



United Nations Environment Programme

**Terminal Evaluation of the UNEP GEF Project:
Partnering for Natural Resource Management- Conservation
Council of Nations (CCN)**

By

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Executive Summary

Background

1. The terminal evaluation of the “Partnering for Natural Resource Management-Conservation Council of Nations (CCN)” UNEP/GEF Project has been undertaken after the project’s completion to assess project performance (in terms of relevance, effectiveness and efficiency), and to determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.
2. The Conservation Council of Nations (CCN) is a collaboration of national governments that believe in the critical importance of conservation and the link between good natural resource management and sustainable economic growth. CCN was created by the International Conservation Caucus Foundation (ICCF) as a means to advance an agenda of good stewardship among international leaders by building on the strength and diversity of ICCF’s base of NGO and corporate partners.
3. In January 2011, with support from GEF and UNEP, CCN commenced an 18-month project designed to maximize the CCN’s impact by expanding its membership and engagement, as well as enhancing its role in tackling emerging and critical issues of natural resource management through the creation of multi-partisan conservation caucuses in eight project countries (i.e. Kenya, Tanzania, Namibia, Zambia, Colombia, Costa Rica, Mexico, and Peru. These countries were chosen on the basis of several factors: interest and willingness of the legislators to establish a conservation caucus; interest on the part of key stakeholders who had the substantive knowledge needed to assist the legislators; acceptance of the executive branch for a conservation caucus); access to the political leadership; and existence of a pressing environmental problem to be solved. Under Activity 2, CCN developed a scorecard-based ranking of which countries would be most likely (or interested) to sign up as a CCN Member Country.
4. The project goal was to provide parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management. This is especially important considering that natural resource management is not always been the main concern for decision-makers who are challenged by other priorities such as economic growth or recovery from the impact of the global economic and financial crises. In many cases, this may be the case because political leaders have lacked sufficient understanding of the economic implications of the worsening ecological decline trends –further outlined below, or for that matter, the potential economic benefits of conservation and natural resource management. These are precisely the challenges that the CCN project has sought to address by equipping parliamentarians with the knowledge and resources needed to promote deeper coherence between sound natural resource management and economic growth.
5. The project activities focused on delivering education and capacity development at the parliamentary level for conservation and sound natural resource management. The CCN project was designed around the following three main components.

Component 1: Collaboration and Commitment

Increasing CCN member numbers as well as CCN member commitment to issues of biodiversity, including collaboration with CCN partners.

Component 2: Capacity Building and Exchanges

Establishing transferable capacity building programs serving to inject science into policy formulation -- linking conservation and development, water, forests and biodiversity, health, agriculture and security

Component 3: International Parliamentary Conservation Caucus Building & Mentoring

Establishment of conservation caucuses and parliamentarian mentorship programs.

6. This terminal evaluation had 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, GEF and their executing partners. In this light, the evaluation identified lessons of operational relevance for future project formulation and implementation.
7. The evaluation focused on the following six fundamental questions, which were based on the project's intended outcomes:
 - Is there evidence that CCN partner countries are increasingly injecting science into policy formulation to address global biodiversity, habitat loss and natural resource management?

Is there evidence of increased dialogues on issues of conservation and natural resource management within CCN partner countries' parliaments?

 - Is there evidence that CCN partner countries are collaborating together to address global biodiversity, habitat loss and natural resource management issues?
 - Is there evidence of improved practices and new programmes for conservation and natural resource management in CCN partner countries?
 - To what degree can behavioural and systematic change in the above areas be attributed to project activities, and which have been most effective in bringing about change?
 - Is there evidence of increased legislator awareness and understanding of national resource management and conservation and its link to policy-making?
8. On the basis of the analysis of the achievements of outputs, outcomes and the intermediate states, the Evaluation Team concludes that there is a high likelihood that the project's strategic objective of education and capacity development (and indeed the overarching impact of actually improving conservation and good natural resource management) are being met and will continue to be met if additional resources can be mobilised for the conservation caucuses.
9. It is important to highlight, however, that the level to which objectives and impact have been met vary according to the eight project countries. Where CCN has been able to engage extensively on the ground, as in Colombia and Kenya, it is evident that the project has contributed to higher levels of awareness, more dialogue, new forms of collaboration and indeed new conservation legislation being tabled. In these countries, as a new paradigm for conservation, the caucuses have not only succeeded in building multi-partisan collaboration around issues of conservation and natural

resource management, but in promoting important conservation legislative reforms.

Achievement of project outcomes

10. As regards the achievement of outcomes, the project was particularly successful. As described Section 3.9 of this report, the outcomes were re-framed during the reconstruction of the theory of change.
11. The reframed outcome 1 addresses one of the project's central aims, namely to increase legislator awareness and understanding of the substantive issues related to conservation and natural resource management. Not only were all of the project activities related to this outcome completed, but in addition to the substantive events organised by CCN, the process of caucus building in the eight project countries also helped to increase legislator awareness, especially for those legislators who had little or no prior awareness about key substantive environmental issues and their important linkages with economic growth, peace and security and poverty eradication. ICCF's brain trust enabled the project team to bring the best possible policy experts to the project events and to provide legislators with access to the most authoritative substantive insights, which could in turn be used to underpin important legislative reform efforts. As well, the new paradigm of multi-partisan conservation caucuses, albeit new to many countries, proved successful in accelerating important conservation legislative reform initiatives in countries such as Colombia and Kenya.
12. The reframed outcome 2 addresses increased dialogue between legislators at the national level on conservation and natural resource management issues. For the reframed outcome 2, the main output that specifically led to increased dialogue was the creation of the conservation caucuses in the 8 GEF beneficiary countries. The conservation caucus model has provided a neutral space for legislators of different parties to come together to discuss and debate key issues and where possible, to develop potential solutions, around what might have otherwise been seen as disparate interests, which would have otherwise divided legislators. Once again, in those countries where the CCN has been most actively engaged such as Kenya and Colombia, the caucuses have provided an opportunity for disparate interests to be transcended and addressed in concrete legislative reform efforts.
13. As regards Outcome 3, which addressed collaboration and knowledge exchange between CCN partner legislators and other stakeholders, as a result of the two big anchor events, the CCN was able to galvanize relationships between caucuses. They were also able to open channels for the development of new caucuses and were responsible for the forging of new relationships between legislators and the NGO and corporate members of the ICCF brain trust. Increased collaboration between legislators in CCN partner countries was also achieved as a result of the three thematic events that were held in South Africa (August 2011), Kenya (August 2012), and in Zambia (August 2013). Notwithstanding these successes, it is clear that without sustained support for the caucuses, it will be difficult to sustain the important project results that have occurred by virtue of project activities.
14. In general, the CCN project has been well-received by the project beneficiaries and key stakeholders. There has been a notably high level of enthusiasm among the legislators who have not only joined the caucuses but who have played leadership roles in advancing the conservation agenda within their legislatures. This was particularly reflected in the successes in Kenya and

Colombia, where the project team was able to engage in regular face-to-face meetings with caucus leaders and policymakers and to maintain a regular presence on the ground to facilitate meetings between the policymakers and key stakeholders. These efforts were critical to building and supporting the caucuses in Kenya and Colombia, and also to promoting concrete legislative reform efforts. As a new paradigm for conservation, the caucuses have forged new forms of cooperation, building multi-partisan collaboration around issues of conservation and natural resource management. Once again, this has been more evident in the countries in which CCN has been able to engage more significantly.

The fundamental questions addressed by the evaluation

- 15.** As regards the fundamental questions addressed by the evaluation, first, as regards evidence that CCN partner countries are injecting science into policy formulation, there is a growing insistence for 'evidence base' from the field and reliance on in situ surveys, censuses and assessments to guide policy formulation. There is more application of spatial analysis / mapping of land use / land cover trends and climate science to inform resource extractions.
- 16.** Second, as regards evidence of increased dialogues, all of the CCN events (i.e. thematic events, anchor events, parliamentary mentorships) provided opportunities for increased dialogue both within and between countries and between legislators and stakeholders, with whom they would not otherwise have had the opportunity to dialogue.
- 17.** Third, as regards evidence of collaboration among CCN partner countries, the project did achieve new forms of collaboration as a result of the three thematic events in South Africa, Kenya and Zambia, as well as the two anchor events and parliamentary exchanges.
- 18.** Fourth, as regards evidence of improved practices and new programmes, in both Kenya and Colombia, conservation laws have been strengthened recently due in part to activism by members of the conservation caucuses.
- 19.** Fifth, as regards attributable behavioural and systematic change, many of the project activities contributed accordingly. For example, the proposed amendments to Kenya's Wildlife Conservation and Management Bill can be attributed in very large part to project activities since it was caucus members who proposed and championed these amendments. As well, it was because of the leadership of the co-chairs and the multi-partisan support that the amendments passed unanimously despite the fact that they were introduced by parliamentarians of the non-majority party.
- 20.** And sixth, there is evidence of increased legislator awareness and understanding of national resource management and conservation and its link to policy-making. The high level of participation in CCN-sponsored summits and workshops and CCN surveys reveal that legislators benefitted from the new information to which they were introduced. As an example of increased awareness, the Kenyan Conservation Caucus has more than 40 members from both of the major coalitions.
- 21.** Overall the project has been rated as satisfactory. Criteria have been 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). See the project-rating table below.

Table 1: Project Rating

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project was highly satisfactory in terms of its consistency with sub-regional environmental issues because conservation caucus chairs chose the key themes to be addressed.	HS
B. Achievement of outputs	All outputs were completed, notably increase in CCN membership, establishment of eight conservation caucuses, as well as information briefings, thematic and anchor events.	HS
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	The outcomes were achieved, notably increased awareness, dialogue, collaboration—albeit in certain countries like Kenya and Colombia and less so in other countries where CCN has not yet engaged.	S
2. Likelihood of impact	Notwithstanding the success of the outcomes, the likelihood of overall impact is rendered less likely simply because results were uneven across the eight project countries.	S
3. Achievement of project goal and planned objectives	On the basis of the analysis of the achievement of outputs, outcomes and the three intermediate results, there is a high likelihood that the overall project goal and objectives are being met. However they are being met unevenly in the eight project countries. Moreover, it is unlikely that they can be sustained with out further project support.	S
D. Sustainability and replication		L
1. Financial	The continuation of project results are all dependent in continued financial support.	L
2. Socio-political	The most relevant factor is the election cycle, which means that political stability and changeover of legislators is a constant risk.	L
3. Institutional framework	The continuation of caucus activity depends on continued project support from CCN.	L
4. Environmental	N/A	N/A
5. Catalytic role and replication	The project model i.e. conservation caucuses, is highly replicable considering the interest of legislators, the receptivity of the executive branch, the engagement of stakeholders; the key impact that has been achieved by successful caucuses.	L
E. Efficiency	Cost and time saving measures were frequently implemented and efforts were made to build on other relevant initiatives.	HS
F. Factors affecting project performance		S
1. Preparation and readiness	The capacities of the executive agencies were properly considered and the project document was clear and relatively realistic. Partnership arrangements were properly identified, counterpart resources and good project management arrangements were in place	HS
2. Project implementation and management	The Project Oversight Committee played a very active role. Project team was very responsible to their recommendations, especially in terms of choice of caucus countries.	HS
3. Stakeholders participation and public awareness	The primary stakeholders, i.e. legislators were highly engaged in project design and implementation.	HS
4. Country ownership and driven-ness	The project focused on the legislative branch and not on the executive branch, so country ownership is difficult to assess definitively. However in terms of the ownership by the main project beneficiaries, this depended on	MS

	the level of engagement that CCN was able to provide in each partner country.	
5. Financial planning and management	Funds were released at a delivery rate of 81.3%. The executing agency has not yet prepared financial audit report. The dynamic nature of the project activities required many project and budget revisions, which were effected in full consultation with the Project Oversight Committee. USD 1,348,091.68 out of the budgeted (targeted) amount of USD 1,437,712 of co-financing, approximately 94 percent, was mobilised	S
6. UNEP supervision and backstopping	Project supervision was extremely helpful with a strong emphasis on outcome monitoring. Detailed surveys were undertaken for key activities in light of the difficulties of quantitative analysis.	HS
7. Monitoring and evaluation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees. They however, do not adequately link these to the overall [intended] impact of the project.	S
a. M&E Design	The evaluation team had to reconstruct the Project's Theory of Change on the basis of the Project Log Frame and Results Framework. Proxy indicators were developed to address the challenges of monitoring the sometimes unmeasurable results of such an advocacy support project. M and E plan also did not adequately articulate the role of project beneficiaries such as the national conservation caucuses.	S
b. Budgeting and funding for M&E activities	The M & E plan provided accosted budget.	S
c. M&E plan Implementation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees. They however, do not adequately link these to the overall [intended] impact of the project.	S
Overall project rating		S

Table 2: Project Identification

Partnering for Natural Resource Management – Conservation Council of Nations (CCN)			
GEF project ID:	4527	IMIS number:	GFL/2328-2717-4C11
Focal Area(s):		GEF OP #:	GFL/1010
GEF Strategic Priority/Objective:	CD-2, CD-3	Duration:	18 months
Actual start date:	01/07/2011	GEF Allocation:	\$909,071
Completion date:	08/31/2013	Total Cost:	\$2,346,783
Project Type:	MSP	Total actual expenditures reported as of August 2013	\$2,201,340.68
MSP/FSP Co-financing initially planned:	1,437,712	GEF expenditure August 2013	\$853,249
Total co-financing realized as of August 2013:	\$1,348,091.68		

ACRONYMS AND ABBREVIATIONS

CBD	Convention on Biological Biodiversity
CCN	Conservation Council of Nations
CD	Capacity Development
ELI	Environmental Law Institute
EOU	Evaluation and Oversight Unit
GBO-3	Global Biodiversity Outlook – 3
GEF	Global Environment Facility
GEI	Green Economy Initiative
GLOBE	Global Legislators Organisation for a Balance Environment
ICC	International Conservation Caucus
ICCF	International Conservation Caucus Foundation
IPBES	International Panel on Biodiversity and Ecosystem Services
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreements
NGOs	Non Governmental Organizations
PiC	Partners in Conservation
PES	Payment for Ecosystem Services
PC	Project Coordinator
PEI	Poverty and Environment Initiative
POC	Project Oversight Committee
SMART	Specific, Measurable, Accurate, Realistic and Timely
SNC	Sustaining Natural Capital
TEEB	The Economics of Ecosystems & Biodiversity
ToR	Terms of Reference
UN	United Nations
UNEP	United Nations Environment Programme
RONA	Regional Office for North America
WBICC	World Bank Institute's Climate Change Practice

Table of Contents

Executive Summary.....	2
Table of Contents.....	10
1 Introduction.....	12
2 Evaluation Objective, Approach and Limitations.....	12
2.1 Approach.....	12
2.2 Limitations of the evaluation.....	13
3 The Project.....	13
3.1 Context.....	13
3.2 Objectives and components.....	15
3.3 Target areas/groups.....	15
3.4 Milestones/key dates for project events and activities.....	16
3.5 Project financing.....	17
3.6 Project partners.....	18
3.7 Changes in design during implementation.....	18
3.8 Reconstructed Theory of Change.....	19
4 Evaluation Findings.....	20
4.1 Strategic Relevance.....	20
4.1.1 Sub-regional environmental issues and needs (Highly satisfactory).....	20
4.1.2 Consistency with UNEP mandate and policies (Highly satisfactory).....	21
4.1.3 Relevance to GEF focal areas and strategic priorities (Highly satisfactory).....	21
4.1.4 Realism of project objectives (Satisfactory).....	22
4.2 Achievement of outputs and activities.....	23
4.2.1 Component 1: Collaboration and Commitment.....	24
4.2.2 Component 2: Capacity Building and Exchanges.....	25
4.2.3 Component 3: International parliamentary conservation caucus building and mentoring.....	27
4.2.4 Effectiveness: Attainment of objectives and planned results [satisfactory].....	28
4.2.5 Evaluation of the achievement of direct outcomes as defined in the reconstructed theory of change [satisfactory].....	29
4.2.6 Assessment of the likelihood of impact of project activities using a review of outcomes to project approach [Satisfactory].....	39
4.3 Sustainability and replication (Likely).....	52
4.3.1 Financial factors (Likely).....	52
4.3.2 Social and political factors (Likely).....	53
4.3.3 Institutional framework (Likely).....	55
4.3.4 Replicability (Likely).....	56
4.4 Efficiency (Highly Satisfactory).....	57
4.4.1 Cost and/or time-saving measures (Highly satisfactory).....	57
4.4.2 Impact of delays.....	57
4.4.3 Efforts made to build on existing initiatives (Highly satisfactory).....	58
4.5 Factors affecting performance (Satisfactory).....	58
4.5.1 Preparation and readiness (Highly satisfactory).....	58
4.5.2 Project implementation and management (Highly satisfactory).....	60

4.5.3	<i>Stakeholder participation and public awareness (Highly satisfactory)</i>	62
4.5.4	<i>Country ownership and driven-ness (Moderately Satisfactory)</i>	62
4.5.5	<i>Financial planning and management [Satisfactory]</i>	63
4.5.6	<i>UNEP supervision and backstopping (Highly satisfactory)</i>	68
4.5.7	<i>Monitoring and evaluation (Satisfactory)</i>	69
4.5.8	<i>Complementarity with UNEP strategies and programmes [Satisfactory]</i>	72
5	Conclusions, Lessons Learned and Recommendations	73
6	ANNEXES.....	85
6.1	Project logframe	85
6.2	Detailed evaluation questions.....	88
6.3	Evaluation Consultations	100
6.4	Bibliography.....	102
6.4.1	<i>GEF Approved Project Document and Review</i>	102
6.4.2	<i>Project Inception Workshop</i>	102
6.4.3	<i>Project Oversight Committee Meetings</i>	102
6.4.4	<i>Progress Reports and PIRs</i>	103
6.4.5	<i>Project Revision</i>	103
6.4.6	<i>CCN (2013) 'Terminal Report and Annexes'</i>	103
6.5	CV of consultants.....	132

1 Introduction

22. The terminal evaluation of the “Partnering for Natural Resource Management-Conservation Council of Nations (CCN)” UNEP/GEF Project has been undertaken after the project’s completion to assess project performance (in terms of relevance, effectiveness and efficiency), and to determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.
23. The evaluation has been conducted in accordance with UNEP’s Evaluation Policy¹, the UNEP Evaluation Manual² and the Guidelines for GEF Agencies in Conducting Terminal Evaluations.³
24. The evaluation focused on 6 fundamental questions, which are based on the project’s intended outcomes:
- Is there evidence that CCN partner countries are increasingly injecting science into policy formulation to address global biodiversity, habitat loss and natural resource management?
 - Is there evidence of increased dialogues on issues of conservation and natural resource management within CCN partner countries’ parliaments?
 - Is there evidence that CCN partner countries are collaborating together to address global biodiversity, habitat loss and natural resource management issues?
 - Is there evidence of improved practices and new programmes for conservation and natural resource management in CCN partner countries?
 - To what degree can behavioural and systematic change in the above areas be attributed to project activities, and which have been most effective in bringing about change?
 - Is there evidence of increased legislator awareness and understanding of national resource management and conservation and its link to policy-making?
25. The project has been evaluated against eleven criteria in accordance with standard GEF and UNEP evaluation processes. A summary of the ratings for the project against the evaluation criteria is provided in the Table below. Overall the project is rated as Satisfactory.

2 Evaluation Objective, Approach and Limitations

2.1 Approach

26. The answers to the key evaluation questions (see paragraph 10 above) are integrated throughout this report, the sequencing of which follows the standard outline for UNEP evaluations.
27. The findings of the evaluation were distilled from several categories of data sources: (i) a desk review of the key project documents; (ii) phone interviews with relevant actors (i.e. CCN partners,

¹ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

² <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

³ http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

key policy-makers and parliamentarians, relevant stakeholders); (iii) attendance at a CCN workshop in Nairobi, where face to face interviews were carried out with Kenyan CCN members (iv) interviews with CCN members in Namibian legislators.

28. The detailed evaluation questions are contained in the Annex 6.2 to this report. These were streamlined and adapted accordingly for the different interviewees. The list of people consulted during the evaluation are set out in Annex 6.3.

2.2 Limitations of the evaluation

29. There were two serious limitations with this evaluation. The first related to the difficulties faced by the evaluation team in carrying out interviews with the main stakeholders including the participating legislators and NGO partners.
30. Interviews were carried out by the team leader with all relevant CCN staff, including the ICCF President and Chair. The special advisor was able to carry out face-to-face interviews with members of the CCN Kenyan and Namibian caucuses.
31. However, it proved impossible to set up interviews with anyone else. Three repeat mailings were sent to a master list of legislators and stakeholders (provided by CCN). The email explained the nature of the evaluation and requested phone interviews to obtain direct feedback. Only two legislators replied to the request for an interview. The CCN team was asked on several occasions to assist in setting up interviews, but were unable to do so.
32. The evaluation team was assisted by event surveys and two caucus assessments (prepared by Colombia and Kenya). However these only provided quantitative feedback regarding the level of utility of the project activities. The evaluation team needed concrete independent evidence to corroborate the claims made by the CCN staff regarding the overall value of the project.
33. The second limitation relates to the inherent difficulties of evaluating high-level policy projects. Despite the good work undertaken by CCN, their level of intervention is very difficult to evaluate, especially so soon after the completion of the project. It is also clear that legislators do not relate to this type of evaluation exercise, as evidenced by the low level of feedback provided by the project's main beneficiaries.

3 The Project

3.1 Context

34. The Conservation Council of Nations (CCN) is a collaboration of national governments that believe in the critical importance of conservation and the link between good natural resource management and sustainable economic growth. CCN was created by the International Conservation Caucus Foundation (ICCF) as a means to advance an agenda of good stewardship among international leaders by building on the strength and diversity of ICCF's base of NGO and corporate partners.
35. In January 2011, with support from GEF and UNEP, CCN commenced an 18-month project designed to maximize the CCN's impact by expanding its membership and engagement, as well as its role in

tackling emerging and critical issues of natural resource management. The project goal was to provide global parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management. The project objective was to deliver education and capacity development at the parliamentary level for conservation and sound natural resource management.

36. By way of background, it is important to note that numerous disparate conservation measures have been initiated by governments around the world. Many of these efforts strive to address problems such as biodiversity decline, deforestation and shortages of clean water, plants and animals for food, wood for fuel and shelter and other products of nature on which human communities depend. However, natural resource management has not always been the main concern for decision-makers who are challenged by other priorities such as economic growth or indeed recovery from the impact of the global economic and financial crises. In many cases, political leaders have lacked sufficient understanding of the social, environmental and economic implications of the above-noted worsening ecological decline trends. Where this has been the case, policy fragmentation is manifest.
37. This is precisely the problem that the CCN project has sought to address by equipping parliamentarians with the knowledge and resources needed to redress this policy fragmentation and to promote deeper coherence between sound natural resource management and economic growth. The countries chosen for the establishment of conservation caucus were countries in which ICCF had pre-existing relationships with legislators at senior levels. This was key to ensuring the potential success of the caucuses, notably in Colombia and Kenya, where CCN has devoted most of its efforts in this phase of the project.
38. Education of policymakers on the wide range of benefits of biodiversity conservation, followed by mentorship by other nations' policymakers, are key to increasing commitment to addressing biodiversity and habitat loss and to injecting science into policy formulation in GEF beneficiary countries.⁴
39. It is also important to emphasize how the overarching context has changed during the life of the CCN project. First, the 2012 UN Conference on Sustainable Development (Rio+20) played an important role in elevating the political importance of the Green Economy as a means for leading nations out of the related energy, food and economic crises of recent years. Rio+20 helped to challenge the perception among many government leaders that there is a trade-off between the economy and the environment. This was particularly important considering the extent to which the global economy had been affected by the global economic downturn of 2011 and the Eurozone crisis and related austerity measures.
40. Second, there has been an increasing recognition of the need to strengthen the role of parliamentarians in the promotion of sustainable development objectives. This is reflected in the growing number of conservation-related parliamentary capacity building efforts that have been developed, notably by the World Bank, UNITAR, the Inter-Parliamentary Union and the International Institute for Environment and Development.

⁴ GEF beneficiary countries: http://www.thegef.org/gef/member_countries

3.2 Objectives and components

41. The primary aim of the GEF-funded CCN project “Partnering for Natural Resource Management” was to “provide global parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management”.
42. This project sought to expand networks of policymakers and to build capacity and conservation caucuses in Conservation Council of Nations (CCN) member countries in order to facilitate better legislation, programs, policies, and practices. Maximizing the impact of the CCN requires: 1) an expansion of membership and engagement, in tandem with 2) an expansion in tackling both emerging and critical issues of natural resource management.
43. The CCN project was designed around the following three main components. The project activities focused on delivering education and capacity development at the parliamentary level for conservation and sound natural resource management.

Component 1: Collaboration and Commitment

Increasing CCN member numbers as well as CCN member commitment to issues of biodiversity, including collaboration with CCN partners.

Component 2: Capacity Building and Exchanges

Establishing transferable capacity building programs serving to inject science into policy formulation -- linking conservation and development, water, forests and biodiversity, health, agriculture and security

Component 3: International Parliamentary Conservation Caucus Building & Mentoring

Establishment of conservation caucuses and parliamentarian mentorship programs.

3.3 Target areas/groups

44. The primary target group in this project were the parliamentarians in the eight GEF countries in which conservation caucuses were formed. From the beginning, the focus was on establishing conservation caucuses in Africa and South America, which was accepted by the GEF Secretariat and the Project Oversight Committee. As noted above, the project provided these parliamentarians with knowledge, access to substantive experts, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management. The wider objective of the project was to broaden the CCN membership among GEF beneficiary countries. However, in the early phases of the project implementation, it became clear to the management team that the best use of their time, energy, and resources would be directed towards engaging with and supporting the conservation caucuses to enhance their effectiveness. The project was not designed to go after countries, which were not willing to participate. The willingness of countries to engage constructively with the project was one of the agreed pre-selected criteria (this does not imply that the project results would have happened anyway, because as explained throughout this report, at least in countries like Colombia and Kenya it is clear, that project success was due very specifically to CCN activities.

45. As the project unfolded, CCN identified certain conditions necessary for caucus formation readiness. These included:
- An adequate degree of openness to the primarily US policymaking model. Whilst CCN is an international network, the caucus model and its advocates were, in this early phase, American.
 - The accessibility of CCN brain trust to the political leadership in the caucus country. This facilitated acceptance and support for the caucus model.
 - The existence of a pressing need or opportunity to address environmental policy and a sufficient level of political will to solve the problem. For example, the African poaching crisis, Kenya's new constitution & government, and Colombia's progress in negotiating a peace accord.
46. By these standards, the most successful caucuses to date were indeed the "low-hanging fruit." This was by design. Today, with these successful examples in place and serving as pilots, CCN is better positioned to promote the model in other countries where the above-noted conditions may not be present. For example, the conservation caucus model, adapted to its pilot countries, will become less US-driven and therefore perceived in a different light by other countries in the region(s). As well, CCN's brain trust will need less direct high-level political access in order to launch a caucus. In some cases, the leaders of the existing caucuses will be positioned to motivate their neighbours and serve as exemplars. As well, the accessibility and prevalence of the model in a region might allow important cross-border environmental needs and priorities to be addressed sooner, before they reach international crisis proportions.
47. It is important to note that the countries that met these conditions were not, however, already on a road to forming a caucus on their own. In fact, given the degree to which these caucuses and their leaders have sought and continue to seek our ongoing support, it is highly unlikely that they would have, on their own initiative, sought out the model, formed a caucus and a supporting network of organizations, and arranged an agenda of activities of the calibre that we have provided.
48. The countries chosen for the establishment of conservation caucus were countries in which ICCF had pre-existing relationships with legislators at senior levels. This was key to ensuring the potential success of the caucuses, notably in Colombia and Kenya, where CCN has devoted most of its efforts in this phase of the project.

