RC).	The project will support the testing of the RCM and at the same time its replication by inviting representatives from other regions to the meetings in which RCM will be tested. Dissemination of guidelines and trainings will be concomitant with the RCM testing. The expected Government Ordinance will formally approve the RCM with instant implementation nationwide. This approach is timely and opportune as the government of Romania prepares a territorial and administrative reconfiguration of the country.	Concur with self-reported results. The project involved stakeholders from all regions in the RCM development process through workshops, information sharing, etc. However, the RCM mechanism has yet to be formally adopted for the two pilot regions, much less the other regions of Romania.
	16.An IRM peer training network used by participants throughout Romania	<ul style="list-style-type: none"> There is no formal network but some local authorities and staff in regional and local agencies use some IRM techniques MESD and MARD and EPAs have a database to which the IRM database could be linked 	<ul style="list-style-type: none"> Peer training network established and functioning with members the two pilot regions and other regions Database established with IRM references and contacts 	The RCM developed model, has the peer network in its mandate, therefore ensuring the data and information flow between similar agencies in charge with the natural resources management. The Technical Secretariat (i.e the Regional Protection Agencies) will ensure appropriate coordination.	The peer training network will be hosted by the regional Clearing House (under development) , will include besides access to regional data and metadata, a training network, forums, consultation tools, joint meeting planning tools.	Concur with self-reported results. During its implementation the project functioned as a central node of a peer network related to Rio Convention implementation issues, but this will not remain following project completion. Such a network and database is envisioned in the project's CHM proposal, but this requires significant additional investment of financial and human resources to reach effective implementation.

Annex 4: Romania CB-2 Final UNDP Capacity Development Scorecard

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
CR 1: Capacities for engagement 8 out of 9						
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Institutional responsibilities for environmental management are not clearly defined	0	3	The institutional mandates for environment are established and recognized by stakeholders		1
	Institutional responsibilities for environmental management are identified	1				
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders	2				
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders	3				
Indicator 2 – Existence of operational co-management mechanisms	No co-management mechanisms are in place	0		An Institutional coordination mechanism at national level is set by an issued Governmental Ordinance and the proposal for an RCM, as its replica at regional level is pending official Ministerial Order		1, 2
	Some co-management mechanisms are in place and operational	1				
	Some co-management mechanisms are formally established through agreements, MOUs, etc.	2	2			
	Comprehensive co-management mechanisms are formally established and are operational/functional	3				
Indicator 3 – Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor	0		The consultation of stakeholders in the decision making process is mandatory (e.g. stakeholders esp. NGOs voice is strong and can influence controversial decision making such as Rosia Montana case)		
	Stakeholders are identified but their participation in decision-making is limited	1	1			
	Stakeholders are identified and regular consultations mechanisms are established	2				
	Stakeholders are identified and they actively contribute to established participative decision-making processes	3	3			
.... Add your own indicator(s)						

