



**United Nations Environment Programme (UNEP)**



**United Nations Development Programme (UNDP)**

# **Terminal Evaluation of the project Improving Wastewater Management in Coastal Cities in ACP Countries**

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**May 2012**

## Table of Content

List of abbreviations and Acronyms	i
Project Identification Table	ii
Executive Summary	iii
I. Evaluation Background	1
A. Context	1
B. The Project	2
C. Evaluation objectives, scope and methodology	4
II. Project Performance and Impact	6
A. Attainment of objectives and planned results	6
B. Sustainability and catalytic role	10
C. Processes affecting attainment of project results	13
D. Complementarity with UNEP, UNDP and UNIDO programmes and strategies	18
III. Conclusions and Recommendations	20
A. Conclusions	20
B. Lessons Learned	23
C. Recommendations	25
Annex 1 Evaluation TOR	26
Annex 2 The Evaluation Framework	72
Annex 3 Evaluation Program and People Met	77
Annex 4 Bibliography	80
Annex 5 Summary of finance information	81
Annex 6 The review of project design	83
Annex 7 Tabulation of responses to email questionnaire	89
Annex 8 Review of Outcomes to Impact	91
Annex 9 Brief CV of Consultant	96

## List of abbreviations and Acronyms

ACP countries	Africa, Caribbean, Pacific Countries
APR	Annual Project Review
BSP	Bali Strategic Plan
EU	European Union
GCLME	Gunia Current Large Marine Ecosystem
GEF	Global Environmental Facility
IDA	International Development Agency
IW:LEARN	International Waters Learning Exchange and Resource Network
MYFP	Multi-year Financial Planning
OOP	Objectives Oriented Planning
ROtI	Review of Outcomes to Impact
SIDS	Small Island Developing States
SSFA	Small Scale Funding Agreement
TSC	Train-Sea-Coast
UN/DOALOS	UN Division for Ocean Affairs and the Law of the Sea
UNEP	United Nations Environmental Programme
UNEP MTS	UNEP Medium Term Strategy
UNEP-GPA	UNEP Global Programme of Action for the Protection of the Marine Environment from Land-based Activities
UNESCO-IHE	UNESCO-IHE Institute for Water Education
WIO-LaB	Addressing Land-based Activities in Western Indian Ocean

## Project Identification Table

Project title	Pollution Reduction through Improved Municipal Wastewater Management in Coastal Cities in ACP Countries with a Focus on SIDS
Project Number	GP/3000-07-01
Focal Area	International Waters
Implementation	UNEP DPI-GPA with UNESCO-IHE
Thematic Sub-programme	Early warning and assessment
Geographical scope	Global
Project Duration	3 years
Actual start date	April 2007
Completion date	March 2010
Budget	USD 2,002,544

## Executive Summary

### Context

- i. The discharge of untreated municipal wastewater into rivers, lagoons and estuaries or directly into the ocean is one of the most serious threats to the marine environment, the health of coastal populations and sustainable coastal development worldwide.
- ii. This project aimed to respond to the challenges faced by African, Caribbean and Pacific countries (ACP) in addressing municipal wastewater problems. It planned to do this through improving skills and knowledge in project identification, planning and financing in water, sanitation and wastewater management at the municipal level.
- iii. Both the Global Environmental Facility (GEF) and the European Union Water Initiative (EU Water) pledged funding for this project. The funding cycle and requirements for proposals and reporting were, however, so different that it was difficult to satisfy all requirements in one proposal and the UNEP-GPA office decided to develop two project documents, one for the GEF contribution and one for the EU Water Initiative contribution.

### The Project

- iv. The objective of the project is to strengthen wastewater management capabilities at the municipal level to be able to identify and formulate feasible and environmentally friendly projects to collect and either treat or re-use municipal wastewater. It was decided that in order to increase sustainability of these resulting projects, the project should include training in the skills and tools needed by municipal finance committees to plan multi-year financing of infrastructure projects. It was further decided that the scaling up of implementation activities would need support from a multilingual web-site for information sharing, outreach to relevant stakeholders and collaboration with relevant GEF international water projects in the Small Island Developing States (SIDS).
- v. The project was implemented by UNEP-GPA in close coordination with the regional and national focal points of the beneficiary countries and UNESCO-IHE to ensure a high quality of training. The regional focal points assisted in identifying national partners that could provide high quality training delivery. The national partner was responsible for organising the training, selecting participants based on criteria issued by the secretariat. Potential instructors would participate in a training course and receive instructor training in parallel with the course participation.
- vi. The course material for Objectives Oriented Planning (OOP) was developed and tested during an earlier project and available in English, Portuguese and Spanish, but needed translation into French. The course for municipal finance committees - Multi-year Financial Planning (MYFP) – was new and needed to be developed and tested before implementation could start. A web-site had been established during the earlier project and was to be upgraded as a training web-site and an electronic forum for practitioners.

## Project Performance and Impact

- vii. **Achievement of Outputs and Activities:** After the development of the curriculum for MYFP, it became apparent, that many of the assumptions on budgeting processes, on which the training need analysis was based, were incorrect. A much more comprehensive approach would be required and this was outside the scope of this project. It was agreed to terminate MYFP, transfer the resources to OOP, leaving the total target for the project at 1200 participants. The Project reports that 1247 people have been trained. Of these, the project document stated that 80% should be municipal project managers and 20% others. However an analysis of the course participants lists indicates that less than half of the participants were directly employed in a municipality, local or district council.
- viii. A training web-site was established and available in English, French, Portuguese and Spanish. The web-site contained course material, reports from all training courses, management tutorial, compendium of technologies, a large document library, and had links to several useful planning tools. The web site was hacked in 2010 and closed down.
- ix. **Attainment of objectives and planned results:** The indicator for achieving the objective is that 20% of the proposals submitted for review by course participants after training, are based on OOP; unfortunately not a single proposal has been submitted for review. However, the post training assessment 2009 indicates that individual participants are preparing proposals based on OOP and this is supported by the observations made during the evaluation. Proposals are being prepared; they are just not being submitted for review.
- x. The target for success of OOP is that 80% of the people trained understand and are able to apply OOP. This has been achieved according to APR 2009. The target for “Increased willingness of managers and finance staff to cooperate” is the number of participants trained willing to cooperate. The 2009 APR reported that this is not possible to measure because the MYFP component had been cancelled. However, participants in several interviews mentioned that the oral presentation skills were used daily when communicating with colleagues, superiors and beneficiaries. The “Improved knowledge base and strengthened information exchange” should be measured against the number of staff from other projects that have been trained or who have access to TSC tool. The 2009 APR reported that most of project staff working with demonstration projects have been trained.
- xi. **Sustainability:** The goal of the project is to achieve a pollution reduction. The Wastewater proposals that are environmentally friendly, technologically feasible must be implemented to achieve this. The assumption made here is that the municipality’s management and political leaderships is willing to accept a change in the way things are planned and implemented in the municipality and that financial resources for municipal infrastructure investments are available. Very few, if any, municipality in a low-income country has its’ own revenue for infrastructure investment. They are largely dependent on donors for investment projects. A respondent to the email questionnaire, from a middle income country reported that all of the projects developed in his institution were based on OOP, some were self-financed other financed by private sector. This could indicate that lasting impact can occur in high and middle-income countries within a reasonable time, where it might take longer in low-income countries (7 out of 28 countries are low-income countries).

- xii. The potential for large-scale capacity development is present if national training institutions adopt and integrate the training course in the institutions training calendar. The evaluation found evidence for this in Kenya and Tanzania, where course instructors are using the course material their teaching.
- xiii. **Catalytic Role and Replication:** Integrating stakeholder involvement at all stages in urban planning processes is an innovative approach in parts of the world. One participant explained how stakeholders were informed through public meeting from the early planning stage on land development issues, another described public sensitization campaigns for wastewater and waste management issues. Examples of the project's catalytic role in policy change is shown by participants' initiatives to influence the creation of guidelines for monitoring wastewater discharge from hotels in Kumasi and development of a policy on the management of contaminated lands in Accra.
- xiv. **Preparation and Readiness:** The project documentation is difficult to understand since the project is guided by two project documents. The two documents are not stringent in the use of terms like objective, outcome and output. The objectives and outcomes presented in the summary are not identical with those presented in the narrative or in the log-frame. Risks and assumptions are not adequately explored. The project design is ambitious and the project is attempting to implement a number of activities, all relevant, but overambitious given the magnitude and the geographical spread of the project.
- xv. The implementation approach is decentralised using local capacity. The project was managed by a small team of professionals in UNEP-GPA supported on the academic site by UNESCO-IHE. Regional partners assisted in each of the four regions in identifying national partners. The national partner was responsible for course implementation. The roles and responsibilities of each partner were well defined. This approach made it possible to implement **49 courses in 28 countries** using locally expertise.
- xvi. **Stakeholder Participation and Public Awareness:** The project used a number of global, regional and national stakeholders in the planning and implementation of the project, *as mentioned above*. Municipalities and national government agencies participated through nomination of participants for the course. Public awareness was through dissemination of posters and flyers to relevant partner organisations and the web-site with document library, links to planning tools etc.
- xvii. **Country Ownership and Drivenness:** This project is designed to work through national partner organisation to deliver training at municipal level, the partner organisation could be a government department or institution e.g., the national environmental protection agency or a national university. The country ownership is vested at national level through the partner organisation and at local government *level* in the municipalities. The project was supposed to develop capacity at municipal level to solve wastewater problems, influence policies and guidelines with a bottom up approach, but analysis of training reports shows that less than 50% of course participant were municipal employees.
- xviii. **Financial Planning and Management:** The project is guided by two project documents: one for the GEF financing and one for the EU Water Facility financing. The financing of the project is a GEF contribution of USD 1 million and a EU contribution up to EUR 1 million (USD 1.2 million). The GEF project document does not include any detailed

budget, neither on items, activities or outputs. The EU Water Facility project document only lists the EU-contribution and how it should be utilised and it includes a costed workplan. The total budget of the project document was in 2007 USD 2,136,744. The total expenditures by end 2011 are USD 1,764,044.

- xix. The implementation approach was modified during the project life to reduce the administrative burden on UNEP reducing the numbers of sub-contracts with national institutions. The contract holders interviewed did not report any problem in connection with the contract preparation, not is any problem reported in the project documentation.
- xx. The project did not have country level co-financing. UNEP contributed up to USD 262,500 in kind towards salaries and other administrative cost at UNEP-headquarter. None of the partners interviewed reported any financial delays, irregularities or other issues related to finance nor has any issue been raised in the project reporting.
- xxi. The lack of detailed budget in the project documents makes it difficult to assess if the financing has been utilised as initially planned. The absence of activity and output based budget and expenditure makes it impossible to provide a breakdown of final actual cost for the different component.
- xxii. **UNEP Supervision and Backstopping:** Backstopping of the project was to be provided by UNEP-GPA, and a project steering committee was to be established and meet annually. The evaluation was informed that the project management and the UNEP technical adviser had agreed that annual technical evaluations were not needed. This agreement is not recorded in any of the documents made available for the evaluation. The steering committee was not established but an interim steering committee met at the start of the project in August 2007 and at the end of the project in November 2009. Coordination and overall guidance during implementation of the project was kept at an informal level between the project management and UNEP-GPA and UNDP. Informal supervision and backstopping can be practical and efficient, but decisions should be documented and it should be as supplement to the formal supervision.
- xxiii. **Monitoring and Evaluation:** The M&E design of the project is based on the log-frame with its objective level and outcome level indicators, baseline, targets and source of verification. The basis for the baseline in the log-frame is “estimates of the status” but no source is offered for validation of the estimate.
- xxiv. The monitoring and evaluation of training courses is based on the TRAIN-X methodology. The result of the training evaluation is not included in the training course reports. The course organisers informed the evaluation that participants at the end of the course filled a mastery test template and course evaluation form. The project reporting does not include a training evaluation analysis or recommendations based on course evaluations.
- xxv. A post training evaluation was carried out in 2009 covering participants from 13 courses conducted from 2007 to 2009. The findings and conclusions of the post training evaluation are presented in a clear and concise manner.
- xxvi. **Gender:** It has been difficult to understand the gender strategy of the project. The EU project document does include a discussion on gender and conclude that participation of women will be promoted. The Final Narrative Report reports that 22% of the



participants were women. It has not been possible to verify this figure. It has not been possible to get a clear answer on whether participation of women was promoted in the invitations for the course.

## Conclusions

xxvii. A summary of the final rating is shown in the table below

Criterion	Rating
A. Attainment of project objectives and results	Moderately Unsatisfactory
B. Sustainability of project outcomes	Moderately Likely
C. Catalytic role	Satisfactory
D. Stakeholders involvement	Moderately Satisfactory
E. Country ownership / driven-ness	Moderately Unsatisfactory
F. Achievement of outputs and activities	Moderately Satisfactory
G. Preparation and readiness	Unsatisfactory
H. Implementation approach	Satisfactory
I. Financial planning and management	Unsatisfactory
J. Monitoring and Evaluation	Unsatisfactory
K. UNEP and UNDP Supervision and backstopping	Unsatisfactory

## Lessons Learned

xxviii. The lessons learnt from implementing this project relate to the project design and project management:

1. Two-project documents: The project was funded from two sources (GEF and EU) and at the design stage it was decided to prepare two project documents one for each donor to satisfy the different reporting requirements. The two documents were formulated each describing the entire project with regards to activities, outputs etc. The different formats presented different descriptions of project strategy and approach without ensuring that this also was reflected in the other document. A two-project document solution should be avoided and this should be possible in today's world when most donors subscribe to the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action. In the few cases when it cannot be avoided the approach demands very clear definition of the content when the project is explained in two different formats.
2. Assumptions: It was proposed in the project documents to develop training on MYFP using the same methodology as used for OOP. After the development of the curriculum for the planned MYFP, it became apparent, that many of the assumptions on budgeting processes in countries, on which the training need analysis and thus the curriculum was based were incorrect and that a more comprehensive approach would be required which was outside of the scope of this project. Lesson learnt from is that assumptions (and risks) should be validated and monitored during project preparation. The project design team should also assess which critical assumptions are likely to turn into risks that need mitigation measures.
3. Indicators: The project offered participants the opportunity to submit proposals prepared at work for a technical review by the project. The project based the indicator for achieving the objective on how many of the proposals submitted were based on OOP. However, no proposal has been submitted for review and the project has not been able to report any result. The lesson learnt is that means of

verification for an indicator should be something that can be accessed and that is not dependent on somebody else's active action.

4. Steering Committee: Backstopping and supervision of the project was designed to be through an annual technical review and a steering committee. It was decided that technical reviews were not necessary and the steering committee was replaced by informal communication directly between the project secretariat, UNEP-GPA and UNDP-GEF. Not all projects need the same level of backstopping and supervision, but all projects need supervision and backstopping, and management decision taken needs to be documented. The functions of an annual technical review should be analysed to ensure that the functions are covered elsewhere, either by partners or through consultancies.

#### Recommendations

- xxix. It is recommended that the course material, management tutorial, compendium of technologies and the links to planning tools from the project web-site are uploaded to the GPA web-site.

## I. Evaluation Background

### A. Context

1. The discharge of untreated municipal wastewater into rivers, lagoons and estuaries or directly into the ocean is one of the most serious threats to the marine environment, the health of coastal populations and sustainable coastal development worldwide.
2. According to UNEP (2005), the percentage of untreated wastewater reaching fresh or coastal waters is 86% for the Caribbean, 80% in West and Central Africa, and 50% for East Africa. Data on coastal water quality in Pacific Island Countries is very limited, but poor water quality in some areas has led to the degradation of important fishing and tourism resources.
3. The UNEP Global Programme of Action for the Protection of the Marine Environment from Land-based Activities (GPA), with its global mandate to reduce land-based sources of marine pollution, is concentrating on efforts to assist governments and municipalities in addressing water pollution from untreated wastewater (pollution prevention).
4. Jointly with the UNESCO-IHE Institute for Water Education and in cooperation with the UNDP-GEF funded Train-Sea-Coast Programme of the UN Division for Ocean Affairs and the Law of the Sea (UN/DOALOS), the UNEP-GPA developed a training course entitled “Improving Municipal Wastewater Management for Coastal Cities”. Content was based on the UNEP/WHO/UN-HABITAT/WSSCC Guidelines on Municipal Wastewater Management. This UNDP-GEF project aimed to continue and expand the UNDP/GEF/UNOPS Global TSC Programme (2000-2005) by delivering cost-effective replications in 29 countries in Africa, the Caribbean and the Pacific Islands.
5. The project aimed to respond to the daunting challenges faced by African, Caribbean and Pacific countries (ACP) in addressing municipal wastewater problems. Improving skills will do this and knowledge at the municipal level needed in project identification, planning and financing in water, sanitation and wastewater management. The actions proposed follow recommendations of the EU Water Initiative and contribute to building decentralized capacity towards achieving the Johannesburg Plan of Implementation targets on water and sanitation. It planned to do so by strengthening municipal efforts to identify, design and finance projects to collect and treat domestic wastewater through training their managerial staff.
6. Both GEF and EU Water Initiative pledged funding for this project. The funding cycle, the requirement to the proposal and to reporting were, however, so different that it would be difficult to satisfy all requirements in one proposal and the UNEP-GPA office decided to develop two project documents, one for the GEF contribution and one for the EU Water Initiative contribution.

## B. The Project

7. The objective of the project is to strengthen wastewater management capabilities at the municipal level to be able to identify and formulate feasible and environmentally friendly projects to collect and either treat or re-use municipal wastewater. It was decided that in order to increase sustainability of these resulting projects, the project should include training in the skills and tools needed by municipal finance committees to plan multi-year financing of infrastructure projects. It was further decided that the scaling up of implementation activities would need support from a multilingual web-site for information sharing, outreach to relevant stakeholders and collaboration with relevant GEF international water projects in the SIDS.
8. Four outcomes are expected: 1) increased capacity in ACP countries to identify and formulate feasible and environmentally friendly wastewater projects; 2) increased capacity to plan sustainable multi-year financing of municipal wastewater projects; 3) increased willingness of managers and finance staff to cooperate and systematically involve stakeholders at all stages of the planning process; and 4) an improved knowledge base and strengthened information exchange between practitioners (Annex 1, Appendix 1).
9. The project was implemented by UNEP-GPA in close coordination with the regional and national focal points of the beneficiary countries and UNESCO-IHE to ensure high quality of training. The regional focal points assisted in identifying national partners that could provide high quality training delivery. The national partner would be responsible for organising the training, selecting participants based on criteria issued by the secretariat. Potential instructors would participate in a training course and receive instructor training in parallel with the course participation.
10. The course material for Objectives Oriented Planning (OOP) was developed and tested and available in English, Portuguese and Spanish. The course material, therefore, only needed to be translated into French. The course material for support to municipal finance committees - Multi-year Financial Planning (MYFP) - needed to be developed and tested before implementation could start. A web-site had been established during the earlier project and would be upgraded as a training web-site and an electronic forum of practitioners.
11. The project was to be implemented in 29 countries. The EU document contains a list of these countries. It is reported in the Final Narrative Report that the total number of countries where the project has been implemented is 28 countries (Bahamas, Barbados, Belize, Benin, Cameroon, Cook Island, Comoros, Côte d'Ivoire, Fiji, Ghana, Guyana, Jamaica, Kenya, Kiribati, Madagascar, Mauretania, Mauritius, Mozambique, Nigeria, Republic Congo, Senegal, Seychelles, St. Kitts and Nevis, Suriname, Tanzania, Togo, Trinidad and Tobago). The reason for the change in the number of countries where the project was implemented is not given in the project documentation. Of the 28 countries 7 are low-income countries, 13 lower-middle income countries, 5 upper-middle income countries and 3 high-income countries<sup>1</sup>.
12. The outputs of the project are quantified as follows:

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<sup>1</sup> World Bank Country index: Lower income country – less than USD 1,005; lower-middle income country – between USD 1,006 – 3,975; upper-middle income country – between 3,975 – 12,275; and high income country – more than 12,276.