3.4 Milestones/key dates for project events and activities

DATE	DATE	EVENT/ACTIVITY
July 2011		Mentorship exchange with His Excellency Ciro Nogueira, Senator of Brazil and Members of US Congress
August 2011		South Africa Inter-parliamentary Conference
September 19 2011		Anchor event UNGA "Leaders in Conservation"
November 16, 2011		Mentorship exchange dinner discussing the direct links between American national and economic security and international conservation.
February 7, 2012		Mentorship exchange with representatives from seven African nations
February 28, 2012		Private Member Dinner with Members of the Namibian Tourism Agency

February 2012	Inter-parliamentary exchange, Costa Rica
April 6, 2012	Establishment of Namibian Conservation Caucus
May 18, 2012	Establishment of Zambian Conservation Caucus
June 2012	Anchor event at Rio+20
June 27, 2012	Establishment of Costa Rican Conservation Caucus
August 2012	African Poaching Summit, Kenya
November 2012	Congressional Member Dinner: The Global Poaching Crisis
December 2012	By December 31, 2012, 18 informational/educational briefings were held
February 21-22 2013	Inter-parliamentary staff exchange, Costa Rica
May 3 2013	Mentorship exchange Colombia/US delegation in Colombia
July 3, 2013	Approval of Parliamentary Caucus on Conservation –Kenya (PCC-K)
August 2013	Regional Inter-parliamentary meeting on forest management, Zambia,

3.5 Project financing

The total project cost was \$ 2,346,783 (refer budget revision of 31st March 2013). Of this amount a total of 2,201,340.68 was mobilised and reported on in the various financial reports submitted to the executing agency (UNEP) as shown in Table 4 below:

Table 4: Project costs by activity area

Activity Category	GEF Funding	Total Co-financing	Grand total
Project Personnel	629,105	368,713	997,818
Consultants	12,745	54,762	67,507
Sub-contracts		124,000	124,000
Travel on official business	59,130.05	214,571	273,701.05
Accounting/Auditing	21,971.67		21,971.67
Group Training/Educational Briefings	12,428.92		12,428.92
Meetings/Conferences	117,879.16	485,360	603,239.16
Equipment		85,401	85,401
Miscellaneous		15,284.00	15,284
GRAND TOTAL	853,249	1,348,091.68	2,201,340.68

3.6 Project partners

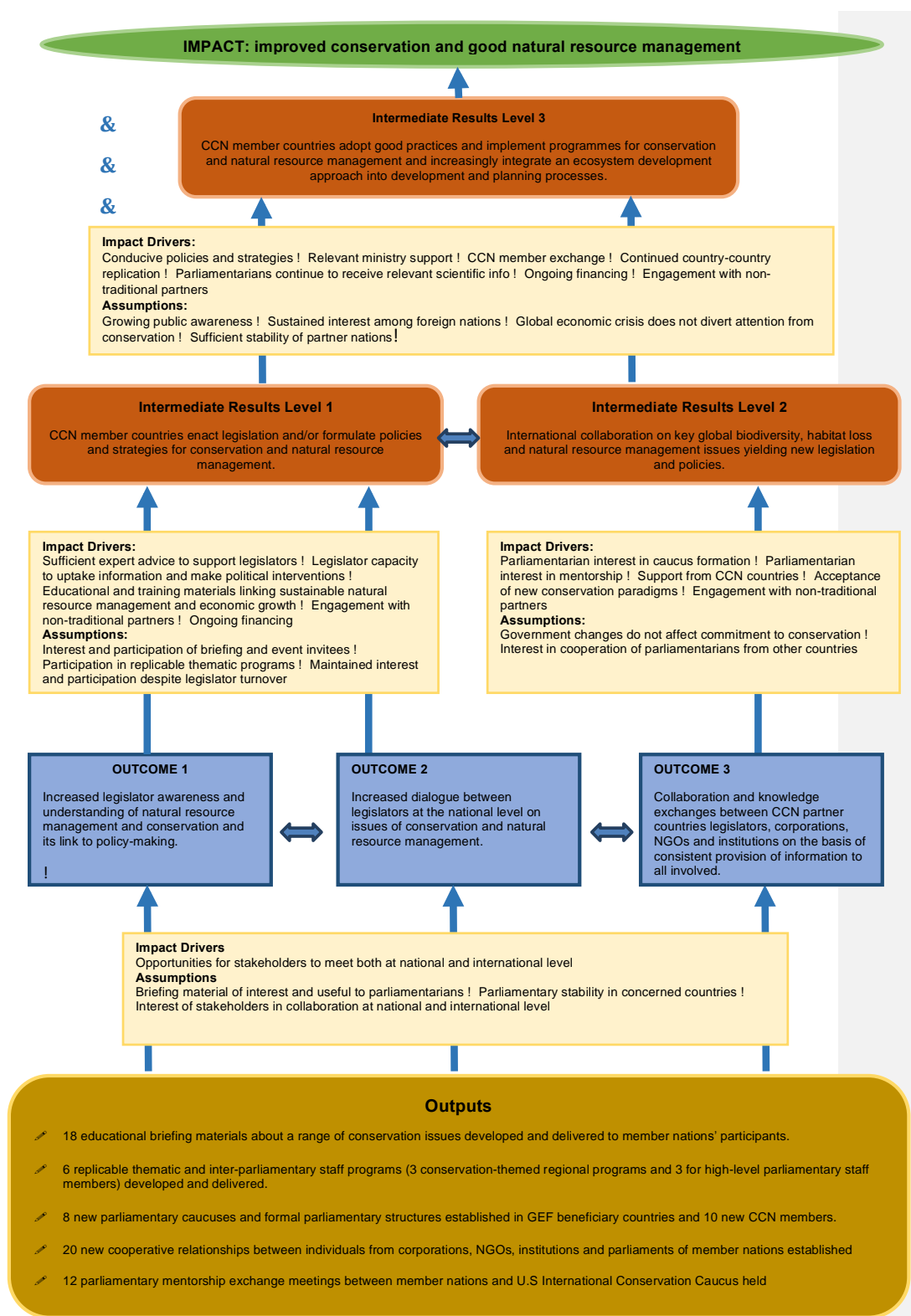
49. The project's partners included the following:

- ICCF: Contributed staff time and cash resources to support all project activities, particularly those involving Members of the US Congress. ICCF's leaders were instrumental in arranging and participating in very high-level meetings that catalysed caucus formation and active parliamentary participation.
- ICCF brain trust: ICCF corporate and NGO partners served as the project brain trust and participated as faculty/educators for briefings, missions, and hub programs. NGO partners such as Conservation International, The Nature Conservancy, Wildlife Conservation Society, World Wildlife Fund, and Rainforest Alliance also contributed expert presenters and on-the-ground program access. Corporate partners also provided expertise relating to the project themes, for example: Starbucks (agriculture), Unilever (agriculture), JPMorgan Chase (green financing, wealth management, economic development), Coca-Cola (water), Abbott (health/water), International Paper (forestry), American Forest & Paper Association (forestry), Corporate Council on Africa (regional expertise), Food and Agriculture Organization of the U.N. (agriculture), and U.N. Foundation (forests, cook stoves, health, gender issues).
- UNEP: As the implementing agency, UNEP contributed staff time in the form of participants at key CCN events held in New York, and Washington (USA), as well as in Kenya and South Africa. UNEP staff time was also made available in the form of representation on the Project Oversight Committee (PAC). UNEP played an important role in monitoring and oversight supervision as well as backstopping as described in Section 4.6.6. Preliminary (advance) meetings were held between CCN staff and caucus chairs and members to explore interest in particular (GEF relevant) issues and event themes. Prospective event themes were then further vetted with the Project Oversight Committee beforehand to ensure their consistency with GEF objectives.

3.7 Changes in design during implementation

50. In late 2012, at CCN's request, the Project Oversight Committee agreed to a no-cost extension of the project duration through August 2013.
51. At the same time, the work plan was also revised to accommodate this shift in focus, and the remaining funds were re-budgeted accordingly. In early 2013, the work plan and budget were revised to reflect a greater focus on caucus sustainability rather than creating "paper caucuses." The revision shifted focus and resources toward encouraging existing caucuses and supporting those that were newly formed. The early 2013 changes to work plan, budget, and timeline coincided with the departure of the Project Coordinator, temporarily slowing work flow and creating the possibility that further revisions and/or extension may have been required.

3.8 Reconstructed Theory of Change



4 Evaluation Findings

4.1 Strategic Relevance

Overall, the project was highly satisfactory in terms of its overall strategic relevance. Strategic relevance is assessed in terms of the consistency of the project's objectives and implementation strategies relative to:

4.1.1 Sub-regional environmental issues and needs (Highly satisfactory)

52. The project was *highly satisfactory* in terms of its consistency with sub-regional environmental issues and needs. The primary source of evidence is the fact that the project was designed by CCN in such a way as to empower the CCN caucus chairs to choose for themselves the issues to be addressed in the key events such as the thematic events, the 18 educational briefings, the 2 anchor events, the inter-parliamentary conferences and parliamentary mentorship meetings, which were held during the course of the project.
53. In this regard it is important to stress that Activity 5 under Component 1 involved the consultation and coordination with CCN member nations to determine areas of interest for the informational briefings, thematic events and other key project events. During the course of the project, there was consistent exchange between the project management team and project beneficiaries (i.e. caucus members) to identify the priority issues to be addressed in project events. Preliminary {advance} meetings were held between CCN staff and caucus chairs and members to explore interest in particular {GEF relevant} issues and event themes. Prospective event themes were then further vetted with the Project Oversight Committee beforehand to ensure their consistency with GEF objectives.
54. Another source of evidence of the consistency with sub-regional issues is the fact that the project team was consistent in engaging legislators with strong environmental records as either caucus co-chairs or caucus members. In this way, caucus leaders were well positioned to choose thematic priorities that were consistent with sub-regional concerns.
55. For example, the second of the three project thematic events was held on the African poaching crisis (Kenya August 2012). Its primary objective was to raise awareness of the threat that poaching presents to economic development and eco-tourism. Wildlife poaching is a high priority issue for many countries in Africa, with elephant poaching at their highest level since 2002. The escalating poaching crisis threatens the security and economic growth of local communities throughout Africa. In this regard it should be highlighted that as a result of caucus activity on the poaching crisis (described in further detail throughout this evaluation report), the Kenya Wildlife Bill was strengthened significantly.⁵

⁵ In late May 2013, Kenyan caucus leaders initiated a motion that passed parliament and the cabinet to prioritize stiffening the penalties for poachers, including fines up to \$120,000 and 15 years in jail. The motion was incorporated into the larger Wildlife Bill and Policy, a comprehensive series of measures to address the root of the poaching crisis in the country that also includes streamlining wildlife services and cracking down on wildlife trafficking-related corruption. The bill is now ready to be reviewed and passed by Parliament.

56. Similarly in the design of the third thematic event on forestry (Zambia August 2013), it was the Zambian caucus leadership who provided guidance on the choice of issues to be addressed. As a result, discussion focused on the causes of forest degradation, potential models for alleviating those causes, and the roles that government and NGOs should play in supporting the rehabilitation of local communities and their forests.

4.1.2 Consistency with UNEP mandate and policies (Highly satisfactory)

57. The project is also *highly consistent* with UNEP mandate and policies. The UNEP Task Manager responsible for this project was actually required to ensure that the project was duly aligned with the UNEP Medium-term Strategy (2010-2013). As such, the project was specifically linked to the sub-programme D (Environmental governance).
58. As regards sub-programme D, once again, the project's overall strategic objective of providing parliamentarians with relevant resources, helping CCN partner countries commit to natural resource management and conservation goals and practices, notably through strengthened policy and legislation and generally mainstreaming sustainability all relate directly to strategic direction D's expected accomplishments (b) States implement their environmental obligations, (c) national development processes mainstream environmental sustainability in their implementation and (d) national and international stakeholders have access to sound science and policy advice for decision making.

4.1.3 Relevance to GEF focal areas and strategic priorities (Highly satisfactory)

59. The project is *highly consistent* with the GEF-5 Cross Cutting Capacity Development Objectives 2 and 3. CD-2 pertains to increased capacity of stakeholders to understand global environmental problems and develop local solutions and CD-3 relates to enhanced capacity to strengthen domestic legislative framework to implement multilateral environmental agreements.
60. As regards CD-2, the relevant project outcome is the knowledge-sharing amongst parliamentarians regarding global conservation and natural resource management problems and local solutions and the increased capacity to diagnose global environmental problems and develop local solutions.
61. The CCN project has addressed CD-2 by increasing the capacity of stakeholders representing GEF beneficiary countries to understand and transform the nature of environmental challenges and develop local solutions through a total of 20 educational briefings over the course of the project. Of the 29 CCN member countries whose representatives attended these briefings, 67% of the participants stated that these briefings "greatly increased their awareness" of the connection between international conservation and issues such as development, health, water, forests, agriculture and security.
62. As regards CD-3, the relevant project outcome is the establishment of national conservation caucuses, which in turn has helped considerably to strengthen the capacity of domestic legislators to develop new and/or strengthen national environmental laws. In many cases, the stronger the

national environmental law framework, the greater the likelihood of successful implementation of multilateral environmental agreements, such as the UN Biodiversity Convention.

63. The Project has built significant capacity to plan and develop policies and legislative frameworks, as called for in GEF-5 CCD Objective 3 and FA Outcome 3.1, by developing new caucuses in Colombia and Costa Rica in 2013, and by supporting the existing caucuses in Africa. This new paradigm for these countries has received significant interest from Members of Parliament, and recent caucus-led policy developments in Kenya, as well as the enthusiastic and self-driven activity by Zambia's caucus, demonstrate the effectiveness of this approach. The successful creation of caucuses in Colombia and Costa Rica both with high-level political support, demonstrate that the approach is scaling up effectively and receiving necessary support to continue well into the future. Relationships between and across CCN member countries, another target output, are expected to deepen as the caucuses in these countries look to tackle cross-border issues and emerge as conservation leaders in their respective regions.

4.1.4 Realism of project objectives (Satisfactory)

64. The degree to which the project's objectives are deemed realistic is measured against the time and budget allocated to the project, the baseline situation and the institutional context in which the project operated.
65. As stated in the project document, the project objective was to: "provide education and capacity development at the parliamentary level for conservation and natural resource management". The project's goal was to "provide global parliamentarians with knowledge, expertise, resources and capacity to formulate and implement sound policies, programmes, and practices for conservation and good natural resource management".
66. In general, the objective was realistic considering the relatively short time-frame of the project (under two years), the modest budget (i.e. USD 909,071), the baseline situation (i.e. relatively little pre-existing capacity for environmental law-making in the project countries) and the institutional context (i.e. the lack of organisations working with developing countries to develop conservation caucuses within their legislative bodies).
67. Another important factor to bear in mind when assessing the realism of the objective is indeed the track record of the ICCF in working with legislators in developing countries to support them in their environmental law-making efforts, in establishing conservation caucuses, as well as their extensive network of corporate and NGO partners that served as the brain trust for the project.
68. When assessing the realism of the objectives on a country-specific basis, several important lessons become apparent.
69. First, it is essential to adequately budget for expenses related to staff travel, working lunches and dinners for groups of people, and high-profile events. Budget constraints limited the number of missions possible to the project countries. This was problematic since according to the project management team, systematic and regular engagement on the ground with the caucuses was very important to ensuring the longer-term sustainability and impact of the caucuses. This was particularly reflected in the successes in Kenya and Colombia, where the project team was able to engage in regular face-to-face meetings with caucus leaders and policymakers and to maintain a

regular presence on the ground to facilitate meetings between the policymakers and key stakeholders. These efforts were critical to building and supporting the caucuses in Kenya and Colombia.

70. The second lesson is that a more realistic strategic objective would have been to focus on establishing fewer caucuses in light of the amount of financial resources and time available. Instead, efforts could have been more productively focused on building up the most promising caucuses such as Zambia, Kenya and Colombia and then directing efforts to establishing new caucuses once they were duly underpinned by the necessary support and resources.
71. Third, a central concern in producing and delivering outcomes was how CCN would manage to ensure continuity in four specific countries, considering the amount of times they would have the opportunity to engage, in meaningful ways, its elected officials, because of the budgeting limitations on international travel, and because of the time window allocated to each caucus. CCN felt the time given was too short and wished they would have been able to spend more time on the ground, especially considering the demonstrated commitment Co-Chairs demanded from CCN, in building trust with their peers and with society's stakeholders, and to develop a series of programmes for caucus members to participate in. CCN believed that they would not succeed as they did in African countries, where they would have to work simultaneously and independently in four legislatures. Their strategy was therefore to focus primarily on a specific country, one that was well positioned to influence others in the region. In demonstrating that the organization was committing itself to the initiative through presence, growth and constant support, CCN would naturally gain credibility among elected officials, and through their support create new opportunities with their peers in neighbouring countries.

4.2 Achievement of outputs and activities

The project was highly successful in terms of the achievement of its outputs and activities. Table 5 provides an overview of the project outputs as described in the original project document. It is important to stress that the outputs and outcomes were slightly confusing in the original project document, which is why the evaluation team reframed them, as per the reconstructed Theory of Change.

Table 5 Components, outputs and expected outcomes

Component	Outputs	Outcomes
Collaboration & Commitment	Commitment to CCN increases by 25% from GEF beneficiary countries. 10 new CCN member countries recruited.	Increased commitment and collaboration of CCN Partners to address global biodiversity, habitat loss and natural resource management.
Capacity Building and Exchanges	Briefing materials developed and delivered at informative briefings and key anchor events. Materials and Key Expert Advice delivered for replicable thematic programs and inter-parliamentary staff programs. Opportunities for linkages developed between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations.	Established transferable capacity building programs serving to inject science into policy formulation-linking conservation and development, water, forests and biodiversity, health, agriculture, and security.
International Parliamentary Conservation Caucus Building and Mentoring	New paradigm for national conservation caucuses developed and tested. Parliamentarian mentorship exchanges developed and expanded.	Better policy through established mentorships

4.2.1. Component 1: Collaboration and Commitment

72. As regards component 1 (Collaboration and commitment), there was only one output. Output 4.2.1.1. refers to commitment to increase CCN membership by 25% from GEF beneficiary countries. At the start of the project, the baseline consisted of 30 member nations. By the end of the project, the target of 10 new members was achieved (i.e. Bahrain, Botswana, Cape Verde, Colombia, Ghana, Mali, Peru, Romania, Tanzania, and Zambia). It is important to distinguish that the 10 new members to the CCN are different from the 8 countries in which conservation caucuses were established.
73. Output 4.2.1.1 was successfully achieved due to the fully executed project activities. These included:
- Development of a scorecard that ranked countries most likely (or interested) to sign up as a CCN member country.
 - Meetings of high-level representatives of GEF beneficiary countries who were not already members of CCN. These high level representatives were provided with targeted CCN information and briefing packs.

- Follow up with high-level representatives to encourage them to join CCN if they were not already a member and encourage their participation to join the CCN network.

4.2.2. Component 2: Capacity Building and Exchanges

74. Under Component 2 (Capacity Building and Exchanges), there were three outputs:

- 4.2.2.1. Informational briefings and anchor events;
- 4.2.2.2. Replicable thematic programs and inter- parliamentary staff programmes; and
- 4.2.2.3. Linkages developed between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations.

75. The project was successful in the achievement of each of the outputs, both in terms of quantity and quality. As regards Output 4.2.2.1. (Informational briefings and anchor events), by 31 December 2012, 18 educational briefings with subject matter experts had been convened to teach member nations' participants about a range of conservation issues. The terminal report states clearly that these outputs were fully achieved.

76. The targeted success of this output was achieved by consulting and coordinating with CCN member nations to determine areas of interest for informative briefing and event topics. Over the course of the project, substantial and meaningful feedback was received in the form of regional thematic events as well as from day to day communications with the newly established caucuses. This valuable input was then used to plan relevant briefings and event topics, which will continue to be collated as part of CCN's ongoing support to newly formed caucuses.

77. The output was further achieved by identifying and coordinating with CCN partners and other subject matter experts regarding their interest, expertise and potential participation in informative briefings and events relating to topics identified by CCN member nations. Approximately one dozen of the key events were filmed and made available on YouTube. Of particular note, the US International Conservation Caucus Hearing on the global poaching crisis received over 1,000 views.

78. As per Annex 3 of the terminal report, post-briefing surveys indicated that CCN attendees were highly satisfied with the quality and utility of the information presented.

79. As regards Output 4.2.2.2. (Replicable thematic programs and inter- parliamentary staff programs), the baseline was no replicable thematic events and by the end of the project, the project had successfully met its target of 3 regional replicable thematic programmes and 3 inter-parliamentary staff programmes. Three successful events were held: 1) South Africa Interparliamentary Conference, Aug. 2011, 2) African Poaching Summit, Kenya, Aug. 2012, 3) Regional Interparliamentary meeting on forest management, Zambia, August 2013.

80. In terms of the thematic programmes, the first was convened in South Africa in August 2011. The purpose of the conference, as with the other two, was to raise awareness of key conservation challenges and to provide an opportunity for best practises to be shared. The first thematic event focused on the threat poaching poses to development and eco-tourism. The conference introduced several African nations – namely South Africa, Botswana, Tanzania, and Namibia – to the U.S. conservation caucus model and provided an opportunity for African MPs to speak directly with the co-chairs of the ICC. Mr De Lange, who chairs the South African Portfolio Committee on Water & Environmental Affairs, returned home to petition the Parliament to increase the penalties under

South African law for violating the national legislation on rhino poaching. Further, on December 11, 2011, he issued a call for public comment and hearings on the rhino poaching crisis to work with all stakeholders to find solutions. He also made inroads on consolidating enforcement law by handing over certain enforcement authority from provincial authorities to the national authorities.

81. The second thematic programme was convened in Kenya in August 2012. The focus was on the poaching crisis. There were approximately 80 attendees, including parliamentarians from six African countries, as well as representatives from the US Congress. The legislators and other attendees discussed the national challenges due to illegal trafficking and poaching of gorillas, elephants and rhino, and discussed trans-boundary approaches to mitigating this trade throughout eastern and southern Africa. The major outcome of this event was the official launch of the Parliamentary Conservation Caucus – Kenya, or PCC-K, and a statement by the interim Chair of the PCC-K, Hon. Silas Ruteere, Member of Parliament, that the caucus would be undertaking a review of Kenya's Wildlife Bill with the intention of potentially increasing legal and monetary penalties for convicted poachers. The event also helped to catalyse the renewal of trans-boundary collaboration on poaching among several African CCN partner countries.
82. The third thematic programme was convened in Zambia in August 2013 on the topic of forest management. 19 MPs from Zambia, Kenya, Tanzania, Namibia, and South Africa attended along with a number of NGOs. Discussion focused on the causes of forest degradation, potential models for alleviating those causes, and the roles that government and NGOs should play in supporting the rehabilitation of local communities and their forests.
83. Presentations by representatives from WWF and COMACO (a non-profit sustainable agriculture business stewarded by WCS) made the case for conserving forests and described threats and possible solutions, and stimulated lively discussions within this diverse group on problems faced in each country and sharing of examples of successful projects.
84. In relation to Output 4.2.2.1, two “anchor events” had been held by 31 December 2012. According to CCN staff, these events were highly successful and brought together high-level policy makers in order for them to establish relationships with one another and with CCN's corporate, institutional and NGO partners.
85. The first anchor event, “Leaders in Conservation” was convened at the United Nations General Assembly (September 2011). It brought together 15 CCN member countries represented, including 5 US Members of Congress, as well as several CEOs and NGO leaders. Conversation focussed on conservation leadership in developing countries as well as how the CCN network will add value.
86. The second anchor event was convened at the 2012 UN Conference on Sustainable Development (Rio+20). The topic was Sustainability in Supply Chains and the meeting convened MPs from 15 countries attended as well as UNEP, GEF, Rainforest Alliance and several corporations. This anchor event resulted in galvanised relationships with existing CCN caucuses in the US, UK, Zambia, Tanzania and Namibia, and opened channels for developing new caucuses in Kenya, South Africa, Botswana and Columbia. Several non-engaged countries were introduced to CCN and this resulted in numerous new partnerships for countries and NGO and corporate stakeholders.
87. As with the successful two anchor events which helped to galvanize new relationships between CCN caucuses and open up new channels for developing new caucuses, the thematic programmes also helped to forge new partnerships between legislators and NGOs and corporate partners. The events

were also successful in creating opportunities for legislators from different caucus countries to share legislative reform experiences and to forge new relationships.

88. In relation to Output 4.2.2.2., 3 inter-parliamentary staff programs had been held during the project life. These events convened legislative directors and other key staff of the different legislators engaged in conservation caucuses to exchange experience with the conservation caucuses and more specially with regard to legislative reform efforts. Two of these inter-parliamentary staff programs were held during the project period in Costa Rica the third exchange between Colombian and US Congressional staff members took place in September 2013, after the completion of the project. The Costa Rican exchanges provided opportunities for dialogue about differences in legislative processes and institutions related to conservation programmes, as well as the difference in perspectives on foreign assistance between donors and recipients.
89. As regards Output 4.2.2.3. (Opportunities for linkages developed between individuals from corporations, NGOs, and institutions and parliaments of member nations), the baseline was no new relationships between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations. The target was new relationships between individuals from 20 corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations. There is no mention of this output in the terminal report. The meaning of 'relationship' in the context of the project was defined on page 9 of the CEO Endorsement Template, as follows: "new cooperative relationships: Cooperative relationships between parliamentarians refers to relationships where members have identified common goals and have developed individual and communal relationships that enable them to work constructively together to support policy development, domestically and potentially internationally..." The Project Oversight Committee realised that it would be difficult to measure the development of a new relationship, which did not exist previously. Annex 5 and Section 2 of Annex 7 of the Terminal Report, Mentorship Exchange Relative Value (MERV) outlines a qualitative indicator (Outcome 3.1. Indicator 3) reflecting the quality and benefit of mentorship exchange to (i) recipient country; and (ii) CCN project objectives.

4.2.3. Component 3: International parliamentary conservation caucus building and mentoring

90. Under Component 3 (International parliamentary conservation caucus building and mentoring) there were two outputs. Output 4.2.3.1.involves the creation of the conservation caucuses and Output 4.2.3.2 involves the parliamentary mentorship exchanges.
91. As regards the creation of the caucuses, the baseline was no new national caucuses and by the end of the project, the target of 8 new national caucuses in GEF beneficiary countries was achieved (i.e. Kenya, Namibia, Tanzania, Zambia, Columbia, Costa Rica, Peru and Mexico).
92. This successful output was achieved by several targeted activities. The first involved the identification of high potential CNN member countries for caucus building. Caucus formation was then created through the close personal working relationships developed with the leadership in each of the legislative bodies, as supported by CCN member nation caucuses.
93. As well, frequent communication was maintained with new member nation caucuses to provide continued varying degrees of guidance and expertise, depending on their needs. As a result, ICCF established affiliate foundations in Colombia and Kenya specifically to support those countries' caucuses.

94. In relation to Output 4.2.3.2. (parliamentarian mentorship exchanges), the baseline was no parliamentarian exchanges (and by the end of the project, a total of 14 exchanges had been completed. In practice, mentorships exchanges were substantive meetings for parliamentarians visiting (usually) DC, arranged by CCN, with members of the US Congressional Conservation Caucus, or other relevant members of Congress or partners. One exception was a visit by former Congressman Connie Mack (whose travel expenses were NOT paid with project funds) to Colombia, where he met with the Colombian caucus leadership. According to the project document: “Activity 3.1.2.1 Parliamentarians visiting from CCN member nations will be engaged to participate in mentorship exchanges with members of the International Conservation Caucus, as well as other CCN partners (as appropriate). Activity 3.1.2.2 Mentorship exchanges will be planned to optimize the interactions to address the issues of greatest relevance to the visiting parliamentarians”.
95. Despite the difficulty of obtaining feedback from the high-level event attendees, the participants who did respond indicated that the exchanges were beneficial and seemed likely to lead to future collaboration. According to CCN, the mentorship exchanges were an important element of the approach. This involved providing parliamentarians with significant amounts of information and support, the peer-to-peer meetings also were instrumental in motivating parliamentarians to create caucuses, and in helping them determine caucus priorities and work effectively within them to accomplish their goals. The various mentorship exchanges between US Congressional representatives and various African parliamentarians and African Ambassadors to the US galvanised US leadership to address the poaching crisis affecting CCN member countries by raising awareness levels and continuing the poaching dialogue amidst several high-profile events (for example, Secretary Hilary Clinton’s announcement of increased aid to address wildlife crime and the November 15, 2012 US Congressional hearing to address poaching).
96. The success of this output was achieved by engaging foreign embassies and requesting schedules of visiting parliamentarians in order to build a calendar of possible mentorship exchanges. Embassies were also contacted with suggested topics of engagement together with locations for meetings. According to CCN, when staff attention was directed towards bringing new caucuses online with other countries, existing caucuses did not get enough engaged attention or focus. This hurt the sustainability of newly formed caucuses. The program staff is working with the GEF and UNEP to extend the project to improve and maintain engaged contact with new caucuses. Six of the eight countries provided written responses about the forming of caucuses.