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
CR 2: Capacities to generate, access and use information and knowledge 12 out of 15						
Indicator 4 – Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs)	0		Besides national consultations (which are mandatory for the promulgation of any piece of legislation) the stakeholders are not really aware of how to coordinate their initiatives; the project's national consultations and trainings have changed this situation too; however there is much to be done; our rating is somewhere between 2 and 3		
	Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs)	1				
	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate	2				
	Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions	3	3			
Indicator 5 – Access and sharing of environmental information by stakeholders	The environmental information needs are not identified and the information management infrastructure is inadequate	0		The project has developed a regional CHM which is under the national CBD CHM, hosted by the European Env. Agency's server and is providing information; However, the feeding of info is pending on the field operators dedication to interact; although trained on, the process still needs managerial validation; and with the change of leadership, the process is frequently impeded; our rating is somewhere 2-3		
	The environmental information needs are identified but the information management infrastructure is inadequate	1				
	The environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited	2				
	Comprehensive environmental information is available and shared through an adequate information management infrastructure	3	3			
Indicator 6 – Existence of environmental education programmes	No environmental education programmes are in place	0				
	Environmental education programmes are partially developed and partially delivered	1				
	Environmental education programmes are fully developed but partially delivered	2	2			
	Comprehensive environmental education programmes exist and are being delivered	3				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
Indicator 7 – Extend of the linkage between environmental research/science and policy development	No linkage exist between environmental policy development and science/research strategies and programmes	0				
	Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes	1				
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs	2	2			
	Relevant research results are available for environmental policy development	3				
Indicator 8 – Extend of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes	0				
	Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes	1				
	Traditional knowledge is collected but is not used systematically into relevant participative decision-making processes	2	2			
	Traditional knowledge is collected, used and shared for effective participative decision-making processes	3				
.... Add your own indicator(s)						
CR 3: Capacities for strategy, policy and legislation development 7 out of 9						
Indicator 9 – Extend of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies	0		Funding and the political instabilities are the main constraints		
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but there are not implemented/used	1				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
	Adequate environmental plans and strategies are produced but there are only partially implemented because of funding constraints and/or other problems	2	2			
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations and produces the required environmental plans and strategies; which are being implemented	3				
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment	0		The EU legislation is fully transpose into the national legislation; secondary legislation is in place; the project's contribution is the Gov Ordinance 741/2011 which sets up the Interministerial Committee for Sustainable Development which is an integrative body that will ensure the integrated policy making process. Though, somewhere 2-3		1
	Some relevant environmental policies and laws exist but few are implemented and enforced	1				
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them	2				
	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and functions	3	3			
Indicator 11 – Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking	0				1
	Some environmental information exists but it is not sufficient to support environmental decision-making processes	1				
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly	2	2			
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions	3				
.... Add your own indicator(s)						

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
CR 4: Capacities for management and implementation 8 out of 9						
Indicator 12 – Existence and mobilization of resources	The environmental organizations don't have adequate resources for their programmes and projects and the requirements have not been assessed	0		Especially true about the available EU and other funds; the project has also raised awareness of the existence of such funding opportunities.		2
	The resource requirements are known but are not being addressed	1				
	The funding sources for these resource requirements are partially identified and the resource requirements are partially addressed	2				
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations	3	3			
Indicator 13 – Availability of required technical skills and technology transfer	The necessary required skills and technology are not available and the needs are not identified	0		High staff turnover affects institutional capacity and many times there is a need for additional external technical expertise (consultants)		1, 2
	The required skills and technologies needs are identified as well as their sources	1				
	The required skills and technologies are obtained but their access depend on foreign sources	2	2			
	The required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading the technologies	3				
.... Add your own indicator(s)						
CR 5: Capacities to monitor and evaluate 6 out of 6						
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme	0				1
	An adequate resourced monitoring framework is in place but project monitoring is irregularly conducted	1				
	Regular participative monitoring of results in being conducted but this information is only partially used by the project/programme	2				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
	implementation team		3			
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action	3				
Indicator 15 – Adequacy of the project/programme monitoring and evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan; including the necessary resources	0		GEF projects in general have a rigorous M&E plan and have contributed to raising awareness about the evaluative exercises and building up the capacity of the national counterparts with regard to the usefulness of the M&E feedback to the planning for results.		
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted	1				
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team	2				
	Effective evaluations are conducted timely and accurately and are used by the implementation team and the Agencies and GEF Staff to correct the course of action if needed and to learn for further planning activities	3				
.... Add your own indicator(s)						