Component A – OOP: Training material translated into French; 45 instructors trained, mainly from ACP countries; 46 contracts with local organisations for course delivery; 46 five-day training courses delivered to 920 municipal wastewater managers (80%) and other stakeholders (20%); and review of at least 20 project proposals submitted by former participants.

Component B – MYFP: Training needs assessment and development of curriculum for MYFP; development of course package on MYFP; translation of course material into French, Portuguese and Spanish; training of 6 instructor; 14 contracts with mainly local organisations for course delivery; and 14 training courses on MYFP delivered to 280 finance committee members.

Component C – Support to A & B plus outreach: printing and dissemination of course manuals and training packages, outreach poster, and project flyers; training web-site designed and maintained including an electronic forum of practitioners.

13. The indicator used to verify achievement of the objective and the stipulated outcomes are:

Objective: Improved wastewater management in selected ACP countries should be verified through the number of new wastewater proposals reviewed that are environmentally friendly, technologically feasible, where stakeholders were involved in the planning process, and include a sustainable multi-year finance plan for O&M.

Outcome 1: Increased capacity in ACP countries to identify and formulate feasible and environmentally friendly wastewater projects should be verified through the number of course participants that understand and are able to apply OOP in waste water projects.

Outcome 2: Increased capacity to plan sustainable multi year financing of municipal wastewater projects should be verified through the number of participants of MYFP who understand MYFP and are willing, competent and able to use these methods.

Outcome 3: Increased willingness of managers and finance staff to cooperate and systematically involve stakeholders in all stages of the planning process should be verified through the number of people trained willing to cooperate and to involve stakeholders in the planning process.

Outcome 4: Improved knowledge base and strengthened information exchange between practitioners and other GEF projects should be verified through the number of staff involved in demonstration projects or have access to TSC tools either through IW:LEARN or TSC-GPA web sites.

14. The source of funding for the project is GEF with USD 1 million and EU Water Facility up to EUR 1 million (USD 1.2 million). The majority of the budget (USD 1.5 million) is planned utilised on Component A – OOP; USD 600,000 for Component B – MYFP; and USD 100,000 on Component C – Outreach. The project documents do not include any detailing of these amounts.
15. After the development of the curriculum for the planned MYFP, it became apparent, that many of the assumptions on budgeting processes in ACP countries, on which the training need analysis and thus the curriculum was based were incorrect. While this confirmed the need to support countries and especially cities in budgeting

processes “it became clear that in order to provide high quality relevant training on this issue, a much more comprehensive approach would be required – which was identified as clearly outside of the possibilities of this project” (APR 2009). The issue was discussed with the two donors and it was agreed to halt Component B – MYFP and shift available financial resources to Component A – OOP.

C. Evaluation objectives, scope and methodology

16. This terminal evaluation of the Project “Improving Municipal Wastewater Management in Coastal Cities in ACP Countries” is undertaken to assess project performance, and determine outcomes and impacts stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, UNESCO-IHE, EU and the sub regional partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of key questions, based on the project’s intended outcomes, which may be expanded by the consultants as deemed appropriate:

How successful was the project in improving the capacity of 46 municipalities in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects, backed by a multi-year finance plan

Specifically through:

- Increased capacity to identify and formulate feasible and environmentally-friendly wastewater projects;
  - Increased capacity to: plan sustainable multi-year financing of municipal wastewater projects;
  - Increased willingness of managers and finance staff to cooperate and systematically involve stakeholders in all stages of the planning process; and
  - An improved knowledge base and strengthened information exchange between practitioners and other GEF projects
17. According to the TOR (Annex 1) the Evaluator was advised to adopt a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods have been used to determine project achievements against the expected outputs, outcomes and impacts (Annex 2).
18. The qualitative tools used with the primary aim of measuring the impact of the project includes: literature review of existing documentation (Annex 4) such as project documents, APRs, course reports, final progress report, financial statements and other material related to the implementation of the project; a country visit to Kenya and Tanzania to interview project management, course organisers, course instructors and participants and a visit to UNEP headquarter in Nairobi to interview

project management and other relevant staff and stakeholders (Annex 3); and telephone interviews with various stakeholders for feedback (Annex 3).

19. To gain quantitative data for the evaluation process a questionnaire was developed (Annex 2) and sent to course participant from a number of courses in each region. The questionnaire also included an invitation to participate in a more extensive telephone interview. The questionnaire was sent to a total of 138 participants with valid email address. 17 participants filled in and returned the questionnaire out of which 10 accepted the invitation for an interview. The questionnaire was distributed to Pacific (16 sent/3 reply), Caribbean (30/3), Indian Ocean (22/1) and West Africa (70/10). The responses to the email questionnaire are tabulated and included in Annex 7.
20. The adopted methodology and the employed tools are efficient considering the geographic scope of the project, the resource limitation (timeframe and allocated funds) and the fact that the project was terminated in March 2010 and last training carried out in 2009. The email questionnaire was suitable to get feedback on a few basic questions related to the usefulness of the training from a larger group of participants.

## II. Project Performance and Impact

### A. Attainment of objectives and planned results

21. **Achievement of Outputs and Activities:** The project should according to the project document be implemented in 29 countries and 60 courses should be conducted for a total of 1200 participants. The number of courses and participants are in the project document divided between component A – OOP and component B - MYFP with 46 / 14 and 920 / 280. Component B was terminated and the resources transferred to Component A (paragraph 15). The Final Narrative Report states that 49 courses with 1247 participants were conducted in 28 countries. The project trained more participants than anticipated with a lower number of training courses.
22. Component A – OOP:
23. Experts from Burkina Faso and Madagascar translated the training material into French, instructors were identified and 14 courses conducted in 9 countries with a total of 385 participants; the target was 300 participants.
24. The project has trained a total of 27 instructors against a target of 54 instructors. The reason given was that fewer instructors were needed in French speaking countries and that it was decided not to train more instructors than needed. This decision is not documented but seems sound. Regional instructors are available in 10 countries and international instructors are available for course delivery in English, French, Spanish and Portuguese.
25. The project document stated that a small scale funding agreement (SSFA) should be made for each course delivery. During implementation it was found more practical to issue one SSFA to each local organising institution covering all the course deliveries the organisation would be responsible for. This reduced the total number of SSFA from 46 to 15 and reduced the administrative burden on UNEP-GPA.
26. The project has trained 1247 people as mentioned above in paragraph 21. Of these, the project document stated that 80% should be municipal project managers and 20% others. Neither the Final Narrative Report nor the APR offers any statistic on this. The Final Narrative Report stated that: “1247 participants from 150 different municipalities and national government authorities participated in training courses”, but the number of municipalities is not mentioned. An analysis of the course reports indicates that the course participants have a very diverse background, that some courses have a majority of participants with connection to a university or an environmental agency other have been exclusive courses for one coastal town. An analysis of the course participants lists indicates that approximately 25% of participants were directly employed in a municipality, local or district council. It is difficult to determine a persons function, based on title and organisation listed in a course participants lists without knowing the institutional setup and distribution of responsibility in the country and any such analysis can only be indicative. The percentage could be raised to 45-50 % if those at higher level in government dealing directly or indirectly with water issues are included, but it cannot get as high as 80%.



<b>Participant with a professional function related to:</b>	
Municipality, local or district council,	25%
Higher level within government related to water, local government, planning of similar	18%
Environment	18%
Health	6%
Fisheries	4%
Private Sector	7%
NGO	4%
Others, including universities	18%
Total	100%

27. The APR 2010 reported that the training evaluation indicates that all participants meet all criteria in accordance with UN/DOALOS accredited Train-Sea-Coast standards.

28. The project offered course participants the opportunity to submit proposals based on OOP to the project for review. The indicator for this output is review of at least 20 project proposals (see paragraph 93 - 3). The project did not receive any proposal for review. There is no indication in the project documentation available to the evaluator that the project was pro-active in encouraging participants to submit proposals for review. The interviews carried out and the responses to the email questionnaire indicate that proposals were prepared based on OOP and a few funded and implemented (Annex 7). The interviews also indicate that most proposals were prepared immediately after the course, and then less and less if the participants' supervisor or institution was not responsive. This observation is supported by the 2009 Post Training Evaluation that also included a list of project proposals prepared by participants after completing the training course. The acquired knowledge was used, but participants and their organisation did not want or did not find it appropriate to get a project proposal reviewed by an external organisation.

*Examples of OOP proposals prepared by participants (extracted from the email survey and the country level interviews<sup>2</sup>):*

- Constructed wetland for wastewater treatment in Tanga, - not funded
- Wastewater treatment from fish industry – private sector funding
- Proposal for solid waste disposal – not funded
- Emergency rehabilitation of three water supply schemes in Ondo State - funded
- Water supply through desalination by reverse osmosis, Ondo State – planned
- Rehabilitation and extension of Bangem Water Supply – funded
- Construction of school and toilet within Bangem municipality – funded
- Construction of tourist lodge and sanitation facilities at Twin lake – not funded
- Improving urban sanitation in the Federal Capital Territory – not funded
- Effluent treatment plant for an Abattoir – not funded
- Improving coastal water quality in Lambeau, Tobago – not funded
- Lagoon wastewater treatment plant at Belmopan Expansion project - funded

*Some participants have reported the use OPP for other project types such as:*

<sup>2</sup> 27 project proposals were identified from the email surveys and interviews, 10 were reported funded.

- Construction of an indigenous and ornamental tree nursery – funded
- Construction of a council market – not yet funded
- Construction of commercial housing scheme – not yet funded
- Construction of City Hall – not funded

29. The people who responded to the email survey (Annex 7) all praised the course for being very relevant and educative. Nobody has pointed out any content that could be replaced; a few mentioned that the course could be more practical and some that it should be an annual event “training and retraining”. The instructors interviewed mentioned that the course could benefit from being divided into two, with a practical session with “homework” between the two courses. This would increase the cost of the course. One instructor said that the course material was so good that nobody came late to lessons and almost everybody was attentive throughout the lessons. The answers to the question on “what was most useful on the course” is quite diverse, some say everything, some OOP, one found the conventional and innovative approached the best, but most say that the presentation techniques has benefited them most in their daily work.
30. **Component B:** The component was terminated in 2009 as described above in paragraph 15. The output is a draft course curriculum that could form the basis for later development of a course in multi-year financial planning.
31. **Component C:** The Final Narrative Report does not quantify the support activities for component A & B. From the number of participants trained it can be assumed that the course manual and training packages have been produced and disseminated. None of the participants interviewed recalled having seen posters or flyers (but it is years ago so it might have been forgotten), they all acknowledged receiving the handbook and course material and stated that they used them. One person had the material and handbook in the office others had it at home. One participant mentioned that the CD with project cycle management tutorial was useful.
32. The project document stated that a training web-site with an electronic forum of practitioners should be designed and maintained. The web-site was established and available in English, French, Portuguese and Spanish. The web-site contained course material, reports from all training courses, management tutorial, compendium of technologies, a large document library, and had links to several useful planning tools. The electronic forum for practitioners was never established. The web site had 30,000 visits in 2007, 48,000 in 2008 and 56,000 in 2009 (Final Narrative Report). The web site was hacked in 2010 and closed down. Some of the material has been transferred to UNEP-GPAs web-site, but unfortunately not the course material and technology compendium.
33. The project document does not include thinking on the maintenance of the web-site beyond the life of the project.
34. *Based on the above findings, achievement of outputs and activities is rated Moderately Unsatisfactory (MU).*
35. **Relevance:** The majority of coastal cities in the regions covered by the project are discharging untreated wastewater into rivers, lagoons, estuaries or the ocean.

Building capacity in coastal municipalities and the government institutions to plan, present and implement wastewater management projects are necessary if ocean pollution should be reduced.

36. The project was designed to support a large number of regional and global initiatives among these are: African Ministerial Conference for Environment, WIO-LaB, GCLME, to meet demands formulated in meetings; Caribbean Environmental Health Organisation, Cartagena Convention, Protocol on Pollution from Land-based Sources and Activities; Pacific Regional Environment Programme, South Pacific Applied Geoscience Commission, Small Island Developing States. The project supports GEF OP10, the Contaminant-based programme and provides linkages to OP2: Coastal Marine and Freshwater Ecosystem and GEF-3/4 Strategic Priorities/Directions IW-2 Target Learning / Focus on SIDS (GEF Project Document).
37. *Based on the above findings, relevance of the project is rated Satisfactory (S).*
38. **Effectiveness:** The objective of the project and the expected outcomes are described in paragraph 8 above and the measures given in the project log-frame for measuring the outcomes are listed in paragraph 13. The achievements of outputs are discussed above in paragraph 21 to 33. The indicator for achieving the objective is that 20% of the proposals submitted to review are based on OOP. Not a single proposal has been submitted for review (paragraph 28 and APR 2009). The post training assessment 2009 indicates that individual participants are preparing proposals based on OOP. This is supported by the observations of the interviews and the questionnaire (paragraph 28).
39. The indicator and source of verification for both outcome 1 – OOP and outcome 2 – MYFP is that 80% of the people trained understand and are able to apply either OOP or MYFP. The source of verification is the UN/DOALOS-TSC module test. It is in the APR 2009 reported that all participants in OOP passed the test. Component B was terminated before implementation started as explained in paragraph 15. The indicator for outcome 3 – Increased willingness of managers and finance staff to cooperate, is the number of participants trained willing to cooperate, and this should be verified by a statement in the final course evaluation report. The course reports inspected does not include a statement related to participants' willingness to cooperate. However, half of the people who returned the email questionnaire indicate that the most useful part of the course was the module on presentation techniques. This is supported by the interviews where a number of participants have indicated that they benefited most from the skills related to stakeholder involvement and presentation techniques. It was in several interviews mentioned that the stakeholder involvement and oral presentation skills was used daily both when communicating with colleagues, superiors and beneficiaries. Based on these observations it can be concluded that participants are willing to cooperate. Outcome 4 – Improved knowledge base and strengthened information exchange should be measured against the number of staff from other projects that have been trained or who have access to TSC tool. The APR 2009 stated that all project staff working with demonstration projects for WIO-LaB in East Africa have been training and that some staff (figures not given) have been trained in Caribbean, Pacific and West Africa.

40. *The project has been very effective in providing the OOP training, over ambitious with respect to other issues that could support good wastewater management, e.g., MYFP, forum for practitioners. Based on these observations the effectiveness of the project has been rated Moderately Unsatisfactory (MU).*
41. **Efficiency:** Cost efficiency is integrated into the project design and administrative costs are minimised by using a network of global, regional and national partners to be responsible for the implementation. Another cost-saving feature is the “snowball approach” of using one course to prepare for the next course. (GEF project document). The project relied strongly on local capacity, which added to the cost efficiency. The approach was modified during implementation by empowering the regional partners to take more implementation responsibility to ensure efficient and timely delivery of training (Final Narrative Report).
42. *Based on these observations the efficiency of the project has been rated Satisfactory (S).*
43. **Review of Outcomes to Impact (ROtI):** The logical pathway from project output over objectives toward impact has been reconstructed and is included as Annex 8. The project has been very ambitious as stated earlier in what could be achieved. However, it became evident during the evaluation that some of the instructors from the training courses working at local universities are using part of or the entire training material in their teaching at university. This is assessed to have a potential to sustain the project and contribute to the overall likelihood of project impact achievement. The impact of the project – pollution reduction - might be hampered by the financial situation in most of the low-income and low-middle income countries. Impact is expected to occur in middle-income countries earlier than in low-income countries (paragraph 47). Summary of the ROtI is shown in the table below:

Outcomes	Rating <sup>3</sup>	Intermediate states rating	Impact rating	Overall rating
Investment wastewater projects formulated based on OOP	B	C	-	BC
Stakeholders involved at all stages of the planning process	B	C	-	BC
University graduates using OOP methodology	B	C	-	BC

## B. Sustainability and catalytic role

44. **Socio-political sustainability:** The project aims at building capacity in municipalities for improved wastewater management through training of staff from technical departments and the financial departments, the latter did not materialise. One important factor in achieving progress towards impact is that the municipal management and political leadership should be willing to accept a change in the way things are planned and implemented in the municipality. The willingness of

<sup>3</sup> The rating scale used is A-D, A being outcome delivered and D being outcomes not delivered. For a full description of the rating scale, see Annex 1, Appendix 7

managers to accept and apply new knowledge and different method is identified in the EU project document as an assumption. It is stated: “the inner-institutional resistances are outside the scope of this project. However it is hoped that participants trained today after their next promotion will have influence on advising policy makers”. This is identified as a risk at the design stage and the project should have included measures to mitigate this risk. The measures could have been sensitisation and awareness measures in connection with the identification of candidates for the training course. An assessment of supportive leadership has not been carried out by the project.

The managements willingness to accept and apply new knowledge can be illustrated with two examples from the interviews carried out during the evaluation:

*The participants from one municipality reported to the City Director on what they had learned. The participants explained about the different planning tools of OOP, wastewater reuse, proposal writing techniques etc and how it could be used. The Director was satisfied and sends them back to their offices with the task of preparing proposals within their respective working area and presents these to the City Council. Proposals were prepared, presented to and approved by City Council but have not been implemented due to lack of financial resources.*

*The other example is from another town in another country, where the participants returned from the course and send in their travel report and started working. One participant started using the presentation technique tools and prepared presentation on an issue important to work based on OOP, presented this to his superiors and argued the case. He was told to forget this and continue working the usual way or face a transfer. He might have chosen a “tricky” issue or the management was not ready for a change.*

45. The design of the OOP training course with its three modules: objective oriented planning, conventional and innovative approaches, and presentation techniques, makes it possible for participants to use some or all tools learned, contributing to the sustainability of the skills. The OOP and presentation technique tools are universal tools that can be use in many sectors. One person interviewed was now working with resettlement issues in connection with estate development. He was daily using the stakeholder involvement tool in dealing with people that were to be resettled and the oral presentation and report writing tools to present his ideas to the management. Another participant highlighted the benefit of the conventional and innovative approach module, which had given a solution to a storm water problem in his town.
46. *Based on these observations it is rated Moderately Likely (ML) that socio-political sustainability will be secured. A highly likely rating could have been considered if the project had included measures to facilitate willingness to change in the municipal leadership.*
47. **Financial resources:** Seen as a capacity building project, continued funding would result in more people being trained, more capacity developed and the techniques more widely spread. The project’s indicator for verifying if the objective has been achieved or not is that new wastewater proposals should be environmentally friendly, technologically feasible and with stakeholder involvement, and the project goal is only achieved when a pollution reduction has happened. The last is out of the projects control. Financial resources for municipal infrastructure investments in low-income countries are almost exclusively from IDA-sources. Very few, if any,

municipality in a low-income country has own revenue for infrastructure investment. The likelihood of financial resources being available for infrastructure investment is very small unless a foreign donor supports the municipality. One of the respondent to the email questionnaire from Belize (a lower-middle income country) reported that in all projects were based on OOP in his institution, some were self-financed other financed by private sector. The financial constraints were identified as a risk during formulation of the project and it is stated that the project would be instrumental in facilitating an UNEP-GPA matching conference where donors and municipalities could meet (GEF project document). This initiative did not take place.