4.2.4. Effectiveness: Attainment of objectives and planned results [satisfactory]

97. The project was satisfactory in terms of its effectiveness in attaining project objectives and results. Overall, the project design adequately foresaw the measures needed to catalyse behavioural change. The objective was “to provide parliamentarians with knowledge, expertise, resources and capacity to formulate and implement sound policies, programmes and practices for conservation and good natural resource management”. As noted below, the evidence for the achievement of the project objectives is reflected in the achievement of the three intermediate results (i.e. enactment of legislation, international collaboration and adoption of good practices)

In this section, the assessment of effectiveness is structured in three sub-sections:

- Evaluation of the achievement of direct outcomes as defined in the reconstructed ToC;
- Assessment of the likelihood of impact; and

- Evaluation of the achievement of the formal project overall objective, overall purpose, goal and component outcomes.

4.2.5. Evaluation of the achievement of direct outcomes as defined in the reconstructed theory of change [satisfactory]

98. Overall, the achievement of direct outcomes as defined in the reconstructed theory of change is rated as satisfactory.

It should be noted however, that during the preparation of the inception report, it became evident that the distinction between outputs and outcomes in the project document was often blurred and confusing. The evaluation team chose to reframe the outputs and outcomes in accordance with the official definitions provided by UNEP. These are summarised in the left-hand table below. The right-hand table contains the original project outputs and outcomes.

Project's outputs and outcomes as described in the lograme

Component	Outputs	Outcomes
1. Collaboration & Commitment	Commitment to CCN increases by 25% from GEF beneficiary countries. 10 new CCN members countries recruited.	Increased commitment and collaboration of CCN Partners to address global biodiversity, habitat loss and natural resource management.
2. Capacity Building and Exchanges	1. Briefing materials developed and delivered at informative briefings and key anchor events. 2. Materials and Key Expert Advice delivered for replicable thematic programs and inter-parliamentary staff programs. 3. Opportunities for linkages developed between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations.	Established transferable capacity building programs serving to inject science into policy formulation-linking conservation and development, water, forests and biodiversity, health, agriculture, and security.
3. International Parliamentary Conservation Caucus Building and Mentoring	1. New paradigm for national conservation caucuses developed and tested. 2. Parliamentarian mentorship exchanges developed and expanded.	Better policy through established mentorships

Evaluation team's reframed project's outputs and outcomes

Component	Outputs	Outcome
1. Capacity Building and Training	1. 18 educational briefing materials about a range of conservation issues developed and delivered to member nations' participants 2. 6 replicable thematic and inter-parliamentary staff programs (three conservation themed regional programmes and three for high level parliamentary staff members)	Increased legislator awareness and understanding of natural resource management and conservation and its link to policy making.
2. National Commitment and Policy Building	1. 8 new parliamentary caucuses and formal parliamentary structures established in GEF beneficiary countries.	Increased dialogue between legislators at the national level on issues of conservation and natural resource management.
3. International Collaboration	1. 20 new cooperative relationships between individuals from corporations, NGOs, institutions and parliaments of member nations established. 2. 12 parliamentary mentorship exchange meetings between member nations and US International Caucus held. 3. Opportunities for linkages developed between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations.	Collaboration and knowledge exchanges between CCN partner countries legislators, corporations, NGOs and institutions.

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99. This sub-section assesses the achievement of these re-framed outcomes, as an immediate result of project outputs.

4.2.5.1. Outcome 1 – Increased legislator awareness and understanding of natural resource management and conservation and its link to policy-making

General observations

100. The reframed outcome 1 addresses one of the project's central aims, namely to increase legislator awareness and understanding of the substantive issues related to conservation and natural resource management. Based on the evaluation team's review of CCN's terminal report, it is clear that most project activities have been duly completed. However, whilst the outputs were completed, it is still too early to conclude whether the actual outcomes have been fully achieved. The evaluation team has described all of the country-specific examples that exist, and which demonstrate how the activities have contributed to increasing legislator awareness and understanding. It is difficult to assign a highly positive ranking because of the inconclusive nature of the evidence and the difficulty in assessing normative work such as increased legislator awareness.
101. There are a few general observations that are important to emphasise. First it is extremely difficult to measure and validate this first outcome of increased awareness and understanding. This is a typical problem in normative work. It is equally difficult to attribute project activities to the achievement of this outcome. This is in part due to the difficulties that the evaluation team had in contacting the key stakeholders, despite repeated efforts. Since the team was unable to conduct sufficient interviews, the team had to rely on documentary evidence and assess whether the activities were adequate in terms of their potential to increase awareness and understanding.
102. Second it must be stressed in addition to the substantive events listed above, the process of caucus building in the 8 project countries did help to increase legislator awareness. CCN staff who worked closely with the legislators who joined caucuses in key countries, attested to the fact that the legislators had little or no prior awareness about key substantive environmental issues and their important linkages with economic growth, peace and security and poverty eradication. The fact that these legislators went on to promote conservation legislation indicates the concreteness of their newly acquired awareness and understanding.
103. Third, the creation of caucuses in Peru, Mexico, and Namibia, along with each country's continued interest in CCN support, are the evidence that the output of caucus building was achieved in these countries, albeit at a more preliminary stage. The key point here is that whilst caucuses were formed in these countries, they have not yet produced the same level of legislative activity as Kenya and Colombia. This is not a failure of the project; rather these countries are at a different point on a continuum and CCN is exploring how best to replicate Kenya and Colombia successes in these countries. As explained above, CCN revised its work plan and budget in early 2013 to "to reflect a greater focus on caucus sustainability rather than creating "paper caucuses." The revision shifted focus and resources toward encouraging existing caucuses and supporting those that were newly formed." ⁶ This refocused strategy of establishing models in Kenya and

⁶ It is important to note that, at the time of that revision, CCN had only formed four caucuses: Namibia, Tanzania, Zambia and Kenya (see 6-month progress report, June-Dec 2012). Although CCN's target of 8 countries was not reduced, it was agreed with the POC that they would invest fewer resources on developing any new caucuses

Colombia worked well. And as a result, CCN has succeeded in creating three additional caucuses in the final months of the project: Paraguay, Mexico, and Peru. According to the CCN, the formal creation of these caucuses (see Terminal Report Annex 4) is an indication of policymakers' increased awareness and interest in gaining a better understanding natural resource management and governance, and of increased dialogue and collaboration within and across countries as they noted developments in Colombia.

104. Fourth, the concept of multi-partisan caucuses was itself very new to the countries. Because of the ICCF's experience with multi-partisan caucus building in the United States, they were able to bring considerable experience to the often-delicate process of caucus-building in the 8 partner countries. The extent to which legislators ultimately embraced the caucus structure is evidence of the increased awareness that resulted from the project's caucus-building activities. Zambia is a good case in point, where over 1/3 of its entire legislative body joined the CCN caucus.
105. Fifth, often cited as the most meaningful process for elevating awareness were the direct personal exchanges that were made possible during the project's various inter-parliamentary events.
106. Sixth, ICCF's brain trust enabled the project team to bring the best possible conservation experts to the project events and to provide legislators with access to the most authoritative scientific insights, which could in turn be used to ground legislative reform efforts. One good example is the role that Rainforest Alliance played in showcasing their environmental certification schemes in Colombia. This was instrumental in the efforts of Colombian legislators to pass a bill that prohibited the use of mercury in gold mining. And finally, and perhaps most importantly, there is limited or no evidence about the impact of project activities in the other countries in which conservation caucuses were established. Therefore, it is difficult to draw conclusions about the overall impact in terms of increased legislator awareness without sufficiently robust evidence from other countries.
107. It is important to emphasise that Colombia and Kenya are the only countries where legislation has been adopted thus far. These are the two countries in which CCN made a strategic decision to engage. In this regard, it is difficult to provide country-specific examples with regard to all outcomes and behavioural change.
108. Tabled legislation is not the only indicator of success. When policymakers form and join a caucus, they are demonstrating their desire to increase their awareness and interaction--a necessary early step in achieving our outcomes. Their continued participation and interest demonstrates that the caucus is meeting that need/desire for information.

Colombia

109. Colombia is one of the best examples among the CCN project countries in terms of the success of its caucus in contributing to increased legislator awareness and understanding.

(presumably with lower expectations for outcomes in any new countries), and more in supporting these four existing caucuses.

110. According to one of the caucus co-chairs, the ICCF and the caucus have provided legislators with the tools and resources to understand environmental issues and a new network of experts upon which they can rely on for authoritative advice in conservation and natural resource management law-making. As noted above, CCN's introduction of the Rainforest Alliance to the Colombian conservation caucus enabled the sharing of important insights regarding certification schemes, which Colombian legislators have introduced in new gold mining legislation. According to CCN staff, the introduction of this new legislation is indeed evidence of the increased awareness among legislators as a direct result of the conservation caucus activities.
111. As well, currently, caucus co-chairs are discussing the prospect of a public-partnership that would enhance the scope, reach and overall effectiveness of a bill under debate in the House of Representatives for the implementation and execution of a nation-wide programme in support of small medium enterprises in Colombia's farming communities.
112. Awareness-raising at the regional level was also achieved as a result of a partnership that the Colombian caucus leadership developed with the Vice President of the Mexican Senate and the President of the Peruvian Senate on official visits to Bogota. This experience demonstrated the benefits of catalysing regional caucus building efforts by neighbouring countries directly from caucus leaders in the region, who could demonstrate first-hand the commitment and investment of the caucus within their own legislatures. MPs from Colombia and Kenya attributed their legislative successes at a high-level public forum in Washington, DC.⁷

Kenya

113. In Kenya, the best evidence of increased legislator awareness and understanding is reflected in the recent amendments to the Kenya Wildlife Bill, which were tabled by the co-chairs of the Kenyan conservation Caucus. Following the Nairobi inter-parliamentary meeting that convened African parliamentarians and U.S. Congressmen, members of the Kenyan parliament formed the Parliamentary Conservation Caucus and drafted new anti-poaching legislation with stiffened penalties. The summit was also noteworthy because of the interaction between U.S. conservation leaders and international parliamentarians, which is an important step toward multi-lateral collaboration in combating transnational poaching syndicates.
114. The challenge of strengthening the penalties in the Kenya Wildlife bill had been addressed for almost nine years but with little success. However, the launch of the Kenyan conservation caucus and the bi-partisan support that it was able to galvanize, were critical success factors in the strengthening of the previous penalties, which had proven to have little impact in stemming the increase in illegal poaching. At this point, the best evidence available comes from the attestation of the chair of the PCCK. Three attempts were made to contact the main NGO stakeholders, who never responded to the request for interviews.
115. According to the co-chairs of the, Parliamentary Conservation Caucus - Kenya (PCC-K), "the most important achievement of the PCCK to date is the Wildlife Bill 201, which at the time of the evaluation, was under debate in parliament - at the second reading stage, having been debated and agreed upon by the relevant committee of Parliament. The Bill, inter alia, proposes stringent penalties for all offenders, especially poachers, and ensures reasonable compensation for

⁷ <http://www.thegef.org/gef/node/10164>

communities whose activities and lives are adversely affected by wildlife. The Bill, if enacted, will replace the out-dated Sessional Paper No. 3 of 1975. That a progressive and responsive Bill on wildlife conservation is currently before the house for debate can largely be attributed to the work of PCCK.

116. Although the Bill has existed in various forms for the past 15 years, the PCCK has been instrumental not only in ensuring that the Bill, in its current form, is progressive and responsive, but also that consensus is achieved across political party interests, with the active participation of private sector and NGOs, prior to the bill being table in Parliament, something which would not have happened without the active engagement of the caucus". In addition, the PCCK is currently working on the Climate Change Bill on which no consensus has been reached with the executive authorities; and the National Drought Bill. On the policy formulation front, the caucus is working on the Electronic Waste Policy and the National environment Policy. All of these legislative reform initiatives are important evidence of increased awareness of legislators on these issues.
117. Kenya is an example of an extraordinary achievement. In the opinion of the UNEP Task Manager, the speed of the PCCK's legislative success is virtually unparalleled, even among full-scale GEF projects.

Zambia

118. Legislator awareness is also evidenced in Zambia, where law-makers have embraced the conservation caucus model with over 50% of the national assembly having joined the caucus. In addition, without CCN helping to organise and manage a caucus secretariat, key legislators worked with great speed to create their new caucus, engaging as well, parliamentary staff to support the caucus.
119. As well, legislator awareness is evidenced by their new efforts to reform the National Wildlife Management Plan. In this context, legislators have discovered corruption, notable inefficiencies and several opportunities to enhance the economic development potential of their natural resources. CCN has been asked by the Zambian caucus to bring their brain trust to Zambia to assist in reforming the National Wildlife Management Plan. At this point, the aforementioned countries provide the best examples of increased awareness and understanding on the part of the legislators. Further evidence regarding other examples of increased awareness has not been available for the other four project countries because they are at a considerably lower level of development. Therefore there is insufficient evidence available to draw any conclusions about whether or not outcomes were achieved in those countries.

4.2.5.2. Outcome 2- Increased dialogue between legislators at the national level on issues of conservation and natural resource management

General observations

120. The reframed outcome 2 addresses another one of the project's central aims, namely increased dialogue between legislators at the national level on conservation and natural resource management issues. For the reframed outcome 2, the main output that specifically led to increased dialogue was the creation of the conservation caucuses in the 8 GEF beneficiary countries.
121. As a starting point, it is important to emphasise that the baseline was very clear, namely the lack of any type of multi-partisan caucus in the national legislatures. The establishment of 8 new

caucuses in Colombia, Costa Rica, Mexico, Peru, Kenya, Namibia, Tanzania, Zambia had varying degrees of impact in increasing dialogue between legislators. The analysis of new legislation highlighted in the preceding section is evidence of increased dialogue in only a few of the project countries because CCN made a strategic decision to invest time and energy to build the caucuses in Colombia and Kenya before moving on to the other caucus countries.

122. The newer caucuses have taken an interest in Kenya and Colombia's activities. CCN's various events, both during the project period and since, have included a high level of international/interparliamentary discussions and interactions. The reaction of the newer caucus members to CCN's success in Kenya and Colombia in the final months of the project, and since the project ended, has been noteworthy. For example, the Namibians approached CCN at the conference in Zambia in July and asked for more support. This was their first real request, although they had participated in all the other regional events.
123. In addition, according to CCN staff, it is important to emphasise that the caucuses themselves have not been designed as legislative vehicles per se. Rather their main function has been to *stimulate dialogue and to deepen understanding* on the part of as many legislators as possible on key conservation issues. It is also important to emphasise that as explained earlier, the concept of multi-partisanship has been relatively new in the 8 caucus countries. The conservation caucus is a new paradigm for stimulating cross-party dialogue on the issues. It provides a neutral space for legislators of different parties to come together to discuss and debate key issues and where possible, to develop potential solutions, around what might have otherwise been seen as disparate interests, which would have otherwise divided legislators. Instead, the caucuses provided an opportunity for those disparate interests to be transcended and addressed in concrete legislative reform efforts.
124. It is also interesting to note that the CCN has been among the first to attempt to build multi-partisan conservation caucuses in developing countries. Because of their long-standing history building multi-partisan support for conservation issues in the United States Congress, they brought important expertise to bear.
125. The legislators who did provide written feedback in the form of caucus assessments (i.e. Kenya and Colombia) or who were interviewed by the evaluation team (i.e. Namibia) did emphasise the benefits of the conservation caucus in their own countries and expressed interest in continuing caucus activities.
126. The country-specific evidence for Outcome 2 (i.e. increased dialogue) is very similar to the evidence for Outcome 1 (i.e. increased awareness and understanding), namely actual legislative reform efforts in Colombia, Kenya and Zambia. These reform efforts are described in further detail in this chapter of the evaluation report.
127. The most advanced, robust caucuses to date are in Colombia and Kenya. As described above, this was by design. A strategic decision was taken, with the support and approval of the POC, to focus CCN's limited resources on strengthening these caucuses so that they could be used to showcase the benefits of the model for other countries. This necessarily means that the other caucuses are at different points of development, which makes it difficult to compare and contrast them.

128. This staggered approach was intentional, since CCN decided at the beginning to focus on Colombia and Kenya in order to leverage their successes to help move the other countries along more efficiently and sustainably. The strategy proved sound and effective, as the establishment of the Mexican, Peruvian and Costa Rican caucuses were made possible by recommendations from Colombian Co-Chairs to their peers in each respective legislature, in support of designing joint projects of regional collaboration under the newly-founded Pacific Alliance.
129. According to CCN, a growing awareness is evident in the interest and enthusiasm from other countries, which has increased substantially as Colombian caucus leaders became more vocal advocates for the caucus model. In addition, CCN was successful in meeting its regional objectives because they were able to forge a partnership with the Vice President of the Mexican Senate directly from Bogotá, where he not only met with CCN but also received words of encouragement from his colleagues of the Colombian Congress, i.e. the Conservation Co-Chairs.
130. The President of the Peruvian Senate also met with CCN in Colombia, and the Caucus was established between several of his peers from the main political parties because of the recommendation that he received from the political leadership in Colombia.
131. Costa Rica also brought the founding document that established their caucus into its environmental committee a few days after an ICCF event in Washington, at which Congressman Alfonso Perez discussed the model with Colombian Senator, and Caucus Co-Chair, Mauricio Ospina.
132. In fact, since the project ended, this enthusiasm and interest continues to grow, both in Kenya and Colombia, and among the other caucus countries. CCN work continues, with both legislative and executive officials requesting and attending workshops on specific topics.
133. There are also other important indications that interest is steady or increasing among several caucus countries:
 - Mexican and Tanzanian leaders have both requested that CCN establish a secretariat for their caucuses; a trip to Mexico is being planned.
 - Costa Rica has invited another US Congressional delegation to visit (Feb 2014).
 - Tanzania's new Minister of Natural Resources and Tourism has requested an anti-poaching policy workshop
 - A US Congressional delegation will visit Peru in June.

4.2.5.3. Outcome 3 - Collaboration and knowledge exchange between CCN partner countries legislators, corporations, NGOs and institutions

General observations

134. The key outputs that contributed to Outcome 3 include the following:
 - The two anchor events (UNGA September 2011 and Rio de Janeiro June 2012) that brought together high-level policymakers from CCN partner countries. (MPs from 15 countries attended as well as UNEP, GEF, Rainforest Alliance and several corporations).
 - The three thematic programmes (South Africa August 2011; Kenya August 2012 and Zambia August 2013);

- The two out of the three inter-parliamentary staff programmes (both held in Costa Rica, February 2012 and February 2013); and
- The 14 Parliamentarian mentorship exchanges.⁸

135. There are a number of general observations regarding the achievement of Outcome 3.

136. First, according to CCN two big anchor events, were able to galvanize collaboration and knowledge exchange between CCN partner countries and other actors. Specifically, these events were able to open channels for the development of new caucuses in Kenya, South Africa, Botswana and Colombia. These events were also responsible for the forging of new relationships between legislators and the NGO and corporate members of the ICCF brain trust.

137. Second, according to CCN staff, increased collaboration between legislators in CCN partner countries was also achieved as a result of the three thematic events that were held in South Africa (August 2011), Kenya (August 2012), and in Zambia (August 2013). All three events were extremely well attended as per the list of participants in Annex 6 of the Terminal Report. The main aim of these events was to provide opportunities for legislators from different caucus countries to share legislative reform experiences and to forge new relationships. After the CCN inter-parliamentary conference on poaching in South Africa, one of the South African MPs (Hon. Johnny de Lange) immediately petitioned the South African Parliament to increase the penalties under South African law for rhino poaching. This event along with the Kenyan African Poaching Summit (August 2012) have been effective in stimulating trans-boundary collaboration on poaching among several African CCN partner countries. Once again, the evaluation team requires independent evidence in order to support this claim.

138. Third, it is important to emphasise that because of the low response rate from legislators, according to the evaluation team, more robust evidence is needed to support the achievement of Outcome 3. Notwithstanding the extent to which increased collaboration between individuals and caucuses has been evidenced as a result of the outputs, this is a rather difficult outcome to assess definitively at this stage, because the outcome will not be fully apparent for months or indeed years to come. Another challenge is the continuing turnover in legislators, which may make continued collaboration difficult. At this point, without more evidence, it is difficult to evaluate the extent to which collaboration and knowledge exchange has occurred over the life of the project (as described below) the outcome has been achieved. CCN staff identified the importance of more efforts to sustain the relationship-building and substantive collaboration that has been forged at these key events. What may be in question is the actual sustainability of the collaboration and knowledge exchange beyond the life of the project. As described in the section on sustainability, without ongoing support for the caucuses, it will be difficult to sustain the important project results that have occurred by virtue of project activities. One thing that is clear is that without the project, it is unlikely that the knowledge exchange and collaboration described below would have happened. However, the issue of attribution must be carefully addressed, especially since there are so many other actors and initiatives focused on conservation and indeed, numerous examples of inter-country collaboration that were manifest before the caucuses or other project activities were launched.

⁸ The Council of Conservation Nations website <http://councilofnations.org/>

139. Fourth, the proxy indicators, awareness surveys (Annex 3 of the Terminal Report) provide evidence regarding the achievement of the outcomes. PIRs and progress reports concluded that the outputs were achieved and these are typically accepted by UNEP and the GEF Secretariat as monitoring tools and documented as such in the project document and CEO Endorsement Template.

Tanzania

140. The CCN African poaching summit held in Kenya also catalysed new collaboration between Kenyan and Tanzanian policy-makers on poaching issues. In addition, at a state visit to the United States Congress, where CCN galvanized pressure vis-à-vis the Tanzanian President to step up his efforts on the poaching crisis. As a result, the Tanzanian President has now authorized the use of the military to seize poached wildlife.

Kenya

141. The inter-parliamentary conference held in Nairobi directly led to the launch of the Parliamentary Conservation Caucus of Kenya and to the renewal of trans-boundary collaboration on poaching among several African CCN partner countries. Evidence of increased collaboration is also evidenced by the results of a visit organised by CCN of the Kenyan caucus leadership to Washington, DC to meet with US legislators and key stakeholders, the Kenyan caucus leadership has now taken ambitious steps forward to curb the African poaching crisis.

142. In late May 2013, caucus leaders initiated a motion that passed parliament and the cabinet to prioritize stiffening the penalties for poachers, including fines up to \$120,000 and 15 years in jail. The motion was incorporated into the larger Wildlife Bill and Policy, a comprehensive series of measures to address the root of the poaching crisis in the country that also includes streamlining wildlife services and cracking down on wildlife trafficking-related corruption. The bill is now ready to be reviewed and passed by Parliament.

Colombia

Over 60% of the gold mining is not only illegal, but also highly toxic to the environment because of the use of mercury. As a result of the collaboration forged by CCN between the Colombian conservation caucus and NGOs such as Rainforest Alliance, new mining policies have been put in place that incentivize environmentally sound mining practices. Other evidence of collaboration in Colombia is reflected in the new opportunities for dialogue that the ICCF is helping to catalyse with NGOs and the private sector. One example is the collaboration with the private sector on sustainable farm certification.

Namibia

143. Increased collaboration between Namibian and Zambian legislators was made possible because of the thematic event in Zambia. Without that event, Namibian legislators would not have had the opportunity to learn about Zambian conservation approaches, which have particular relevance for Namibia, such as innovative benefit-sharing mechanisms for local communities.

Zambia

144. Evidence of collaboration and knowledge exchange in Zambia as a result of the project outputs is reflected in the fact that after the anchor event in Brazil at the Rio+20 conference (June 2012), a legislator from Zambia expressed concern about her sense of powerlessness in addressing deforestation in her country. CCN was able to bring in Rainforest Alliance who informed her about new approaches for monitoring deforestation.

Colombia, Mexico and Peru

145. Increased collaboration between Mexican and Colombian legislators was also catalysed by CCN efforts. In fact, the establishment of the Mexican conservation caucus resulted directly from a visit by the Vice President of the Mexican Senate in Bogotá with the Co-Chairs of the Colombian caucus. The same was the case with Peru. After the visit of the President of the Peruvian Senate with the Colombian co-chairs, the Peruvian Caucus was established because of the recommendation that the President of the Peruvian Senate received from the political leadership in Colombia.

4.2.6. Assessment of the likelihood of impact of project activities using a review of outcomes to project approach [Satisfactory]

146. The assessment of the likelihood of impact of the CCN projects involves the examination of the following three elements:

- The extent to which the project has to date contributed to changes in behaviour as a result of project outcomes;
- The extent to which the project is likely to contribute to changes in behaviour in the future; and
- The likelihood of all the aforementioned changes contributing to even greater and more significant changes, i.e. the project's impact, a reduction in carbon emissions from deforestation and degradation.

4.2.6.1. *The extent to which the project has to date contributed to changes in behaviour as a result of project outcomes*

147. A number of important behavioural changes have been generated as a result of the project's successful outcomes, which have been described in the preceding sections. The behavioural changes that are described below in this section are indeed the three intermediate results, which were framed in the reconstructed Theory of Change.

148. These three intermediate results are the key transitional conditions between the project's immediate outcomes and intended impact. They are the necessary conditions for the achievement of the intended impact, which in this project was framed as "Improved conservation and good natural resource management.

149. Improved conservation and good natural resource management depend on the following three intermediate results (which are reflected in the reconstructed Theory of Change above):

- *CCN member countries enact legislation and/or formulate policies and strategies for conservation and natural resource management.* Strong and robust legislation is needed to both push and pull behavioural changes. The countries that have had the greatest success in improving conservation and good natural resource management have the strongest legislative frameworks in place.

- *International collaboration on key global biodiversity, habitat loss and natural resource management issues yielding new legislation and policies.* Collaboration between countries is absolutely key for the exchange of best practices, which in turn equip lawmakers with the insights needed to enact new legislation in their own jurisdictions. As described throughout this evaluation report, in several notable cases, international collaboration helped to catalyse new legislative efforts, which in turn have proved essential to the achievement of improved conservation and good natural resource management.
- *CCN member countries adopt good practices and implement programmes for conservation and natural resource management and increasingly integrate an ecosystem development approach into development and planning processes.* New legislation, policies and strategies are essential to the achievement of the desired impact, but they are not enough. Legislative and policy frameworks must be implemented on the ground if the desired impact is to be achieved. This requires effective implementation, enforcement and compliance regimes to ensure the translation of law to good practice. These steps are well beyond the scope of the project, however the behavioural changes that have been catalysed during intermediate steps 1 and 2, are pre-essential conditions to the achievement of good practices on the ground. Taken together with intermediate result 3, they provide the enabling conditions essential for the achievement of good conservation and natural resource management.

4.2.6.1.1. Intermediate Result 1: Legislation and policy for conservation and natural resource management

General observations

150. The first behavioural change, which has been observed as a result of the project's successful outcomes, is the enactment or tabling of new legislation and policy for conservation and natural resource management.
151. It is interesting to observe that this behavioural change corresponds with part of the project's strategic objective, namely: "To provide global parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management."
152. As described throughout the evaluation report, the behavioural change in the form of new legislation and policy has been realized in some countries and not in others for a number of reasons, notably the extent to which CCN was able or not to engage in the countries where conservation caucuses had been established.
153. In countries such as Colombia, Kenya, Zambia and Tanzania, it is clear that policymakers have been equipped with the necessary knowledge and key resources and as a result, the behavioural change is reflected in the tabling of new legislation and policies for conservation and natural resource management.

Kenya

154. In Kenya, the leadership of the reconstituted Parliamentary Conservation Caucus of Kenya (PCC-K) took steps to curb the African poaching crisis, initiating a motion in late May 2013 to prioritize

stiffening the penalties for poachers, including fines up to \$120,000 and 15 years in jail. Although the Bill has existed in various forms for the past 15 years, the PCCK has been instrumental not only in ensuring that the Bill, in its current form, is progressive and responsive, but also that consensus is achieved across political party interests, with the active participation of private sector and NGOs, prior to the bill being table in Parliament, something which would not have happened without the active engagement of the caucus.

155. In addition to the Wildlife Bill of 2013 discussed above, the PCC-K is currently working on the Climate Change Bill on which no consensus has been reached with the executive authorities as well as the National Drought Bill. On the policy formulation front, the caucus is working on the Electronic Waste Policy and the National environment Policy.