Annex 5: List of Meetings, Training Sessions and Workshops Held

No.	Meeting/ Workshop	Date	Location	Topic	Number of participants
1	NSC Meeting (including JJ & Ayj)	24.03.2010	MoEF	Harmonize MoEF opinions with project objectives for Inception Report finalize	14
2	Meeting with Adriana Dinu	4.05.2010	MoEF	NSC on NBSAP, and CB2 – jointly Indications to prepare PIR reports	8
3	STEs Meeting	2-4.07.2010	Faculty of Forestry Brasov	Meeting UNDP-PMU-STE on work progress, Briefing on TACC online survey and PIR/2009-2010	11
4	NSC Meeting	9.09.2010	MoEF	Discussions on I Phase Report, on things to do in the IIInd Phase, based on JJ Recommendations	10
5	CEPA & CHM on NBSAP	26-28.11.2010	Cluj-Napoca	First briefing and consulting regional stakeholders on RCM Model	40
6	CEPA & CHM on NBSAP	16-17.12.2010	Brasov	Briefing and consulting regional stakeholders on RCM Model	40
7	Meeting on RCM Central Region	14.01.2011	Brasov	Assessment on stakeholders reaction to CRM approach	16
8	Decisional Workshop on CB2	4.03.2011	MoEF	Decisions on CB2 project products	50
9	CRM and EIA/SEA intro to pilots	23-24.06.2011	Busteni	Initial prep on CRM & EIA/ SEA	30
10	C Region Pilot Area Ist Meeting	20.09.2011	Sibiu	Briefing on RCM Model, first regular meeting of RCM, discussions on ROF, elections, reporting indicators	51
11	SE Region Pilot Area Ist Meeting	23.09.2011	Constanta	Briefing on RCM Model, first regular meeting of RCM, discussions on ROF, elections, reporting indicators	26
12	C Region Pilot Area IIInd Meeting	14.10.2011	Sibiu	Second regular meeting, Case studies on Green Energy Regional Strategy and micro hydro powerplants	31
13	SE Region Pilot Area IIInd Meeting	18.10.2011	Galati	Second regular meeting, proposal on committee establishment, Case studies on REAP (PRAM)	35
14	Workshop on RCM, EIA/SEA and CHM	8-9.11.2011	Sinaia	Consulting all EPA's (NEPA, REPA and LEPA)	112
15	Final decisions on CB2	16.11.2011	MoEF	Decisions on CB2 products (EIA/SEA, RCM and CHM)	12
16	SE Region Pilot Area IIIInd meeting	17.11.2011	Tulcea	Case studies on Biodiversity Conservation Measures as requirements on Natura 2000 - Macin Natural Park, REAC (PRAM), Wind Power Energy, Health and Environment Safety Measures in Urban Planning	36
17	Meeting at ARPM Galati on CHM application	21.11.2011	Galati	Decision on what and how to design a CHM application, for regional use/it was chosen protected areas mng	6
18	Meeting with County Councils and RegDevAg	13.12.2011	Sinaia	Briefing on CB2 products, especially RCM; CC roles in Sust Dev and RCM; roles of DRA in RCM and SD	13
19	Workshop with ARPMs on CHM, EIA/SEA and CRM	2-3.02.2012	Sinaia	Briefing on CHM Application, the EIA/SEA proposal and the RCM roll-up Guidelines	35
20	Interministerial Committee on SD	13.02.2012	MoEF	Presentation of project components, targets and accomplishments, for feed-back and ownership	35
	Individual interviews On CRM – on sites	Jan – June, 2011	Galati & Brasov	Conducted by Bogdan	25
				TOTAL NO. of PARTICIPANTS	636

Annex 6. List of Persons Met and Interviewed During Terminal Evaluation Mission

1. Ms. Rodica Stefanescu, Project Manager, Ecological University of Bucharest
2. Mr. Dorin Alexandru, Project Team, Ecological University of Bucharest
3. Ms. Monica Moldovan, Head of Energy and Environment Section, UNDP Romania Country Office
4. Mr. Doru Irmie, Programme Assistant, Energy and Environment Section, UNDP Romania Country Office
5. Mrs. Yesim Oruc, Acting Representative of the UNDP in Romania
6. Mr. Jean-Joseph Bellamy, Romania CB-2 Project International Technical Advisor
7. Mr. XXXX Galdean, Vice Prorector, Ecological University of Bucharest
8. Mr. XXXX XXX, Project Expert for EIA/SEA
9. Ms. XXX XXXX, Project Expert for CHM, Eau de Web Software Company
10. Ms. Gabriela XXX, Romania National Focal Point for European Environment Agency
11. Ms. Daniela XXXX, Representative of the national training institute
12. Ms. XXXX XXXX, National Focal Point for the CBD Clearing House Mechanism
13. Ms. Carmen XXXX, National Focal Point for Climate Change
14. Ms. Maria-Mihaela Antofie, Lecturer, Plant Genetics and Biodiversity Conservation, Lucian Blaga University, Sibiu
15. Ms. Chrina Aseem, representative of Sibiu Local Council
16. Mr. Christian Barbuc, Deputy Director for Brasov Regional Environmental Protection Agency
17. Ms. Lucia Popovich, Head of Regulations Department, Brasov Regional Environmental Protection Agency
18. Ms. Kieru Acinciha, Public Relations Department, Brasov Regional Environmental Protection Agency, Secretary for the Brasov Regional Coordination Mechanism
19. Ms. Maria Chichilia, Head of Protected Areas Office, Brasov Regional Environmental Protection Agency