48. *The financial situation is very different in the countries covered. It is highly unlikely that resources will be available in low-income countries without support from a foreign donor; on the other hand it is likely that resources will be available in middle- and high-income countries in the not too distant future. Based on this it is rated Moderately Likely (ML) that sufficient financial resources for infrastructure investment will be available.*
49. **Institutional framework:** The OOP training course has been developed during an earlier project, it has in total been delivered more than 70 times and is now a “on the shelf item” that can be delivered on demand. It will be delivered in South America later this year with funding from a different source. The content of the course has proven to be solid and useful in numerous circumstances and can be adapted to other sectors. Delivering training courses for a number of selected people builds a targeted capacity in the sector. The potential for large-scale capacity development is present if national training institutions will adopt and integrate the training course in the institutions training calendar. The evaluation found evidence for this in Kenya and Tanzania, where one course instructor is using the course material in his teaching and another is searching for funds to reproduce the course material and run the course for the graduate students. The 2009 Post Training Evaluation highlights 10 training initiatives conducted by trainees after participating in the course. The initiatives span from “course module developed on solid waste and wastewater management” at a degree course in Marine Science at the School of Marine and Coastal Sciences at Eduardo Mondlane University, Mozambique to course in “objective oriented planning” at University of Technology, Kingston, Jamaica or training in “design of constructed wetlands” in Suriname. The 10 initiatives listed are from Mozambique, Ghana, Tanzania, Kenya, Jamaica, and Suriname.
50. *This indicates a potential for institutional sustainability and based on this it is rated Likely (L) that the results will be sustained and the sector developed.*
51. **Environmental sustainability:** Since the project is a capacity development project, there are no direct environmental risks that might threaten sustainability of outcomes and a rating is not applicable. However, the project participants are expected, through their work, to contribute positively to the environmental sustainability in and around their municipality and a long-term reduction in pollution of the ocean.
52. *The rating for environmental sustainability is not applicable (n/a).*



53. *Sustainability of project outcomes has been given an overall rating of Moderately Likely (ML) this being the lowest of the four ratings for sustainability (socio-political ML; financial ML; institutional L; and environment n/a).*
54. **Catalytic Role and Replication:** Integrating stakeholder involvement at all stages in urban planning processes is an innovative approach in parts of the world. One participant explained how stakeholders were informed through public meeting from the early planning stage on land development issues (Interviews); another example is public sensitization campaigns for wastewater and waste management issues (Final Narrative Report). The interviews with participants indicated that the module of conventional and innovative approaches to wastewater management has facilitated alternative thinking to technical problems and resulted in solving e.g., storm water problem and constructed of wetlands.
55. Examples of participants playing a catalytic role towards policy change and policy enforcement is: contributing to the creation of guidelines for monitoring wastewater discharge from hotels in Kumasi; development of a policy on the management of contaminated lands in Accra; and closure of an illegal sewerage discharge site in Port Harcourt. (Final Narrative Report).
56. The interview with course instructors revealed that some are using the training curricula at their respective training institutions. One is planning to run the entire OOP course for students; another is using the separate modules integrated in the normal teaching (paragraph 49).
57. In the post training evaluation from 2009 it is found that half of the former participants stated they regularly consulted with colleagues they had first met on the course and with organisations represented during the training. The web-site with its document library was a tool for inspiration and replication of ideas. The intended forum for practitioners to exchange ideas would have been an excellent tool for replication and sharing ideas in 2007. The forum would today probably have been replaced with one of the social medias like LinkedIn Thematic Groups.
58. *The project contained a large number of small and large initiatives that would act as catalyst for replication of the project intentions and ideas. Not all was implemented or succeeded but a “number of seeds have been sown”. Based on these observation catalytic role and replication is rated Satisfactory (S).*

C. Processes affecting attainment of project results

59. **Preparation and Readiness:** The project documentation is not easily available partly because the project is guided by two project documents (paragraph 6) and partly because the two documents are not stringent in the use of terms like objective, outcome and output. The objectives and outcomes presented in the summary are not identical with those presented in the narrative or in the log-frame. The log-frame is only defined at objective and outcome level, the narrative description of the component is describing objective and activities. Indicators, risks, and assumptions are not adequately explored or presented in a logical and coherent manner (see also paragraph 78). Impact drivers like the UNEP-GPA matching conference are also not

presented in a logical sequence. Detailed budgets are not included (paragraph 69) the project design is very ambitious and the project is attempting to implement a number of activities, all relevant, but it might have been too many activities considering the magnitude and the geographical spread of the project. Changes in supervision and backstopping procedures were not documented (paragraph 76). Partnerships and roles and responsibilities of the different partners are well defined in both documents. A complete assessment of the project design can be found in Annex 6.

60. *Based on these observations preparation and readiness is rated Unsatisfactory (U).*

61. **Implementation Approach and Adaptive Management:** The implementation approach is decentralised implementation using local capacity (paragraph 41). Project coordination and management was the responsibility of UNEP-GPA. Identification of relevant knowledge on municipal wastewater management and financial planning was UNESCO-IHE. Identification of municipalities and specialised institutes was UNEP-GPA with support from water experts at UNDP-GEF and GEF LME Offices. Preparation of training materials was the responsibility UNEP-GPA. Training courses and fieldtrips were the responsibility of local academic institutions with support from UNEP-GPA, national/municipal focal point, other institutions and UNESCO-IHE. Evaluation reports, training courses was the responsibility of National/municipal focal point in collaboration with UNEP-GPA and UNESCO-IHE. Reporting was the responsibility of UNEP-GPA in collaboration with all partners. The roles and responsibilities of each partner were well defined in the project documents. This approach made it possible to implement 49 courses in 28 countries using existing local resources. The secretariat at UNEP-GPA has been small, but assessed to have been adequate in size for the tasks in a decentralised implementation organisation. The project reporting does not mention any constraints with respect to the project organisation.

62. *Based on these observations implementation approach and adaptive management is rated Satisfactory (S).*

63. **Stakeholder Participation and Public Awareness:** The stakeholder involvement in project planning and implementation is described above (paragraph 61). The municipalities and national government authorities were involved through nomination of participants for the training courses. The type and number of course participants in the training courses is discussed in paragraph 26. Course instructors were international, some regional and some national. The instructors were all recognised specialists in their region and used their regional and local knowledge to add local examples to the training course. Public awareness was mainly through dissemination of posters and flyers to relevant partner organisations and the web-site with document library, links to planning tools etc. The project document does not include any public awareness strategy and the project reporting does not report on these activities.

64. *Stakeholder participation and public awareness is rated Moderately Satisfactory (MS).*

65. **Country Ownership and Drivenness:** The country drivenness in the GEF project document, is defined at global and regional levels. Listing the programme and



initiatives that the project would align to and supplement. This project is designed to work through national partner organisations to deliver training at municipal level, the partner organisation could be a government department or institution e.g., a national environmental protection agency or a national university. The project is building capacity at municipal level to solve wastewater problems, influence policies and guidelines with a bottom up approach. Influencing local decision making processes by way of solving problems using new methods and approaches is a slow but sustainable direction and demand a responsive management. The project document does not discuss the issue of country ownership, but from the organisational setup it can be assumed that the country ownership is vested at national level through the partner organisation and at the level of local government with the municipalities.

66. Several of the participants interviewed stressed that lack of political will or lack of policy direction from Government was an issue. The post training evaluation 2009 highlights in its conclusion and recommendations that: “there is a need for a modified version of the course (OOP) that targets senior management and policy makers concerned with wastewater management. Former participants indicated that there is an immense lack of political will, which in turn affected decision making at the senior management level, hampering efforts by trainees to implement what they had learnt on the course.” Other examples of political willingness are boxed in paragraph 44. The project did not include activities for awareness creation and sensitisation of local level political leaders.
67. Course instructors are using the course material in the teaching at their universities. If this continues the methodology of the project will be absorbed over time in national curricula and the project content will be part of the knowledge acquired by each student and thereby generally used.
68. *The project has been working with ownership and country drivenness from a bottom up perspective and it is assessed that this will result in a lasting ownership. However there has been a lack of political support at the higher level, which has hindered the progress towards the project’s objective. Therefore the country ownership and drivenness is rated Moderately Unsatisfactory (MU).*
69. **Financial Planning and Management<sup>4</sup>:** The project is guided by two project documents: one for the GEF financing and one for the EU Water Facility financing. The financing of the project is a GEF contribution of USD 1 million and a EU contribution up to EUR 1 million (USD 1.2 million). The GEF project document does not include any detailed budget, neither on items, activities or outputs. The only budget breakdown included is the contribution per donor per component. The EU Water Facility project document only lists the EU-contribution and how it should be utilised and it includes a costed workplan. The workplan is not costed according to results or activities, but in personnel cost, subcontract cost, equipment and management fee etc. The total budget of the two project documents is USD 2,136,744. The total expenditures by end 2011 are USD 1,822,561 and USD 1,787,698 has been released from the two donors. Final financial Statements on the

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<sup>4</sup> The section will be updated when information on original budget, budget revision, and repostings are received

EU contribution was forwarded to EU in July 2010. Annex 5 present a summary of the available financial information.

70. The budget has been revised three times since inception of the project. The first revision included the GEF contribution; the second reduced the overall EU budget with USD 290,000 and the third in September 2009 included the exchange rate gains. The original budget estimated that 30% of the budget should be used for personnel expenses, 54% for sub-contracts, 1.5 % for equipment 9.5% for miscellaneous and 5% for management. The final expenditures indicate that 22.5% were used on personnel expenses, 69% for sub-contracts, 1% for equipment, 5.5% for miscellaneous and 2% for management. It is from the expenditure statements not possible to assess the expenditure per component.
71. It is in the project documents described that the project should enter into a small scale funding agreement (SSFA) with a national institution for preparation and delivery of each training course(paragraph 25). This was modified during implementation to reduce the administrative burden on *UNEP and an SSFA were made with* national institutions covering all the course deliveries they would be responsible for. This reduced the number of SSFA from 46 to 18 (Final Narrative Report). Additionally 3 Special Service Agreements (SSA) were made for the translation of the course material into French, the curriculum development of MYFP and IT-support. The contract holders interviewed did not report any issue in connection with the contract preparation, not is any issue reporting in the project reporting.
72. The project did not have country level co-financing. UNEP is contributing with up to USD 316,000 in kind contribution towards salaries and other administrative cost at UNEP-headquarter (APR 2009). UNEP financial department report that the final expenditures on in kind contribution is USD 262,500. This amount is not included in the budget.
73. The lack of detailed budget in the project document and the changes in budget lines in the different presentations of budget and expenditures makes it difficult to assess if the financing has been utilised as initially planned. The absence of activity and output based budget and expenditure makes it impossible to provide a breakdown of final actual cost for the different component.
74. None of the partners interviewed reported any financial delays, irregularities or other issues related to finance nor has any issue been raised in the project reporting.
75. *It is assessed that the difficulty in getting an overall view of the financial situation originate form the lack of a proper baseline budget, and a presentation related to the two-project document / two-currency issue. The Financial Planning and Management is rated Unsatisfactory (U).*
76. **UNEP Supervision and Backstopping:** The project document states that administrative evaluations should be conducted according to UN standard procedures. Technical evaluation should be conducted on an annual basis by UNEP-GPA in collaboration with UNESCO-IHE. Backstopping of the project should be provided by UNEP-GPA, and a project steering committee should be established and meet annually (GEF project document). The evaluation was informed by the previous

Project Manager that agreement had been made with UNEP technical adviser that the annual technical evaluation was not needed on this project. This is not recorded in any of the documents made available for the evaluation. The project steering committee, as envisaged in the project document, was never established, but an interim steering committee met at the start of the project in August 2007 and at the end of the project in November 2009. Coordination and overall guidance during implementation of the project was kept at an informal level between the project management and UNEP-GPA and UNDP. Informal supervision can be practical and efficient, but agreements and decisions should be documented and only act as a supplement to the formal supervision and backstopping. The documentation could be a simple email exchange that is filed.

77. *The steering committee was not established and the overall guidance of the project was through two interim steering committee meetings, one at the start of the project and one at the end of the project. This was supplemented with informal undocumented communication. Backstopping through annual technical reviews was not carried out. Supervision and backstopping is rated Unsatisfactory (U).*
78. **Monitoring and Evaluation:** The M&E design of the project is based on the log-frame (Annex 1, Appendix 1) with its objective level and outcome level indicators, baseline, targets and source of verification. The log-frame does not include any outputs or activities. The basis for the baseline in the log-frame is estimates of the status, e.g., the baseline for “increased capacity in ACP countries to identify and formulate feasible wastewater projects” is “estimated 10 – 30 % (varies between municipalities)”, no source is offered for *validation* of the estimate. The quality of the log-frame is discussed earlier (paragraph 43 and 59). The project reported against these indicators in the annual APR 2008 2009 and 2010. UNDP-GEF has been satisfied with the reporting from the project.
79. The monitoring and evaluation of training courses is based on the TRAIN-X methodology and include 1) testing the participants’ knowledge, skill and attitudes prior to training; 2) testing participants’ performance during the training; 3) systematically monitor the participants’ feedback; and 4) finally monitor the post-training improvement of proposal writing skills. (GEF project document). The result of the evaluation of *training* is not included in the training course reports. The course organisers informed that participants at the end of the course filled a mastery test template and course evaluation form. These forms were packaged and handed to UNEP-GPA for processing. *The project document states that: “after each year of the project, these evaluations will be collated, analysed and recommendations for course improvement will be made and implemented”.* The evaluation has reviewed some of the tabulated evaluation forms but has found no evidence of an evaluation analysis or seen reference to recommendations regarding course evaluations in the project reporting.
80. A post training evaluation was carried out in 2009 covering participants from 13 courses conducted from 2007 to 2009. The evaluation was based on questionnaires sent out to all participants in the 13 courses. *The findings and conclusions of the post training evaluation are presented in a clear and concise manner.*

81. The GEF-project document does not contain any budget as discussed above (paragraph 69). The EU project document does have a costed work-plan but no separate budget line for M&E. Evaluation of the training course was included as an integrated part of the course cost.
82. *Based on the observations above the M&E design is rated Moderately Unsatisfactory (MU), the M&E plan and implementation is rated Unsatisfactory (U) and the Budget for M&E activities is rated Moderately Unsatisfactory (MU). The overall rating for M&E is Unsatisfactory (U).*

D. Complementarity with UNEP, UNDP and UNIDO programmes and strategies

83. **Linkages to UNEP's Expected Accomplishments and POW 2010-2011:** Wastewater management in Coastal Cities will one way or another contribute towards most of the cross cutting priority areas in UNEP MTS 2010 - 2013. RotI (Annex 8) specifies four outcomes that in different ways could be expected to contribute towards the accomplishments of UNEP MTS. Stakeholder involvement in the national planning processes could assist in achieving the objectives for climate change, disaster and conflicts, and harmful substances and hazardous waste.. Ecosystem management directly benefit both from the environmentally friendly projects for treatment or reuse of wastewater and from the increased capacity at local level to plan, design and implement project.
84. **Alignment with the Bali Strategic Plan:** The project outcomes and achievements (see section A) support several of the objectives of BSP. The project aims at improving skills and knowledge at municipal level needed in project identification and planning in water, sanitation and wastewater management. This will support Governments on several of the BSP objectives. It support strongly towards strengthen capacity of Government to achieve their environmental targets and to comply with international agreements. It also supports enabling collaboration with relevant stakeholders and to provide a basis to develop partnerships and to identify and disseminate best practices.
85. **Gender:** The primary beneficiaries of the project are managerial staff at municipal level and from national governments. The secondary beneficiaries are the people served by the said municipalities either directly or as stakeholders. The training module on options analysis demonstrates both the need for and benefits of involving women as important stakeholders in the decision-making process. (EU project document and Participant Manual). The invitation to participate in the course was issued by the national organiser. It has not been possible to get a copy of the criteria for selecting to assess these. The course organisers interviewed gives different information on whether gender was a selection criterion or not. It is stated that the project will encourage its implementing partners to promote participation of women in the courses; the gender ration among participants will depend largely on the gender composition of the served municipalities (EU project document). The Final Narrative Report reports that 22% of the participants were women. The Evaluation has not been able to verify this figure. The participants' lists in the course reports do not specify gender. The analysis of course participants (paragraph 26) does therefore not include a gender assessment.

86. **South-South Cooperation:** South-South knowledge sharing has emerged as a beneficial way to disseminate case studies and best practices. The challenge is to institutionalise the exchange. The project delivers training at municipal level and in some cases national level, regional instructors were trained in courses led by UNESCO-IHE and later used both in sub-regional context as well in inter-regional exchange. The internationalisation of local training courses has contributed to a high quality of the training through complementarities of the instructor, and via the South-South knowledge sharing (APR 2009). The sustainability of best practices is rested with the national instructors and their respective training institutions.
87. **Sustainable Livelihoods:** The impact of the project is besides reduced pollution, improved environmental health and improved human *health*; all three would contribute towards improved livelihood of the concerned population. A potential contribution to income generation and job creation could arrive from the reuse of treated wastewater in the agro-industry or other sector with non-potable water demand.

### III. Conclusions and Recommendations

#### A. Conclusions

88. The project has achieved its targets of training experts in wastewater management, though only with delivery of OOP (paragraph 20). The OOP training course with its three modules (objective oriented planning, conventional and innovative approaches to municipal wastewater management, and presentation techniques) is highly appreciated by the participants. Some are using all the skills learned others a few, the interviews indicates that the presentation technique skills are useful to almost everybody who has participated (paragraph 39). It has been difficult for the project to keep focus on main target group for the project - staff from coastal municipalities. An analysis of the participants' lists indicates that less than 50 % of the participants came from institutions at municipal or local government level. The target in the project document was 80% (paragraph 26). The impact of the OOP training will be hampered because of the lower percentage of participants from municipal and local government level; and the financial resource constrains in especially low-income countries to invest in infrastructure (paragraph 47).
89. Project design (OOP) of high professional standard with international examples supporting the theory, supplemented with local examples, can be delivered successfully in any region and to a broad range of participants.
90. GEF and EU ACP Water Facility funded the project and implementation has been guided by two project documents (paragraph 6). The two-project document approach demands very clear definition of the content when the project is explained in two different formats (paragraph 58). It also demands budget detailing and budget explanations when a budget is divided between two documents without indicating the total budget (paragraph 69).
91. Establishing a web-site for wastewater management practitioners with reference material, links to planning tools available on other web-sites, specifically targeted to municipal managers and finance staff is a good and efficient way of disseminating information in a project with a global geographical focus (paragraph 32). However, it is important at the design stage to decide if the web-site is a project feature with a lifespan as the project or if the sector in general needs the information also after the termination of the project (paragraph 33). If the latter, the web-site should be anchored institutional and resources for operation secured.
92. The table below summarises the evaluation presented in Section II:

Criterion	Summary Assessment	Rating <sup>5</sup>	EO rating	EO Comments
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<sup>5</sup> The rating goes from Highly Satisfactory (HS) to Highly Unsatisfactory (HU) or Highly Likely (HL) to Highly Unlikely (HU) depending on the criteria. The definition of the evaluation rating is included in Annex 1 Appendix 5.