Colombia

156. Widespread public interest in conserving Colombia's natural wealth led to strong buy-in by its policymakers and the quick formation of the Colombian Conservation Caucus (CCC), as well as a new chapter of the education foundation ICCF in Bogotá, which will directly support the caucus.

157. The caucus has been instrumental in the promotion of new legislative initiatives such as the bill prohibiting the use of mercury in gold extraction in mining and other industrial processes. This is described further in paragraph 91.

158. Members of the Congress in Bogotá have already launched a new programmatic agenda, designed towards agricultural reforms and certification of the extractive industry. The Colombian caucus co-chairs are also working through the caucus to bring expertise from NGOs and stakeholders in the private sector, to discuss the scope of a congressional bill (023) that will help forge collaboration across sectors to refine the legislative process, and to improve its reach within farming communities.

Zambia

159. In Zambia, key legislators have formed a new conservation caucus and have secured the help of parliamentary staff for administrative support. The caucus is now working on the process of completely overhauling the National Wildlife Management Plan. Through this work, the caucus has discovered both inefficiencies and corruption and are working on options for enhancing the economic development of national parks.

Namibia

160. With the support of CCN, Namibian legislators will establish their formal conservation caucus next year. Their plan is to focus first on the impact of over-fishing and to respond to the Namibian Environment Minister's call for fish quotas based on sound scientific evidence.

Tanzania

161. In Tanzania, behavioural changes are manifest less in the form of new legislation but rather in terms of the executive branch, and more specifically the Tanzanian President Kikwete in relation to the elephant poaching crisis and the role that high-level government corruption in police, military, customs and wildlife departments plays in supporting the illegal ivory trade in Tanzania.

162.CCN's leadership was able to secure a series of high-level meetings with President Kikwete in Washington, DC, for relevant members of the US Congress and leaders of the donor and NGO communities, who collectively urged the President to take swift action to address the poaching crisis. As a result, the Tanzanian President agreed to deploy the nation's military to national parks to shore up enforcement.

4.2.6.1.2. Intermediate Result 2: International collaboration yielding new legislation and policy

163.Throughout the life of the project, behavioural change was also reflected in the form of new legislation and policies, which resulted directly from collaboration and knowledge exchanges between CCN partner countries and key stakeholders. A few key examples are described below.

Rio+20 Anchor event (Brazil)

164.The Rio+20 Anchor event in June 2012 resulted in galvanized relationships with existing CCN caucuses in U.S., UK, Zambia, Tanzania, and Namibia, and opened channels for developing new caucus in Kenya, South Africa, Botswana and Colombia. The event also introduced several non-engaged countries to CCN and resulted in numerous new partnerships for countries and NGO/corporate stakeholders. . According to CCN, the anchor events were highly successful and received praise from different stakeholder groups. The fact that these countries joined CCN and sent representatives to CCN events in Washington, D.C. (Annexes 2 and 3, terminal report) indicates a contribution to CCN outcomes, not only in countries with new caucuses, but in other GEF beneficiary countries as well.

Inter-parliamentary conference (South Africa August 2011)

165.After the CCN South African inter-parliamentary conference on poaching on eco-tourism, the South African chair of Portfolio Committee on Water & Environmental Affairs, the Hon. John De Lange immediately petitioned the Parliament to increase the penalties under South African law for violating the national legislation on rhino poaching. Further, on December 11, 2011, he issued a call for public comment and hearings on the rhino poaching crisis to work with all stakeholders to find solutions. He also made inroads on consolidating enforcement law by handing over certain enforcement authority from provincial authorities to the national authorities.

Kenyan African Poaching Summit (August 2012)

166.The CCN African poaching summit was also effective in stimulating trans-boundary collaboration on poaching among several African CCN partner countries. Specifically, it brokered concrete collaboration between Kenyan and Tanzanian policy-makers on poaching.

Regional thematic event on forest management (Zambia August 2013)

167.The third and final regional event focused on forest management and the causes of forest degradation, potential models for alleviating those causes, and the roles that government and NGOs should play in supporting the rehabilitation of local communities and their forests.

Mentorship exchanges

168.14 exchanges were completed during the project. It is too early to ascertain whether they have yielded concrete results in terms of new legislation, however, it is clear that they have provided parliamentarians with important information and support, which has been instrumental in motivating parliamentarians to create caucuses, and in helping them determine caucus priorities and work effectively within them to accomplish their goals.

169. One specific example that should be noted is the visit of the Kenyan caucus leadership to Washington, D.C. to meet with US legislators and key stakeholders on the poaching crisis. Following that visit, the Kenyan caucus leadership has now taken ambitious steps forward to curb the African poaching crisis in the form of stiffer penalties that have been embedded in the latest draft of the Kenya Wildlife Bill.

170. In addition, as a result of the collaboration forged by CCN between the Colombian conservation caucus and NGOs such as Rainforest Alliance, new mining policies have been put in place that incentivize environmentally sound mining practices.

4.2.6.1.3. Intermediate Result 3: Adoption of good practices and programmes

171. New legislation, policies and strategies are essential to the achievement of the desired impact, but they are not enough. Legislative and policy frameworks must be translated into good practice on the ground, if the desired impact is to be achieved. This requires effective implementation, enforcement and compliance measures to ensure the translation of law to good practice. These steps are well beyond the scope of this project. Moreover, it would be very difficult to attribute project activities with the adoption of good practices and programmes, since there are so many other factors at play, which are also beyond the scope of the project.

172. Notwithstanding, the behavioural changes that have been catalysed during intermediate results 1 and 2, are pre-essential conditions to the achievement of good practices on the ground. Taken together with intermediate result 3, they provide the enabling conditions essential for the achievement of good conservation and natural resource management.

173. There are however a few examples that help to demonstrate the linkage between positive project outcomes and the adoption of good practices.

174. First, as a result of CCN's work in South Africa, the Hon. Johannes de Lange, MP, Chairman of South Africa's parliamentary Environment Committee, has led an initiative to make anti-poaching legislation more effective, stiffen penalties, and strengthen enforcement, especially in relation to African terror organisations. As a consequence, the South African high court recently sentenced a leading figure in international rhino poaching to 40 years for organizing illegal rhino poaching expeditions, the longest ever sentence given for poaching in South Africa. These higher-level arrests and convictions are critical to disrupting the illegal trade chains used to move rhino horns into illicit markets in Asia.

175. Second, as a result of CCN's efforts to broker partnerships between Rainforest Alliance and Colombian conservation caucus, there is evidence of good practices in the area of sustainable cattle ranching and artisanal gold mining. For example, Rainforest Alliance has developed certification schemes in both sectors, which the Colombian conservation caucus has been actively promoting on the ground. The standards for cattle ranching were developed by a group of scientists, ranchers and other stakeholders in the tropics and ensure that economically viable beef and milk production is compatible with biodiversity conservation and worker welfare.

4.2.6.2. *The extent to which the project is likely to contribute to changes in behaviour in the future*

176. The afore-mentioned intermediate results/states are dependent not only on the success of the outcomes, but also on the impact drivers and assumptions, which may or may not affect the extent to which the project is likely to contribute to changes in behaviour in the future and achieving the project's strategic objective of education and capacity development at the parliamentary level for conservation and sound natural resource management.

177. In the case of Intermediate Result 1 (enactment of new legislation and policies), the evaluation team identified the following impact drivers and assumptions:

Intermediate Result 1

Impact Drivers:

Sufficient expert advice to support legislators • Legislator capacity to uptake information and make political interventions • Educational and training materials linking sustainable natural resource management and economic growth • Engagement with non-traditional partners • Ongoing financing

Assumptions:

Interest and participation of briefing and event invitees • Participation in replicable thematic programs • Maintained interest and participation despite legislator turnover

178. Although the status of the impact drivers and assumptions vary from one country to another, a few general observations can be made that apply more broadly.

179. First, in terms of the impact drivers for Intermediate Result 1, CCN provided high quality expert advice to support legislators at the various events that were planned throughout the project life. The quality and utility of the expert advice was noted in surveys prepared by the CCN for all the informational briefings. Second, as regards the legislators' capacity to absorb the information and make political interventions, it is clear from the examples provided above, that several caucus members were instrumental in advancing important legislative reforms in Colombia and Kenya. As regards the linkages between natural resource management and economic growth, the Kenya Wildlife Bill emphasises, inter alia, that poaching has both tremendous economic and ecological consequences. As regards engagement with non-traditional partners, this is most certainly one of the highlights of the project. CCN has made considerable efforts to engage both the large conservation NGOs but as well representatives from the private sector. They have been engaged in the CCN brain trust and have been actively involved with many of the caucuses. Similarly, as regards ongoing financing, the Kenyan and Colombia caucuses have been successful in mobilising additional financing from the private sector. As well, in-kind support has been provided by

numerous partners including ICCF, WWF, Conservation International, The Nature Conservancy, Wildlife Conservation Society.

180. In the case of the assumptions for Intermediate Result 1, evidence from the afore-mentioned surveys confirm that there has been a high level of interest and participation in the educational briefings and other key events. The majority of respondents indicated that the briefings not only increased their awareness of the linkages between conservation, security and economics, but that they had been able to share that new information and sustain the new relationships that were forged at the events. As regards issues regarding election turnover, as noted above, election cycles have most certainly been a factor. However, this factor will be less problematic once the caucuses become more institutionally rooted and engagement with other stakeholders is secured.

Intermediate Result 2

Impact Drivers:

Parliamentarian interest in caucus formation • Parliamentarian interest in mentorship • Support from CCN countries • Acceptance of new conservation paradigms • Engagement with non-traditional partners

Assumptions:

Government changes do not affect commitment to conservation • Interest in cooperation of parliamentarians from other countries

181. In the case of Intermediate Result 2 and the key impact drivers, it is clear that parliamentarian interest in caucus formation has been sustained, notably in Kenya, Colombia and Zambia, where half the national assembly has joined that country's conservation caucus. CCN has learned an important lesson on this point, namely that it takes considerable time and effort on the ground to grow and sustain a caucus. They learned in Colombia that their strong commitment to the caucus, demonstrated by their staff's frequent physical presence, persistence, and broad involvement of stakeholders, impressed the policymakers and enhanced their credibility. This intense engagement achieved better—and quicker—results than what was observed in countries where CCN conducted more sporadic visits and programs and could not feasibly sustain a presence. Their ability to do this in Colombia was mostly the result of geographic proximity and a dedicated staff person; a similar level of effort in other, more distant countries would require more human and financial resources. On the issue of support, CCN is working with several models. For example in Colombia and Kenya, they have created affiliate foundations that will have local staff. However additional resources are needed to fully launch and test this model. Other countries are still being supported by ICCF in Washington, DC, which will limit the level of day-to-day support they will receive. The Zambian caucus, however, was motivated to create their own secretariat with dedicated staff within the Parliament, demonstrating those leaders' strong political will and desire for the caucus to succeed. It also demonstrates that the success of the caucus ultimately depends on the people who are behind it and their real desire to learn. Although this "internal secretariat" model is working in Zambia, CCN believes that it is fragile and susceptible to political change.

182. As regards the assumptions for Intermediate Result 2, there has been no evidence thus far of any changes in government affecting any particular country's overall conservation agenda. As

parliamentarians continue to raise awareness about the economic benefits of conservation, this will help to build political support from other key ministries such as finance, energy and agriculture. Moreover, the level of interest in cooperating with parliamentarians has in fact grown as a result of the inter-parliamentary events that CCN has organised. As noted above, many of these events have actually helped to spawn new relationships that would have not otherwise been forged.

Intermediate Result 3

Impact Drivers:

Conducive policies and strategies • Relevant ministry support • CCN member exchange • Continued country-country replication • Parliamentarians continue to receive relevant scientific information • Ongoing financing • Engagement with non-traditional partners

Assumptions:

Growing public awareness • Sustained interest among foreign nations • Global economic crisis does not divert attention from conservation • Sufficient stability of partner nations

183. In the case of Intermediate Result 3 and its key impact drivers, the comments for intermediate result 1 and 2 apply equally. There is no concrete evidence available at this point regarding replication of legislative initiatives, however considering the amount of interaction between parliamentarians from different countries, it is probably that within time, legislative reforms will be replicable. The co-chair of the Namibian caucus has indicated that lessons learned from the poaching thematic event in Zambia provided important insights about Zambia's approach in tackling the crisis. As well the surveys from the educational briefings indicated that a majority of legislators would indeed pursue interaction with the new contacts established at CCN events.

184. As regards Intermediate Result 3 assumptions, there is no concrete evidence available at this point to comment thereon. However, it is clear that during the life of the project, sustained public interest and awareness seems to be increasing. If anything, the record attendance at Rio+20 in June 2012 is an important indication of the growing level of public interest in sustainability issues. Similarly, the number of political leaders at Rio+20 also reflects that political interest in sustainability continues to grow and not wane. However, the extent to which political interest is actually transformed in concrete policy in the future remains to be seen.

185. Similarly, the extent to which the global economic crisis diverts attention from the conservation agenda is a factor that CCN will increasingly be able to control since much of the substantive focus of their work is directed to the linkages between economic growth and natural resource management. Indeed, the CCN's Natural Resource Wealth Management™ initiatives supports countries in managing their natural resources effectively and efficiently through public private partnerships and new market based solutions.

186. On the basis of the analysis of the state of the impact drivers and assumptions, it is clear that there is a high likelihood that the project strategic objective of education and capacity development and indeed the overarching impact of actually improving conservation and good natural resource management are being met and will continue to be met if additional resources can be mobilised for the conservation caucuses.

187. According to the CCN, given the continuity between 2014 and 2015, caucuses in Colombia, Mexico, Costa Rica and Peru will play an important part in their respective legislative process as it relates to the socio-environmental policy frameworks under which the private sector operates. In anticipating impact at the medium stage (i.e. the next 12 months), according to CCN, the model in Colombia is especially well structured, inside and outside government, so as to move into the next stage of its caucus-building process. Caucus Co-Chairs, through the support of the foundation, have and continue to host and moderate cross-sectoral policy shops. Each series, regardless of its thematic focus, is designed to deliver sets of policy recommendations as outcomes, and provide for open spaces between lawmakers and business leaders to discuss initiatives geared at enhancing the legislative process through public-private partnerships. Both objectives are aimed at supporting and enhancing the scope of legislation currently debated on the Chambers' floors or in Environmental Committees.

4.2.6.3. The likelihood of all afore-mentioned changes contributing to the desired impact

188. In this sub-section, the ROTI analysis is applied in order to assess the likelihood of the several changes progressing through potential intermediate states to final desired impacts. Since the project' intermediate states and drivers and assumptions have been thoroughly analysed above, the next stage in the ROTI method is to identify the project's intended impact.

189. It is important to recall that the strategic objective of this project was:

“To provide global parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management”.

190. Based on the project objective, the evaluation team defined the intended impact of the project as “improved conservation and sound natural resource management”.

191. As described above, the evaluation team further identified three intermediate states, which have been realized in varying degrees in the eight countries in which conservation caucuses have been established:

- *CCN member countries enact legislation and/or formulate policies and strategies for conservation and natural resource management*
- *International collaboration on key global biodiversity, habitat loss and natural resource management issues yielding new legislation and policies.*
- *CCN member countries adopt good practices and implement programmes for conservation and natural resource management and increasingly integrate an ecosystem development approach into development and planning processes.*

As explained above, on the basis of the analysis of the achievement of outputs, outcomes and the three intermediate results, it is evident that there is a high likelihood that the project strategic objective of education and capacity development and indeed the overarching impact of actually improving conservation and good natural resource management are being met and will continue to be met, if additional resources can be mobilised for the conservation caucuses.

Table 7 ROTI Table

(2) RoTI Scoring Table

Partnering for Natural Resource Management – Conservation Council of Nations (CCN)							
Outputs	Outcomes	RATING	Intermediate Results Levels	RATING	Impact (GEBs)	Rating (+)	Overall
Component 1 1. 18 educational briefing materials about a range of conservation issues developed and delivered to member nations’ participants 2. 6 replicable thematic and inter-	Outcome 1 Increased legislator awareness and understanding of natural resource management and conservation and its link to policy making.	B RATING JUSTIFICATION The project’s intended outcomes were delivered in varying degrees in the eight different partner countries. As noted above, where CCN has been able to engage on the ground, the outcomes have been largely achieved and	Intermediate Results Level 1 CCN member countries enact legislation and/or formulate policies and strategies for conservation and natural resource management	B RATING JUSTIFICATION The measures designed to move towards intermediate results have clearly started in key countries such as Kenya and Colombia but not in other countries for the reasons that have been provided throughout this report. In Colombia and Kenya, there is clear indication that the caucuses	Improved conservation and sound natural resource management		B

<p>parliamentary staff programs (three conservation themed regional programmes and three for high level parliamentary staff members)</p> <p>Component 2 8 new parliamentary caucuses and formal parliamentary structures established in GEF beneficiary countries</p>	<p>Outcome 2</p> <p>Increased dialogue between legislators at the national level on issues of conservation and natural resource management.</p>	<p>were designed to feed into a continuing process. This is especially the case in Kenya and Colombia. The evaluation team would have allocated an outcome rating of A if in fact the outcomes had been fully delivered in each of the eight project countries.</p>	<p>Intermediate Results Level 2</p> <p>International collaboration on key global biodiversity, habitat loss and natural resource management issues yielding new legislation and policies.</p>	<p>are already contributing to the project's overarching impact and that if duly supported, will be able to do so in the longer term.</p> <p>The evaluation team would have allocated an A rating if indeed the measures designed to move towards intermediate results were to have started in all of the eight project countries. However that has not been the case because CCN has not been able to engage in those countries to</p>			
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<p>Component 3</p> <p>20 new cooperative relationships between individuals from corporations, NGOs, institutions and parliaments of member nations established.</p> <p>12 parliamentary mentorship exchange meetings between member nations and US International Caucus held.</p> <p>Opportunities for linkages developed between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations.</p>	<p>Outcome 3</p> <p>Collaboration and knowledge exchanges between CCN partner countries legislators, corporations, NGOs and institutions.</p>		<p>Intermediate Results Level 3</p> <p>CCN member countries adopt good practices and implement programmes for conservation and natural resource management and increasingly integrate an ecosystem development approach into development and planning processes.</p>	<p>the same extent that they have in Colombia and Kenya. However, CCN has made it clear that with additional resources they are prepared to engage at similar levels in the other caucus countries. In this case, it is presumed that they will be able to bring those additional countries to the same level of achievement as Colombia and Kenya.</p>			
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Review of project log frame to assess achievement of the formal project overall objective, overall purpose, goals and component outcomes.

192. The project is relatively successful when measured against its initial log frame. Once again, results varied according to country. However in terms of the initial outcomes, indeed there is evidence of increased commitment and collaboration, injection of science into policy formulation and better policy through the mentorships. The evaluation team changed very little in its reconstruction of the project logic. The only significant difference between the initial and reconstructed log frame concerns some confusion between outcomes and outputs, of which some were inverted. Other than this minor issue, the key objective as framed in the original log frame has been met in varying degrees and indeed the project succeeded according to its own formal project objective, its original outcomes and indicators.
193. According to CCN, considering the intricate task of establishing, within 16 months, 4 nonpartisan coalitions for international conservation, within legislative bodies ICCF had few or no ties to, and considering the sustainability of these institutional nucleuses would require the backing of political leadership at the federal level and across government branches, the CCN initiative delivered its expected outcomes at a remarkable pace, through what proved to be an effective strategy and especially during the last phase of the regional project (February-August 2013).

4.3 Sustainability and replication (Likely)

4.3.1 Financial factors (Likely)

4.3.1.1 Dependence of project results on continued financial support

194. The continuation of project results, especially: sustained caucus activity, increased dialogue between legislators and key stakeholders; elevated awareness on the part of legislators; increased legislative and policy-making activities on conservation and natural resource management, are all dependent on continued financial support.
195. CCN has expressed its firm commitment to continue its work in supporting existing caucuses and helping to establish new ones. For example, they have succeeded in leveraging additional financial support to sustain the most active caucuses, notably Kenya and Colombia. However, additional financial support will be critical to sustaining them and in creating new caucuses.
196. Without additional support, it is unlikely that the existing caucuses will be able to continue their work, in large part because they are dependent on CCN for substantive support. For example, in Mexico, Costa Rica and Peru, Caucus Co-Chairs are waiting for CCN staff to plan a 2014 mission on the ground, so that they might plan, deliver and carry out a policy agenda by engaging the private sector and civil society, just as was done in 2013 in Colombia.
197. Part of the caucus model is a supportive secretariat, just as ICCF is the secretariat to the US Congressional Conservation Caucus. ICCF Colombia has been created for this purpose; and to the extent that this new organization can support other caucuses in the region, their caucus development will continue. Additional funding (whatever the source) is needed to maintain the secretariat with enough capacity to support multiple countries or start new secretariats as needed. However, CCN does not view the other caucuses as less sustainable; on the contrary their interest and enthusiasm has been increasing with the success of the Colombian model. Nevertheless, the enthusiasm has to be matched by the financial support.

198. CCN and ICCF are committed to continuing this work with or without additional GEF funding. Nevertheless additional resources are required to maintain parliamentary engagement while they build up ICCF Kenya and ICCF Colombia and cultivate country-specific membership bases that will financially support them. ICCF has rehired CCN's two existing staff members to continue their work in coordinating caucus activity in Africa and for Colombia and the Pacific Alliance.

4.3.1.2 The likelihood of additional financial resources

199. CCN will most likely submit a proposal for financing under the GEF-6 replenishment and will continue to raise funds from other sources as well, although there are no immediate prospects for larger amounts of financing. CCN's work has been recognized and included in a follow-on GEF-funded World Bank project on Illegal Wildlife Trade that promises to provide further funding.

200. Kenya and ICCF Colombia—have begun to raise funding from the private and NGO sector in each country. This fundraising is ongoing; however, ICCF Kenya has raised \$35,000 to date, and ICCF Colombia has raised \$160,000, for a total of \$195,000 in additional leverage. In Colombia, CCN has been successful in mobilizing financial support from the private sector, such as Coca-Cola, Nestlé and AngloGold Ashanti, which have made firm commitments of support for 2014. These funds will be used to support the two organizations' core costs and an agenda of educational programs." This is very positive for financial sustainability.

201. As well, Governments are providing in kind co-financing by their participation across all the components of the project, which is documented in various progress reports, attendance lists and annexes. The project did not attempt to quantify this. However it is understood that the question is with respect to the future financial sustainability of the caucuses.

4.3.1.3 Financial risks that may jeopardize sustenance of project results and onward progress towards impact

202. As noted above, the CCN caucuses are highly dependent on financial support for their continuation.

4.3.2 Social and political factors (Likely)

4.3.2.1 Social or political factors that influenced project results/impacts

203. The very point of a caucus is to foster political will and create a nonpartisan forum for discussion and policy formulation to occur. The larger and more active the caucus, therefore, the more political will - there will be behind any proposed legislation. Building such a caucus is a process; however, where political will is truly lacking, it is unlikely that CCN would be able to form or sustain a caucus at all, much less put forward legislation. CCN would not attempt it, a point which goes back to the conditions of "readiness" described at the beginning of this report.

204. The most relevant factor is the election cycle in CCN partner countries. For example, in 2012, the major challenge to achieving all project objectives was the 2012 presidential election calendar, which caused delays in delivering inter-parliamentary exchanges and regional thematic events, specifically, a planned regional event in Belize, which was eventually cancelled. Also, US elections in November obstructed congressional staff travel for end of 2012.

205. Elsewhere, political stability was a constant risk where parliamentarians and legislators are subject to re-election bids on two to four year cycles. Given that the CCN project interacts with dozens of countries, there are always elections occurring in some country, which can affect CCN's implementation. However, the risk is mitigated by the expansive coverage of CCN in engaging numerous MPs across several parties.
206. CCN did confirm that there was indeed a high turnover after the Kenyan elections. In fact, they had to essentially rebuild the caucus, which is documented in POC minutes. This is a situation when the functions and benefits of a strong secretariat are evident: to cultivate strong and deep caucus leadership, work with caucus leaders to plan for succession, conduct ongoing recruitment of new members, and provide continuity in programming.
207. Although the political election cycle in countries such as Belize, the US, and Paraguay did create delays and setbacks that resulted in an extension of the project, there were no other elections to create challenges for the project.
208. As regards political will to implement the new conservation legislation in Kenya, it is far too early to determine at this point in the post-life of the project.

4.3.2.2 The level of ownership by the main national stakeholders

209. The level of ownership by the main national stakeholders is relatively sufficient to sustain project results, if as noted above, continued funding can be secured for project activities. Evident in CCN's work is the fact that their support on the ground has meant a difference between a paper caucus and one that has gained real traction. For example, CCN's strong commitment to and intense engagement with the caucus in Colombia led to better and quicker results and a greater degree of ownership on the part of the caucus leadership.
210. That said, there has been a high level of enthusiasm for caucus activities on the part of the caucus members, which in turn may translate into a deeper level of ownership. For example, caucus leadership in Kenya successfully added a motion to the Wildlife Bill and Policy that increases poaching fines substantially. The Zambian caucus is now also moving forward quickly, organizing itself and developing an agenda with minimal support from CCN, and a highly representative Colombian caucus has come together relatively quickly with strong leadership and support, demonstrating significant momentum and interest within the country. Other countries show great promise. Namibia and Tanzania's caucuses are small but committed. In Zambia, nearly 50% of its National Assembly joined the conservation caucus.

4.3.2.3 Government and stakeholder awareness and interest in the project

211. The extent to which the level of government and stakeholder awareness and interest is sufficient to sustain project results is also country-specific. Where CCN has been able to engage meaningfully with the conservation caucuses, such as Colombia and Kenya, there may be a deeper level of government and stakeholder awareness and interest in the project activities, in part because CCN had been able to align project activities with the political culture. CCN also observed that parliamentarians were more likely to respond with greater interest and involvement when they could see that the stakeholder groups they represent were also interested in the caucus. This broader approach creates new opportunities for collaboration and learning.

4.3.3 Institutional framework (Likely)

212. This section assesses the likelihood that institutional and government structures et al. will allow for the project outcomes/benefits to be sustained.
213. That said, the institutional framework of the project enabled project outcomes and benefits to be sustained during the life of the project, as reflected in the extent to which outcomes were in fact achieved. It is clear that the continuation of project outcomes, in the form of caucus activity, depends on the support that was provided by the institutional framework that was in place during the life of the project. The ICCF's management role in administering, overseeing and implementing all project activities was essential to the achievement of outcomes and without which, project activities could not possibly continue.
214. And so, whilst the institutional framework was sufficiently strong to ensure the success of project activities, if the institutional framework were to be dismantled, it is unlikely that project results could be sustained, notably the provision of knowledge, expertise and resources to parliamentarians to enable them to formulate and implement policies, programmes and practices for conservation and good natural resource management.
215. In countries like Kenya and Colombia with very well developed conservation caucuses, they may indeed be sustainable on their own beyond the project period because they have been well established and are sufficiently supported both in terms of stakeholder engagement and external financial resources. Indeed, the activity reports for the three thematic events and other events includes lists of participants comprising many high profile NGO and corporate partners. This is important evidence of the level of interest displayed by the stakeholder community.
216. As described in the replicability section, it should be noted that ICCF has created affiliate ICCF foundations in Colombia and Kenya.⁹ These will have local staff, but will need additional resources in order to be fully launched. The Zambian caucus was motivated to create their own secretariat with dedicated staff within the Parliament, demonstrating those leaders' strong political will and desire for the caucus to succeed. Although this "internal secretariat" model is working in Zambia, it is fragile and susceptible to political change.
217. However, in other countries where the caucuses are less developed, the institutional support that the ICCF provides them is essential for the continuation of their activities. The ideal form of support would take the form of in-country secretariats for each caucus, which would bring stakeholders together, help to drive legislative initiatives and ensure continuity if and when caucus co-chairs are not re-elected. In many cases, the degree of localised support has meant the difference between a caucus working or failing. It will be important to ensure constant, support from G-8 caucuses and legislators, extensive outreach to and education of legislators, and establishment of caucuses with the strength and numbers to ensure longevity despite election cycles. ICCF has committed to continuing to support newly formed caucuses beyond the period of this project and has begun to develop plans and programmes toward this end. It is important to emphasise that whilst there is significant stakeholder interest and engagement in Colombia and

⁹ <http://www.iccfcolombia.org/iccf.html> provides information on function and membership of ICCF Colombia. ICCF Kenya is less well developed to date but will pursue a similar model.