Annex 7. Evaluation Field Visit Schedule

Date and Time	Subject	Contact
Monday, March 19th		
Respective Flights Arrival time	Pick up from Airport and Checking in at Green Forum Hotel in Bucharest	Shuttle – from Perfect Tour Awaiting in the security zone, with NAMES posts in hand Hotel contact info from site
10:30 AM	Meeting Josh, at Green Forum Hotel	Dorin & Rodica
13:00	Working Lunch with JJ, Monica and Doru	Green Hotel Restaurant
14:30	Meeting Mrs. Yesim Oruc, Residential Interim Representative of UN Mission to Romania	UN House - UNDP Romania Bdul Primaverii Nr. 48A Sector 3, Bucharest
15:00	Continue discussions at UNDP	UN House
Tuesday, March 20th		
09:30	Pick up for the ride to UEB and meeting with Mr. Mircea Dutu, President of University	Driver: Dorin Mobile: 0731498374
13:00	Lunch with Mr. Galdean, UEB Prorector	Dorin and Rodica
14:00	Continuation of discussions on project deliverables, possibly with consultants	Rodica and Dorin Mobile: 0722 218 701
Wednesday, March 21st		
10:00	Meeting at Ministry, with all main representatives for the project (NFPs)	Driver: Dorin
12:00	Departure for Sibiu	Driver: Dorin
17:30	Arrival to Sibiu, and check in to Apollonius Hermanstad Hotel in Sibiu	Driver: Dorin Accompany: Rodica
Thursday, March 22nd		
10:00	Meeting at Regional Protection Agency in Sibiu, with several field stakeholders of the pilot RCM	Driver: Dorin Accompany: Rodica
14:00	Return to Bucharest	Driver: Dorin
19:30	Arrival at Green Forum Hotel	Driver: Dorin
Friday, March 23rd		
09:30/ 10:00 AM	Closure meeting at UNDP	UN House in Bucharest
11:00 AM	Wrapping up discussions at UEB	Driver: Dorin
Departure from Bucharest		
	Pending on flights departure	Shuttle

Note: The actual field visit evaluation schedule varied slightly from the above due to travel difficulties of the international technical advisor.

Annex 8: List of Documents Reviewed

Project Documentation

Project Documents

- 101806_SUBMISSION_Romania_CB2_Criteria_Annex_9.doc
- RESUBMISSION_3687_Romania_CB2_MSP_15Feb08_with CD Indicators (FINAL) (1).doc
- CB2 Project document with signature page
- www.gefonline.org - Project Details.pdf
- RESUBMISSION_3687_Romania_CB2_MSP_15Feb08_with CD Indicators (FINAL)

Project Management

- Inception Report - final.doc
- AWP CB2 multianual 16 Feb 2012 REV.pdf
- Audit 2011
- CDR CB2 2011 var 15 Mar 2012.pdf
- Budget revision CB2 61965 Romania Dec2011 rev1.xls
- Co-financing analysis CB2 Mar 2012
- CB2_RO_FINAL_REPORT_2012_DP.doc
- Project Implementation Report 2009
- Project Implementation Report 2010
- Project Implementation Report 2011
- Project Implementation Report 2012 (draft)
- Capacity Development Monitoring Scorecard 2010
- Capacity Development Monitoring Scorecard 2011
 - Progress reports
 - o QOR CB2 4-2010.doc
 - o QR CB2 4-2011 20 Jan.doc
 - o QR CB2 1-2011 19 April.doc
 - o QR CB2 2-2011 18 July.doc
 - o QR CB2 3-2011 28 Oct.doc
 - o Project Quarterly Progress Reports.pdf (ATLAS)