		(if different)	
<b>A. Attainment of project objectives and results</b>	The project has been very effective and efficient in providing the OOP training, (over) ambitious with respect to other issues like: MYFP, forum for practitioners to exchange ideas.	MU	EO concurs with evaluator.
1. Effectiveness	The project has been very effective in providing the OOP training, ambitious with respect to other issues that could support good wastewater management, e.g., MYFP, forum for practitioners to exchange ideas.	MU	EO concurs with evaluator.
2. Relevance	The project is supporting, directly and indirectly, a large number of regional and global initiatives and it is building capacity at local level to address ocean pollution.	S	EO concurs with evaluator.
3. Efficiency	Cost efficiency is integrated into the project design by using a network of global, regional and national partners to be responsible for the implementation and to relay on local capacity, which the project builds up gradually.	S	Agree
<b>B. Sustainability of project outcomes</b>	The sustainability of the outcomes will be higher in middle-income countries than it will be in low-income countries.	ML	EO concurs with evaluator.
1. Financial	The financial situation is very different in the countries covered. It is unlikely that resources will be available in low-income countries without support from a foreign donor; on the other hand it is likely that resources will be available in middle-income countries.	ML	EO concurs with evaluator..
2. Socio-political	The willingness of managers to accept and apply new knowledge and different method is a factor for sustainability, however the design of the course with four modules makes it possible for most participants to use if not all then some of the tools from the course in their daily work.	ML	EO concurs with evaluator
3. Institutional framework	The OOP training course has been developed during an earlier project and is now a “on the shelf item”. The content of the course have proven to be solid and can be adapted to others sectors. The course has potential for large-scale capacity development when national training institutions will adopt and integrate the training course in the institutions training calendar. The evaluation found evidence for this in Kenya and Tanzania.	L	ML Impact was mainly at university level rather than with municipalities as stated in the project objectives.
4. Environmental	The project is a capacity development project, there are no environmental risks that might threaten sustainability of outcomes and rating is not applicable. The project participants are expected, through	n/a	



	their work, to contribute positively to the environmental sustainability and around their municipality.		
<b>C. Catalytic role</b>	The project contained a large number of small and large initiatives that would act as catalyst for replication of the project intentions and ideas. Not all was implemented or succeeded but “seeds have been sown”.	S	EO concurs with evaluator.
<b>D. Stakeholders involvement</b>	The stakeholder involvement and the responsibility of each stakeholder are well defined. A public awareness strategy is not included.	MS	EO concurs with evaluator.
<b>E. Country ownership / drivenness</b>	The project has been working with ownership and country drivenness from a bottom up perspective and it is assessed that this will result in a lasting ownership. However there has been a lack of political support at the higher level has hindered the progress towards the project’s objective.	MU	EO concurs with evaluator.
<b>F. Achievement of outputs and activities</b>	The project has been very ambitious with what it would achieve. The OOP has managed very well, MYFP was terminated because the assumptions were wrong, a number of impact driver has not been followed and this has influenced the impact.	MS	EO concurs with evaluator.
<b>G. Preparation and readiness</b>	The project is guided by two project documents. They are not stringent in the use of term like objective, outcome and output. The objectives and outcomes are not the same throughout the documents. Assumptions, impact drivers and small initiatives like UNEP/GPA matching conference are not presented in a logical and coherent way. The project design is very ambitious.	U	EO concurs with evaluator.
<b>H. Implementation approach</b>	The implementation approach is decentralised implementation using local capacity, which the project builds up gradually. The project was managed by a small team of professionals in UNEP/GPA supported on the academic site by UNESCO-IHE. Regional partners were assisting in each of the four regions in identifying national partners.	S	EO concurs with evaluator.
<b>I. Financial planning and management</b>	It is assessed that the difficulty in getting an overall view of the financial situation originate from the lack of a proper baseline budget, and a presentation related to the two-project document / two-currency issue.	U	EO concurs with evaluator.
<b>J. Monitoring and Evaluation</b>	The M&E for the project monitor against objectives and outcome indicators only and report this in the APR. The evaluation of the training is following TRAIN-X procedures. Result of this evaluation has	U	EO concurs with evaluator.



1. M&E Design	not been available. M&E is not budgeted separately in the project. The M&E for the project monitor against objectives and outcome indicators only. The evaluation of the training is following TRAIN-X procedures.	MU	EO concurs with evaluator.
2. M&E Plan Implementation	The project has been reporting against objective and outcome indicators in the APR in form of number of people trained etc. Result of evaluation of training course has not been available.	U	EO concurs with evaluator.
3. Budgeting and funding for M&E activities	M&E is not budgeted separately, but expected to be included in the general activity budget.	MU	EO concurs with evaluator.
<b>K. UNEP and UNDP Supervision and backstopping</b>	The steering committee was never formerly established. An interim steering committee met at the start of the project in 2007 and at the end of the project in 2009. Coordination and overall guidance of the project during implementation was kept at an informal and was based on an open direct dialogue between the project management and UNEP/GPA and UNDP. Annual technical reviews was not carried out.	U	EO concurs with evaluator <sup>6</sup> .

## B. Lessons Learned

93. The lessons learnt from implementing this project relate to the project design and project management. The implementation of one component, the main parts of the project, has functioned very well; the other component had to be terminated due to wrong assumptions; the third component was designed to support implementation of the first two components. Several practical lessons learnt can be extracted from the evaluation of the project performance.

1. **Two-project documents:** The project was funded from two sources (GEF and EU) and at the design stage it was decided to prepare two project documents one for each donor to satisfy the different reporting requirements. The two documents were formulated each describing the entire project with regards to activities,

<sup>6</sup> **Andrew Hudson's comment** - is contradictory, there WAS a Steering Committee (we never created an 'interim' steering committee for such a small project), it met twice. Perhaps this is inadequate but not 'unsatisfactory'. Also, there WERE annual technical evaluations, this is the purpose of the GEF PIR exercise and this project submitted PIRs every year while it was operational; apparently the consultant was only given the 2010 PIR?? So it is also not fair to say 'supervision and backstopping' were Unsatisfactory. **EO response:** The evaluation ratings are based on the documentation that was made available to the consultant. The consultant did request steering committee and PIR reports several times. These documents were obviously not well used by the project team if they are only emerging at this late point. Similarly if no-one of the stakeholders (except Andrew Hudson) were aware of the steering committee, then it probably deserves the rating it received.

outputs etc. and should be identical in the presentation of problems to be solved and the means to solve the problem. The budget was detailed in one document and the other document did not include any budget. The different formats “inspired” to present different explanations on project strategy and approach but without ensuring that this also was reflected in the other document, e.g., one document has a section on “project impact on poverty alleviation and gender equality” the other does not. Each document is tailored to the donor and contains the information required by the donor.

A two-project document solution should be avoided and this should be possible in today’s world when most donors subscribe to the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action. In the few cases when it cannot be avoided the approach demands very clear definition of the content when the project is explained in two different formats. It also demands clear and concise budget detailing and budget explanations when a budget is divided between two documents without indicating the total budget. It could be considered to produce a framework / master document to describe the project and how it is divided.

**Assumptions:** Assumptions: It was proposed in the project documents to develop training on MYFP using the same methodology as used for OOP. After the development of the curriculum for the planned MYFP, it became apparent, that many of the assumptions on budgeting processes in countries, on which the training need analysis and thus the curriculum was based were incorrect and that a more comprehensive approach would be required which was outside of the scope of this project. Lesson learnt from is that assumptions (and risks) should be validated and monitored during project preparation. The project design team should also assess which critical assumptions are likely to turn into risks that need mitigation measures.

2. **Indicators:** The project offered participants the opportunity to submit proposals prepared at work for a technical review by the project. The project based the indicator for achieving the objective on how many of the proposals submitted were based on OOP. The post training survey from 2009 and the interviews made by the evaluation indicate that participants are using OOP and preparing proposal based on the concept, some proposals are funded and projects implemented. However, no proposal has been submitted for review and the project has not been able to report any result. The lesson learnt is that means of verification for an indicator should be something that the project can access and that is not dependent on somebody else’s active action. In this case the means of verification could have been a survey at the end of the project.
3. **Steering Committee:** Backstopping and supervision of the project was designed to be through an annual technical review and a steering committee. In this project it was decided that technical reviews were not necessary and the steering committee was replaced by informal communication directly between the project secretariat, UNEP-GPA and UNDP-GEF. Not all projects need the same level of backstopping and supervision, but all projects needs supervision and backstopping, and management decision taken needs to be documented. The documentation could be as simple as an exchange of email confirming the decision. In the case of the annual technical

review, the functions of the review should be analysed to ensure that the functions are covered elsewhere, either by partners or through consultancies.

C. Recommendations

94. The only recommendation made is that the course material, management tutorial, compendium of technologies and the links to planning tools from the project web-site are uploaded to the GPA web-site. It would add to the sustainability of the project if the course material would be publicly available for instructors and wastewater practitioners to use.

## Annex 1 Evaluation TOR

### Annex 1 - Evaluation TERMS OF REFERENCE

#### Terminal Evaluation of the Project: Improving Municipal Wastewater Management in Coastal Cities in ACP Countries.

#### I. PROJECT BACKGROUND AND OVERVIEW

##### A. Project General Information

Table 1. Project summary

Project Number	GP/3000-07-01		
Focal Area(s):		Implementation	UNEP DPI- GPA with UNESCO IHE
Thematic Sub programme	Early warning and assessment	Total Cost	\$ 2, 218,319
Geographic scope	Global	Project Duration	3years
		Actual start date:	April 2007
		Completion date:	March 2010

#### ACRONYMS

DEPI	Division of Environmental Policy Implementation
GPA	Global programme of action for the protection of the marine environment from land-based activities.
MDG	Millennium Development Goal
ROtI	Review of Outcomes to Impacts
ToC	Theory of change
UNESCO – IHE	United Nations Educational, Scientific and Cultural Organisation – Institute for Water Education
UNDP	United Nations Development Programme

#### B. Project Rationale

The discharge of untreated municipal wastewater into rivers, lagoons and estuaries or directly into the ocean is one of the most serious threats to the marine environment, the health of coastal populations and sustainable coastal development worldwide.

The GPA, with its global mandate to reduce land-based sources of marine pollution, is concentrating on efforts to assist governments and municipalities in addressing water pollution from untreated wastewater (pollution prevention).

This project aimed to respond to the daunting challenges faced by African, Caribbean and Pacific countries (ACP) in addressing municipal wastewater problems. According to UNEP (2005), the percentage of untreated wastewater reaching fresh or coastal waters is 86% for the Caribbean, 80% in West and Central Africa, and 50% for East Africa. Data

on coastal water quality in Pacific Island Countries is very limited, but poor water quality in some areas has led to the degradation of important fishing and tourism resources.

The Global Programme of Action's work focuses mainly on developing policies and strengthening institutional capabilities to ensure that policies developed are implemented to prevent and reduce the pollutants entering into the seas. Central elements of this work focus on sanitation, municipal wastewater treatment and water resources management (pollution prevention).

This project aimed at improving skills and knowledge at the municipal level needed in project identification, planning and financing in water, sanitation and wastewater management. The actions proposed follow recommendations of the EU Water Initiative and contribute to building decentralized capacity towards achieving the Johannesburg Plan of Implementation targets on water and sanitation. It planned to do so by strengthening municipal efforts to identify, design and finance projects to collect and treat domestic wastewater through training their managerial staff.

Jointly with the UNESCO-IHE Institute for Water Education and in cooperation with the UNDP-GEF funded Train-Sea-Coast Programme of the UN Division for Ocean Affairs and the Law of the Sea (UN/DOALOS), the UNEP Global Programme of Action for the Protection of the Marine Environment from Land-based Activities (GPA) developed a training course entitled "Improving Municipal Wastewater Management for Coastal Cities". Content was based on the UNEP/WHO/UN-HABITAT/WSSCC<sup>7</sup> Guidelines on Municipal Wastewater Management.

This UNDP/GEF project aimed to continue and expand the UNDP/GEF/UNOPS Global TSC Programme (2000-2005) by delivering cost-effective replications in 29 countries in Africa, the Caribbean and the Pacific Islands. It aimed to train an additional 1,200 managers and a pool of 60 local instructors through 60 additional course deliveries.

### **C. Project Objective and Activities**

#### **The overall goal**

The overall goal of the project was to improve municipal wastewater management in selected countries in Africa, the wider Caribbean and the Pacific and thereby contribute to:

- achieving the MDG7 / Johannesburg Plan of Implementation (JPOI) target on sanitation;
- improving environmental conditions in coastal regions;
- reducing potential transboundary wastewater 'hot spots';
- improving human health; and
- implementing the GPA.

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<sup>7</sup> WHO = World Health Organisation, UN-HABITAT = Human Settlements Programme, WSSCC = Water Supply and Sanitation Collaborative Council

## Immediate objectives

The immediate objectives of the project were as follows:

1. To increase capacity of municipalities in ACP countries to identify and formulate projects to collect and either treat or re-use municipal wastewater that are:
  - a. environmentally friendly,
  - b. technologically feasible, and
  - c. financially sustainable.
2. To develop institutional capacity - at the finance committee level - for effective multi-year financial planning; and to strengthen domestic and external resource mobilization, including the “user pays” and “polluter pays” principle, and involvement of the private sector
3. To promote the systematic involvement of stakeholders, such as fisheries, tourism, public health, environmental NGOs and communities, in all stages of the planning process leading to municipal wastewater infrastructure investments; and to improve the knowledge base and strengthen information exchange between practitioners (North-South knowledge transfer and South-South knowledge sharing) and cooperation between project managers and finance planners.

## Project outcomes

1. Increased capacity in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects
2. Increased capacity to: plan sustainable multi-year financing of municipal wastewater projects
3. Increased willingness of managers and finance staff to cooperate and systematically involve stakeholders in all stages of the planning process, and an improved knowledge base and strengthened information exchange between practitioners and other GEF projects

The outcomes will arise primarily from the training of municipal planning and finance professionals.

Table 2. Project components and component objectives

Components	Component objectives
Component I Training on Objective- Oriented Planning for Wastewater Management	Replications of an existing UN/DOALOS Train-Sea-Coast accredited and fully documented 5-day partially residential course. Handbook and course manual in the English, French, Portuguese, and Spanish language. CD-ROM with a project cycle management tutorial, software tools for making feasible decisions and a document library.
Component II Training on multi-year financial planning for municipal	A new training course on multi-year financial planning to be developed and implemented according to UN/DOALOS Train-Sea-Coast methodology incl. material and translations.

infrastructure investments.	
Component III Support to the implementation and up-scaling of Components-A and –B	A multi-lingual web site, outreach to relevant stakeholders and collaboration with relevant GEF international waters projects in the SIDS.

1. The planned activities and outputs under each component, as per the Logical Framework Matrix are presented in Annex 1 of the TORs.

#### **D. Implementation Arrangements**

This project was implemented by UNDP and executed by UNEP DEPI (Division of Environmental Policy Implementation) /Global Programme for the Protection of the Marine Environment from Marine Based Activities (GPA) Coordination Office, working with UNESCO – IHE (United Nations Educational, Scientific and Cultural Organisation – Institute for Water Education).

The project worked with the following sub regional partner organisations:  
East Africa: UNEP- GEF WIO-Lab Project (Dr Peter Scheren)

West Africa: GCLME Project/Interim Guinea Current Commission (IGCC)

Caribbean: Caribbean Environmental Health Institute (CEHI)

Pacific: Pacific Islands Applied Geoscience Commission (SOPAC)

#### **E. Project Costing and Finance**

This project was jointly finance by UNDP/GEF and EU.

Objectives	Main activities	UNDP/GEF	EU	Project total
1. Increase capacity of municipalities in ACP countries to identify and formulate projects	Component-A: 46 Training courses on Objective-Oriented Planning in Wastewater Management	670,000	830,000	1,500,000
2. Build institutional capacity – at the finance committee level - for effective multi-year financial planning	Component B: 14 Training courses on multi-year financial planning	270,000	330,000	600,000

3. Strengthen stakeholder involvement, information exchange and increased cooperation between project managers and finance planners	Component C: Support to A and B, a multi-lingual web site, and outreach to other relevant stakeholders	60,000	40,000	100,000
Project total		1,000,000	1,200,000	2,200,000



## II. TERMS OF REFERENCE FOR THE EVALUATION

### A. Objective and Scope of the Evaluation

In line with the UNEP Evaluation Policy<sup>8</sup> and the UNEP Evaluation Manual<sup>9</sup> the terminal evaluation of the Project “Improving Municipal Wastewater Management in Coastal Cities in ACP Countries” is undertaken at the end of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, UNESCO – IHE, EU and the sub regional partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of key questions, based on the project’s intended outcomes, which may be expanded by the consultants as deemed appropriate:

**How successful was the project in improving the capacity of 46 municipalities in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects, backed by a multi-year finance plan**

**Specifically through:-**

**Increased capacity to identify and formulate feasible and environmentally-friendly wastewater projects**

**Increased capacity to: plan sustainable multi-year financing of municipal wastewater projects**

**Increased willingness of managers and finance staff to cooperate and systematically involve stakeholders in all stages of the planning process,**

**and an improved knowledge base and strengthened information exchange between practitioners and other GEF projects**

### B. Overall Approach and Methods

1. The terminal evaluation of the Project “Improving Municipal Wastewater Management in Coastal Cities in ACP Countries.” will be conducted by an independent consultant (s), jointly selected by UNEP and UNDP/GEF, under the overall responsibility and management of the UNEP Evaluation Office (Nairobi).
2. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process.

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<sup>8</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>9</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.

3. The findings of the evaluation will be based on the following:
  - a. A desk review of project documents<sup>10</sup> including, but not limited to:
    - Relevant background documentation.
    - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
    - Project reports such as progress and financial reports; Steering Committee meeting minutes; annual Project Implementation Reviews and relevant correspondence;
    - Training reports
    - Final evaluation of training programme by participants.
  - b. Interviews<sup>11</sup> with:
    - Project management and execution support;
    - UNEP Task Manager and Fund Management Officer (Nairobi);
    - Regional and country lead execution partners and other relevant partners;
    - Representatives of other multilateral agencies (e.g. UNESCO-IHE, EU) and other relevant organisations.
    - Training participants
    - Trainers
  - c. Country visits. The evaluation consultant will visit Kenya and Tanzania.

### **C. Key Evaluation principles**

4. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned<sup>12</sup>. Analysis leading to evaluative judgements should always be clearly spelled out.
5. The evaluation will assess the project with respect to a minimum set of evaluation criteria grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems;

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<sup>10</sup> Documents to be provided by the UNEP and UNDP are listed in Annex 2.

<sup>11</sup> Face-to-face or through any other appropriate means of communication

<sup>12</sup> Individuals should not be mentioned by name if anonymity needs to be preserved.

and (4) Complementarity with the UNEP strategies and programmes. The lead consultant can propose other evaluation criteria as deemed appropriate.

6. Ratings. All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 5 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
7. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between what has happened with and what would have happened without the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
8. As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the “why?” question should be at front of the consultants’ minds all through the evaluation exercise. This means that the consultants needs to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today.

## **D. Evaluation criteria**

### **1. Attainment of Objectives and Planned Results**

9. The evaluation should assess the relevance of the project’s objectives and the extent to which these were effectively and efficiently achieved or are expected to be achieved.
  - a. *Achievement of Outputs and Activities:* Assess, for each component, the project’s success in producing the programmed outputs as presented in Annex 1 both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section 3 (which covers the processes affecting attainment of project objectives). The achievements under the regional and national demonstration projects will receive particular attention.