Kenya, in Costa Rica, Mexico and Peru, stakeholder engagement is very incipient simply because the caucuses are not at the same stage of development as Colombia and Kenya.

4.3.4 Replicability (Likely)

218. This section evaluates the overall replicability of the project and its methodology in other countries or regions. In general, the conservation caucus model has been well received in the 8 project countries and shows real potential for replicability in other countries. The ICCF is also testing several models of sustaining support. For example, ICCF is creating regional affiliate NGOs based in Nairobi, Kenya (to serve eastern Africa caucuses) and in Bogota, Colombia (to serve Latin American caucuses) that can provide technical expert contacts as well as convene informational briefings and related programmes to help with the continuity of new caucuses. The CCN (as an organization) is also working on proposals to foundations and donors to regionally develop caucus support and programmes for both new and existing caucuses). These developments will likely take shape near the end of the GEF support for this current project.

219. As a new paradigm for conservation, the caucuses have forged new forms of cooperation, building multi-partisan collaboration around issues of conservation and natural resource management. The replicability of the model depends on the following factors:

- Interest of legislators and relative strength of the legislature;
- Receptivity of the executive branch to the caucuses and willingness to support the caucuses;
- Potential for mobilizing all relevant stakeholders, especially the stakeholder groups that are represented by the key legislators involved;
- Potential for secretariat support on the ground
- Capacity for ICCF to engage at higher political levels;
- Potential to transform the caucus into a platform for collaboration and learning;
- Opportunity on the ground to cultivate interest among more individuals from a wider variety of committees and sectors;
- Opportunity to work with influential parliamentarians and to seek their buy-in first.
-

220. In general, the conservation caucus model has the potential to catalyse replication, considering the interest of legislators, the receptivity of the executive branch, the engagement of civil society and the impact that has been generated thus far by successful caucuses. As regards engagement with non-traditional partners, this is most certainly one of the highlights of the project. CCN has made considerable efforts to engage both the large conservation NGOs but as well representatives from the private sector. They have been engaged in the CCN brain trust and have been actively involved with many of the caucuses. Similarly, as regards ongoing financing, the Kenyan and Colombia caucuses have been successful in mobilising additional financing from the private sector as noted in paragraph 182.

4.4 Efficiency (Highly Satisfactory)

4.4.1 Cost and/or time-saving measures (Highly satisfactory)

221. Cost-saving measures were frequently implemented. For example, the regional conferences and anchor events were designed to coincide with other large events in the same destination (e.g., UNGA, World Wilderness Congress, etc.) in order to reduce travel costs associated with hosting foreign delegations and participants. Similarly, mentorship opportunities will be scheduled to coincide with other scheduled missions in order to defray costs.
222. As well, ICCF staff undertook a large portion of the workload, thus reducing the need for external consultants. Also, in every mission undertaken abroad, CCN staff managed to meet several objectives at once. For example, during the anchor event held in Rio de Janeiro, CCN staff took the time to pave the way for caucus-building in Latin America through meetings held with legislators who were attending from that region. CCN also endeavoured to work on a regional level with countries that were geographically located close to each other and to avail of the in-country expertise.
223. In addition, many of the subject-matter experts who presented at the briefings were unpaid; for example, the ICCF Advisory Council contributed expertise in the amount of at least \$115,000 over the course of the project. CCN briefings and events also relied in large part on in-kind contributions of partner organizations.
224. One key lesson in terms of cost and time saving measures is the importance of focusing caucus-building efforts where CCN already has traction, as well as extensive contacts and potential to amplify interest within these governments. Where CCN can successfully mobilize these selected political leaders, they stand a greater chance of inspiring other countries to set up conservation caucuses in their own countries. This is particularly important in light of the fact that developing a new caucus proved to be very labour- and time-intensive, involving in-depth discussions with and mentoring of numerous policymakers, extensive staff time, as well as travel and other direct expenses. The costs of establishing a caucus are evident in CCN's financial reporting and their co-financing report. ICCF in particular contributed a significant amount of funding.

4.4.2 Impact of delays

225. There were a number of delays throughout the project, however their impacts were managed effectively with all project activities having been completed by the end of the project.
226. The first delay related to the lack of a project coordinator in the first two quarters of the project. The programming events were effective but slightly behind schedule (given the lack of Coordinator), delivering three mentorship exchanges and three briefings in the first six months – along with one regional conference. Caucus-building efforts under Outcome 3.1 were advanced via the one regional conference in southern Africa, but no actual caucuses were formally established by December 31, 2011.
227. The second delay related to the agreed no-cost extension, which was granted by the Project Oversight Committee in late 2012 (to extend the project until August 2013). This delay provided more time to enhance the strength and sustainability of the then newly formed caucuses. The

work-plan was revised to accommodate the shift towards deeper engagement towards caucus-building and less emphasis on growing the membership base. The remaining funds were re-budgeted accordingly. The result was more frequent engagement with existing members, more sustained dialogue and more frequent programming.

228. The third delay related to the 2012 presidential election calendar, which caused delays in delivering inter-parliamentary exchanges and regional thematic events, specifically, a planned regional event in Belize, which was eventually cancelled. As well, US elections in November 2012 obstructed congressional staff travel for end of 2012. The fourth delay related to the resignation of the Project Coordinator at the end of March 2013, which shifted more responsibility onto the other CCN staff members and required extra support from ICCF—causing slower workflow.

4.4.3 Efforts made to build on existing initiatives (Highly satisfactory)

229. The project made efforts to build on the GLOBE model.
230. For example, lessons learned from the GEF-supported, GLOBE-executed “International Commission on Land Use Change and Ecosystems” were taken on board, notably the importance of maintaining efforts to increase interaction with legislators and to link developing countries with assistance to develop domestic legislation.
231. As well, during the Anchor Event in Rio de Janeiro in 2012, the partnership with GLOBE network proved to be productive and beneficial to both organizations. At the time, GLOBE International was hosting the World Summit of Legislators (June 2012), which opened the CCN team to a network of legislators from countries such as Brazil, Chile, Colombia, Costa Rica, Mexico and Ecuador. Integrating the thematic roundtable CCN hosted as part of larger activity was also constructive for the debates GLOBE International was fostering as part of their summit.
232. As well, the ICCF leadership rapidly understood the need to work within the framework of the Pacific Alliance, whose political philosophy goes hand in hand with the dynamics that have underpinned continental relations between the United States and the southern hemisphere since the early 2000s. In being this selective, we were able to draw support from our political base in Washington, and thus managed to inject stimulus into the model and animate nonpartisan congressional movements, in countries that include Mexico, Peru, Colombia, Costa Rica and Paraguay. The result is a strong tie between the elected officials who co-chair these caucuses, and our foundation both at home and abroad.

4.5 Factors affecting performance (Satisfactory)

4.5.1 Preparation and readiness (Highly satisfactory)

233. Overall, the project preparation and readiness was highly satisfactory for the following reasons.
234. First, GEF did consider the capacities of the executing agencies when the project was designed. GEF had already been familiar with the work of the ICCF. GEF was also aware of ICCF’s extensive network of CCN and ICCF partner organisations and its proven capacity to work at the highest levels of government, engaging policy makers at all levels. It was also clear at the project

design phase that ICCF had extensive resources in terms of expertise, stemming from partnerships and relationships with some of the most influential NGOs and corporations working in conservation, as well as leading conservationists. Section 2.6. of the Project Document outlines the baseline analysis and gaps that underpinned the CCN project activities.

235. UNEP was chosen as the GEF implementing agency because of the project's focus on conservation and natural resource management and environmental governance, as well as the project's regional and country-specific dimensions.

236. Second, the project document was clear and relatively realistic to enable effective and efficient implementation. The overall strategic project objective (namely to provide parliamentarians with key resources to improve their policy making on conservation and natural resource management) was realistic because of the capacity of CCN to convene parliamentarians and stakeholders and its past record in organising similar networks on energy security and nature conservation. As well, the activities were well designed in such a way that enabled them to produce their intended results or outcomes. The section on achievement of outputs describes in detail the extent to which activities contributed to the outputs.

For example, in component 1, the activities involving the organisation of meetings with high-level representatives to introduce CCN etc., seem likely to achieve the result of increased membership in CCN.

237. Third, the partnership arrangements were properly identified and the roles and responsibilities negotiated prior to project implementation. For example, ICCF corporate and NGO partners served as a brain trust and faculty/educators for briefings, missions, and hub programs. NGO partners such as Conservation International, The Nature Conservancy, Wildlife Conservation Society, World Wildlife Fund, and Rainforest Alliance contributed expert presenters and on-the-ground program access. Corporate partners also provided expertise relating to the project themes, for example: Starbucks (agriculture), Unilever (agriculture), JPMorgan Chase (green financing, wealth management, economic development), Coca-Cola (water), Abbott (health/water), International Paper (forestry), American Forest & Paper Association (forestry), Corporate Council on Africa (regional expertise), Food and Agriculture Organization of the U.N. (agriculture), and U.N. Foundation (forests, cook-stoves, health, gender issues). As well, the countries chosen for the establishment of conservation caucus were countries in which ICCF had pre-existing relationships at the highest political level. This ensured optimal conditions to ensure the potential success of the caucuses. Specifically, the pre-existing relationships with key legislators ensured the buy-in, ownership and engagement with the conservation caucuses. It is important to note that with the support of key legislators, establishment of the caucuses was easier. However, because the conservation caucuses were instrumental in catalyzing new conservation legislation in a few countries, it is not necessarily the case that pre-existing support would have resulted in the same legislative successes. As explained throughout this report, the conservation caucus model was very new to all the of the eight project countries. The concept of multi-partisan collaboration was very novel and where the caucuses were successful such as Colombia and Kenya, there is enough evidence to demonstrate that the caucuses were instrumental in achieving legislative success where previous efforts had failed.

238. Fourth, counterpart resources (in the form of co-financing, staff and facilities) were in place since this is indeed a major component of every GEF project.

239. Fifth, adequate project management arrangements were put in place, albeit despite delay in commencing project activities until the right project coordinator with the appropriate skill set could be found and hired. It should be noted that the departure of the project coordinator in March 2013 created the risk that roles would become less clear, that responsibility for the project would be diffused among remaining staff and that institutional knowledge would be lost. That risk was partially mitigated by assigning ICCF's foundation relations director to take on grant management responsibilities and with ICCF's President and Senior Advisor providing more overall direction to the project.
240. Sixth, lessons from other relevant projects were incorporated in the project design, especially as regards monitoring and evaluation, since it was assumed that monitoring and evaluation would be particularly challenging for a project of this type (i.e. one that focused on building the capacity of legislators in order to improve the enabling conditions for conservation and natural resource management). Indeed, project design and the choice of partners were a conscious effort on the part of the GEF to ensure that the project would help to create more conducive enabling environments for the development of effective environmental policy. In this regard, the development of conservation caucuses was most certainly a step in this direction. The concept of multi-partisan conservation caucuses was previously unknown in the 8 project countries and in those countries where ICCF was best able to engage (i.e. Colombia and Kenya), as described previously.

4.5.2 Project implementation and management (Highly satisfactory)

241. The institutional framework of the project was characterized by UNEP acting as GEF Implementing Agency and ICCF providing overall management and oversight of the project. The Project Oversight Committee was comprised of representatives from: GEF Secretariat, UNEP-RONA, UNEP-GEF and ICCF. In general, the Steering Committee was effective in the quality of its advice and strategic direction. However, it was difficult at times to convene meetings of the Steering Committee, especially with regards to the GEFSEC representation.
242. Project implementation and management were highly satisfactory for the following reasons. First, project implementation mechanisms took the form of the Project Oversight Committee, which was set up at the start of the project. POC members included representatives from the GEF Secretariat, UNEP-RONA, UNEP-GEF and ICCF. The Committee decided because of the short duration of the project that oversight should be carried out frequently. The POC therefore met on a quarterly basis in order to provide strategic guidance and adaptive management support.
243. Second, the project management team responded efficiently and effectively with the operational and institutional problems that arose during the course of the project. For example, CCN was very pragmatic about the choice of countries in which to establish caucuses. If it appeared unlikely that CCN would be successful in establishing a caucus in a certain country, it decided swiftly to move on in search of another country in which they would stand a greater chance of success. Another problem that was efficiently overcome was the loss of the Project Coordinator in March 2013. His departure created certain risks that were mitigated promptly by ICCF with both its President and Senior Advisor providing more overall direction to the project.
244. Third, sufficient and timely financial resources were available to the project and its partners, as supported by the application of proper standards. One of the constraints that arose in terms of the project's budget were the narrow budget lines, which prevented resources from being shifted

as and where needed. CCN staff felt that the budget and work plan, which laid out specific activities in specific countries at specific times, were not sufficiently flexible to allow them to respond to new opportunities and changing political situations and nuance. At the same time, the level of effort and lead-time required to gain approval to modify the work plan was burdensome for their small staff. Therefore, in the future, they would endeavour to design the project and work plan (of course in full cooperation with the Project Oversight Committee) in a way that will allow more flexibility in choosing the best method to achieve targeted results.

245. On a related note, the most resource-intensive activity was the establishment and maintenance of the caucuses, notably in terms of staff travel. Frequent meetings with policymakers and facilitating meetings between policymakers and stakeholders were critical to building and supporting caucuses. In the future, it is important to ensure adequate budgeting for expenses related to staff travel, working lunches and dinners for groups of people, and high-profile events. Other suggestions would include using staff in UNEP regional offices or being more cost-effective in regards to where and how to organise their meetings.
246. Fourth, the co-financing did materialise as expected at project approval. Co-financing was available for all necessary activities as and when required, however the level of co-financing varied slightly as compared to the original budget breakdown (i.e., sometimes more in-kind than cash, or vice-versa for a given line item).
247. Table 8 below provides a breakdown of final actual costs and co-financing for the different project outcomes. Fifth, the project leveraged additional in-kind resources since inception. For example United States Congressman and member of the US Senate Foreign Affairs Committee Connie Mack spent over 1/3 of his time travelling to Colombia and key caucus countries in Africa. His engagement was critical to the achievement of the project outcomes. Indeed the amount of time that he invested in the project could not have possibly been reflected in the budget since hiring someone of his caliber would have cost anywhere between USD 600,000 to 800,000. Similarly the work of ICCF Chair David Barron and President John Gantt in opening channels of communication with political leaders and key representatives of the private sector.
248. As well, working with GLOBE (in the Rio+20 anchor events) and with key private sector donors enabled CCN to leverage additional resources, especially in countries such as Colombia where private sector support has been critical for the continuation of that country's conservation caucus. A key lesson for CCN is the importance of building caucuses with support from the corporate and NGO sectors. This will have the added benefit of laying the groundwork for our exit strategy early, in that we will also be building a base of financial support for a caucus secretariat from the beginning.
249. One key lesson that emerged for CCN with regard to project management, was the importance of allocating sufficient time on the part of the project manager to actually managing and monitoring the project and as opposed to substantively directing the project. In hindsight, it had become evident that the day-to-day management of the project was considerably higher than originally expected in part because of the necessity of the project manager to handle grant management in addition to leading project strategy and execution.

4.5.3 Stakeholder participation and public awareness (Highly satisfactory)

250. The project was highly successful in terms of its stakeholder participation. Primary stakeholders are parliamentarians and legislators of the nations of the CCN (currently 30); the private sector (including businesses and industries affected by environmental legislation, such as forestry, mining, and agriculture); and global and regional NGOs (including CCN partner organizations). The Project Document outlines the scope of the stakeholders that CCN engaged with (Section 2.5 Stakeholder Mapping).¹⁰

251. It should be noted that CCN's project did not have a public awareness component per se since the awareness raising activities were directed towards the project beneficiaries, notably the legislators. However, their website does provide useful links to project activities such as the congressional briefings, the inter-parliamentary dialogues and latest news related to conservation legislative reform efforts. ICCF participated and/or led approximately six congressional briefings related to the project in the US Congress.

252. As regards stakeholder engagement in project design and implementation, CCN regularly coordinated with CCN member nations to determine areas of interest for informative briefing and event topics. In turn, CCN would consult with subject-matter experts regarding their interest, expertise, and potential participation in informative briefings and events relating to topics identified by CCN member nations.

253. These approaches were appropriate given the project's objectives to provide global parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management. One key lesson learned for CCN was the importance of seeking as much political guidance as possible from senior legislators in the countries where caucuses are being established. This ensures that sufficient buy-in has been obtained and that caucus building plans are executed as efficiently as possible.

254. To provide an example of the level of stakeholder engagement, at the Kenya thematic programme in 2012, there were 23 NGOs, 13 corporate representatives, 21 MPs from 6 countries and 9 Embassy representatives.

4.5.4 Country ownership and driven-ness (Moderately Satisfactory)

255. This project focused on the legislative branch of governments and less so on the executive branches. In that light, the project did not involve activities focused on other branches of government, such as the executive branch. However, in countries such as Tanzania, CCN outreach to the highest levels of government, notably the President himself, proved very fruitful in terms of

¹⁰ According to Section 2.5 of the Project Document (Stakeholder Mapping and Analysis) ICCF corporate and NGO partners (listed fully in Section 2.1) served as a brain trust and were faculty/educators for briefings, missions, and hub programs. NGO partners such as Conservation International, The Nature Conservancy, Wildlife Conservation Society, World Wildlife Fund, and Rainforest Alliance who contributed expert presenters and on-the-ground program access. Corporate partners included: Starbucks (agriculture), Unilever (agriculture), JPMorgan Chase (green financing, wealth management, economic development), Coca-Cola (water), Abbott (health/water), International Paper (forestry), American Forest & Paper Association (forestry), Corporate Council on Africa (regional expertise), Food and Agriculture Organization of the U.N.

elevating the importance of stiffer penalties for poaching. In countries where the conservation caucuses have been most successful such as Colombia and Kenya, it is likely that as the governments in those countries come to understand the genuine benefits of multi-partisan conservation caucuses, that they will provide increasing support to the caucus activities.

256. As observed by CCN, it was never foreseen by the project that the executive branches would be expected to provide concrete support to the caucuses. In their experience, the conservation caucuses stand a far better chance of success if they are supported not by the executive branch per se, but rather by a credible outside organisation, which can serve as a secretariat and help to build a strong base of stakeholders in the private sector and NGO community, while engaging all parties in a series of activities that goes in line with the policy agenda as set by the caucus co-chairs.¹¹
257. Notwithstanding the afore-mentioned, as far as ownership on the part of the project stakeholders is concerned (i.e. the legislators), in general they have expressed considerable interest (as reflected in caucus assessments that have only been provided for Kenya and Colombia) in continuing caucus activities. CCN continues to work with ICCF to develop regional affiliates—one in Kenya and one in Colombia—that would serve as secretariats to these two strong caucuses and eventually offer support to other caucuses in their respective regions. Budgets and work plans have been developed, but funding is needed.
258. The Zambian caucus was motivated to create their own secretariat with dedicated staff within the Parliament, demonstrating those leaders' strong political will and desire for the caucus to succeed. It also demonstrates that the success of the caucus ultimately depends on the people who are behind it and their real desire to learn. Although this "internal secretariat" model is working in Zambia, CCN believes that it is fragile and susceptible to political change.
259. While the level of ownership of the Colombian, Kenyan and Zambian caucuses is quite clear, it has been CCN's experience that most countries require intensive support from CCN in order to nurture a more durable sense of ownership that would allow project results to be sustained.

4.5.5 Financial planning and management [Satisfactory]

260. Overall project financial planning and management was satisfactory. One of the only challenges was the narrowly defined budget lines which made it difficult for project management to re-allocate resources where changed circumstances may have so required (especially as regards the need for more travel than was originally anticipated). According to CCN's Terminal Report, "the budget and workplan, which laid out specific activities in specific countries at specific times, were not sufficiently flexible to allow us to respond to new opportunities and changing political situations and nuance; at the same time, the level of effort and lead time required to gain approval to modify the work plan was burdensome for our small staff". They emphasised the need to design the project and workplan in a way that will allow more flexibility in choosing the best method to achieve our targeted results.
261. Cash advances were released to the Executing Partner – International Conservation Caucus Foundation (ICCF) - in a timely manner on the basis of requests received and submission of acceptable financial reports of previous cash advances. As of the time of conducting this terminal evaluation, all financial reports as well as co-financing reports had been received by the UNEP

¹¹ www.youtube.com/user/ICCFoundation/videos

fund managers. However, the audited financial report has not yet been finalised. Upon receipt of which UNEP will release the final cash advance, i.e. 5% of the approved budget. This final cash would essentially be a reimbursement for expenses incurred by ICCF.

As of 31st August 2013, the cumulative expenditures on the GEF component of the project amounted to USD 853, 249.29 against the total approved budget [GEF component] of USD 909,071, representing a delivery rate of 93.8%. Since the delivery rate was below 100% of the approved budget, it is plausible to assume, *ceteris paribus*, that adequate funds were available to the project and its partners. Regarding co-financing resources total of USD 1,348,091.68 out of the budgeted (targeted) amount of USD 1,437,712, approximately 94 percent, was mobilised and reported on as having been utilised in furtherance of project objectives.

262. As of the time of carrying out this terminal evaluation, the executing agency had prepared the financial reports, at regular intervals (semi-annually) as outlined in the Project Document. The ICCF had also prepared the co-financing reports, as outlined in the Project Document. The executing agency (ICCF) however, is due to prepare and submit a financial audit report, which according to the Project document, was supposed to be prepared and submitted 6 months after project completion (the project ended on 31st August 2013).

263. The dynamic nature of the project activities and project implementation context necessitated many project and budget revisions, which were effected in consultation and with the written approval of the Project Implementing Agency – UNEP. In 2013, two amendments to the Project Cooperation Agreement (PCA) were effected – one dated 27th June 2013 and the other 9th July 2013. The essence of these revisions was to grant a no-cost extension to the project from an initial 18 month period covering July 2011 to December 2012 to a 26 month period ending August 2013 for the technical implementation component and to a 31 month period ending February 2014 for legal component to allow for receipt of final technical and financial reports. Although the evaluation team learnt that these revisions were agreed upon, in principle, before the expiry of the project period, they were however, effected retroactively after the lapse of the [initial] project period and just before the completion of the project in August 2013. The evaluation team recommends that in future, it may be useful for project executing and implementation agencies, in addition to keeping any revisions to a project to a minimum, to consider effecting any project revisions prior to the expiry of the [initial] project duration in order to ensure a legal shield for and unhindered implementation of project activities.

264. Resource reallocations among budget lines were also effected as part of the project revisions to cater for revised activities and their associated budgetary requirements. While it is understood that these were effected within the overall framework of the referred project revisions and in response to the changing project context, the fact that these were done retroactively, at the tail end of the project, would ordinarily raise questions with regards to overall fiduciary management of the project and the effectiveness of the project oversight and backstopping functions. The evaluation team recommends that in future any budget revisions/reallocations be done and approved prospectively and during the project implementation phase and not retroactively.

265. In terms of project co-financing, the evaluation team reviewed the budget revision of 26th March 2013. The following table gives a breakdown of the final planned activities and their associated costs, from GEF component and co-financing sources, for the different project components as at 26 March 2013 (refer budget revision of 26 March 2013) (see Table 8).

Table 8: Planned GEF and Co-Finance in March 2013

	GEF Funding	Cofinance 1	Cofinance 2	Cofinance 3	Cofinance 4	Cofinance 5	Cofinance 6	Total	Total cash	Total in kind
		ICCF (cash)	In-kind (ICCF)	Cash (USFWS)	<i>In-kind (Advisory Council & Other Partners)</i>	In kind (Hogan & Lovells)	In-kind UNEP			
Project Personnel	572 918.00	46 900.00	166 062.00	0.00	0.00	0.00	20 000.00	805 880.00	46 900.00	166 062.00
Consultants	145.00	0.00	40 750.00	0.00	0.00	0.00	0.00	40 895.00	0.00	40 750.00
Administrative Support	0.00	0.00	42 900.00	0.00	0.00	0.00	0.00	42 900.00	0.00	42 900.00
Travel on official business	99 000.00	12 000.00	0.00	0.00	0.00	0.00	0.00	111 000.00	12 000.00	0.00
Sub- Contracts	0.00	0.00	0.00	0.00	115 000.00	25 000	0.00	140 000.00	0.00	140 000.00
Sub- contracts (private)										0.00
Accounting/Auditing	35 000.00	17 500.00						52 500.00	17 500.00	0.00
Group	10 800.00	50 000.00	0.00	0.00	0.00	0.00	0.00	60 800.00	50 000.00	0.00

Training (educational briefings)										
Meetings/Conferences	146 208.00	386 000.00	233 200.00	50 000.00	0.00	0.00	0.00	815 408.00	436 000.00	233 200.00
Expendable Equipment	0.00	16 500.00	0.00	0.00	90 000.00	0.00	0.00	106 500.00	16 500.00	90 000.00
Premises (office rent, maintenance of premises)	0.00	83 400.00	0.00	0.00	0.00	0.00	0.00	83 400.00	83 400.00	0.00
Miscellaneous	45 000.00	35 750.00	6 750.00	0.00	0.00	0.00	0.00	87 500.00	35 750.00	6 750.00
GRAND TOTAL	909 071.00	648 050.00	489 662.00	50 000.00	205 000.00	25 000	20 000.00	2 346 783.00	698 050.00	719 662.00

At the end of the project, as of 31st August 2013, the actual expenditures, for both the GEF and co-financing components of the project funds were as reflected in Table 9 below.

Table 9. Expenditures as of August 2013 (All figures in US \$)

Activity Category	GEF Funding	Total Co- financing	Grand total
Project Personnel	629,105	368,713	997,818
Consultants	12,745	54,762	67,507
Sub-contracts		124,000	124,000
Travel on official business	59,130.05	214,571	273,701.05
Accounting/Auditin g	21,971.67		21,971.67
Group Training/Education al Briefings	12,428.92		12,428.92
Meetings/Conferen ces	117,879.16	485,360	603,239.16
Equipment		85,401	85,401
Miscellaneous		15,284.00	15,284
GRAND TOTAL	853,249	1,348,091. 68	2,201,340.68

266. In terms of project co-financing, In terms of project co-financing, a total of USD 1,187,050 was confirmed as being available at the time of signing the project document against GEF funding of USD 909,071. The budget revision of 26th March 2013 however, shows that the project had expected to mobilise a total co-financing amount of USD 1,437,712 including an in kind amount of USD 20,000 from UNEP. Out of the co-financing budget of 1,437,712, a total of USD 1,348,091.68 was realised and reported in the co-financing reports availed by the executing agency. Although the advisory council members did not report the financial value of their in-kind contributions, CCN staff have documented in their co-financing report their extensive participation in the project, which, had it been quantified, would have increased the reported co-financing significantly.
267. Although the final financial audit report is still awaited, the financial reports (of the GEF component) submitted by the Executing agency were generally in line with the approved budget items and were approved by the Task Manager and cleared by the Fund managers prior to being posted in the UNEP financial management system. Based on this, it is plausible to assume that, barring any irregularities that may be picked up during the financial audit process, proper financial standards were applied during the project lifespan.

4.5.6 UNEP supervision and backstopping (Highly satisfactory)

268. Overall UNEP supervision and backstopping were highly satisfactory. The evaluation team conducted four separate interviews with the UNEP Task Manager and was extremely impressed with her level of engagement and commitment to ensuring the project's overall impact.
269. According to the CCN project team, project supervision was consistent and extremely helpful. Project supervision was provided by the Project Oversight Committee (POC), which as described above, met quarterly in light of the short duration of the project. The POC provided important strategic guidance to the project management team. Over the course of the project, a good rapport and mutual trust was developed between the POC and the project management team. The UNEP Task Manager was highly regarded by the project management team. Other UNEP and GEF officials such as Ibrahim Thiaw, Gustavo Fonseca and Monique Barbu also provided valuable feedback.
270. Second, there was a strong emphasis given to outcome monitoring. However, because of the different nature of this project relative to most other GEF projects, both the POC and project management team recognized the challenges of quantifying results, which were of a primarily qualitative nature i.e. the forging of new relationships, new processes of dialogue, and new approaches to law-making.
271. Nevertheless, detailed surveys were undertaken for key activities such as the educational briefings, anchor events, thematic events and mentorship exchanges. All CCN members countries that attended these events were asked to describe the various benefits derived from the events. Considerable efforts were undertaken to develop post-event surveys. However there were concerns that the methods were limited in securing candid responses from the participants. Moreover, since there are different types of participants engaged in the various project activities, it is difficult to compare and contrast the answers provided in a meaningful way, let alone apply a quantitative process of evaluation.