Meeting Documents

- Address of R1 validation by MMP-NSC.doc
- EnAdresa MMP on project results.doc
- Address on MMP-NSC-and national stakeholders on CB2 2011 AWP.doc
- CB2 Targhets and Accomplishments.doc
- Minute CIM.doc

- SummaryofmeetingsandWSHs4.doc
- Minute NSC on 1st Project Report.doc
- Minute on decisional wsh validation of CB2 results at MMP 16 nov 2011.doc
- MMP request for help on SNSC.doc

Mid-term Management Review

- 3rd Assignment Report-Management Review 2011.docx
- Management response CB2 mid term review 2011.doc
- 3rd Assignment Report-Management Review JJ feb 2011.doc
- 3rd Assignment Report-Management Review-feb 2011.doc
- CB2 midtermManagement Review-feb 2011.doc
- Jean Jo -2nd Assignment Report March 2010.doc

Project Outputs

- CHM proposal EN.doc
- NFPs Institutionalization.doc
- CRM proposal EN.doc
- Improvement of EIA_SEA_EN.doc
- Report Green Economy Roundtable 22 Nov 2011.doc
- Romania CB2 Case Study for Rio+20.docx
- Romania CB2 Case Study revised.docx
- RCM mechanism - scheme
- Report Synthesis on Rio CONvention implementation in Romania - August 2010.doc
- RCM mechanism - scheme.png
- Report Synthesis - Phase I 2010.doc

Non-Project Documents and References Consulted

- Gov Ordinance translated in En.pdf
- NCSA Final Report.pdf
- Bellamy, Jean-Joseph and Kevin Hill, 2010. "National Capacity Self-Assessments: Results and Lessons Learned for Global Environmental Sustainability", Global Support Programme, Bureau for Development Policy, United Nations Development Programme, New York, USA.
- Bellamy, Jean-Joseph and Kevin Hill (2010), "Monitoring Guidelines of Capacity Development in Global Environment Facility Projects", Global Support Programme, Bureau for Development Policy, United Nations Development Programme, New York, USA.
- Bernstein. Stephan and Jutta Brunnée, 2011. "Options for Broader Reform of the Institutional Framework for Sustainable Development: Structural, Legal and Financial Aspects."

- Datta, Ajoy, Louise Shaxson, and Arnaldo Pellini, 2012. "Capacity, complexity and consulting: Lessons from managing capacity development projects," Overseas Development Institute, London. Working Paper 344, March 2012.
- GEF, 2010. "Cross-cutting Capacity Development Strategy," GEF Secretariat, Washington, D.C.
- GEF Evaluation Office, 2011. "Evaluation of GEF National Capacity Self-Assessments (NCSA)," Unedited version of final report, October 2011.
- Government of Romania, UNDP. 2008. "National Sustainable Development Strategy of Romania, 2013-2020-2030: Keep healthy what keeps you in good health," Bucharest, 2008.
- Mutler, Alison and Karel Janicek, 2012. "Romanian Government Falls in No-Confidence Vote," Associated Press, April 27, 2012.
- Redactia Financiarul, 2009. "Jeremy Staniforth appointed Romania's High Representative for Sustainable Development," May 23, 2009.
- Romania Business Insider, 2012. "Romania's Environment Minister Borbely steps down amid corruption accusations," April 5, 2012.
- UNDP, 2010. "Capacity Development: Measuring Capacity," UNDP: New York. July 2010.

Annex 9: Evaluation Matrix

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

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

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

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

Annex 10: Interview Guide

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

Key

Bold = GEF Evaluation Criteria

Italic = GEF Operational Principles

I. PLANNING / PRE-IMPLEMENTATION

A. **Relevance**

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

B. *Incremental cost*

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

C. *Country-drivenness / Participation*

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

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

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

II. MANAGEMENT / OVERSIGHT

A. Project management

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

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

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

V. LESSONS LEARNED

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

VI. SUSTAINABILITY

A. Financial

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

B. Socio-Political

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

C. Institutional and Governance

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

D. Ecological

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

Annex 11: Evaluation Consultant Agreement Form

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form³

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Josh Braun

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at place on date Bucharest, 19/03/12

Signature: Josh Braun

³ www.unevaluation.org/unegcodeofconduct