- b. *Relevance*: Assess, in retrospect, whether the project's objectives and implementation strategies were consistent with: i) Sub-regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation.
- c. *Effectiveness*: Assess to what extent the project has achieved its main objective of improving the capacity of 46 municipalities in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects that are backed by a multi-year finance plan including PRSPs and international reporting for the MDG-7 on environmental sustainability and the 2010 biodiversity target and its component objectives as presented in section C above. To measure achievement, use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section 3
- d. *Efficiency*: Assess the cost-effectiveness and timeliness of project execution. Describe any cost- or time-saving measures put in place in attempting to bring the project to a successful conclusion within its programmed budget and (extended) time. Analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, compare the cost and time over results ratios of the project with that of other similar projects. Give special attention to efforts by the project teams to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency.
- e. *Review of Outcomes to Impacts (ROtI)*: Reconstruct the logical pathways from project outputs over achieved objectives towards impacts, taking into account performance and impact drivers, assumptions and the roles and capacities of key actors and stakeholders, using the methodology presented in the GEF Evaluation Office's ROtI Practitioner's Handbook<sup>13</sup> (summarized in Annex 7 of the TORs). Examine to what extent the project has contributed to date, and is likely to contribute in the future to further changes in stakeholder behaviour as regards i) improving the capacity of 46 municipalities in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects that are backed by a multi-year finance plan, ii)... and the likelihood of those leading to improved human health and environmental conditions in coastal regions?

**10. Sustainability and catalytic role.** Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions

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<sup>13</sup> [http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact\\_Eval-Review\\_of\\_Outcomes\\_to\\_Impacts-RotI\\_handbook.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RotI_handbook.pdf)

or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. Application of the ROfI method will assist in the evaluation of sustainability.

11. Four aspects of sustainability will be addressed:

- a. Socio-political sustainability. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
- b. Financial resources. To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources<sup>14</sup> will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- c. Institutional framework. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?
- d. Environmental sustainability. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?

12. **Catalytic Role and Replication.** The catalytic role of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP also aims to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable

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<sup>14</sup> Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

- a. catalyzed behavioural changes in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at a national and sub-regional level;
- b. provided incentives (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
- c. contributed to institutional change. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
- d. contributed to policy changes (on paper and in implementation of policy);
- e. contributed to sustained follow-on financing (catalytic financing) from Governments or other donors;
- f. created opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not have achieved all of its results).

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

## **2. Processes affecting attainment of project results**

14. **Preparation and Readiness.** Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? Were lessons learned adequately integrated in the project approach? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.?
15. **Implementation Approach and Adaptive Management.** This includes an analysis of approaches used by the project, its management framework, the project’s adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:



- a. Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- b. Assess the role and performance of the units and committees established and the project execution arrangements at all levels;
- c. Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project;
- d. Assess the extent to which project management responded to direction and guidance provided by the implementing agency (IA) supervision recommendations;
- e. Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems;

**16. Stakeholder Participation and Public Awareness.** The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

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

17. The ROtI analysis should assist the consultants in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and objectives to impact.

18. **Country Ownership and Driven-ness.** The evaluation will assess the performance of the Governments of the countries involved in the project, namely:

- a.in how the Governments have assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various contact institutions in the countries involved in the project and the timeliness of provision of counter-part funding to project activities;
- b. to what extent the political and institutional framework of the participating countries has been conducive to project performance. Look, in particular, at the extent of the political commitment to enforce (sub-) regional agreements promoted under the project;
- c.to what extent the Governments have promoted the participation of communities and their non-governmental organisations in the project; and

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

- a. Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- b. Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- c. Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- d. Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized



later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

20. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by UNEP and the executing partner (s) to prevent such irregularities in the future. Examine whether the measures taken were adequate.

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

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

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

a. **M&E Design.** Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:

- Quality of the project logframe as a planning and monitoring instrument

- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

b. M&E Plan Implementation. The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
- projects had an M&E system in place with proper training, instruments and resources for parties responsible for M&E.

### 3. **Complementarities with UNDP & UNEP strategies and programmes**

23. The evaluation should present a brief narrative on the following issues:

- a. *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results

are termed Expected Accomplishments. Using the completed ROTI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described.

- b. Alignment with the Bali Strategic Plan (BSP)<sup>15</sup>. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- c. *Gender*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- d. *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.
- e. *Sustainable Livelihoods*. Briefly discuss the extent to which the project has contributed to improved livelihoods for local populations: (e.g. income generation/job creation, improvement in policy frameworks for resource allocation and distribution, regeneration of natural resources, including water resources, for long term sustainability).

## E. The Consultants' Team

24. For this evaluation, an independent consultant(s) will be hired, as agreed between UNEP and UNDP. The following expertise and experience is required:
- a. Evaluation experience.
  - b. Degree in environmental management/civil engineering
  - c. At least 10 years experience in waste water management
  - d. English essential, French if possible.
25. The **Consultant** (s) will be responsible for data collection and analysis phase of the evaluation, and preparing the main report. (S)He will ensure that all evaluation criteria are adequately covered.
26. *By undersigning the service contract with UNEP/UNON, the consultant certifies that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In*

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<sup>15</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

*addition, they will not have any future interests (within six months after completion of their contract) with the project's executing or implementing units.*

## **F. Evaluation Deliverables and Review Procedures**

27. The Consultant (s) will prepare an inception report containing a thorough review of the project design quality and the evaluation framework. The review of design quality will cover the following aspects:

- Project relevance (see paragraph 20 (b));
- A desk-based Theory of Change of the project (see Annex 7 - ROtI analysis);
- Sustainability consideration (see paragraphs 21-22) and measures planned to promote replication and upscaling (see paragraph 23);
- Preparation and readiness (see paragraph 25);
- Financial planning (see paragraph 30);
- M&E design (see paragraph 33(a));
- Complementarities with UNEP strategies and programmes (see paragraph 34);
- Using the above, complete and assessment of the overall quality of the project design (see Annex 8)

The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The inception report will be submitted for review by the Evaluation Office before the evaluation team conducts any field visits.

28. **The main evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 4. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate.

29. **Review of the draft evaluation report.** The Team Leader will submit the zero draft report latest by March 2nd to the UNEP EO and revise the draft following the comments and suggestions made by the EO. The EO will then share the first draft report with UNEP DEPI GPA. They will forward the first draft report to the other project stakeholders, in particular UNESCO –IHE and UNDP GEF for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the Consultant for consideration in preparing the final draft

report. The Consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The Consultant will prepare a response to comments that contradict the findings of the evaluation team and could therefore not be accommodated in the final report. This response will be shared by the EO with the interested stakeholders to ensure full transparency.

30. Consultations will be held between the consultant, EO staff, UNEP/DEPI/GPA, UNDP/GEF and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.

31. Submission of the final Terminal Evaluation report. The final report shall be submitted by Email to:

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

32. The Head of Evaluation will share the report with the following persons:

Takehiro Nakamura  
OIC, Global Programme of Action  
for the Protection of the Marine Environment  
from Land-based Activities (GPA)  
United Nations Environment Programme  
P.O. Box 30552 (00100)  
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UNDP Water & Ocean Governance Programme  
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Erik de Ruyter van Steveninck, PhD, MSc  
Head Environmental Resources Department  
Senior Lecturer Aquatic and Marine Ecology  
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NL-2601 DA DELFT  
The Netherlands  
Phone: +31 (0)15 2 151 777  
Fax: + 31 (0)15 2122921  
Email: e.deruytervansteininck@unesco-ihe.org

33. The final evaluation report will be published on the UNEP Evaluation Office web-site [www.unep.org/eou](http://www.unep.org/eou), and on the UNDP Evaluation Resource Centre website: <http://erc.undp.org>, and may be printed in hard copy.
34. As per usual practice, the UNEP EO will prepare a quality assessment of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against UNEP criteria as presented in Annex 5.
35. The UNEP Evaluation Office will also prepare a commentary on the final evaluation report, which presents the EO ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report. Resources and Schedule of the Evaluation
36. This Terminal Evaluation will be undertaken by an independent evaluation consultant(s) agreed between UNEP and UNDP and contracted by the UNEP Evaluation Office. The consultant(s) will work under the overall responsibility of the UNEP Evaluation Office and they will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for their travel, obtain documentary evidence, meetings with stakeholders, field visits, and any other logistical matters related to their assignment. The UNEP Task and regional and national project staff will provide logistical support (introductions, meetings, transport, lodging etc.) for the country visits where necessary, allowing the consultants to conduct the evaluation as efficiently and independently as possible.
37. The Consultant will be hired for 28 days between 17th January 2012 to 17th May 2012. He will travel to Kenya and Tanzania.

## **G Schedule of Payment**

### **Lump Sum.**

38. The consultants will be hired under an individual Special Service Agreement (SSA). The fee will be estimated as a lumpsum, inclusive of all expenses such as travel, accommodation and incidental expenses.

39. The consultants will receive an initial payment covering the travel costs upon signature of the contract.
40. The consultant will receive 40% of the honorarium portion of his/her fee upon acceptance of a draft report deemed complete and of acceptable quality by the EO. The remainder will be paid upon satisfactory completion of the work.
41. In case the consultant is not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.
42. If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

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



Appendix 1 Table 1: Logical Framework and Objectively Verifiable Impact Indicators

Project Strategy	Objectively verifiable indicators				
<b>Goal:</b>	<b>Pollution Reduction through Improved Municipal Wastewater <u>Management</u> in selected ACP countries with a focus on SIDS</b> , and thereby contributing to: <ul style="list-style-type: none"> <li>- achieving MDG7 / the Johannesburg Plan of Implementation target on sanitation;</li> <li>- improving environmental health in coastal regions;</li> <li>- reducing potential transboundary wastewater 'hot spots';</li> <li>- implementing the GPA- improving human health.</li> </ul>				
	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
<b>Objective:</b> Improved capacity of 46 municipalities in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects that are backed by a multi-year finance plan	Percentage of new wastewater proposals in ACP countries, that are environmentally-friendly, technologically feasible, where stakeholders were involved in planning process, <u>and</u> include a sustainable multi-year finance plan for operation & maintenance	<i>Estimated 0 - 10%</i>	20% of proposals submitted meet these criteria (15% for the multi-year finance plan for O&M)	<ul style="list-style-type: none"> <li>● Review of proposals submitted for review</li> <li>● Post-training assessments</li> <li>● Reports from participating municipalities</li> </ul>	<ul style="list-style-type: none"> <li>● Good governance, political, social and economic stability</li> <li>● International community continues to support non-training solutions</li> </ul>
<b>Outcome 1</b> Increased capacity in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects	Number of participants of the wastewater training course who understand and are able to apply objective-oriented planning in WW projects.	<i>Estimated 10 - 30% (varies between municipalities)</i>	80% of 920 participants	<ul style="list-style-type: none"> <li>● UNDOALOS-TSC module tests and final evaluation versus pre-training questionnaire results</li> </ul>	<ul style="list-style-type: none"> <li>● Participating municipalities provide proposals for review</li> <li>● Staff applies methods learned</li> </ul>



<b>Outcome 2</b> Increased capacity to: plan sustainable multi-year financing of municipal wastewater projects	Number of participants of the finance training who understand benefits and method of multi-year financial planning and are willing, competent and able to apply these methods.	<i>Estimated</i> 0 - 15%	80% of 280 participants	● UNDOALOS-TSC module tests and final evaluation	● Local authorities willing to adopt new methods and approaches
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	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
<b>Outcome 3</b> Increased willingness of managers and finance staff to cooperate and systematically involve stakeholders in all stages of the planning process,	Number of trained project managers and finance committee members willing to cooperate and to involve stakeholders in the planning process <u>Time-bound outcomes 1-3:</u> Effects measurable post training	Estimated 10 - 50% variation <i>(assessed during the trainings)</i>	80% of all 1200 participants	<ul style="list-style-type: none"> <li>● Statements in final course evaluation sheets</li> </ul>	<ul style="list-style-type: none"> <li>● Inner-institutional set-up caters for closer cooperation (mgnt &amp; finance)</li> <li>● Institutionalizing stakeholder involvement supported at policy level</li> </ul>

<p><u>and</u> an improved knowledge base and strengthened information exchange between practitioners and other GEF projects</p>	<p>Number of staff of GEF projects (SIDS, GCLME, WIO-LaB) involved in demonstration projects to reduce marine pollution from wastewater who received Train-Sea-Coast (TSC) training in either objective-oriented planning or multi-year finance planning for wastewater projects</p> <p><u>or</u> who have access to TSC tools on these issues through IW:LEARN and TSC-GPA web sites</p>	<p><i>None at the inception of this project</i></p>	<p>20% of relevant project staff working on demonstration projects trained</p> <p>100% information access via IW:LEARN and TSC-GPA web sites and networking tools</p>	<ul style="list-style-type: none"> <li>● Annual reports of the three GEF SIDS projects, and of the GCLME and WIO-LaB project</li> <li>● IW:LEARN reports</li> </ul>	<ul style="list-style-type: none"> <li>● all GEF projects will have demonstration projects addressing municipal wastewater collection and treatment approved within project cycle</li> </ul>
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## **Appendix 2. Documentation list for the evaluation to be provided by the UNEP Task Manager**

- Project design documents
- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements
- Annual UNDP/GEF Project Implementation Reports (PIRs)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Extension documentation. Has a project extension occurred?
- Project revision documentation.
- Budget revision documentation.
- Project Terminal Report (draft if final version not available)
- Training reports
- Feedback from participants
- Final evaluation of training programme.

### Appendix 3 – Matrix for Distribution of responsibilities and tasks among evaluation consultants

L: Lead assessor

S: Support in data collection and analysis

Evaluation Criteria		Team Leader	Supporting Consultant 1
Attainment of Objectives and Planned Results	Achievement of Outputs and Activities		
	Relevance		
	Effectiveness		
	Achievement of main objective		
	Achievement of component objectives:		
	Component I		
	Component II		
	Component III		
	Efficiency		
	Review of Outcomes to Impacts (ROtI)		
Sustainability and catalytic role	Socio-political sustainability		
	Financial resources		
	Institutional framework		
	Environmental sustainability		
	Catalytic Role and Replication		
Processes affecting attainment of project results	Preparation and Readiness		
	Implementation Approach and Adaptive Management		
	Stakeholder Participation and Public Awareness		
	Country Ownership and Driven-ness		
	Financial Planning and Management		
	UNEP and UNDP Supervision and Backstopping		
	Monitoring and Evaluation		
Complementarities with the UNEP Medium Term Strategy and Programme of Work	Linkage to UNEP's EAs and POW 2010-2011		
	Alignment with the Bali Strategic Plan (BSP)		
	South-South Cooperation		

	Achievement of Outputs and Activities	Team Leader	Supporting Consultant 1
Component I	Replications of an existing UN/DOALOS Train-Sea-Coast accredited and fully documented 5-day partially residential course.		
	Handbook and course manual in the English, French, Portuguese, and Spanish language.		
	CD-ROM with a project cycle management tutorial, software tools for making feasible decisions and a document library.		
Component II	A new training course on multi-year financial planning to be developed and implemented according to UN/DOALOS Train-Sea-Coast methodology incl. material and translations.		

Component III	A multi-lingual web site, outreach to relevant stakeholders and collaboration with relevant GEF international waters projects in the SIDS.		
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#### Appendix 4. Annotated Table of Contents of the Main Report

<b>Project Identification Table</b>	An updated version of the table in Section I.A. of these TORs
<b>Executive Summary</b>	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table), as well as the most important lessons and recommendations. Maximum 4 pages.
<b>I. Evaluation Background</b>	
A. Context	A. Overview of the broader institutional and country context, in relation to the project's objectives.
B. The Project	B. Presentation of the project: rationale, objectives, components, intervention areas and target groups, milestones in design, implementation and completion, implementation arrangements and main partners, financing (amounts and sources), modifications to design before or during implementation.
C. Evaluation objectives, scope and methodology	C. Presentation of the evaluation's purpose, evaluation criteria and key questions, evaluation timeframe, data collection and analysis instruments used, places visited, types of stakeholders interviewed, and limitations of the evaluation.
<b>II. Project Performance and Impact</b>	
A. Attainment of objectives and planned results B. Sustainability and catalytic role C. Processes affecting attainment of project results D. Complementarity with UNEP, UNDP and UNIDO programmes and strategies	This section is organized according to the 4 categories of evaluation criteria (see section D of these TORs) and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.
<b>III. Conclusions and Recommendations</b>	
A. Conclusions	This section should summarize the main findings of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section

	should end with the overall assessment of the project. Findings should be cross-referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here (see Annex 2).
B. Lessons Learned	Lessons learned should be anchored in the main findings of the evaluation. In fact, no lessons should appear which are not based upon a conclusion of the evaluation. The number of lessons learned should be limited. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing, and their number should be limited to 3 or 4. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyze the pros and cons of each option.
<b>Annexes</b>	<p>These may include additional material deemed relevant by the evaluator but must include:</p> <ol style="list-style-type: none"> <li>1. Evaluation TORs</li> <li>2. The evaluation framework (second part of the inception report)</li> <li>3. Evaluation program, containing the names of locations visited and the names (or functions) of people met</li> <li>4. Bibliography</li> <li>5. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs)</li> <li>6. The review of project design (first part of the inception report)</li> <li>7. Technical working paper</li> <li>8. Brief CVs of the consultants</li> </ol>



	TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.
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Examples of UNEP GEF Terminal Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou).

## Appendix 5 Evaluation ratings

The evaluation will provide individual ratings for the evaluation criteria described in section II.D. of these TORs. Some criteria contain sub-criteria which require separate ratings (i.e. sustainability and M&E). Furthermore, an aggregated rating will be provided for Relevance, effectiveness and efficiency under the category “Attainment of project objectives and results”.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report. Please note that the order of the evaluation criteria in the table will be slightly different from the order these are treated in the main report; this is to facilitate comparison and aggregation of ratings across UNEP project evaluation reports.

Criterion	Summary Assessment	Rating
<b>A. Attainment of project objectives and results</b>		HS → HU
1. Effectiveness		HS → HU
2. Relevance		HS → HU
3. Efficiency		HS → HU
<b>B. Sustainability of project outcomes</b>		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
<b>C. Catalytic role</b>		HS → HU
<b>D. Stakeholders involvement</b>		HS → HU
<b>E. Country ownership / driven-ness</b>		HS → HU
<b>F. Achievement of outputs and activities</b>		HS → HU
<b>G. Preparation and readiness</b>		HS → HU
<b>H. Implementation approach</b>		HS → HU
<b>I. Financial planning and management</b>		HS → HU
<b>J. Monitoring and Evaluation</b>		HS → HU
1. M&E Design		HS → HU
2. M&E Plan Implementation		HS → HU
3. Budgeting and funding for M&E activities		HS → HU
<b>K. UNEP and UNDP Supervision and backstopping</b>		HS → HU
1. UNEP		HS → HU
2. UNDP		HS → HU

**Rating of Attainment of project objectives and results.** A compound rating is given to the category based on the assessment of relevance, effectiveness and efficiency. This aggregated rating is not a simple average of the separate ratings given to the evaluation criteria, but an overall judgement by the consultants. Relevance and effectiveness, however, will be considered as critical criteria. This means that the aggregated rating for Attainment of objectives and results may not be higher than the lowest rating on either of these two criteria.

**Ratings on sustainability.** According to the UNEP Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions.

**Ratings of monitoring and evaluation.** The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design) as follows:

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

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

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

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

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

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

M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

## Appendix 6. Quality Assessment of the Evaluation Report

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

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

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

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

Rating system for quality of Terminal Evaluation reports: A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

## Appendix 7. Introduction to Theory of Change / Impact pathways, the ROtI Method and the ROtI Results Score sheet

Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs.