272. Perhaps in a few years to come, it will be easier to develop a quantitative approach for monitoring the project's results (i.e. the volume of new legislation adopted, which actually was tabled by the caucuses themselves). However, at this point, it has proven difficult to numerically measure the impact of new relationships in the form of the conservation caucuses.
273. Third, project reporting and ratings were realistic and an accurate reflection of the project realities. The Task Manager made a point of speaking in advance with the project management team if there were issues of concern. In addition, the project supervision documents were of good quality and the financial, administrative and other fiduciary aspects of project implementation supervision were also adequate.
274. In addition to the UNEP Task Manager, other UNEP Technical and Managerial Staff were engaged (as documented in Annex 6 of the Terminal Report). Examples include the Regional Examples include the Regional Thematic Event in August held in South Africa which featured participation by Cecilia Njenga, UNEP Regional Programme Coordinator – South Africa, and at the Interparliamentary Summit held in August 2012 in Nairobi Kenya which featured: Neville Ash, Chief, Biodiversity and Ecosystem Services. Branch; and Mohamed Sessay, Chief, GEF Biodiversity/Land Degradation/Biosafety Unit. Events in New York and Rio+20 featured participation by Ibrahim Thiaw, now Deputy Executive Director of UNEP, formerly the Director of the Division of Environmental Policy Implementation. Likewise the Director of UNEP's Regional Office for North America, Amy Fraenkel participated in a number of DC based events related to the project.

4.5.7 Monitoring and evaluation (Satisfactory)

275. Overall, the monitoring and evaluation of the project is rated as satisfactory.

M and E Design [Satisfactory]

276. An M and E Plan which outlines the roles of the Project Management and Project Coordinator vis-a-vis project monitoring as well as the periodicity of reporting and reporting relationships between the project and UNEP is contained in Appendix 6 of the Project Document. There was however, no planned project (mid-term) evaluation since the [initial] envisaged project period of 18 months was considered too short for such an exercise. As such only one terminal evaluation was planned.
277. The Project Log Frame clearly articulated the strategic objective of the project, outcomes and outputs, objectively verifiable indicators, means of verification and assumptions. However, it did not clearly outline the potential pathway through which the project activities would translate into the intermediate results and the desired impact. This lack of clarity of the envisaged change pathway (Theory of Change) seems to have affected the monitoring of and importantly, reporting on project progress in terms of linking any noted progress to outcomes, intermediate results and ultimately the desired impact. The establishment of such a linkage and continuous monitoring of progress, benchmarked against a clearly established and universally agreed upon Theory of Change, would have kept the focus of the project and greatly influenced any revisions to the project. The evaluation team therefore had to reconstruct the Project's Theory of Change on the basis of the Project Log Frame and Results Framework contained in the Project Document (Appendix 3 of the Project Document). This reconstruction of the Theory of Change involved reworking/reformulating the entire results chain from outputs to outcomes and intermediate results and impact. The reconstructed TOC formed the basis of this terminal evaluation. It is recommended that future projects should be founded on sound and clearly articulated Theory of

Change and that monitoring and evaluation activities should be based on and informed by a detailed Theory of Change analysis.

278. The choice and SMART-ness of indicators for each of the project results/objectives – outputs, outcomes and impact-, with clearly articulated baselines and targets for each indicator, is critical for effective monitoring and evaluation of the project. A review of the indicators reveals that they were largely not SMART, perhaps due to the nature of project outcomes. In particular, they were not time-bound. Significant efforts were made however to create proxy indicators in response to these challenges. The baselines and targets also appear to have been developed on the basis of mere assumptions of the existing situation and not informed by research, analysis and concrete data and information. This is an area that will require greater attention in the future with increasingly more time and financial resources being dedicated to evolution of indicators, with corresponding baselines and targets, for each level of results. Regarding baseline data and information, it will be necessary to collect more baseline data and information on the basis of a clearly defined methodology and/or consultation process and not derive these on the basis of mere simplistic assumptions. It should be noted proxy indicators were elaborated early in the project to attempt to measure hard to measure outcomes. This is documented in several POC meeting minutes and the capacity scorecard indicators themselves. I would also draw attention to the official GEF Cross Cutting Capacity Development Results Framework which served to guide the project design and indicators.

279. Another key point is that the M and E plan also did not adequately articulate the role of project beneficiaries such as the national conservation caucuses. Project beneficiaries should, as a standard practice, be involved in the evolution of baseline information and targets and importantly, continuous monitoring of progress towards results. Their role as well mechanisms for their continuous engagement should be clearly articulated in the project document.

280. The first project coordinator was selected on the basis of his M&E experience after rejection of several candidates who did not have sufficient M&E background.

Budgeting and Funding for M and E [Satisfactory]

281. Monitoring and Evaluation is an integral part of project management. Appendix 6 of the Project Document contains the M and E Plan. Adequate budgetary provision was however, made for the final evaluation exercise.

M and E Implementation [Satisfactory]

282. The foregoing notwithstanding, detailed activity progress reports were prepared by the project executing agency as per the project M and E plan. These reports include, but are not limited to the Project Implementation Reports (PIRs) covering the following time periods: July 1 – December 31 2011; July 1 2011 to June 30 2012; July 1 to December 31st 2012; and 1 July 2012 to 30 June 2013 and form the basis of any revisions and or amendments made to the project in response to the ever-changing and dynamic nature of the project environment. These reports, together with mission and workshop reports as well as reports of project oversight committee meetings, document progress with respect to implementation of project activities, challenges faced and some of the planned remedial actions. The reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees. They however, do not adequately link

these to the overall [intended] impact of the project. Overall, the monitoring and evaluation of the project is rated as satisfactory.

M and E Design [Moderately Satisfactory]

283. An M and E Plan which outlines the roles of the Project Management and Project Coordinator vis-a-vis project monitoring as well as the periodicity of reporting and reporting relationships between the project and UNEP is contained in Appendix 6 of the Project Document. There was however, no planned project (mid-term) evaluation since the [initial] envisaged project period of 18 months was considered too short for such an exercise. As such only one terminal evaluation was planned.

284. The Project Log Frame clearly articulated the strategic objective of the project, outcomes and outputs, objectively verifiable indicators, means of verification and assumptions. However, it did not clearly outline the potential pathway through which the project activities would translate into the intermediate results and the desired impact. This lack of clarity of the envisaged change pathway (Theory of Change) seems to have affected the monitoring of and importantly, reporting on project progress in terms of linking any noted progress to intermediate results and ultimately the desired impact. The establishment of such a linkage and continuous monitoring of progress, benchmarked against a clearly established and universally agreed upon Theory of Change, would have kept the focus of the project and greatly influenced any revisions to the project. The evaluation team therefore had to reconstruct the Project's Theory of Change on the basis of the Project Log Frame and Results Framework contained in the Project Document (Appendix 3 of the Project Document). The reconstructed TOC therefore forms the basis of this terminal evaluation. It is recommended that future projects should be founded on a sound and clearly articulated Theory of Change and that monitoring and evaluation activities should be based on and informed by a detailed Theory of Change analysis.

285. The choice and SMART-ness of indicators for each of the project results/objectives – outputs, outcomes and impact-, with clearly articulated baselines and targets for each indicator, is critical for effective monitoring and evaluation of the project. A review of the indicators reveals that they were largely not SMART, perhaps due to the nature of project outcomes. In particular they were not time-bound. Significant efforts were made however to create proxy indicators in response to these challenges. Proxy indicators were elaborated early in the project to attempt to measure hard to measure outcomes. This is documented in several POC meeting minutes and the capacity scorecard indicators themselves. The official GEF Cross Cutting Capacity Development Results Framework served to guide the project design and indicators. [See page 106-107:

http://www.thegef.org/gef/sites/thegef.org/files/documents/document/GEF-5_Capacity_strategy.pdf

286. This is an area that will require greater attention in the future with increasingly more time and financial resources being dedicated to evolution of indicators for each level of results. Additionally, it will be necessary to collect more baseline data and information on the basis of a clearly defined methodology and/or consultation process and not derive these on the basis of mere simplistic assumptions.

287. Another key point is that the M and E plan also did not adequately articulate the role of project beneficiaries such as the national conservation caucuses. Project beneficiaries should, as a standard practice, be involved in the continuous monitoring of progress. Their role as well mechanisms for their continuous engagement should be clearly articulated in the project document.

Budgeting and Funding for M and E [Satisfactory]

288. The M and E Plan contained in the Project Document and the project budget did not make budgetary allocations for monitoring activities. However, budgetary provision was made for the final evaluation exercise.

4.5.8 Complementarity with UNEP strategies and programmes [Satisfactory]

Links to UNEP's Expected Accomplishments

289. When initially designed, the project was specifically linked to the sub-programme C (Ecosystem management) and sub-programme D (Environmental governance) as outlined in the UNEP Medium-term Strategy (2010-2013). The twenty sixth session of UNEP Governing Council approved the budget and programme of work for the biennium 2012 -2013 which outlines the following six sub-programmes of UNEP's work programme for this period: climate change; disasters and conflicts; ecosystem management; environmental governance; harmful substances and hazardous waste; and resource efficiency and sustainable consumption and production. In terms of direct and singular linkage with a specific sub-programme however, the evaluation team is of the opinion that the project under review, while complementary to many of the above mentioned sub-programmes (of work) is directly linked and contributes to the sub-programme on environmental governance.

290. As regards sub-programme D, the project's overall strategic objective of providing parliamentarians with relevant resources, helping CCN partner countries commit to natural resource management and conservation goals and practices, notably through strengthened policy and legislation and generally mainstreaming sustainability all relate directly to strategic direction D's expected accomplishments, notably (b) States implement their environmental obligations, (c) national development processes mainstream environmental sustainability in their implementation and (d) national and international stakeholders have access to sound science and policy advice for decision making.

291. The objective of sub-programme D, is being coordinated by the Division of Environmental Law and Conventions although at the time of its development and throughout its implementation, the project has been coordinated by the Division of Environmental Policy Implementation (DEPI), is to ensure that environmental governance at the country, regional and global levels is strengthened to address agreed environmental priorities..

Bali Strategic Plan

292. The Bali Strategic Plan for Technology Support and Capacity-building represents a significant evolution in the role and mandate of UNEP, requiring the organisation to become increasingly responsive to country needs. Of the ten objectives in the Plan, the CCN project contributes to the following:

- (a) To strengthen the capacity of governments of developing countries and countries in transition (especially as regards the compliance with international environmental agreements, the achievement of environmental goals, targets and objectives, and in the establishment of infrastructure for environmental management);
- (f) To enable collaboration with all relevant stakeholders and provide a basis for a comprehensive approach to developing partnerships;

- (g) To emphasise the identification and dissemination of best practices and the fostering of entrepreneurship and partnerships;

Component 1 (Collaboration and Commitment) contributes to goals (a), while *Component 2 (Capacity Building and Exchanges)* contributes to goals (a), (f) and (g) and *Component 3 (International Parliamentary Conservation Caucus Building & Mentoring)* contributes to goals (a) and (f).

South-South Cooperation

293. South-south cooperation is regarded as the exchange of resources, technology and knowledge between developing countries. One of the most important examples of south-south cooperation in the CCN project is indeed the informal exchanges that were cultivated between legislators from the eight conservation caucus countries at the CCN anchor events and thematic events. These exchanges have facilitated the sharing of best practices in the area of conservation law-making, especially in the poaching sector.

5 Conclusions, Lessons Learned and Recommendations

294. On the basis of the analysis of the achievements of outputs, outcomes and the intermediate states, it is clear that there is a high likelihood that the project's strategic objective of education and capacity development and indeed the overarching impact of actually improving conservation and good natural resource management are being met and will continue to be met if additional resources can be mobilised for the conservation caucuses. It is important to highlight however that the level to which objectives and impact have been met vary according to the eight project countries. Where CCN has been able to engage extensively on the ground, as in Colombia and Kenya, it is evident that the project has contributed to higher levels of awareness, more dialogue, new forms of collaboration and indeed new conservation legislation being tabled.
295. As a new paradigm for conservation, the caucuses have forged new forms of cooperation, building multi-partisan collaboration around issues of conservation and natural resource management. Once again, this has been more evident in the countries in which CCN has been able to engage more significantly.
296. In general, the CCN project has been well-received by the project beneficiaries and key stakeholders. There has been a notably high level of enthusiasm among the legislators who have not only joined the caucuses but have played leadership roles in advancing the conservation debate within their legislatures. This was particularly reflected in the successes in Kenya and Colombia, where the project team was able to engage in regular face-to-face meetings with caucus leaders and policymakers and to maintain a regular presence on the ground to facilitate meetings between the policymakers and key stakeholders. These efforts were critical to building and supporting the caucuses in Kenya and Colombia, and also to promoting concrete legislative reform efforts.
297. Difficulties in reaching out directly to them were mitigated partially by written responses submitted by a very small number of actors., It is essential that the CCN provide the evaluation

team with additional evidence as indicated throughout this report, if indeed they would like to improve the overall rating.

298. Thus far, the evaluation team has been impressed with the overall project results and performance. There are few weaknesses that bear mention. However, it should be noted that budget constraints limited the number of missions possible to the project countries. This was problematic since according to the project management team, systematic and regular engagement on the ground with the caucuses was very important to ensuring the longer-term sustainability and impact of the caucuses.

299. There is a high level of expertise in Nairobi (i.e. DELC office) that the project did in fact rely on, with Nairobi-based supervisor Mohamed Sessay, Chief, GEF Biodiversity/Land Degradation/Biodiversity Unit engaged in the project as were other UNEP staff based in Kenya, South Africa and the United States.

300. In this final section, there are three important components. These include the final rating table, the master table summarising conclusions, lessons learned and recommendations, as well as an additional table that summarises brief answers to the six fundamental questions that the terminal evaluation has endeavoured to address.

Table 9 Project rating table

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project was highly satisfactory in terms of its consistency with sub-regional environmental issues because conservation caucus chairs chose the key themes to be addressed.	HS
B. Achievement of outputs	All outputs were completed, notably increase in CCN membership, establishment of eight conservation caucuses, as well as information briefings, thematic and anchor events.	HS
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	The outcomes were achieved, notably increased awareness, dialogue, collaboration—albeit in certain countries like Kenya and Colombia and less so in other countries where CCN has not yet engaged.	S
2. Likelihood of impact	Notwithstanding the success of the outcomes, the likelihood of overall impact is rendered less likely simply because results were uneven across the eight project countries.	S
3. Achievement of project goal and planned objectives	On the basis of the analysis of the achievement of outputs, outcomes and the three intermediate results, there is a high likelihood that the overall project goal and objectives are being met. However they are being met unevenly in the eight project countries. Moreover, it is unlikely that they can be sustained with out further project support.	S
D. Sustainability and replication		L
1. Financial	The continuation of project results are all dependent in continued financial support.	L
2. Socio-political	The most relevant factor is the election cycle, which means that political stability and changeover of legislators is a constant risk.	L
3. Institutional framework	The continuation of caucus activity depends on continued project support from CCN.	L
4. Environmental	N/A	N/A
5. Catalytic role and replication	The project model i.e. conservation caucuses, is highly replicable considering the interest of legislators, the receptivity of the executive branch, the engagement of stakeholders; the key impact that has been achieved by successful caucuses.	L
E. Efficiency	Cost and time saving measures were frequently implemented and efforts were made to build on other relevant initiatives.	HS
F. Factors affecting project performance		S
1. Preparation and readiness	The capacities of the executive agencies were properly considered and the	HS

	project document was clear and relatively realistic. Partnership arrangements were properly identified, counterpart resources and good project management arrangements were in place	
2. Project implementation and management	The Project Oversight Committee played a very active role. Project team was very responsible to their recommendations, especially in terms of choice of caucus countries.	HS
3. Stakeholders participation and public awareness	The primary stakeholders, i.e. legislators were highly engaged in project design and implementation.	HS
4. Country ownership and driven-ness	The project focused on the legislative branch and not on the executive branch, so country ownership is difficult to assess definitively. However in terms of the ownership by the main project beneficiaries, this depended on the level of engagement that CCN was able to provide in each partner country.	MS
5. Financial planning and management	Funds were released at a delivery rate of 81.3%. The executing agency has not yet prepared financial audit report. The dynamic nature of the project activities required many project and budget revisions, which were effected in full consultation with the Project Oversight Committee. USD 1,348,091.68 out of the budgeted (targeted) amount of USD 1,437,712 of co-financing, approximately 94 percent, was mobilised	S
6. UNEP supervision and backstopping	Project supervision was extremely helpful with a strong emphasis on outcome monitoring. Detailed surveys were undertaken for key activities in light of the difficulties of quantitative analysis.	HS
7. Monitoring and evaluation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees. They however, do not adequately link these to the overall [intended] impact of the project.	S
a. M&E Design	The evaluation team had to reconstruct the Project's Theory of Change on the basis of the Project Log Frame and Results Framework. Proxy indicators were developed to address the challenges of monitoring the sometimes unmeasurable results of such an advocacy support project. M and E plan also did not adequately articulate the role of project beneficiaries such as the national conservation caucuses.	S
b. Budgeting and funding for M&E activities	The M & E plan provided accosted budget.	S
c. M&E plan Implementation	The progress reports provide a detailed account of activities undertaken and how they link, in a general sense, to the expected outputs and intended outcomes of the project in varying degrees. They however, do not adequately link these to the overall [intended] impact of the project.	S
Overall project rating		S

Table 10 Overview of conclusions, lessons learned and recommendations

Evaluation criteria	Conclusions	Lessons learned	Recommendations
<p>Project design</p>	<p>[1]. The fact that the project work plan had to be revised in early 2013—to shift efforts towards deeper engagement with caucuses instead of growing the CCN membership base, reflects a slight flaw in original project design. At the same time, the course correction is an excellent example of effective adaptive management at work.</p> <p>[3] CCN framed a set of important criteria for caucus formation. They agreed early on that they would only set up caucuses in those countries where they had sufficiently strong relationships at the highest political level and where there was a sufficiently compelling environmental issue to address, which could not have been resolved but for a multi-partisan approach.</p>	<p>[1] This course correction reveals one of the most important lessons learned from this project. The project management team learned that it is absolutely critical that caucus-building efforts are directed to those countries where CCN already has traction and potential to amplify interest.</p> <p>[2] The framing of overly ambitious objectives means that outcomes will be not be achievable uniformly across project countries, where there are many country-specific factors at play, which are beyond the scope of the project team.</p> <p>[3] Clear criteria for caucus formation were useful in guiding where and how CCN invested its efforts.</p>	<p>[1] Even though an 18-month project is too short a timeframe to allow for a formal mid-term evaluation, Project Oversight Committees should provide for informal mid-term evaluation to assess whether and what type of course corrections may be needed.</p> <p>[2] If objectives do have to be framed in ambitious terms in order to comply with GEF project document requirements, than CCN should consider adapting project objectives to country-specific country factors. This will require more in-country research at the project document preparation phase.</p> <p>[3] In future caucus building efforts, CCN should continue to direct its efforts to those countries where they have demonstrated potential to engage deeply. They should articulate concrete caucus establishment criteria so that legislators who are interested in creating caucus will be able to assess whether the framework conditions in their countries are sufficiently conducive to caucus formation.</p>

Evaluation criteria	Conclusions	Lessons learned	Recommendations
Strategic relevance	<p>[1] The selection of seasoned legislators with strong environmental records as caucus co-chairs ensured that the most relevant issues were addressed by the caucuses.</p> <p>[2] The project objective was considered realistic relative to the project budget and time frame and expertise and experience of the project management team. Nevertheless, it became clear that the aim of setting up eight functioning caucuses would be very challenging within the short project life.</p>	<p>[1] The choice of project partners is a vital success factor that cannot be underestimated.</p> <p>[2] A 2-year time frame is a very short period in which to achieve ambitious objectives such as the establishment of multi-partisan caucuses and demonstrated change in behaviour in the form of new legislation.</p>	<p>[1] If GEF chooses to finance the formation of additional conservation caucuses, sufficient time and resources should be allocated to enable the project team to find the best equipped legislators to chair the conservation caucuses. Where possible, they should examine the environmental voting records and should consult with national conservation NGOs to assess eligibility.</p> <p>[2] Should the GEF finance another round of conservation caucuses, either the timeframe should be extended or the number of caucuses should be reduced.</p>
Achievement of outputs and activities	<p>[1] Success factors behind the achievement of outputs related in large part to the time and energy invested by the project team at the design stage and to the extensive consultations with legislators to ensure the suitability of project activities.</p>	<p>[1] In capacity building projects such as this one, systematic and regular engagement on the ground helps to ensure the longer-term durability of project results. CCN learned that in Colombia that their physical presence, persistence, and broad involvement of stakeholders, impressed the policymakers and gave them more credibility. This intense engagement achieved better—and quicker—results than what was experienced in countries where they conducted more sporadic visits and programs and could not feasibly sustain a presence.</p>	<p>[1] in the design of future related activities, CCN should plan for sufficient budgetary allocation to allow for on-the- ground engagement.</p>

Evaluation criteria	Conclusions	Lessons learned	Recommendations
Effectiveness	<p>[1] The conservation caucus is a new paradigm that has been successful stimulating cross-party dialogue on the key issues. The co-chairs have come to understand the value in multi-partisanship in the conservation legislative process.</p> <p>[2] The project generated a number of important examples of behavioural change in the form of new legislation, new dialogue, and new forms of cooperation. The project involved a wide range of activities ranging from parliamentary exchanges, thematic programmes, anchor events, and informational briefings. It is difficult to identify which of the project activities were most effective in generating behavioural change.</p> <p>[3] The substantive expertise that CCN made accessible to legislators helped them to underpinned their reform efforts i.e. Kenya Wildlife Bill and Colombia sustainable agriculture and mining reform.</p> <p>[4] ICCF's lack of political agenda made it a trusted partner in the eyes of the legislative leaders.</p> <p>[5] The issue of attribution is a very complex challenge. It is difficult to attribute with exact precision, the extent to which CCN project</p>	<p>[1]. Because of the ICCF's experience with multi-partisan caucus building in the United States, they were able to bring considerable experience to the very new and often-delicate process of caucus-building in the 8 partner countries.</p> <p>[2] It was the combination of many different types of project activities, which helped to generate behavioural change in the two countries (Colombia and Kenya) where CCN engaged. In their own experience, the peer-to-peer meetings were particularly instrumental in motivating parliamentarians to create caucuses, and in helping them determine caucus priorities and work effectively within them to accomplish their goals.</p> <p>[3] ICCF's brain trust model provided legislators beneficiaries with access to expertise that they would otherwise not be able to obtain.</p> <p>[4] Neutrality on the part of the project management team is key in building trust with legislative actors and key stakeholders, who themselves have political agendas to advance.</p> <p>[5] It is vital to have better access to the key stakeholders who can provide independent verification of the value-added contribution of CCN's work. This will help to assess attribution and will help to evaluate difficult to measure results.</p> <p>[6] It is too soon after the end of the project to assess whether new legislation, policies and programmes that may have resulted from the</p>	<p>[5] In designing the next phase, the project team should further refine its proxy indicators to assist future evaluators in evaluating results that may be difficult to measure in conventional terms and especially where project results are meant to achieve global environmental benefits that are difficult to measure precisely.</p> <p>[2] Project staff should compare and contrast the relative merits of the CCN and GLOBE results to assess which project activities are better suited to parliamentary capacity building.</p>

Evaluation criteria	Conclusions	Lessons learned	Recommendations
	<p>activities actually contributed to improved conservation practices and programmes. However, in the case of the Kenya Wildlife Bill, the conservation co-chairs made it very clear that but for caucus efforts, the bill would have continued to linger in committee.</p> <p>[6] New legislation, policies and strategies are essential to the achievement of the desired impact, but they are not enough. Legislative and policy frameworks must be implemented on the ground if the desired impact is to be achieved. This takes considerable time after the project has finished before implementation can actually be assessed and measured.</p> <p>[7] Successes in Colombia and Kenya are very significant considering the short duration of the project. Caucuses were started from scratch and substantive policy in these select countries was actually effected in this very short time-line, which is often unheard of.</p>	<p>project are actually contributing to the project's larger intended impact. The true measure of success of the legislation adopted may only be manifest several years from the end of the project. Terminal evaluation for projects designed to promote and ultimately adopt legislation should be conducted no sooner than one year after the completion of the project.</p> <p>[7]. Multi country projects such as this will inevitably produce varying degrees of results because of factors that are country-specific and beyond the control of the project team. Modifying project outcomes per country may provide a more meaningful basis for evaluation.</p>	

Evaluation criteria	Conclusions	Lessons learned	Recommendations
Sustainability and replication	<p>[1] Whilst the goal of the project was to create the caucuses, however, the project did not include a robust sustainability plan or an exit strategy for CCN at the outset. CCN is now in the potentially awkward situation of not being able to adequately support all of the new caucuses. The continuation of project results are dependent on continued financial support as well as the institutional support that CCN has been providing.</p> <p>[2] The Kenyan and Colombian caucuses are starting to raise their own funds from the corporate and NGO sectors. This will have the added benefit of laying the groundwork for CCN's exit strategy early on.</p> <p>[3] Colombia and Kenya's affiliate foundation model is a promising model for caucus secretariat support. However it will require additional resources. By contrast, the Zambian caucus was motivated to create their own secretariat with dedicated staff within the Parliament, Although this "internal secretariat" model is working in Zambia, it is fragile and susceptible to political change.</p> <p>[4] Political stability is a constant risk where parliamentarians and legislators are subject to re-election bids on two to four year cycles.</p> <p>[5] Parliamentarians respond with more interest and involvement when they see immediately that the stakeholder groups they represent are also interested in the caucus.</p>	<p>[1] It is important to plan for financial sustainability at the beginning.</p> <p>[2] It is equally important to build caucuses with support from the corporate and NGO sectors to reduce dependency on public finance sources.</p> <p>[3] Strong caucus leadership is important—but so is a strong secretariat to provide the necessary substantive support to the legislators and to maintain institutional memory during electoral turnover.</p> <p>[4] Given that the CCN project interacts with dozens of countries, there are always elections occurring in some country, which can affect CCN's implementation. However, the risk is mitigated by the expansive coverage of CCN in engaging numerous MPs across several parties. It is important for legislative capacity building programmes to work across party lines, to ensure some degree of continuity.</p> <p>[5] In replicating CCN's caucus-building model in other countries, it essential to build support "block by block" among the corporate, government, and civil society sectors, not just within the legislatures.</p>	<p>[1] If the GEF is to renew funding for the establishment of additional caucuses, there should be a clear requirement that the new caucuses mobilise co-financing from NGO and corporate partners to ensure the long-term sustainability of the caucuses.</p>

Evaluation criteria	Conclusions	Lessons learned	Recommendations
Factors affecting performance	<p>[1] The project's budget was too narrowly framed. This prevented the project team from being able to shift resources as and where needed. We found that the budget and work plan, which laid out specific activities in specific countries at specific times, were not sufficiently flexible to allow us to respond to new opportunities and changing political situations and nuance; at the same time, the level of effort and lead time required to gain approval to modify the work plan was burdensome for our small staff. In the future, we need to design the project and our work plan in a way that will allow us more flexibility in choosing the best method to achieve our targeted results.</p> <p>[2] Caucus building is a very resource-intensive activity. The most resource-intensive activity was the establishment and maintenance of the caucuses, notably in terms of staff travel. Frequent meetings with policymakers and facilitating meetings between policymakers and stakeholders were critical to building and supporting caucuses.</p> <p>[3] The Project Oversight Committee played an extremely important and active role in guiding the project team.</p> <p>[4] It is very difficult to both qualitatively and</p>	<p>[1] Narrowly defined budgets will restrict project teams from responding new opportunities and changing political situations. The time and effort required to officially change budget and work plan can also be a drain on the project.</p> <p>[2] When designing caucus building activities, budgets should allow for the extensive work and resources required on the ground that is essential to building durable caucuses. Frequently meeting face-to-face with policymakers and facilitating meetings between policymakers and stakeholders are critical to building and supporting a caucus, and these activities are the very essence of CCN's work.</p> <p>[3] Frequent meetings of the POC were absolutely essential in a project of such a short duration. The Project Oversight Committee can be an extremely valuable resource to help keep the project focused and ensure delivery of the key outputs and outcomes.</p> <p>[4] M&E needs to be built in to each activity, and better qualitative measures are required. Qualitative information would be more useful than a quantitative measure in evaluating project impact.</p> <p>[5] Project management and grant management require dedicated staff. The understanding of the level of effort required to manage a project and grant like this one will enable CCN to better plan for those needs so that program staff is not overly burdened with</p>	<p>[1] Work plans and budgets need built-in flexibility. When developing budgets for capacity building programmes, especially in developing countries, it is important to build in larger contingency buffers to enable project teams to respond to new opportunities and changing circumstances and to be able to choose the best method to achieve targeted results.</p> <p>[2] When budgeting for caucus building activities, it is important to ensure adequate budgeting for expenses related to staff travel, working lunches and dinners for groups of people, and high-profile events. In the future, CCN should adequately budget for expenses related to staff travel, working lunches and dinners for groups of people, and high-profile events.</p>

Evaluation criteria	Conclusions	Lessons learned	Recommendations
	<p>quantitatively evaluate results in an advocacy/policy oriented project such as this. The surveys, proxy indicators and caucus assessments were extremely helpful, but the larger picture can only be revealed with independent verification by the key stakeholders.</p> <p>[5] Day-to-day management of the project was considerably more labour intensive than originally expected. The project manager had insufficient time to both actually manage and monitor and substantively directing the project.</p>	<p>administrative requirements.</p>	

Table 11 Overview of answers to fundamental questions for the terminal evaluation

Is there evidence that CCN partner countries are increasingly injecting science into policy formulation to address global biodiversity, habitat loss and natural resource management?	Is there evidence of increased dialogues on issues of conservation and natural resource management within CCN partner countries' parliaments?	Is there evidence that CCN partner countries are collaborating together to address global biodiversity, habitat loss and natural resource management issues?	Is there evidence of improved practices and new programmes for conservation and natural resource management in CCN partner countries?	To what degree can behavioural and systematic change in the above areas be attributed to project activities, and which have been most effective in bringing about change?	Is there evidence of increased legislator awareness and understanding of national resource management and conservation and its link to policy-making?
<p>There is a growing insistence for 'evidence base' from the field and reliance on in situ surveys, censuses and assessments to guide policy formulation.</p> <p>There is more application of spatial analysis / mapping of Land Use / Land Cover trends and climate science to inform resource extractions.</p>	<p>The caucuses themselves have not been designed as legislative vehicles per se. Rather their main function has been to stimulate dialogue and to deepen understanding on the part of as many legislators as possible on key conservation issues.</p> <p>As well, all of the CCN events (i.e. thematic events, anchor events, parliamentary mentorships) provided opportunities for increased dialogue both within and between countries and between legislators and stakeholders, with whom they would not otherwise have had the opportunity to dialogue, but for the project.</p>	<p>Where there is dialogue, there is not always collaboration. However the project did achieve new forms of collaboration as a result of the three thematic events in South Africa, Kenya and Zambia, as well as the two anchor events and parliamentary exchanges.</p> <p>For example, as a result of their visit to Washington D.C. based conservation NGOs, the Kenyan caucus leadership, returned home to promote stronger anti-poaching legislation. Similarly the visit of the Tanzanian President to DC to meet with conservation experts and key legislator, similarly catalysed new forms of collaboration, which have resulted in the Tanzanian President advancing the anti-poaching agenda more rigorously.</p>	<p>In both Kenya and Colombia, conservation laws have been strengthened recently due in part to activism by members of the local conservation caucuses affiliated with the ICCF.</p> <p>The newly established Parliamentary Conservation Caucus-Kenya chapter has recently proposed significant amendments to the Wildlife Conservation and Management Bill in order to combat poaching, with substantial new penalties for convicted poachers. In Colombia, the caucus has supported ground-breaking legislation on sustainability in agriculture and mineral extraction.</p>	<p>There is certainly always a myriad of actions and interventions synergistically contributing towards the change in behaviour and policy, and the 'conservation caucus capacity building project' also contributed.</p> <p>For example, the proposed amendments to Kenya's Wildlife Conservation and Management Bill can be attributed in very large part to activities of this project; it was caucus members who proposed and championed these amendments, and the multiparty focus of the caucus, that the amendments passed unanimously despite the fact that they were introduced by parliamentarians of the non-majority party.</p>	<p>There has been a high level of participation in CCN-sponsored summits and workshops and CCN surveys reveal that legislators benefitted from the new information to which they were introduced.</p> <p>As an example of increased awareness, the Kenyan Conservation Caucus has more than 40 members from both of the major coalitions. International conservation NGOs such as the Nature Conservancy met with PCC-K members and have been impressed by their knowledge and commitment.</p>

6 ANNEXES

6.1 Project logframe

Appendix 3: Project Results Framework

STRATEGIC OBJECTIVE: To provide global parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management.					
	OBJECTIVELY VERIFIABLE INDICATORS			VERIFICATION METHODS	ASSUMPTIONS
PROJECT OBJECTIVE Education and capacity development at the parliamentary level for conservation and sound natural resource management.	<ul style="list-style-type: none"> Interaction between international parliamentarians as well as corporate, NGO, and institutional leaders. International network of legislators working together on issues of international conservation. New international conservation caucuses in parliaments of foreign nations. 			<ul style="list-style-type: none"> Annual monitoring and evaluation reports detailing membership in ICCF Conservation Council of Nations, as well as meetings, briefings, and related events. Annual review of progress toward establishment of international conservation caucuses. 	<ul style="list-style-type: none"> International conservation remains a priority internationally. Political will is available for caucus development. Sufficient stability of partner nations to allow for project continuity.
Component 1: Collaboration & Commitment. Outcomes: 1.1 Increased commitment and collaboration of CCN Partners to address global biodiversity, habitat loss and natural resource management. Outputs/milestones 1.1.1 Commitment to CCN increases by 25% from GEF beneficiary countries.	<ul style="list-style-type: none"> CCN commitment/membership numbers. 	<ul style="list-style-type: none"> 30 member nations. 	<ul style="list-style-type: none"> 40 member nations. 	<ul style="list-style-type: none"> Semi-annual reports detailing CCN membership, including number of participating nations. 	<ul style="list-style-type: none"> Interest and cooperation of foreign nations.

OUTCOMES AND OUTPUTS	OBJECTIVELY VERIFIABLE INDICATORS			VERIFICATION METHODS	ASSUMPTIONS
	INDICATOR	BASELINE	TARGET		
Component 2: Capacity Building and Exchanges. Outcomes: 2.1 Established transferable capacity building programs serving to inject science into policy formulation – linking conservation and development, water, forests and biodiversity, health, agriculture, and security. Outputs/milestones 2.1.1 Briefing materials developed and delivered at informative briefings and key anchor events. 2.1.2 Materials and Expert Advice delivered for replicable thematic programs and inter-parliamentary staff programs. 2.1.3 Opportunities for linkages developed between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations.	<ul style="list-style-type: none"> • Number of informative briefings and events. • Number of replicable thematic programs. • Number of new relationships between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations. 	<ul style="list-style-type: none"> • No informative briefings or events. • No replicable thematic programs. • No new relationships between individuals from corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations. 	<ul style="list-style-type: none"> • 18 informative briefings and 2 anchor events. • 3 regional replicable thematic programs and 3 interparliamentary staff programs. • New relationships between individuals from 20 corporations, NGOs, and institutions (North-South and South-South) and parliaments of member nations. 	<ul style="list-style-type: none"> • Semi-annual reports detailing informative briefings and events, replicable thematic programs, and new relationships between individuals from corporations, NGOs, and institutions. 	<ul style="list-style-type: none"> • Interest and participation of briefing and event invitees. • Participation in replicable thematic programs.

Component 3: International parliamentary conservation caucus building and mentoring Outcomes: 3.1 Better policy through established mentorships. Outputs/milestones 3.1.1 New paradigm for national conservation caucuses developed and tested. 3.1.2 Parliamentary mentorship exchanges developed and expanded.	<ul style="list-style-type: none"> • Number of new national caucuses. • Number of Parliamentary mentorship exchanges. 	<ul style="list-style-type: none"> • No new national caucuses • No Parliamentary mentorship exchanges. 	<ul style="list-style-type: none"> • 8 new national caucuses in GEF beneficiary countries. • 12 Parliamentary mentorship exchanges. 	<ul style="list-style-type: none"> • Semi-annual reports detailing progress toward establishment of new national caucuses and Parliamentary mentorship exchanges. 	<ul style="list-style-type: none"> • Will and cooperation of International parliamentarians to form caucuses within their parliaments. • Willingness of parliamentarians to participate in mentorship exchanges.
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6.2 Detailed evaluation questions

Table 12 Detailed evaluation questions

Criterion	Key Questions/ Analysis	Indicators	Data Sources
Attainment of Project Objectives and Planned Results			
A.1 Effectiveness and overall likelihood of impact achievement	<p>Is the project on track to achieve its direct/first-level outcomes as defined in the reconstructed ToC? (Outcomes)</p> <p>What is the likelihood of impact at the medium stage? (Intermediate results)</p> <p>How effectively has the project achieved its formal overall objective, overall purpose, goals and component outcomes? (All levels)</p> <p>Was there a difference in achievement of outcomes and likeliness of impact in the different countries participating and what factors were involved? Are there lessons for future interventions? (Outcomes and impacts)</p> <p>Were indicators effective in terms of assessing/measuring project impact, and if not, have some potentially more effective impact indicators been identified (for future projects of this kind)? (Impact)</p>	<p>Evidence that informative briefings and events took place</p> <p>Evidence that replicable thematic programmes took place</p> <p>Evidence that caucuses were formed</p> <p>Evidence that parliamentary mentorship exchanges were established</p> <p>New or amended legislation, policies and strategies focusing on conservation and natural resource management in CCN member countries</p> <p>Evidence of increased knowledge amongst participating parliamentarians</p> <p>Activity level of conservation caucuses</p> <p>Activity level of parliamentary mentorship exchanges;</p>	<p>Semi-annual reports detailing informative briefings and events and</p> <p>Semi-annual reports detailing progress towards establishment of r mentorship exchanges</p> <p>UNEP Task Manager</p> <p>Participating legislators and caucus members</p> <p>Legislators who took part in mentoring relationships</p> <p>Representatives of ICCF corporate and NGO partners</p> <p>Representatives of related initiatives, notably the GLOBE Forest Le</p> <p>Surveys to assess changes in awareness (see CEO document p 10)</p>

		<p>Changes in practices and programmes focused on conservation and natural resource management;</p> <p>Number and quality of new relationships between individuals of corporations, NGOs and institutions (North-South and South-South) and parliaments of member nations</p>	
A.2 Relevance	<p>Were the project's objectives and implementation strategies consistent with:</p> <ul style="list-style-type: none"> Sub-regional environmental issues and needs? UNEP mandate and policies at time of design and implementation? GEF Climate Change focal area, strategic priorities and operational programme(s)? (Outputs) <p>Were the project's objectives realistic, given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate? (Outcomes and Impact)</p>	<p>Activity levels of national caucuses;</p> <p>Activity levels of parliamentary mentorship exchanges;</p> <p>Volume of new or amended legislation, policies and strategies focusing on conservation and natural resource management in CCN member countries</p> <p>Evidence of relevance towards other similar parliamentary platforms and networks;</p> <p>Evidence of causal linkage between project outcomes and relevant accomplishments expected by UNEP</p> <p>Activity level between CCN project team and management of other relevant initiatives;</p> <p>Alignment with regional priorities outlined in geo-5</p>	<p>Semi-annual reports detailing progress towards establishment of mentorship exchanges;</p> <p>Official parliamentary record;</p> <p>UNEP Regional Environmental Trends Reports such as geo-5;</p> <p>UNEP and GEF Strategies and Programme;</p> <p>Legislators who took part in mentoring relationships;</p> <p>Representatives of ICCF corporate and NGO partners;</p> <p>UNEP Task Manager;</p> <p>Participating legislators and caucus members.</p>
A.3 Efficiency	Were any cost- or time-saving measures adopted by the	Number of national conservation	Representatives of related initiatives, notably the GLOBE Forest Le

	<p>project? (Outputs)</p> <p>How have delays, if any, affected project execution, cost and effectiveness? (Outputs)</p> <p>What efforts were made 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 in particular the GLOBE initiative to increase project efficiency? Given the formal similarity of the two projects, what is the value added of CCN to the GLOBE network? (Outputs and Outcomes)</p>	<p>caucuses created;</p> <p>Number of new parliamentary mentorship exchanges;</p> <p>Evidence of cost/time saving measures identified during project reviews;</p> <p>Evidence of partnership efforts with other similar projects;</p> <p>Evidence of project interest in cost-sharing opportunities.</p>	<p>Final budget reports in project document;</p> <p>PIRs;</p> <p>Annual work plan</p> <p>Project design documents;</p> <p>Annual project implementation review;</p> <p>UNEP task manager;</p> <p>Participating legislators;</p> <p>Key stakeholders.</p>
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Sustainability and Catalytic Role

B.1 Financial	<p>extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? (Outputs and impacts)</p> <p>What is the likelihood that adequate financial resources will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? (Outputs)</p> <p>Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact? (Outputs)</p>	<p>Government assurance of continued funding;</p> <p>Evidence of private interest in financially sustaining project continuation;</p> <p>Project identification of potential financial risks.</p>	<p>Final budget reports in project document;</p> <p>Annual work plans and budgets;</p> <p>Financial reports of executing partners;</p> <p>UNEP Task Manager;</p> <p>Fund management officer;</p> <p>Representative of ICCF corporate;</p> <p>Participating legislators and caucus members.</p>
B.2 Socio-political factors	<p>Are there any social or political factors that may influence the sustenance of project results and progress towards impacts? (Outputs and Outcomes)</p>	<p>Evidence of increased parliamentary awareness, understanding and commitment to conservation issues;</p>	<p>Progress reports;</p> <p>Steering committee minutes;</p>

	<p>Is the level of ownership by the main national stakeholders sufficient to allow the project results to be sustained? (Outputs, Outcomes and Impact)</p> <p>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? (All)</p>	<p>Activity levels of caucuses;</p> <p>Activity levels of parliamentary exchanges;</p> <p>Volume of new or amended legislation, policies and strategies focusing on conservation and natural resource management in CCN member countries;</p> <p>Evidence of cooperation between CCN member countries on conservation issues</p>	<p>Minutes of caucus meetings;</p> <p>Official parliamentary record;</p> <p>National policy briefs;</p> <p>Annual PIRs;</p> <p>Parliamentarians;</p> <p>Legislators;</p> <p>UNEP Task Manager.</p>
B.3 Institutional framework	<p>How robust are the required institutional frameworks and government structures and process, policies, sub-regional agreements, legal and accounting frameworks? (Outputs)</p> <p>To what extent are the continuation of project results and the eventual impact of the project dependent on issues relating to institutional framework and governance? (Outputs)</p>	<p>Evidence of government support for caucuses and mentorship exchanges;</p> <p>Evidence of inter-country exchange of knowledge and practices by legislators.</p>	<p>Project document;</p> <p>National policy briefs;</p> <p>National initiative director;</p> <p>Official parliamentary record;</p> <p>Government ministry representatives;</p> <p>Parliamentarians;</p> <p>Legislators;</p> <p>UNEP Task Manager.</p>

C. Catalytic role and replication	<p>Has the project catalyzed behavioural changes in terms of use and application by the relevant stakeholders of: i) 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? (Outcomes and impact)</p> <p>Has the project provided incentives (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour? (Outputs)</p> <p>Has the project contributed to institutional changes by encouraging institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects and/ or policy changes? (Outputs)</p> <p>Has the project created opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not have achieved all of its results)? (Outcomes)</p> <p>Has the project taken steps to promote replication of the project activities?</p>	<p>New or amended legislation, policies and strategies focusing on conservation and natural resource management in CCN member countries;</p> <p>Evidence of increased knowledge, awareness and commitment to conservation issues amongst participating parliamentarians;</p> <p>Activity level of conservation caucuses;</p> <p>Activity level of parliamentary mentorship exchanges;</p> <p>Changes in practices and programmes focused on conservation and natural resource management;</p>	<p>Semi-annual reports detailing information on thematic programmes;</p> <p>Semi-annual reports detailing progress of caucuses and Parliamentary mentorship exchanges;</p> <p>UNEP Task Manager;</p> <p>Participating legislators and caucuses;</p> <p>Legislators who took part in mentorship exchanges;</p> <p>Representatives of ICCF corporate members;</p> <p>Representatives of related initiatives and programmes.</p>
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Processes affecting Attainment of Project Results

D. Stakeholder participation/ Public awareness	<p>How were stakeholders engaged in project design and implementation and were the approaches adopted appropriate given the project's objectives and the motivation and capabilities of stakeholders? (Outputs)</p> <p>Who did the project collaborate and interact with during its implementation? (Outputs)</p> <p>How extensive and effective were the public awareness activities? (Outputs, outcomes)</p>	<p>Evidence of increased parliamentary activity and collaboration;</p> <p>Evidence of stakeholder outreach;</p> <p>Evidence of partnership work with appropriate NGOs and stakeholders;</p> <p>Level of national awareness on conservation issues;</p> <p>Activity levels of caucuses;</p> <p>Activity levels of parliamentary</p>	<p>Project design document;</p> <p>Minutes/ reports of national and interna</p> <p>Members of the public;</p> <p>Representatives of NGO partners;</p> <p>Representatives of related initiatives;</p> <p>Task Manager;</p> <p>Legislators and Caucus members;</p>
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		mentorship exchanges;	Mentored legislators.
E. Country ownership/ drivenness	To what extent did participating governments assume responsibility for the project and provide adequate support to project execution (including degree of co-operation and the timeliness of provision of counter-part funds)? (Outputs)	Government support for education activities, caucuses and mentorship exchanges; Volume of new or amended legislation, policies and strategies focusing on conservation and natural resource management in CCN member countries	National Environmental Programme; Official parliamentary record; Records of parliamentary debates and meetings; National Initiative Director; Parliamentarians; Legislators; Task manager.
F. Achievement of Outputs and Activities	Was the project successful in producing programmed results as presented in Table 2 of the TOR in quantity, quality, usefulness and timeliness? (Intermediate results and outcomes) What was the degree of success of the project in achieving its different outputs? (Outcomes)	New or amended legislation, policies and strategies focusing on conservation and natural resource management in CCN member countries; Evidence of increased knowledge amongst participating parliamentarians Activity level of conservation caucuses; Activity level of parliamentary mentorship exchanges; Changes in practices and programmes focused on conservation and natural resource management; Number and quality of new relationships between individuals of corporations, NGOs and institutions (North-South and South-South) and parliaments of member nations	Semi-annual reports detailing informative briefings and events and Semi-annual reports detailing progress towards establishment of mentorship exchanges; UNEP Task Manager; Participating legislators and caucus members; Legislators who took part in mentoring relationships; Representatives of ICCF corporate and NGO partners; Representatives of related initiatives, notably the GLOBE Forest Learning

G. Preparation and Readiness	<p>Were the capacities of executing agencies properly considered when the project was designed? (Outputs)</p> <p>Was the project document clear and realistic to enable effective and efficient implementation? (Outputs)</p> <p>Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? (Outputs)</p> <p>Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? (Outputs)</p> <p>Were adequate project management arrangements in place? (Outputs)</p> <p>Were lessons from other relevant projects properly incorporated in the project design? (Outputs)</p> <p>What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? (Outputs)</p> <p>Were GEF environmental and social safeguards considered when the project was designed? (Outputs)</p>	<p>1. Evidence of similar projects studied in project design;</p> <p>2. Evidence of compliance</p>	<p>Project design document;</p> <p>Task Manager;</p> <p>Parliamentarians;</p> <p>Caucus members;</p> <p>Legislators;</p> <p>Representatives of ICCF corporate and NGO partners;</p> <p>Representatives of relate initiatives</p>
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		e m e n t a r i t i e s w i t h o t h e r p r o j e c t s;	
H. Implementation Approach and Adaptive Management	<p>To what extent were the project implementation mechanisms outlined in the project document followed and were they effective in delivering project outputs and outcomes? Were pertinent adaptations made to the approaches originally proposed? (Outputs and outcomes)</p> <p>How effective and efficient was project management and how well is management able to adapt to changes during the life of the project? (Outputs and outcomes)</p> <p>To what extent did project management respond to direction and guidance provided by the Steering Committee and UNEP supervision recommendations? (Outcomes)</p>	<p>New or amended legislation, policies and strategies focusing on conservation and natural resource management in CCN member countries;</p> <p>Evidence of increased knowledge amongst participating parliamentarians</p> <p>Evidence of increased parliamentary awareness, understanding and commitment to conservation issues;</p> <p>Activity level of conservation caucuses;</p> <p>Activity level of parliamentary mentorship exchanges;</p>	<p>Semi-annual reports detailing informative briefings and events and</p> <p>Semi-annual reports detailing progress towards establishment of n mentorship exchanges,</p> <p>UNEP Task Manager</p> <p>Participating legislators and caucus members</p> <p>Legislators who took part in mentoring relationships</p> <p>Steering committee members and people;</p> <p>Representatives of ICCF corporate and NGO partners</p> <p>Representatives of related initiatives, notably the GLOBE Forest Le</p>

	<p>What operational and political/institutional problems and constraints influenced the effective implementation of the project, and how did project partners try to overcome these problems? (Outputs and outcomes)</p> <p>How did the relationship between the CCN Initiative Director and London-based team and the National staff develop? (Outcomes)</p> <p>To what extent did the project implementation meet GEF environmental and social safeguard requirements? (Outcomes)</p>	<p>Changes in practices and programmes focused on conservation and natural resource management;</p> <p>Number and quality of new relationships between individuals of corporations, NGOs and institutions (North-South and South-South) and parliaments of member nations</p>	
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Monitoring and Evaluation

I.1 M&E Design	<p>Assess the quality of the project logframe as a planning and monitoring instrument. (Outputs)</p> <p>SMART-ness of indicators: Was there specific indicators in the logframe for each of the project objectives? Were the indicators measurable, attainable (realistic) and relevant to the objectives? Were the indicators time-bound? (Outputs)</p> <p>Adequacy of baseline information: To what extent was baseline information on performance indicators collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? (Outputs and outcomes)</p> <p>Were the responsibilities for M&E activities clearly defined? Were data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? How were project users involved in monitoring? (Outputs and intermediate results)</p> <p>Were specific targets specified for project outputs? Was the desired level of achievement specified for all indicators of</p>	<p>Causal linkage between project outcomes and indicators themselves;</p> <p>Causal linkage between monitoring activities and improvement in project implementation;</p> <p>Project participants experience of usefulness of monitoring.</p> <p>Country baseline reports.</p>	<p>Project design document;</p> <p>Annual progress reviews;</p> <p>PIRs;</p> <p>Task Manager;</p>
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	<p>objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations? (Outputs)</p> <p>Did UNEP duly complete the relevant GEF tracking tool for this project? Was the information therein accurate? (Outcomes)</p>		
I.2 M&E Plan Implementation	<p>Were annual project reports and Progress Implementation Review (PIR) reports complete, accurate and with well justified ratings? (Intermediate results and outcomes)</p> <p>Was the information provided by the M&E system used to improve project performance and to adapt to changing needs? (Outputs)</p> <p>Did the project have an M&E system in place with proper training, instruments and resources for parties responsible for M&E? (Outputs and intermediate results)</p>	<p>Indicators as for row above.</p> <p>Causal linkage between improvement in project performance and adaptation of environmental needs</p>	<p>PIRs</p> <p>Project document</p> <p>Progress implementation review</p> <p>Task Manager</p>
I.3 Budgeting and Funding for M&E activities	<p>Was support for M&E budgeted adequately and funded in a timely fashion during implementation? (Outputs)</p>	<p>Timeframe between allocation of M&E funding and implementation of M&E activities</p>	<p>Final budget reports in project document</p> <p>Annual work plans and budgets</p> <p>Financial reports of executing partners, UNEP Task Manager</p> <p>Fund management officer</p>
J. Financial Planning and Control	<p>Were sufficient and timely financial resources available to the project and its partners, supported by the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting? (Outputs)</p> <p>Did recruitment of staff, procurement of goods and services</p>	<p>Evidence that UN rules on budget standards were followed</p> <p>Evidence that recruitment and procurement influenced project performance</p>	<p>Final budget reports in project document</p> <p>Annual work plans and budgets</p> <p>Financial reports of executing partners,</p>

	<p>(including consultants), preparation and negotiation of cooperation agreements etc. influence project performance? (Outputs and outcomes)</p> <p>Did co-financing materialize as expected at project approval? [Provide breakdown of final actual costs and co-financing for the different project components]? (Outcomes)</p> <p>Did the project leverage any additional resources since inception? If so, how have these resources contributed to the project's ultimate objective? (Outcomes)</p> <p>[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 CCN to prevent such irregularities in the future. Were the measures taken adequate?] (Outcomes)</p>	<p>Evidence of additional resources</p> <p>Cofinancing agreements</p>	<p>UNEP Task Manager</p> <p>Fund management officer</p> <p>Representative of ICCF corporate</p> <p>Participating legislators and caucus mem</p>
K. UNEP Supervision and Backstopping	<p>How adequate were project supervision plans, inputs and processes?</p> <p>What emphasis was given to outcome monitoring (results-based project management)?</p> <p>Was project reporting and ratings realistic and candid (i.e. are PIR ratings an accurate reflection of the project realities and risks)?</p> <p>Was the document of project supervision activities of good quality?</p> <p>Were financial, administrative and other fiduciary aspects of project implementation supervision adequate?</p>	<p>Evidence that project supervision plans were implemented</p> <p>ed project management</p> <p>Causal linkage between PIR rating and the project realities and risks</p>	<p>Monitoring and evaluation plan in project</p> <p>PIRs</p> <p>Annual work plans and budgets</p> <p>UNEP Task Manager</p> <p>ICCF staff</p> <p>Parliamentarians and legislators</p> <p>Mentored legislators</p>

6.3 Evaluation Consultations

1. In addition to the desk review, the evaluation team attempted to contact the main project beneficiaries, key stakeholders as well as the members of the project management team and Project Oversight Committee.
2. As explained in Section 2 of this evaluation report, the evaluation team encountered significant difficulties in reaching the project beneficiaries and stakeholders.
3. Three repeat mailings were sent to a very large master list of legislators and stakeholders, which was provided by CCN. This included well over 100 individuals. The email included the six fundamental evaluation questions and made a request for either a phone interview or written responses to the questions.
4. Only two legislators replied to the request for an interview whilst not a single NGO or private sector representative replied. UNEP then re-circulated the request for interviews/responses to the six fundamental evaluation questions, to which no replies were received.
5. In light of these challenges, the evaluation team repeatedly requested CCN to set up interviews on their behalf. However this too proved extremely difficult, and at the end, after considerable delay, CCN was only able to provide written responses from two conservation NGOs (African Wildlife Federation and the Nature Conservancy-- no names were provided in the responses).
6. Despite the helpful caucus assessments that were prepared by the Kenyan and Colombian caucuses and the surveys that were conducted by CCN regarding the usefulness of key events, the evaluation has been limited by the lack of objective evidence from key beneficiaries and stakeholders regarding the effectiveness of project activities.
7. Nevertheless, the following outreach was successfully concluded with the following individuals:

Project management and execution support ICCF headquarters

- John Gantt (twice) johngantt@iccfoundation.us
- David Barron (twice) davidbarron@iccfoundation.us
- Frederic Brizzi, fbrizzi@councilofnations.org
- Karen Slovin, kslovin@councilofnations.org
- Walker Young (twice) walkersyoung@gmail.com

Task Manager and Fund Management Officers

- UNEP CCN Task Manager Kristin McGlaughlin (four interviews) (Kristin.mcgloughlin@unep.org)
- UNEP Fund Manager assistant Ludmilla Khorosheva, (Ludmila.Khorosheva@unep.org)
- Gustavor Fonseca NRM Team Leader (interview to be conducted next week), gustavor.fonseca@unep.org