However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation.

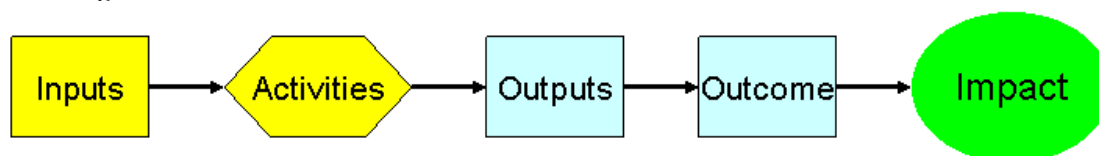
Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

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

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

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

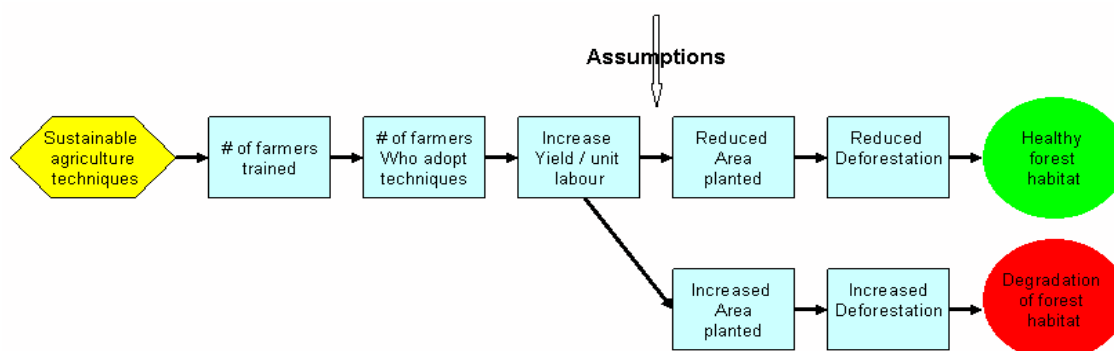
Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.



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

create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

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



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)<sup>16</sup> and has three distinct stages:

- Identifying the project's intended impacts
- Review of the project's logical framework
- Analysis and modelling of the project's outcomes-impact pathways

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method<sup>17</sup>. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrue long after the completion of project activities.

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

<sup>16</sup> GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. [http://www.gefweb.org/uploadedFiles/Evaluation\\_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf](http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf)

<sup>17</sup> Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

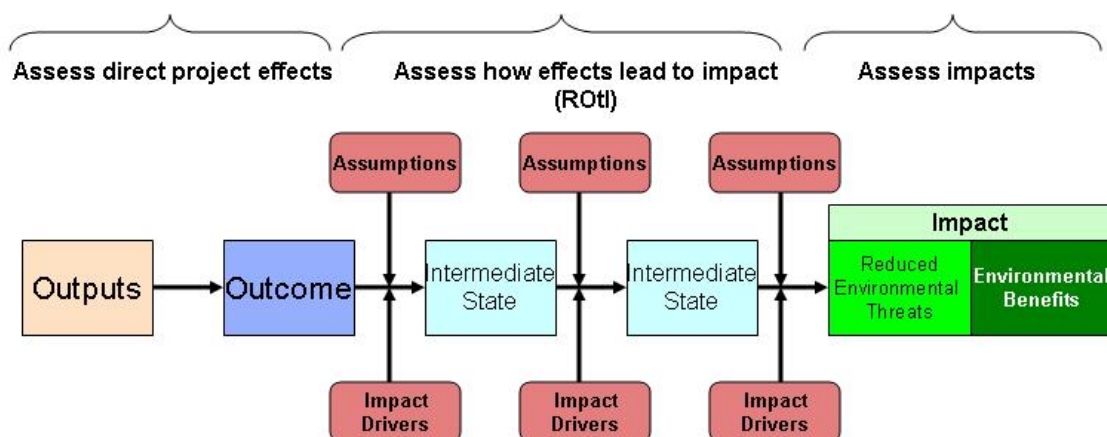
They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

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

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

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

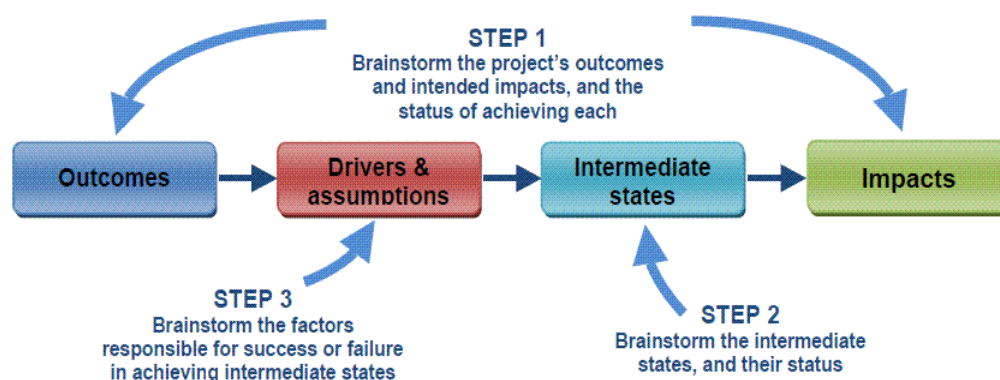
Figure 3. A schematic ‘impact pathway’ showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009).



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

Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

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



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

The ROTI method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According the GEF guidance on the method; “*The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.*” For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

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

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



after project funding.	term impact.
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Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

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

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

In addition, projects that achieve documented changes in environmental status during the project’s lifetime receive a positive impact rating, indicated by a “+”. The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

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

Results rating of project entitled:							
		Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediary		Impact (GEBs)		
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	Rating justification:		Rating justification:		Rating justification:		

## Scoring Guidelines

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

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

#### Examples

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

***Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future.*** People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

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

***Outcomes plus explicit linkages forward.*** Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

#### Intermediary stages:

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

***“Outcomes” scored C or D.*** If the outcomes above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

***In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends.*** Although outcomes achieved have *implicit forward linkages* to intermediary

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

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

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

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

**Impact:** Actual changes in environmental status

**“Intermediary stages” scored B to A.**

**Measurable impacts achieved at a globally significant level within the project life-span. . (Score = ‘+’)**

Appendix 8: Template for the assessment of the Quality of Project Design – UNEP Evaluation Office September 2011

Relevance		Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?			
Does the project form a coherent part of a UNEP-approved programme framework?			
Is there complementarity with other UNEP projects, planned and ongoing?			
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?		
	ii) the UNEP mandate and policies at the time of design and implementation?		
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)		
	iv) Stakeholder priorities and needs?		
<b>Overall rating for Relevance</b>			
Intended Results and Causality			
Are the objectives realistic?			
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?			
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?			
Are the activities designed within the project likely to produce their intended results			
Are activities appropriate to produce outputs?			
Are activities appropriate to drive change along the intended causal pathway(s)			
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?			
<b>Overall rating for Intended Results and causality</b>			
Efficiency			
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?			
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?			
<b>Overall rating for Efficiency</b>			

Sustainability / Replication and Catalytic effects			
Does the project design present a strategy / approach to sustaining outcomes / benefits?			
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?			
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?			
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?			
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?			
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?			
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches show-cased by the demonstration projects;		
	ii) strategic programmes and plans developed		
	iii) assessment, monitoring and management systems established at a national and sub-regional level		
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]			
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?			
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments or other donors?			

Does the project design foresee adequate measures to create opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?		
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?		
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>		
<b>Risk identification and Social Safeguards</b>		
Are critical risks appropriately addressed?		
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?		
Are potentially negative environmental, economic and social impacts of projects identified		
<b>Overall rating for Risk identification and Social Safeguards</b>		
<b>Governance and Supervision Arrangements</b>		
Is the project governance model comprehensive, clear and appropriate?		
Are roles and responsibilities clearly defined?		
Are supervision / oversight arrangements clear and appropriate?		
<b>Overall rating for Governance and Supervision Arrangements</b>		
<b>Management, Execution and Partnership Arrangements</b>		
Have the capacities of partner been adequately assessed?		
Are the execution arrangements clear?		
Are the roles and responsibilities of internal and external partners properly specified?		
<b>Overall rating for Management, Execution and Partnership Arrangements</b>		
<b>Financial Planning / budgeting</b>		
Are there any obvious deficiencies in the budgets / financial planning		
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential		
Financial and administrative arrangements including flows of funds are clearly described		
<b>Overall rating for Financial Planning / budgeting</b>		
<b>Monitoring</b>		
Does the logical framework: <ul style="list-style-type: none"> <li>capture the key elements in the Theory of Change for the project?</li> <li>have ‘SMART’ indicators for outcomes and objectives?</li> <li>have appropriate ‘means of verification’</li> </ul>		

• adequately identify assumptions		
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?		
Is there baseline information in relation to key performance indicators?		
Has the method for the baseline data collection been explained?		
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??		
Has the time frame for monitoring activities been specified?		
Are the organisational arrangements for project level progress monitoring clearly specified		
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?		
Overall, is the approach to monitoring progress and performance within the project adequate?		
<b>Overall rating for Monitoring</b>		
<b>Evaluation</b>		
Is there an adequate plan for evaluation?		
Has the time frame for Evaluation activities been specified?		
Is there an explicit budget provision for mid term review and terminal evaluation?		
Is the budget sufficient?		
<b>Overall rating for Evaluation</b>		

**Appendix 9. LIST OF INTENDED ADDITIONAL RECIPIENTS OF THE FINAL EVALUATION (to be completed by the IA Task Manager)**

**Government Officials**

<b>Mr. Daniel Senanu Amlalo</b> Deputy Executive Director	Environmental Protection Agency (EPA)	damlalo@epaghana.org, damlalo@yahoo.co.uk
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<b>Mr. Adebodun Toplonu Sewanu</b> Scientific Officer	Lagos State Environmental Protection Agency (LASEPA)	detop4real@yahoo.com
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<b>Mr. Stephen Katua</b> Head - Coastal, Marine and Freshwaters	National Environment Management Authority (NEMA), Kenya	Stephenkatua@yahoo.com
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**Implementing Agency**

<b>Dr. (Mrs.) Iyenemi Ibimina Kakulu</b> Head of Department of Estate Management	Rivers State University of Science and Technology (RSUST)	ibkakulu@hotmail.com
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<b>Dr. Simèon Kenfack</b> Programme Officer, Partnership Management	Regional Centre for low cost Water and Sanitation Facilities (CREPA)	skenfack@yahoo.fr
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<b>Christopher Cox</b> Programme Director	Caribbean Environmental Health Institute	ccox@cehi.org.lc or cehi@candw.lc
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<b>Dr. Stephen Donkor</b> Regional Coordinator/Executive Director	Guinea current Large Marine Ecosystem Project UNIDO-IGCC	sdonkor@gmail.com
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<b>Dr. Karoli Nicholas Njau</b> Senior Lecturer Chemical and Process Engineering Department,	University of Dar es Salaam,	<a href="mailto:knjau@udsm.ac.tz">knjau@udsm.ac.tz</a> , knjau30@yahoo.com
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<b>Dr. Marc Overmars</b>	Applied Geoscience and	marc@sopac.org
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Manager- Water and  
Sanitation

Technical Division of  
Secretariat of the Pacific  
Community (SOPAC)

## Annex 2 The Evaluation Framework

The TOR specifies that this terminal evaluation should be an in-depth evaluation using a participatory approach involving stakeholders throughout the evaluation process. The evaluation will be based on: 1) a desk review of relevant available documents and web-pages; 2) country visits to Kenya and Tanzania to interview stakeholders and to assess impact of the training; and 3) interviews with project management, regional and country lead execution partners, course instructors and training participants.

The evaluation principles, criteria and the rating principles are spelled out in the TOR and will be followed.

*Data sources:* The main data sources for the desk review are: 1) Request for GEF funding dated 2006, 2) Request for EU-funding undated, 3) Final Narrative and Final Financial Report dated 2009, 4) Reports of Training Workshops, 5) Project Decision Sheet, dated 2009, 5) documents from [www.gpa.unep.org](http://www.gpa.unep.org) and [www.gpa.depiweb.org/docman/cat\\_view/38-training.html](http://www.gpa.depiweb.org/docman/cat_view/38-training.html), 7) Participants Manual for Wastewater Management, 8) Instructors Manual for Wastewater Management, 9) 2010 APR and PIR, and 10) Land Management and Pollution in Coastal Towns – Selected cases from West Africa. In addition the municipalities visited during the country visit will be requested to share project proposals WW projects with the consultant.

*Desk review:* The desk review will besides the assessment of the quality of the project document include an assessment of the reported achievements, expected impact, and the effectiveness of the project. This will be tri-angulated with the two ProDocs, the interviews and observations during the country visits and the responses from the email/telephone interviews. The course reports will be analysed and the list of participants tabulated based on the criteria for participation described in the ProDocs. The issues listed in the TOR section D Evaluation criteria will guide the assessment.

The stakeholders at local level can be divided into three categories: 1) organisations involved with implementation and management of the project, 2) course instructors, 3) course participants. All three groups will be included in the interviews. The interviews with group 1 will have a more strategic focus and the questions will reflect the structure and content of the evaluation report as required in the TOR. The questions to group 2 will be both strategic and practical, and group 3 will be practical and focus on the relevance of the course, the usefulness and ask into how the learnt skills are used. The questions listed below will serve as a general guide and not all questions will be relevant for all persons interviewed. Specific questions to the course participants will focus on the path from outcome to impact and goal.

A review of the participants lists in the course reports indicates that the participants can be divided into three main types: a) municipal staff, the main target group, b) staff from government institutions involved in environmental issues, and c) private sector and NGO representatives. It will be attempted to include representatives for all three groups in the country visit and the later desk research.

*Country visit:* The country-visit will cover the three types of course participants and their organisations. It will include visits to the organisations where the course participants are working and interviews with both the course participant and their supervisor. The interviews with the supervisor will focus on the operation of the organisation, to assess if the organisation has changed its mode of operation after the staff member has gained the new knowledge. The interviews at the country visit will be guided by the questions listed below. The information collected will be triangulated with the desk study and the desk research.

*Desk Research:* The desk research will be continued document study of additional documents obtained and email and telephone interviews with stakeholders. These will be (from bottom up): course participants, course instructors, course organisers, regional partners and global partners. The course participant will be approached with a short email questionnaire that will be sent to between 150 – 180 course participants from courses in Caribbean, West Africa, Indian Ocean and Pacific. The questionnaire contains a few simple, easy answered questions together with an invitation to participate in a telephone interview. This approach is chosen with the hope that people respond instantly and a higher response rate is anticipated. The responses from the questionnaire will be collated country wise and analysed. The telephone interviews will include interviews with course participants, course instructors and the agency responsible for arranging the courses. Depending on the geographical distribution of the responses, the countries will be selected based on a rough scoring model on enabling environment in terms of institutional willingness to change and financial availability to support investments. It will also be attempted to select countries from different regions. Telephone interviews will, if possible, be carried out in one country with a good enabling environment (institutional and financial), one country with an institutional enabling environment and one country with a financial enabling environment. This approach will be revised together with EO if it for some reason turns out not to be possible. This could be too few responses, responses from a single country etc. It is planned to carry out approximately 10 telephone interviews with participants, 2 - 3 telephone interviews with course instructors and agencies responsible for arranging the courses, email interviews with regional partners and email and telephone interviews with global partners.

*Key informants:* The following people are expected to be the key informants for the evaluation:

*UNEP HQ:*

Heidi Savelli, Programme Officer  
Kizito Mashinde, UNV, (participated in project implementation from the start)  
(Robert Bechtloff, Project Manager during implementation)

*UNESCO-IHE:*

Erik de Ruyter van Steveninck, (participated in project development, course instructor on several courses and responsible for course methodology)

*UNDP:*

Andrew Hudson, Principal Technical Adviser, IW, NY

*Regional Level:*

*East Africa:* UNEP-GEF WIO-LAB, Dr. Peter Scheren (now WWF)  
*West Africa:* GCLME/ IGCC, Dr. Jaques Abe  
*Caribbean:* CEHI, Ms. Patricia Aquing  
*Pacific:* SOPAC

*Local Level*

*Organiser:*  
*Instructor:* Kenya, Tanzania and other relevant countries  
*Participants:*

**Key evaluation questions as per TOR are:**

- How successful was the project in improving the capacity of 46 municipalities in ACP countries to identify and formulate feasible and environmentally-friendly wastewater projects, backed by a multi-year finance plan

Specifically through:

- Increased capacity to identify and formulate feasible and environmentally-friendly wastewater projects

- Increased capacity to: plan sustainable multi-year financing of municipal wastewater projects
- Increased willingness of managers and finance staff to cooperate and systematically involve stakeholders in all stages of the planning process, and
- An improved knowledge base and strengthened information exchange between practitioners and other GEF projects.

The above question will be covered directly or indirectly in all interviews supplemented with the general questions related to the evaluation criteria listed in TOR and the specific questions to each target group.

## **Specific Questions for Questionnaires and Interviews**

### ***Questions for Participants***

The usefulness of the course?

Were any of the modules more useful than others?

Are you using any part of the learned skills?

Has the think you learned at the course changed your daily work routines?

Did you prepare project proposals based on OOP?

If you did – what motivated you?

If you did not – what support would you have needed?

Have the procedures for preparation of project proposals changed in your organisation?

Name proposals prepared based on OOP?

What is the status of these proposals? - approved? funded? implemented?

*If proposals have been prepared:*

What was the basis for technology choices and financial considerations during the design?

Technical: pollution prevention? re-use of WW? centralisedvs decentralised option? environmental concerns?

Finance: user pay? polluter pay? O&M?

Do you share information with your colleagues or seek their advise on issues?

Are you part of any professional network?

Any other information that you wish to share related to the course.

### ***Question for Instructors:***

- Opinion of the course in general?
- The curriculum – is it relevant? – is the course content appropriate or is the course trying to cover too much ground in too short a time?
- How did it function with global standardised course material? Was it good?
- How did it work with universal and local case stories?
- Opinion on the selection of participants?
- Was the different theoretical and practical background of the participants an issue?
- Are you aware of any changes in behaviour since the course was implement (can this be attributed to the course).
- From yours perspective, are there any social or political factors that may influence positively or negatively the impact of the courses? (awareness, interests, commitment or incentive to change)
- Have you used this course material since teaching the UNEP courses. If so which part and where?

### ***Question for Course Organisers:***

- As a course organiser, what is your opinion of the course? Content? Relevance?
- Are you still in contact with the participants?
- How was the participants selected? Do you remember the criteria? Was gender considered in the selection process?
- How will you describe the enabling environment in Nigeria and Ghana?
- Are municipalities and government institutions willing to change and accept new approaches and ways of doing business?
- How is the financial situation with respect to get financial for wastewater investments?
- Have you seen any changes in behaviour of key stakeholders since the courses were carried out? Can this be attributed to the course?

#### ***Questions for Regional Partners***

- How did the role as partner organisation function?
- As a partner organisation, what is your opinion of the course?
- Do you consider the course a success?
- Do you think that it has achieved its objective?
- In retrospect would you consider the projects objectives and implementation strategies consistent with environmental issues and needs in ACP countries and UNEPs mandate at the time?
- From yours or your organisations perspective, are there any social or political factors that may influence positively or negatively the impact of the courses?
- (awareness, interests, commitment or incentive to change)
- Have you heard of any 'champions' who have supported change in their organisation or institutions that have adopted OOP?
- From your perspective, how did the financial planning, management, administrative procedures and reporting function?
- Did you encounter any irregularities in use of financial or human resources or any other measure taken by UNEP or an executing partner?
- Were the project supervision plans, input and processes adequate?
- How has gender considerations been part of the selection process?
- To what extent has the project been contributing to knowledge sharing? Any examples?

#### ***Questions for Global Partners***

- The project should be monitored against standard UNDP and GEF M&E procedures. How well did this function?
- Was the various progress reports submitted at the expected time and in acceptable quality?
- A project steering committee (SC) was anticipated. (I have requested copies of minutes from SC meetings but have not yet received these). Did the SC meet annually as indicated in the GEF document? Were the issues presented to SC relevant?
- Did you consider the projects supervision plans, inputs as adequate?
- Has any financial, administrative or fiduciary issues been brought to the attention of the SC during implementation?
- Has the PIR reports been shared with you and if so did you find them accurate and well justified?
- Did you participate in the discussion on termination of Component B "Develop TSC training on multi-year financial planning" and reallocation of funds to Component A? Any reflections on this decision?
- Do you consider the project a success?
- In retrospect would you consider the projects objectives and implementation strategies consistent with environmental issues and needs in ACP countries and UNEPs mandate at the time?

***Text to email to course participants:***

Dear .....,

You participated in the training course for Improved Municipal Wastewater Management in ... from

UNEP has decided to carry out an evaluation to learn whether participants' benefited from the course, and have used the lessons of the course to improve the quality of their work. I have been hired as a consultant to carry out the evaluation and would be very grateful if you could take a few minutes to think back on the on the course and return this email with your answer to the questions below.

The course had three modules:

1. Objective Oriented Planning, where you learnt about problem tree, objective tree etc.
2. Conventional and Innovative Approaches in Municipal Wastewater Management; and
3. Presentation Techniques, how to make an oral presentation and how to write feasibility reports.

- Which part of the course did you find most useful?
- Was any part of the course not useful?
- How has the course changed the way you work?
- If you have prepared project proposal(s) based on Objective Oriented Planning would you give us the title(s) of the proposal?
- Has the proposal(s) been funded and implemented?
- Do you have any comments on the course that you would like to share with us?
- What is your current position in your organisation?
- Has it changed since taking this course?

We would like to carry out a number of telephone interviews in the period 19 – 25 February 2012.

We would expect that each interview would take between 10 - 15 minutes. If you are willing to participate in a telephone interview please indicate a contact telephone number, preferred date and time for an interview. We will confirm the interview by email in advance.

The telephone interview will focus on 1) the usefulness of the course and its three element mentioned above; 2) examples on change in daily work routines that you think origin from the course; 3) procedures for preparation of project proposals in your organisation; 4) basis for technology choices and financial considerations; 5) information sharing and professional networking; and 6) any other information that you wish to share related to the course.

Telephone number:

Date:

Preferred time:

We would appreciate to receive your reply before 17 February 2012.

Regards

Jens Bjerre

Confidentiality:

All information provided – written and oral - will be treated confidential and any quotation or reference made will be made in a non-traceable manner.

## Annex 3 Evaluation Program and People Met

### Timeline for Evaluation:

Milestones	Date
Start contract	17 January 2012
Inception report	29 January 2012
Country visit to Kenya and Tanzania (detailed below)	30 January – 8 February 2012
Desk research	13 February – 2 March 2012
Report writing	5 – 16 March 2012
Zero draft report to UNEP EO	17 March 2012
Draft report to stakeholders	23 March 2012
Comments by stakeholders to EO	11 April 2012
Final report	20 April 2012

### Programme for Country visit:

Date		Activity
30 Jan	Evening	Arrival in Nairobi
31 Jan	morning	Briefing UNEP
	afternoon	Transfer to Mombasa
		Overnight in Mombasa
1 Feb	morning	Interview in Malindi with Municipality, the DEO and possible private sector (a hotel)
	afternoon	Interview in Mombasa with Dr. SaedMwaguni (instructor on the Kenyan Courses)
		Overnight in Mombasa
2 Feb	morning	Interview in Mombasa with Municipality, NEMA and Kenya Port Authority
	afternoon	Transfer to Tanga
		Overnight in Tanga
3 Feb	morning	Interview in Tanga with TUWASA and Municipality
	afternoon	Interview in Tanga with private sector (tbc)
		Overnight in Tanga
4 Feb	Morning	Transfer to Mombasa
		Overnight in Mombasa
5 Feb	Morning	Transfer to Nairobi
		Overnight in Nairobi
6 Feb	all day	Meetings at UNEP
		Overnight in Nairobi
7 Feb	morning	Working at UNEP
	afternoon	Debriefing with Project Team
	evening	Depart for Denmark
8 Feb	Morning	Arrive in Billund

### People interviewed:

#### UNEP HQ:

Ms. Heidi Savelli, Programme Officer, UNEP  
 Mr. Kizito Mashinde, UNV, (participated in project implementation from the start)  
 UNEP

Mr. Robert Bechtloff, (UNEP-GPA Project Manager during implementation)

*UNESCO-IHE:*

Mr. Erik de Ruyter van Steveninck, PhD, UNESCO-IHE, Delft, The Netherlands.

*UNDP:*

Mr. Andrew Hudson, Principal Technical Adviser, UNDP Water and Ocean Governance Programme, NY

*UNOPS:*

Ms. Katrin Lichtenberg, Senior Portfolio Manager

*Regional Level:*

*West Africa:*

Dr. Stephen Donkor, GCLME UNIDO/IGCC, Accra, Ghana

*Caribbean:*

Ms. Patricia Aquing, Caribbean Environmental Health Institute (CEHI)

*Local Level*

*Organiser:*

Dr. (Mrs.) Iyenemi Ibimina Kakulu, River State University of Science and Technology (RUST), Port Harcourt, Nigeria

Mr. James Kamula, Senior Marine Officer, National Environment Management Authority, Mombasa, Kenya

*Instructor:*

Dr. Karoli Nicholas Njau, The Nelson Mandela African Institute of Science and Technology, Arusha, Tanzania

Dr. Saeed Mwaguni, Mombasa Polytechnic University, Mombasa Kenya.

Dr. (Mrs.) Iyenemi Ibimina Kakulu, River State University of Science and Technology (RUST), Port Harcourt, Nigeria

Mr. Erik de Ruyter van Steveninck, PhD, UNESCO-IHE, Delft, The Netherlands.

*Participants:*

Mr. Samuel Nganga, District Environmental Officer, Malindi,, Kenya

Mr. Julius Charo, Cleansing Supervisor, Malindi Municipal Council, Malindi Kenya.

Mr. Edward Mwakwenda, Public Health Officer, Mombasa Town Council, Mombasa, Kenya.

Mr. James Wanyonyi, Superintendent Cleansing and Environment, Mombasa Town Council, Mombasa, Kenya.

Mr. Ali Mwanzei, Provincial Director of Environment, Coast Province, Mombasa, Kenya

Ms. Genzabuke S. Madebo, Sewerage Network Engineer, Tanga Urban Water Supply and Sewerage Authority, Tanga, Tanzania

Mr. Amulike Anyawile Mahenge, Town Planner, Tanga City Council, Tanga, Tanzania

Mr. Primi Raphael Mamseri, Public Health Engineer, Tanga City Council, Tanga, Tanzania

Mr. Hamidu Hanafi Msua, Environmental Health Officer, Tanga City Council, Tanga, Tanzania

Richard Omani-Mensah, Ag. Team Leader, Liberia Landfill Construction Project, Liberia.

Mr. Philip Duamena-Boaten, Ghana Water Company, Takoradi, Ghana.

Mr. Samuel Tawiah, Senior Technical Engineer, Cape Coast Metropolitan Assembly, Cape Coast, Ghana.

Ms. Bukola Omotomilola Adetola, Department of Ecotourism and Wildlife Management Federal University of Technology, Akure, Nigeria.



Mr. Damilola Akinbebije, Geophysics Department, FUTA, Akure, Nigeria  
Mr. William Suiru Suilabayu, Secretary General, Bangem Council, Buea, Cameroon  
Mr. Nwogu Udodi Silas, Estate Department, University of Uyo, Uyo, Nigeria  
Mr. Olayinka Omotosho, Principal Scientific Officer, Lagos State Environmental  
Protection Agency, Nigeria.

Email questionnaires has been sent to more than half of all participants in the  
following courses:

No. 32 - Takoradi Ghana  
No. 43 - Yenagoa Nigeria  
No. 44 - Mauritius  
No. 45 - Uyo, Nigeria  
No. 49 - Akure, Nigeria  
No. 50 - Secheylles  
No. 53 - Belize  
No. 55 - Suva, Fiji Islands  
No. 57 - Buea, Cameroon  
No. 60 - Asaba, Nigeria  
No. 61 - Abuja, Nigeria  
No. 65 - Port Harcourt, Nigeria  
No. 68 - Mt. Irvine, Tobago

## Annex 4 Bibliography

- 1 Pollution Reduction through Improved Municipal Wastewater Management in Coastal Cities in ACP Countries with Focus on SIDS; Request for GEF Funding; dated May 2006.
- 2 UNEP Project Document: DEPI/Global Programme of Action for Protection of the Marine Environment from Land-based activities; Improving Municipal Wastewater Management in Coastal Cities in ACP Countries, undated version
- 3 Improving Municipal Wastewater Management in Coastal Cities in ACP Countries; Final Narrative and Final Financial Report EU ACP Water Facility 1<sup>st</sup> call for proposals, Project ID 583, Contract EuroAid 9ACP RPR 39#56, Dated July 2010
- 4 2010 Annual Project Review / Project Implementation Report; Pollution Reduction through Improved Municipal Wastewater Management in Coastal Cities in ACP Countries with Focus on SIDS
- 5 2009 Annual Project Review; Pollution Reduction through Improved Municipal Wastewater Management in Coastal Cities in ACP Countries with Focus on SIDS
- 6 2008 Annual Project Review; Pollution Reduction through Improved Municipal Wastewater Management in Coastal Cities in ACP Countries with Focus on SIDS
- 7 Improving Municipal Wastewater Management in Coastal Cities in ACP Countries; Project Decision Sheet, UNEP; Dated 10/2009
- 8 Improving Municipal Wastewater Management in Coastal Cities in ACP Countries; Final Financial Report on Income and Expenditure; UNEP; Jul 2009
- 9 Improving Municipal Wastewater Management in Coastal Cities in ACP Countries; UNEP; Provisional Statement of Income and Expenditure; Jul 2007 – Dec 2009
- 10 Improving Municipal Wastewater Management in Coastal Cities in ACP Countries; Interim Statement of Income and Expenditure; UNEP; Apr 2007 – Aug 2009
- 11 Reports from Training Courses on Improving Municipal Wastewater Management in Coastal Cities; Courses No. 21 -70
- 12 Municipal Wastewater Management in Coastal Cities; A Training Manual for Practitioners; UNEP/GPA - UNESCO-IHE Train-Sea-Coast GPA; undated
- 13 Municipal Wastewater Management in Coastal Cities; Instructors Manual; UNEP/GPA - UNESCO-IHE Train-Sea-Coast GPA; April 2004
- 14 Documents from [www.gpa.depiweb.org/docman/cat\\_view/38-training.html](http://www.gpa.depiweb.org/docman/cat_view/38-training.html), and [www.gpa.unep.org](http://www.gpa.unep.org)
- 15 Land Management and Pollution in Coastal Towns – Selected cases from West Africa; Iyenemi Ibimina Kakulu, Robert Bechtloff, and Barneme Beke Fakae; Undated
- 16 Terminal Evaluation of the Train-Sea-Coast Project (GLO/98/G35) “Strengthening Capacity for Global Knowledge Sharing in International Waters” (Component II); Stephen B. Olsen, Glenn G. Page, Manuela del los Rios, Glenn Ricci; SustainaMetrix; May 2011
- 17 Guidelines on Municipal Wastewater Management; UNEP; 2004
- 18 Report, 1st Interim Steering Committee Meeting, Cape Town, 7 August 2007
- 19 Invitation to UNEP/GPA Wastewater management meeting and Steering Committee Meeting for UNEP-GEF Improved municipal wastewater management in coastal cities in ACP countries
- 20 UNEP/GPA Partnership on Wastewater Management in ACP Countries, Review, Brainstorm and Strategic Planning of the Third Programme Phase, 17 and 18 November 2009, Nairobi

## Annex 5 Summary of finance information

### Annex 5 Financial Issues<sup>18</sup>

The project has been guided by two project documents: one for the GEF financing and one for the EU Water Facility financing. The Financing Plan for the project according to the GEF project document indicates a GEF financing of USD 1 million and an EU financing of USD 1.2 million. The GEF proposal includes written commitment from EU Water Facility to contribute with a maximum on EUR 1 million (USD 1.2 million) to the project.

The GEF project document does not include any detailed budget, neither on items, activities or outputs. The only budget included indicates distribution of the total budget per donor for each component (68% on Component 1, 27% on Component 2 and 5% on Component 3).

GEF Budget	GEF	EU	Total
Component 1	670,000	830,000	1,500,000
Component 2	270,000	330,000	600,000
Component 3	60,000	40,000	100,000
	1,000,000	1,200,000	2,200,000

The EU Water Facility project document only lists the EU-contribution and how it should be utilised. The document includes a costed workplan, but this workplan is not costed according to results or activities, but in personnel cost, subcontract cost, equipment and management fee etc.

Costed Workplan 2007 <sup>19</sup>	2007	2008	2009	EU Total	GEF Total	Total
Personnel	204,680	234,712	192,902	341,438	290,856	632,294
Subcontract	249,321	520,793	385,772	624,178	531,708	1,155,886
Training	0	0	0	0	0	0
Equipment and Premises	10,592	10,592	10,592	17,159	14,617	31,776
Miscellaneous	124,075	26,049	53,081	105,805	97,400	203,205
<i>Project Total</i>	<i>588,668</i>	<i>792,146</i>	<i>642,347</i>	<i>1,088,580</i>	<i>934,581</i>	<i>2,023,161</i>
UNON PSC	33,048	44,501	36,034	76,201	37,383	113,583
<b>Grand Total</b>	<b>621,716</b>	<b>836,647</b>	<b>678,381</b>	<b>1,164,781</b>	<b>971,964</b>	<b>2,136,744</b>

A UNEP Project Decision Sheet indicates that a minor budget revision was made in September 2009 to include the exchange rate gain on USD 85,537 in the budget. The project decision sheet indicates expenditure and budget as follows:

Project Decision Sheet expenditure and budget	2007 Expenditure	2008 Expenditure	2009 Budget	2010 Budget	EU Total	GEF Total	Total
Personnel	99,381	148,164	203,221	61,500	213,835	298,431	512,266
Subcontract	44,300	245,391	816,332	0	562,050	543,973	1,106,023
Equipment & premises	81	3,745	7,699	0	2,018	9,507	11,525
Miscellaneous	7,951	40,627	134,712	0	100,621	82,669	183,290
<i>Project Total</i>	<i>151,713</i>	<i>437,927</i>	<i>1,161,964</i>	<i>61,500</i>	<i>878,524</i>	<i>934,580</i>	<i>1,813,104</i>

<sup>18</sup> The Annex will be updated when financial information regarding original budget, budget revisions etc has been received

1. <sup>19</sup> Table is compiled based on UNEP Project Project Revision 1 dated 17 April 2007

UNON PSC	8,301	18,953	69,168	2,460	61,497	37,383	98,882
Grand Total	160,014	456,880	1,231,132	63,960	940,021	971,963	1,911,986

The total project cost is shown in the table below. The figures are compiled from expenditure sheet for UNDP-GEF and EU contribution obtained from UNEP Finance department on 15 March 2012.

Total Project (GEF + EU)	2007	2008	2009	2010	2011	EU Total	GEF Total	total
Personnell	103,426	37,248	164,732	92,205	0	190,362	207,249	397,611
Sub-contracts	49,067	356,308	789,317	23,913	-683	586,680	631,242	1,217,922
Equipment and Premises	81	3,745	17,588	-2,122	0	2,019	17,273	19,292
Miscellaneous	5,692	40,627	77,224	-54,540	0	34,620	34,383	69,003
Contingencies	2,259	0	-2,259	0	0	-2,259	2,259	0
Evaluation	0	0	0	0	24,520	24,520	0	24,520
<i>Total</i>	<i>160,525</i>	<i>437,928</i>	<i>1,046,602</i>	<i>59,456</i>	<i>23,837</i>	<i>835,942</i>	<i>892,406</i>	<i>1,728,348</i>
UNON PSC	8,919	18,952	66,355	-1,702	1,689	58,516	35,696	,94,213
Grand Total	169,444	456,880	1,112,957	57,754	25,526	894,458	928,102	1,822,56

1

The evaluation has not been provided with an explanation for the difference on USD 147,942 between the budget estimate in 2009 and the actual expenditure as per 2012.

The funds released to the project by UNDP-GEF and EU is:

UNDP-GEF	USD 933,240
EU	USD 854,458
Total	USD 1,787,698

The APR 2009 states that UNEP is contributing to the project with USD 316,000 in kind (staff salaries, offices and other administrative support). The expenditure on this contribution is in 2009 reported to be USD 245,500 and the UNEP finance department states that the final expenditure is USD 262,500.

## Annex 6 The review of project design

## Annex 6 Assessment of the Quality of the Project Design

		Evaluation Comments	Prodoc reference
<b>Relevance</b>			
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?		Yes, the project directly supports existing regional projects.	GEF p-4
Does the project form a coherent part of a UNEP-approved programme framework?		Yes, the project supports the goals of GEF OP10, GEF OP2 and GEF 3/4	GEF p.8
Is there complementarity with other UNEP projects, planned and ongoing?		Yes, the project will contribute to a number of global and regional projects	GEF p. 4-8
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	Yes, the project links with regional UNEP GEF initiatives	GEF p. 4-8
	ii) the UNEP mandate and policies at the time of design and implementation?	Yes, the project support UNEP GEF initiatives	GEF p.4
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	Yes, the project supports and supplement several global and regional GEF initiatives	GEF p.4-8
	iv) Stakeholder priorities and needs?	Yes, the project is a result of stakeholder request	GEF p.4
<b>Overall rating for Relevance</b>		If, anything too long and too detailed	HS
<b>Intended Results and Causality</b>			
Are the objectives realistic?		Ambitious and the measure for success is not controlled by the project	GEF p.3,9,15
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?		No, the description in the log-frame is not identical with the description in the text. The terms outcome and objective are used as if they are interchangeable. The log-frame has 1 goal. 1 objective, 3 outcome and indicators that are outputs. The proposal has in the summary 1 goal, 3 objectives, 5 outcomes. Both the log-frame and the GEF Doc text are clearly presented when assessed in isolation.	GEF p.10-11 GEF p.3 GEF p.15-19 EU p 6-14

	Evaluation Comments	Prodoc reference
	The project appears to be implemented according to the GEF Doc text. The EU Doc describes activities and indicators in greater detail than the GEF Doc	
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	Yes the timeframe is realistic, but the goal and objectives of the project is ambitious	
Are the activities designed within the project likely to produce their intended results	Yes	GEF p.15-19
Are activities appropriate to produce outputs?	Yes	GEF p.15-19 EU p6-14
Are activities appropriate to drive change along the intended causal pathway(s)	Yes, possible, if the “new knowledge” is well received and used by the organisation.	GEF p.15-19
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	The assumptions in the GEF log-frame are “general”. The GEF description of the activities does contain some thoughts on assumptions. The capacity of beneficiaries is not assessed, the primary group (municipality staff) is maybe implicit, but the benefit to the secondary group (people served by the municipalities) is not clear. The EU Doc contains a number of assumptions, impact drives scattered in the entire document	GEF p.10 & 15  GEF p.15   EU p.8 among others
<b>Overall rating for Intended Results and causality</b>		U
<b>Efficiency</b>		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	The GEF Doc does have a section on cost effectiveness.	GEF p.26
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	The project is building on experiences from earlier project where the course was developed and successful implemented	GEF p.2 among others
<b>Overall rating for Efficiency</b>		MS
<b>Sustainability / Replication and Catalytic effects</b>		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	Yes	GEF 19-21
Does the design identify the social or political factors that may influence positively or	Yes	GEF 19-21

		Evaluation Comments	Prodoc reference
negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?			
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?		Yes	GEF p.19
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?		No	GEF p.19
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?		Yes	GEF p.19-20
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?		No	
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches showcased by the demonstration projects;	Yes to the first and no to the latter. Mentioned as indicator in the log-frame but no corresponding activity	GEF p.11 & 18
	ii) strategic programmes and plans developed	In project terms yes	GEF
	iii) assessment, monitoring and management systems established at a national and sub-regional level	No	
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]		Yes	GEF p. 19
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?		No	
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments or other donors?		Yes	GEF p. 19
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?		Yes indirectly	GEF p. 19 EU p 9



	Evaluation Comments	Prodoc reference
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	Yes	GEF p. 21
<b>Overall rating for Sustainability / Replication and Catalytic effects</b>		MS
<b>Risk identification and Social Safeguards</b>		
Are critical risks appropriately addressed?	Yes	GEF p. 19 EU p. 7 among others
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	Partly	GEF p.19 and other places & EU doc in the general text
Are potentially negative environmental, economic and social impacts of projects identified	None	
<b>Overall rating for Risk identification and Social Safeguards</b>		MS
<b>Governance and Supervision Arrangements</b>		
Is the project governance model comprehensive, clear and appropriate?	Yes	GEF p 22
Are roles and responsibilities clearly defined?	Yes	GEF p 22
Are supervision / oversight arrangements clear and appropriate?	Yes	GEF p 22
<b>Overall rating for Governance and Supervision Arrangements</b>		S
<b>Management, Execution and Partnership Arrangements</b>		
Have the capacities of partner been adequately assessed?	No	
Are the execution arrangements clear?	Yes	
Are the roles and responsibilities of internal and external partners properly specified?	Yes, partly	GEF p.19
<b>Overall rating for Management, Execution and Partnership Arrangements</b>		MS
<b>Financial Planning / budgeting</b>		
Are there any obvious deficiencies in the budgets / financial planning	No	
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential	Yes	GEF p.
Financial and administrative arrangements including flows of funds are clearly described	No flow of funds	
<b>Overall rating for Financial Planning / budgeting</b>		S

	Evaluation Comments	Prodoc reference
<b>Monitoring</b>		
Does the logical framework: <ul style="list-style-type: none"> <li>capture the key elements in the Theory of Change for the project?</li> <li>have 'SMART' indicators for outcomes and objectives?</li> <li>have appropriate 'means of verification'</li> <li>adequately identify assumptions</li> </ul>	No No No, it has means of verification for activity and output level and the majority of assumptions need to be abstracted from the narrative	GEF p. 22-25
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	No	
Is there baseline information in relation to key performance indicators?	Yes, if abstracting from comment under intended output	GEF p.
Has the method for the baseline data collection been explained?	No	
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??	Yes, at output level	GEF p.24-25
Has the time frame for monitoring activities been specified?	No	
Are the organisational arrangements for project level progress monitoring clearly specified	No not relevant for this project	
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	Not specifically	
Overall, is the approach to monitoring progress and performance within the project adequate?	Yes,	
<b>Overall rating for Monitoring</b>		MS
<b>Evaluation</b>		
Is there an adequate plan for evaluation?	Yes, annual internal UNEP/GPA	GEF p. 22
Has the time frame for Evaluation activities been specified?	as above	
Is there an explicit budget provision for mid term review and terminal evaluation?	No	
Is the budget sufficient?	?	
<b>Overall rating for Evaluation</b>		MS

## Annex 7 Tabulation of responses to email questionnaire

Below is a tabulation of the answers given by participants to the email questionnaire. The questions asked can be found at the end in Annex 2.

	Most useful	Not useful	Changed your work	Prepared Project Proposals	Any implemented	Current position	Change since course	Any thing to share
Tobago	Conventional and Innovative Approaches	No, everything had value	No	n/a	n/a	Project Engineer	No	No
Tobago	OOP	No, the course was very comprehensive	Yes, in the area of planning for wastewater projects	Yes, Improving costal water quality	No, it has not due to lack of interest and where withal by the relevant authorities	Management Assistant	No	Applicable to my responsibilities at work and once the strategies of the course are adopted by my organisation, I believe that it would be effective
Belize	OOP	None	Based on the course and my recent studies, I do analysis to find problem and use that knowledge in my work	Most of our projects are objective oriented. New clarifiers, 3 lagoons. UV treatment of water before discharge	Yes, Clarifiers, Lagoons	Jr. Management Engineer	Yes, I was engineer.	I have recently completed by MBA
Ghana	Presentation skills	no	Changed to a private company in 2008	Yes, Solid and liquid waste management	No	Ag.Team Leader		
Nigeria	OOP	No	Yes, project identification, design and implementation. Also used when teaching and in community work	Yes, Implication of biodiversity conversation problems on ecotourism development	No	Assistant Lecturer	No	The course bought together mot of the stakeholders in my locality
Nigeria	Each module useful	All very useful for waste management	Yes, as	Yes 3 dam building projects, desalination by reverse osmosis	Yes 3 dam building projects	Assistant Director (Project) in charge of water	No, but schedule of assignment has changed	The course should be a recurrent exercise i.e. train and retrain
Cameroon	Presentation skills	No	Opened my eyes in the identification, proposal and participatory elaboration of projects	Rehab of water supply, Tree Nursery, School and toilet construction, tourist lodging and sanitary facilities, Market place, housing Schem, Council Town Hall	Water supply Tree nursery, School and toilet construction			The course was very interesting, but could be more practical and attractive if funding for some projects was available
Nigeria	OOP and	Everything	Helped me	Improving	No, I will not let	Director for	Same	The course

	Most useful	Not useful	Changed your work	Prepared Project Proposals	Any implemented	Current position	Change since course	Any thing to share
	presentation skills	interesting	become more self confident in public presentations	Urban Sanitation in the Federal Capital Territory	government use my proposal. I intend to use public participation to achieve implementation	NGO		was beautiful, important and highly educative. A course on project management should be included because of sustainability
Nigeria	OOP	All parts useful	We allow bottom to top approach in whatever decision or project we intend to embark on	None	n/a	Principal Civil Engineer	Yes	The course has assisted government in selecting the most prioritised project
Nigeria	All, OOP useful, conventional and innovative approach – super boast, Presentation technique – woow my favourite		The training was really a booster and I went back to work feeling like superman	Yes, sanitary landfill	No			
Nigeria	Presentation Techniques	No	My interpersonal and professional relationship have improved	Yes, Effluent treatment from an abattoir	No	Principal Scientific Officer	Yes	
Ghana	Presentation Techniques	No	Helped when presenting things to people	No	n/a	Administrative Officer		
Nigeria	Presentation Techniques	No	Presentation of issues to people	No	n/a	Environmental Officer		
Seychelles	Presentation techniques	No	Helped in structuring my presentations	No	n/a	District Administrator		
Fiji	Presentation techniques	No	Boosted my self confidence when making presentations	No	No			
Fiji	All parts useful	No	Helps in dealing with Public Health issues arising due to wastewater management.	No	n/a	Acting Health Inspector	Senior Assistant Health Inspector	
Fiji	All topic	No	Knowledge gained has helped in references to sanitation technologies			Senior Technical Officer		

## Annex 8 Review of Outcomes to Impact

This Annex reviews the projects “impact pathways” and its “theory of change” (ToC) according to the methodology “Review of Outcomes to Impact”<sup>20</sup> (ROtI). The methodology is designed to evaluate the overall likelihood of impact achievement.

The ToC is prepared with outset in the log-frame as it is presented in the project document. The goal is reformulated to an impact, the objective has been reformulated to intermediate state, new outcomes and immediate outcomes have been formulated based on field observations and interviews, and the outcomes from the log-frame has been reformulated to outputs. This ToC was discussed with the project team at UNEP headquarter and amended to reflect the consolidated understanding of the logic of events during implementation of the project.

The project would have three main Outputs - implementation of OOP and MYFP and establishing a web-site for information exchange. These three outputs would result in four Immediate Outcomes:

- Participants are able to use OOP would be a direct result of the training course in OOP
- Change in attitude among participants would be a result of both training courses (OOP and MYFP since both include modules on stakeholder involvement);
- Participants able to use MYFP would a direct result of the training course in MYFP. The course was however not implemented because it was discovered after curriculum development that many of the assumptions on budgeting processes in ACP countries, on which the training need analysis and thus the curriculum was based were incorrect. It became clear that a more comprehensive approach were required, which was identified as outside of the possibilities of this project (APR 2009).

- Training curricula absorbed in universities or training institutions. It became evident during the evaluation that some of the trained instructors from local universities are using part of or all the training material in their teaching and a derived immediate outcome was formulated.

This entire process would be stimulated through communication via web-site to exchange ideas on project identification. This output is expected to be an impact driver throughout the process.

The Immediate Outcomes would result in three Outcomes:

- Investment proposals for wastewater projects formulated based on OOP. Different patches can lead to this but they are all based on the assumption that municipalities are willing to adopt new methods and approaches. The outcome can be reached directly through participants able to use OOP with an impact driver that the project offers to review draft proposals. It could also be through involvement of stakeholders at all stages in the planning process.
- MYFP formulated and approved will not be materialise, see above.
- The derived immediate outcome regarding training curricula absorbed in local universities could lead to an outcome that university graduates are using OOP and multi-year financial planning tools.

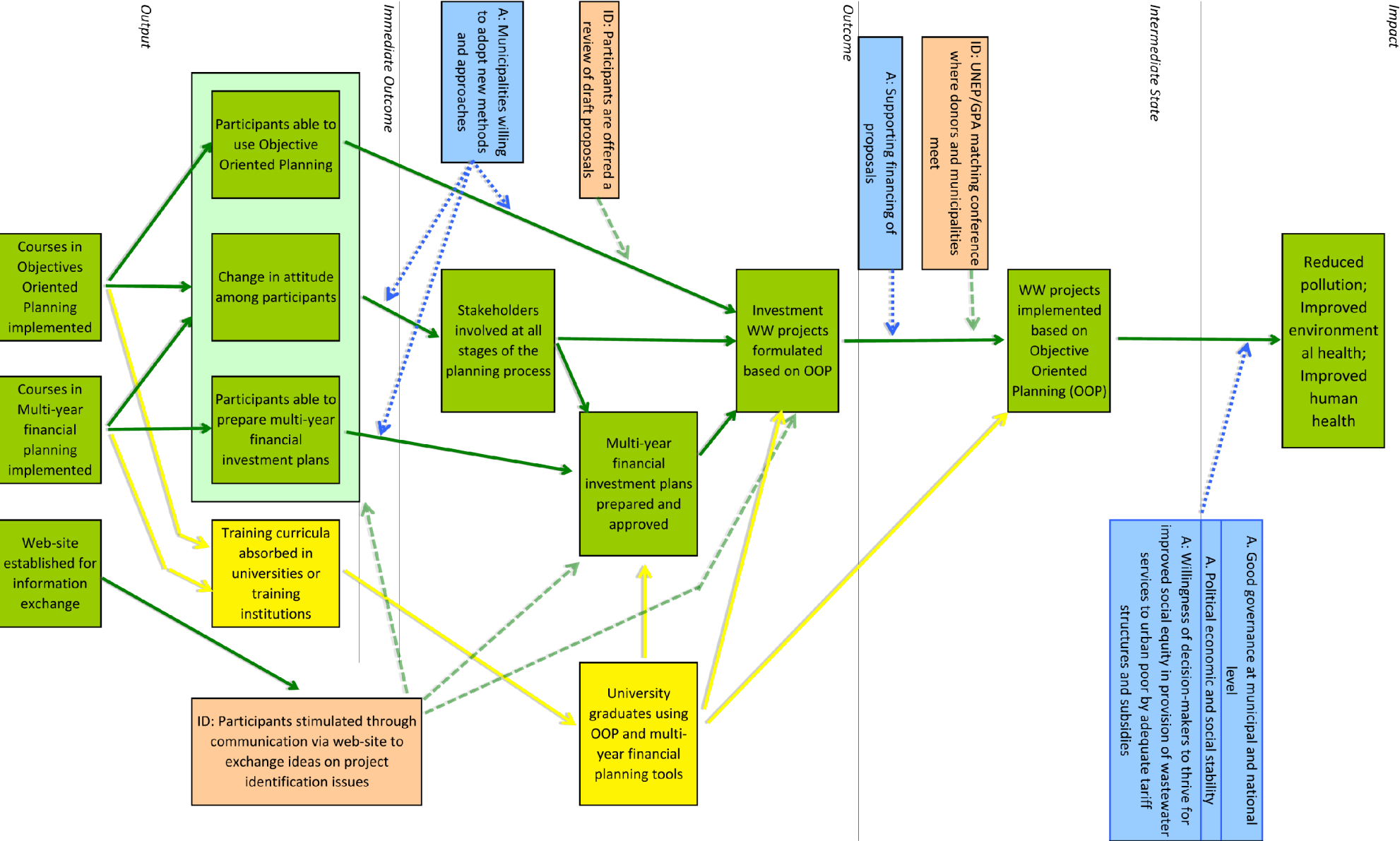
An Intermediate State before reaching the Impact is expected. This would include that wastewater projects are implemented based on OOP. The assumption for this is that financing is available and an impact driver would be that a planned UNEP/GPA matching conference where donors and municipalities meet is implemented.

The Impact expected is: reduced pollution, improved environmental health and improved human health. This is based on the following three (3) assumptions: 1) good governance at municipal and national level, 2) political economic and social stability, and 3) willingness of decision makers to thrive for improved social equity in provision of wastewater services to urban poor by adequate tariff structures and subsidies.

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

Theory of Change



### Rating for outcomes and progress toward intermediate state

			Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Immediate Outcomes	Outcomes		Intermediary		Impact (GEBs)		
<p>Course in OOP implemented</p> <p><i>Comments:</i> The course implemented with participants from more than 150 municipalities and national institutions. An assessment of the participants lists indicates that the target of 80% participants from municipalities were not achieved.</p>	<p>Participant able to use OOP</p> <p><i>Comments:</i> Participants are using OOP methodologies or some of them if all are not appropriate at the moment.</p>	<p>Investment wastewater project formulated based on OOP</p> <p><b>Rating justification:</b> Investment wastewater projects are formulated in some municipalities and government departments.</p>	B	<p>Wastewater projects implemented based on OOP</p> <p><b>Rating justification:</b> Wastewater projects based on OOP is implemented in a few middle-income countries. Wastewater projects in low-income countries are not being implemented mainly due to financial constraint.</p>	C	<p>Reduced pollution, improved environmental health, improved human health</p> <p><b>Rating justification:</b> No reported indication on significant impact</p>		BC
	<p>Change in attitude among participants</p> <p><i>Comments:</i> The attitude has changed, participants are confident, are using the oral presentation and the report writing tools learned when communicating with colleagues and stakeholders</p>	<p>Stakeholders involved at all stages of the planning process</p> <p><b>Rating justification:</b> Capacity increased in municipalities and government institutions to involve stakeholders in planning processes</p>	B					BC
	<p>Training curricula absorbed in universities or training institutions</p>	<p>University graduates using OOP methodology</p> <p><b>Rating justification:</b></p>	B					BC



			Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Immediate Outcomes	Outcomes		Intermediary		Impact (GEBs)		
	<i>Comments:</i> Some course instructors have adopted parts of the curriculum and are using it at the university	OOP being offered a special course at one university, another is planning to run the entire training problem if financial recourses can be ensured.						
Course in MYFP implemented <i>Comments:</i> The course was not developed and the component terminated.	Participants able to prepare MYFPlans  <i>Comments:</i> Not achieved	MYFP plans prepared and approved  <i>Comments:</i> Not achieved	D					
Web-site established for information exchange <i>Comments:</i> The web-site was established and maintained until 2010. The site contained document library, links to planning tools etc. The planned forum for practitioners was not established. The outputs linkage forward is as ID for participants in OOP								

## Annex 9 Brief CV of Consultant

### Jens Bjerre, EUR ING

Nationality: Danish  
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#### Professional data

Position: Director, Resources Development Consultants ApS  
Profession: Development Consultant  
Education: BSc (Eng) in Civil and Structural Engineering from the Engineering High School Haslev Teknikum, Haslev, Denmark (1978).  
Registration: European Engineer (EUR ING) registration number 05303DK, FEANI Register Group I, Registration number 061.  
Memberships: The Society of Danish Engineers (M.IDA)  
The Society of Executive and Independent Engineers of Denmark (M.LSI)

#### Key Capabilities:

*Development and Program Management:* Identification, programme conceptualisation and formulation; Process consultancies; Management and impact evaluation of development programmes; Evaluation and review of development programmes; Recruitment and management of multi-disciplinary teams.

*Environmental Sanitation and Water for the Urban Poor:* Identification of appropriate water and sanitation services for low-income communities; Identification and promotion of pro-poor reforms and appropriate institutional and financial arrangements for service delivery.

*Rural Sanitation, Hygiene and Water Supply:* Identification of appropriate technical options, financial and institutional arrangements for service delivery in rural areas.

*Capacity Building and Communication:* Design and facilitation of capacity building for local government, communities for effective delivery of services.

*Cross cutting areas of specialization:* participatory and demand driven approaches; institutional and human resources development; fragile states and early recovery; civil society and NGOs.

#### Countries experience:

*Long term assignments:* India (1991-1997), Kenya (1987-1990), Lesotho (1981-1983)

*Short term assignments:* Afghanistan, Bangladesh, Bhutan, Cambodia, Egypt, Ghana, India, Kenya, Malaysia, Mozambique, Pakistan, Palestine, Romania, Sri Lanka, Sudan, Tajikistan, Tanzania, Uganda, Vietnam, Zambia.

#### Employment record:

1999 - RDC, Director and senior consultant for institutional development.  
1997 - 1999 HAP Consultants, Senior partner and senior consultant for sanitation, water supply institutional development  
1994 - 1997 Danida, Danish Ministry of Foreign Affairs, Counsellor (Development), Royal Danish Embassy, New Delhi, India.  
1991 - 1994 Water and Sanitation Programme, World Bank, Sector Planner, South Asia posted in New Delhi.  
1987 - 1990 Danida, Nairobi, Kenya, Adviser in rural development seconded to Ministry of Economic Planning, Government of Kenya.  
1983 - 1987 COWI, Project Manager in the Department for Environmental Engineering and Head of Section for Wastewater Treatment  
1982 - 1983 Danish Volunteer Service, Lesotho, Project Manager seconded to Ministry of Health, Government of Lesotho.  
1980 - 1981 International Steel Consulting A/S, Project Engineer in the Department for Building Services, responsible for design of HWAC installations on oil platforms and in airports  
1978 - 1980 Flaekt Denmark A/S, Site Manager in the Department for Installation for Air-conditioning Systems