Participating legislators and caucus members

- Written response by Catalina Roa Beuth, Legislative Director to Colombian Conservation Caucus Co-chari H.R. Augusto Posada (catalinaroabeuth@gmail.com)
- Skype interview with Steve Bezuidenhout, Co-Chair of Namibian Conservation Caucus (steve@rdp.org.na)
- The Special Advisor conducted face-to-face interviews with the following members of the Kenyan Conservation Caucus in Nairobi
 - Hon. Wilbur Ottichilo, Kenya Conservation Caucus (wkottichilo@yahoo.com)
 - Hon. Francis Ganya, Kenya Conservation Caucus (sganya@pisp.org)
 - Hon. Joyce Emanikor, Kenya Conservation Caucus (jemanikor@yahoo.com)

NGO stakeholders

Written responses to the six fundamental evaluation questions were only received from the following NGOs:

- African Wildlife Federation (sent to us by John Gantt with no name or email)
- The Nature Conservancy (sent to us by John Gantt with no name or email)

6.4 Bibliography

6.4.1 GEF Approved Project Document and Review

GEF (2011) 'Approval letter from Monique Barbut'

GEF (undated) 'Financing Plan in US Dollars'

GEF (undated) 'GEF Secretariat Review for full/ medium-sized projects'

ICCF and UNEP (undated) 'ICCF/UNEP Responses to GEFSEC Review dated May 4, 2011: Partnering for Natural Resource Management –

Conservation Council of Nations (2011) Project Document

6.4.2 Project Inception Workshop

CCN (2011) 'Final Project Inception Workshop Report'

CCN and GEF (2011) 'Project Oversight Committee Meeting – 1st Quarter'

CNN (2011) 'Annex 5 Project Supervision Plan – CCN'

GEF and UNEP (2011) 'CCN Project Inception Workshop'

6.4.3 Project Oversight Committee Meetings

CNN (2011) '1st Quarter Costed Workplan'

CNN (2011) 'Leaders in Conservation Reception In Celebration of the Launch of ICCF's Conservation Council of Nations'

CNN (2011) 'Project Oversight Committee Meeting – 1st Quarter'

CNN (2011) 'Project Oversight Committee Meeting – 2nd Quarter'

CNN (2011) 'PROJECT OVERSIGHT COMMITTEE MINUTES July 27th 2011'

CNN (2011) 'Regional Hub: South Africa & Botswana'

CNN (2012) 'Minutes/Notes from 5th PoC meeting for the Conservation Council of Nations Project'

CNN (2012) 'Project Oversight Committee Meeting – 3rd Quarter'

CNN (2013) 'Minutes/Notes from 6th PoC meeting for the Conservation Council of Nations Project'

CNN (undated) 'Annex E: Terms of Reference, GEF Project Oversight Committee (POC)'

CNN (undated) 'Communications Strategy Outline Draft'

CNN (undated) 'Costed M&E plan'

CNN (undated) 'DRAFT Baseline Capacity Development Report'

CNN (undated) 'Scorecard for Measuring Capacity Development Results'

CNN (undated) 'TOR for Communications Expert'

CNN, UNEP and GEF (2012) 'Presentation: The Second Meeting of the Project Oversight Committee'

CNN, UNEP and GEF (2012) 'Project Oversight Committee – 4th Quarter Meeting & Annual Review'

CNN, UNEP and GEF (2013) 'The Sixth Meeting of the Project Oversight Committee'

6.4.4 Progress Reports and PIRs

CCN (2012) 'UNEP GEF PIR Fiscal Year 10'

CNN (2013) 'UNEP GEF PIR Fiscal Year 13'

CNN, UNEP and GEF (2011) 'Half Yearly Progress Report July 1,2011 – December 31 2011'

CNN, UNEP and GEF (2012) 'Half Yearly Progress Report July 1,2012 – December 31 2012'

CCN (2013) 'Summary of CCN activities from January 2013 through April 2013'

6.4.5 Project Revision

CNN (2013) 'Amendment NO1 to the PCA Between The United Nations Environment Programme (UNEP) And Conservation Council of Nations (CNN)'

CNN (2013) 'Budget for Project No: GFL-2328-2717-4C11'

CNN, UNEP and GEF (2012) 'CCN Activities Work Plan (Revised Nov 2012)'

UNEP (2012) 'Project Revision Document: Partnering For Natural resources Management – Conservation Council of Nations (CNN)'

6.4.6 CCN (2013) 'Terminal Report and Annexes'

Assessment of the Quality of Project Design

Table 13 Project Design Quality Matrix

Questions		Evaluation Comments	Prodoc reference	Rating
Relevance				
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?		See 3.1 Relevance in document	p.11 CEO Endorsement	Highly Satisfactory
Does the project form a coherent part of a UNEP-approved programme framework?		See 3.1 Relevance in document		Highly Satisfactory
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?		See 3.1 Relevance in document The project will also learn from the World Bank's Agriculture, Water and Natural Resources Management Program at the WBICC Practice learning package on Sustaining Natural Capital (SNC) for Growth and Poverty Reduction in Sub-Saharan Africa.	p. 6 and 11 CEO Endorsement p. 10 Project Document	Highly Satisfactory
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	See 3.1 Relevance in document	p. 9, 10, 13, 14, 16 CEO Endorsement p. 16 Project Document	Highly Satisfactory
	ii) the UNEP mandate and policies at the time of design and implementation?	See 3.1 Relevance		Highly Satisfactory
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	See 3.1 Relevance	p.6 and 10 CEO endorsement	Highly Satisfactory

	<p>iv) Stakeholder priorities and needs?</p>	<p>Yes, as the entire project revolves around engaging and educating key stakeholders and encouraging them to interact. CCN unites policy makers, businesses, NGOs and governments – providing a vital link between natural resource management, and sustainable economic development.</p> <p>The project's design and planned implementation is premised on outreach to key stakeholders. The M&E plan was to have been reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understood their roles and responsibilities vis-à-vis project monitoring and evaluation. It was expected that key stakeholders would return with their newly gained capacity --</p>	<p>p. 16 and 19 Project Document</p>	<p>Highly Satisfactory</p>
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		together with tools and methodologies made available to them through the CCN project		
Overall Rating for Relevance		Highly Satisfactory		
Intended Results and Causality				
Are the objectives realistic?	<p>The objective is to provide global parliamentarians with knowledge, expertise, resources, and capacity to formulate and implement sound policies, programs, and practices for conservation and good natural resource management.</p> <p>CCN is responding to the growing need for an international network that includes nations and stakeholders to optimize policy impact.</p> <p>The objectives are realistic because of the capacity of CCN to convene said nations and stakeholders in order to foster the diplomatic and parliamentary relations that are needed to catalyze</p>		p. 7, 8, 14 CEO	Highly Satisfactory

	<p>change.</p> <p>With the strength and diversity of this base, the CCN has an unprecedented ability to become an active force in conservation.</p> <p>Furthermore, ICCF has organized similar networks in the promotion of energy security and nature conservation. Given that due attention has been given to the main concern of maintaining a sustainability path despite legislator turnover, the project is realistic and important.</p>		
<p>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?</p>	<p>The causal pathways from outputs to outcomes within the three project components of collaboration and commitment, capacity building and exchange, and caucus building and mentoring are delineated in the Project Framework Table of the CEO endorsement. What is missing is the pathway from</p>	p. 14 CEO	Satisfactory

	<p>outcomes to impacts/ There is no Theory of Change presented.</p> <p>The project seemed to have a different definition of outputs and outcomes than the one put forth by UNEP. This was confusing and let us to reorganise part of the project logic. One of the lessons learned within the scope of the project should then be the importance of a unified usage of definitions.</p>		
<p>Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?</p>	<p>The 18 months timeframe is tight but realistic if the project is managed efficiently and effectively. The likelihood that project outcomes are achievable within the stated duration depends on many assumptions and impact drivers, which are highlighted in the reconstructed Theory of Change.</p>		Highly Satisfactory
<p>Are the activities designed within the project likely to produce their intended results?</p>	<p>The activities appear to be likely to produce their intended results or</p>	p. 8 CEO	Highly Satisfactory

	<p>outcomes. For example, in Component 1, the activities involve arranging meeting with high-level representatives to introduce the CCN; providing high-level representatives with CCN information; and conducting follow up with high-level individuals to encourage them to join CCM. These activities are likely to lead to the stated outcome:</p> <p>Increased commitment and collaboration of CCN Partners to address global biodiversity, habitat loss and natural resource management.</p>		
Are activities appropriate to produce outputs?	<p>In principle yes. For example, for Component 1, Output 1.1.1 is defined as increased commitment to CCN (although this is rather more like an outcome than an output). That said, the activities of arranging meetings, providing briefing</p>		Highly Satisfactory

	material and follow-up appear to be appropriate for the purposes of achieving the output.		
Are activities appropriate to drive change along the intended causal pathway(s)?	In principle yes, but the pathway from outcomes to impacts has not been described in the project document		Satisfactory
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	According to the Project Results Framework, only assessments are provided. The impact drivers and roles and capacities of key actors are not described for each key causal pathway	p. 14 CEO	Satisfactory
Overall Rating for Intended Results and Causality	Highly Satisfactory		
Efficiency			
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	<p>The project has responded to a cost-related concern, in particular a very high ratio of staff costs to training costs.</p> <p>It was explained that high staff numbers involved in briefing, conference and event preparation</p>	p.10, p.19, p.21 CEO	Highly satisfactory

	<p>and general logistics and material preparation are key to the CCN project, and that a number of measures will compensate for this perceived budgetary imbalance, namely :</p> <p>Anchor events will be scheduled around other widely attended international events in order to keep costs down. ICCF staff will shoulder a large portion of the workload, thus reducing the need for outside costs. The high overhead and staff time needed to build CCN will be partly offset by the fact that material will already have been prepared by ICCF.</p>		
<p>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?</p>	<p>The project will be building on the GLOBE model and the ICCF Task Forces' previous work.</p> <p>To date, the ICCF Task Forces have brought together ICCF partners, including public</p>	p.8 CEO	Satisfactory

	<p>and private sector representatives, NGOs and corporations and international policy makers to section needs to collaboratively engage on the topics of Energy Security and Nature Conservation, Forestry and Agriculture and Marine and Freshwater.</p> <p>Lessons learned from the recently completed GEF-supported, GLOBE-executed “International Commission on Land Use Change and Ecosystems” have been taken on board. These would include maintaining efforts to increase interaction with legislators between forums, or in this case caucuses, and include efforts to link developing countries with assistance to develop domestic legislation, perhaps in partnership to be explored with the Environmental Law Institute (ELI).</p> <p>A second GLOBE executed project entitled “ The GLOBE Forest Legislation Initiative”, is under advanced development. This proposed GEF supported project aims</p>		
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	<p>to strengthen legislation and parliamentary scrutiny structures within key forested developing countries (Brazil, the Democratic Republic of Congo (DRC), Indonesia and Mexico) in support of national efforts to Reduce Emissions from Deforestation and forest Degradation (REDD+) and promote Sustainable Forest Management (SFM).</p> <p>We should explore whether ICCF and GLOBE efforts are fully complementary and whether coordination between the two should be encouraged and emphasised..</p>		
Overall Rating for Efficiency	Satisfactory		
Sustainability/ Replication and Catalytic Effect			
Does the project design present a strategy / approach to sustaining outcomes / benefits?	<p>Yes, the issue of sustaining the conservation caucuses is addressed.</p> <p>Some of the caucuses formed may be sustainable on their own by the end of this project period because they are well established and have been met with sufficient receptivity and resources.</p> <p>Most, however, will not be self-</p>	p.18 CEO	Satisfactory

	<p>sustaining without follow-up activities subsequent to the initial establishment.</p> <p>It is essential to ensure a global collaboration that will enable the majority of the caucuses to continue as viable working coalitions and to add others. It will be important to ensure constant, valuable support from G-8 caucuses and legislators, extensive outreach to and education of legislators, and establishment of caucuses with the strength and numbers to ensure longevity despite election cycles.</p> <p>ICCF has committed to continuing to support newly formed caucuses beyond the period of this project and has begun to develop plans and programmes toward this end, however, there are no specifics describing these plans and programmes.</p>		
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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?	Yes, The main social and political factors liable to influence the project's unfolding are the economic crisis diverting attention away from environmental issues and legislator turnover following elections.	p.10 CEO	Highly Satisfactory
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	Project document states that co-financing will be obtained over the span of the project to ensure its continuity following the conclusion of GEF funding. However, there are no further specifics. It should nonetheless be noted that the project did secure first stage funding and this is a good sign.	p.10 prodoc	Satisfactory
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	None are identified		N/A
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, contained in Section 4: Institutional Framework and Implementation Arrangements section of the Project Document	p.17-18 project document	Highly satisfactory

	<p>PAD.</p> <p>UNEP is acting as the GEF Implementing Agency. ICCF will provide overall management and oversight of the Project from its headquarters in Washington, DC. A Project Oversight Committee comprised of representatives from: GEF Secretariat, UNEP-RONA, UNEP-GEF and ICCF will also be established.</p> <p>Terms of Reference for the Project Oversight Committee will be agreed at the Project Inception Workshop and will include a substantive role in selection of priority themes of emphasis and countries for action. ICCF's management role will be to administer, oversee, and implement all project activities; provide financial management; monitor project implementation and outcomes; and</p>		
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		ensure that project is delivered on time and on budget.		
<p>Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits?</p> <p>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?</p>		<p>Increased global awareness of climate change and the need to embrace sustainability goals could help foster legislator interest in the CCN endeavour.</p> <p>The project is not expected to create negative environmental and/or social impacts in the target countries. Furthermore, the project will ensure all norms regarding social and environmental safeguards including gender considerations by ensuring (i) inclusiveness of both men and women in project formulation and implementation (ii) check effects (negative and positive) of the project on both genders; and (iii) collect gender disaggregated data where necessary.</p>	p.17 project document	Highly Satisfactory
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;	<p>Behavioural change is the ultimate objective of the project, namely catalyzing increased commitment by CCN partners to address biodiversity challenges.</p> <p>The project design does provide for</p>	p. 8 Project document	Highly satisfactory

		the development of parliamentary mentorship exchanges. Component 2 is entirely devoted to capacity building and exchange.		
	ii) strategic programmes and plans developed	Outcome 1.1 is geared towards the increased commitment and collaboration of CCN partners to address key environmental issues	p. 8 Project document	Highly satisfactory
	iii) assessment, monitoring and management systems established at a national and sub-regional level	Not applicable		N/A
Does the project design foresee adequate measures to contribute to institutional changes?		The only institutional changes envisaged by the project are the conservation caucuses.	p.8 project document	N/A
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?		The entire CCN endeavour is committed to scrutinizing various national environmental policies, and will develop international conservation policy exchange forums that integrate foreign leaders into ICCF field missions with other policy leaders and high-level staff, and reciprocally help foreign leaders to participate in and inform policymakers through ICCF's	p.6 project document	Highly satisfactory

	Congressional Briefing Series.		
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	None described	p.20 project document	Unsatisfactory
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)?	CCN centres on empowering legislators, anyone of which could emerge as a champion or leader in environmental policy discussion and sharing, and anyone of which could catalyze change at the national or international level through proper usage of the caucuses.	/	Highly Satisfactory
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?	The nature of caucuses involves a commitment by individual CCN partner nations to create a formal structure within their legislative bodies, which requires a level of dedication that seems to point to a desire for ownership of the project’s activities. However, project documentation indicates that “some of the caucuses formed may be sustainable	p. 18 CEO	Satisfactory

	on their own by the end of this project period” but “most will not be self-sustaining without follow-up activities” which indicates that ownership is not expected very early in project outcomes and intermediate results.		
Overall Rating for Sustainability/ Replication and Catalytic Effect	Satisfactory		
Risk Identification and Social Safeguards			
Are critical risks appropriately addressed?	The risks associated with working with legislators (i.e. legislator interest, number of legislators required to form a caucus, and turnover following legislations) have been addressed.	p.10 CEO	Highly Satisfactory
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	Yes they are in the log frame that is contained in Appendix 3: Project Results Framework	page 30, prodoc	Highly Satisfactory
Are potentially negative environmental, economic and social impacts of projects identified?	The project is not expected to create negative environmental and/or social impacts in the target countries. Furthermore, the project will ensure all norms regarding social and environmental	p.17 project document	Highly Satisfactory

	safeguards including gender considerations by ensuring (i) inclusiveness of both men and women in project formulation and implementation (ii) check effects (negative and positive) of the project on both genders; and (iii) collect gender disaggregated data where necessary.		
Overall Rating for Risk Identification and Social Safeguards	Highly Satisfactory		
Governance and Supervision Arrangements			
Is the project governance model comprehensive, clear and appropriate?	Yes, see diagram in the project document, which clearly sets out the project governance model.	p.17-18 project document	Highly satisfactory
Are roles and responsibilities clearly defined?	Roles and responsibilities within project management are defined in the project document's organizational chart. Primary stakeholders are parliamentarians and legislators of the nations of the CCN (currently 30); the private sector (including businesses and industries affected by environmental legislation, such as forestry, mining, and agriculture);	p.10 CEO, p.18 project document	Highly satisfactory

	<p>and global and regional NGOs (including CCN partner organizations).</p> <p>ICCF corporate and NGO partners serve as a brain trust and will be the faculty/educators for CCN briefings, missions, and hub programs. NGO partners such as Conservation International, The Nature Conservancy, Wildlife Conservation Society, World Wildlife Fund, and Rainforest Alliance will contribute expert presenters and on-the-ground program access. Corporate partners will also provide expertise relating to the project themes, for example: Starbucks (agriculture), Unilever (agriculture), JPMorgan Chase (green financing, wealth management, economic development).</p>		
Are supervision / oversight arrangements	ICCF will provide	p.12 CEO	Highly

clear and appropriate?	<p>overall management and oversight of the Project from its headquarters in Washington, DC. A Project Oversight Committee (POC) comprised of representatives of: GEF Secretariat, UNEP-RONA, UNEP-GEF and ICCF will also be established. DRAFT TORS are attached at Annex F.</p> <p>These Terms of Reference for the Project Oversight Committee will be further refined and agreed at the Project Inception Workshop and will include a substantive role in selection of priority themes of emphasis and countries for action. ICCF's management role will be to administer, oversee, and implement all project activities; provide financial management; monitor project implementation and outcomes; and ensure that project is delivered on time and on budget.</p>		satisfactory
Overall Rating for Governance and Supervision Arrangements	Highly Satisfactory		
Management, Execution and Partnership Arrangements			
Have the capacities of partners been adequately assessed?	As programs are being designed around specific topics and themes with input from CCN member nations, CCN staff will be	p.17 CEO	Highly Satisfactory

	<p>better able to determine which partners with a strong regional presence are best able to provide support and expertise tailored to the programs.</p> <p>Through the GEF Secretariat and UNEP's active participation in the Project Oversight Committee (POC) and as topics and themes are developed in coordination with CCN member nations; CCN will welcome assistance offered by regional UNEP offices when appropriate and available to augment planned programs.</p> <p>The general CCN project will attempt to link developing countries with assistance to develop domestic legislation, perhaps in partnership to be explored with the Environmental Law Institute (ELI).</p>		
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	could be lack of a baseline, so how can you tell what capacity of partners are?		
Are the execution arrangements clear?	<p>Yes, described in the TOR. The lead Executing Agency for the project is the International Conservation Caucus Foundation (ICCF) and the Implementing Agency is UNEP.</p> <p>ICCF will provide overall management and oversight of the Project from its headquarters in Washington, DC. A Project Oversight Committee (POC) comprised of representatives from GEF Secretariat, UNEP-RONA, UNEP-GEF and ICCF would be established (draft TORs in Annex F of the project document, to be refined at the Project Inception Workshop) and would play a key role in selection of priority themes of emphasis and countries for action.</p> <p>ICCF staff, in travelling to GEF beneficiary countries or regions, will notify its extensive, diverse network of CCN and ICCF partner</p>	TOR p.4	Highly satisfactory

	<p>organizations to add value to country/regional initiatives. ICCF will make every effort to involve both local representatives on the ground and overall management of these organizations to ensure the highest quality programs.</p> <p>ICCF's management role would be to administer, oversee and implement all project activities; provide financial management, monitor project implementation and outcomes and ensure that the project was delivered on time and on budget</p> <p>In kind contribution from the staff resources of UNEP's North America Office (UNEP/RONA) will provide in-house expertise and contacts for programs and CCN caucus events.</p>		
Are the roles and responsibilities of internal and external partners properly specified?	Yes, see Governance and Supervision Arrangements section above.		Highly Satisfactory
Overall Rating for Management, Execution and Partnership Arrangements	Highly Satisfactory		
Financial Planning and Budgeting			
Are there any obvious deficiencies in the budgets / financial planning?	Questions have been raised by UNEP of the costs	Qu.30, p.21 CEO	Highly Satisfactory

	of staff relative to training activities, but have been addressed and cleared. See answer to Qu.30 of main doc.		
Is the resource utilization cost effective? Is the project viable in respect of resource mobilization potential?	See answer above and answer to « Efficiency » section related to cost-effectiveness.	p.10 CEO, p.20 project document	Highly Satisfactory
Are the financial and administrative arrangements including flows of funds clearly described?	Yes, financials are broken down in multiple tables.	p.23-29 project document	Highly Satisfactory
Overall Rating for Financial Planning and Budgeting	Highly Satisfactory		
Monitoring			
Does the logical framework: <ul style="list-style-type: none"> · capture the key elements of the Theory of Change for the project? · have ‘SMART’ indicators for outcomes and objectives? · have appropriate 'means of verification'? · identify assumptions in an adequate manner? 	The log frame identifies impact, outputs, outcomes, assumptions and verifiable indicators in the Project Results Framework. There is no Theory of Change for the project.	p.14-15 CEO	Satisfactory
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	Milestone and Indicators are clearly detailed in the Project Results Framework Table and Appendix 5 of the PAD.	p.14-15 CEO, PAD p.35	Highly Satisfactory
Is there baseline information in relation to key performance indicators?	The Baseline is very cursorily detailed in the Project Results Framework Table in Annex A.	p.14	Unsatisfactory
Has the method for the baseline data collection been explained?	No, the baseline lacks detail		Unsatisfactory
Has the desired level of achievement	Yes, see the	p.14	Highly

(targets) been specified for indicators of outcomes and are targets based on a reasoned estimate of baseline?	Project Results Framework Table in Annex A.		Satisfactory
Has the time frame for monitoring activities been specified?	Yes, 18 months.	PAD p.33	Highly Satisfactory
Are the organisational arrangements for project level progress monitoring clearly specified?	Yes, see the the Project Results Framework Table in Annex A.	p.14	Highly Satisfactory
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	Yes, see the Monitoring and Evaluation Plan Table		Highly Satisfactory
Overall, is the approach to monitoring progress and performance within the project adequate?	<p>The M&E Plan is aligned with the standard monitoring and evaluation procedures of GEF and UNEP.</p> <p>The project will consider an adaptive management approach on the basis of a Monitoring and Evaluation Plan (M&E Plan) to monitor and evaluate progress, performance and achievements of the project to enable timely identification of deviations, implementation of corresponding modifications, and the continuous improvement of strategies and activities.</p> <p>The M&E Plan is</p>	Page 19 prodoc	Highly Satisfactory

	<p>composed of two elements: (a) monitoring of progress; and (b) evaluation of performance and achievement. Both elements will be applied to the project and subprojects using comparable sets of indicators. ICCF's Project Management will be in charge of monitoring the performance and progress of project execution and the CCN Project Coordinator will be responsible for monitoring progress against agreed benchmarks, and assessing the continued viability of the Project. The M&E process will include the following reports:</p> <ul style="list-style-type: none"> (i) Half yearly progress reports; (ii) Half Yearly financial reports; (iii) financial audit at project completion; (iv) co-financing report one month after the end of the project; and (v) project completion report and terminal 		
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	evaluation.		
Overall Rating for Monitoring	Highly Satisfactory		
Evaluation			
Is there an adequate plan for evaluation?	<p>The Terminal Evaluation will take place within six months of closing of all project activities. The evaluation will assess: (i) degree of attainment of project objectives in relation to plans and reasons for any variances; (ii) the organization established for project execution; (iii) implementation and acceptance of procedures and systems developed through the project; (iv) sustainability of the activities funded under the project; and (v) lessons learned that could be applied to future public sector reform projects.</p> <p>An independent terminal evaluation will take place at the completion of project implementation. The Evaluation and Oversight Unit of</p>	page 39 prodoc	Highly Satisfactory

	UNEP will manage the terminal evaluation process.		
Has the time frame for evaluation activities been specified?	Yes, activities will start within six months of project completion	PAD p.36	Highly Satisfactory
Is there an explicit budget provision for the terminal evaluation?	Yes, see the Costed M&E Plan	PAD p.37	Highly Satisfactory
Is the budget sufficient?	Yes, see the Costed M&E Plan	PAD p.37	Highly Satisfactory
Overall Rating for Evaluation	Highly Satisfactory		

6.5 CV of consultants

Johannah Bernstein

Johannah Bernstein
International Environmental Law Consulting

Curriculum Vitae

I. EDUCATION

Province of Ontario Bar Admissions Course

Law Society of Upper Canada (Toronto, Canada)
1988 to 1989

Articles of clerkship

Tory, Tory, Deslauriers and Binnington
1987 to 1988

Diploma in Legal Studies

Public International Law
Oxford University, Keble College
1986 to 1987

LL.B. (Bachelor of Laws)

Osgoode Hall Law School (Toronto, Canada)
1983 to 1986

B.A. Human Ecology

College of the Atlantic (Maine, USA)
1979 to 1983

II. PROFESSIONAL EXPERIENCE

Introduction

Johannah Bernstein is an international environmental lawyer with law degrees from Oxford University (United Kingdom) and Osgoode Hall Law School (Canada), as well as a B.A. degree in Human Ecology from the College of the Atlantic in Maine (United States). She was admitted to the Bar of the Province of Ontario in 1989.

Johannah Bernstein has over 20 years of professional experience advising UN organisations, national governments, the private sector and international non-governmental organisations on a wide spectrum of global sustainability challenges.

Her entire professional life has been devoted to the cause of multilateral environmental diplomacy and advocacy, starting first as director of the Canadian coalition of NGOs involved in the 1992 United Nations Conference on Environment and Development (Earth Summit), and then from 1992 to 2000, developing advocacy campaigns for international NGOs for most of the global summits of the 1990s and the United Nations environmental negotiations on climate change, biodiversity, and desertification, human rights, social development, the Millennium Development Goals.

Detailed overview of Johannah Bernstein's professional experience

1. Principal, Bernstein International Environmental Law Consulting

2000 to Present

International environmental law practice has focused on a wide spectrum of global sustainability issues and a broad portfolio of clients including national governments, international organisations, NGOs and the private sector.

Policy advice provided to international organisation clients such as: European Commission (DG Environment, DG Development), the Organisation for Security and Cooperation in Europe (OSCE), United Nations Environment Programme, United Nations Development Programme, United Nations Institute for Training and Development, UN Commission for Sustainable Development, the UN Economic Commission for Europe, WTO's International Trade Centre, UN Environmental Security Initiative.

National government clients have included and/or continue to include: the Environment and Foreign Affairs Ministries of the Governments of Canada, Sweden, Denmark, Finland, the United Kingdom, the Netherlands and Switzerland and the Johannesburg Renewable Energy Coalition (a coalition of 80 national governments).

NGO clients have included and/or continue to include World Wide Fund for Nature (WWF), World Conservation Union (IUCN), Stockholm Environment Institute the International Institute for

Environment and Development, International Centre for Trade and Sustainable Development, the International Institute for Sustainable Development, Worldwatch Institute, Green Cross International, Foundation for International Environmental Law and Development (FIELD) Climate Action Network US, the Institute for Environmental Security, APRODEV, and Friends of the Earth Europe.

Private sector clients have included: Unilever, BHP Billiton, Industry Facility, Sustainable Forestry Management Inc., Sustainable Seafood Inc., Maverick Asset Management. Most recently, Currently advising several clean-tech start-ups in their strategic positioning and capital raising.

In addition, since 1992, visiting lecturer on international law, global governance and environmental diplomacy at several universities in Europe and North America, including Columbia University (Biosphere 2 Earth Semester), the University of California at Santa Barbara (Bren School of Environmental Management), Duke University, McGill University, University of Geneva, University of Kent (Brussels School of International Studies), Geneva School of Diplomacy, and Joensuu University (Finland).

And since 1998, Johannah has developed and led UN environmental negotiation training programmes around the world for UNEP, UNITAR, WWF, LEAD International, the Heinrich Boell Foundation and Environment Canada. She has trained over 300 environmental negotiators in the past ten years.

See *Annex A* for detailed information about consulting practice and *Annex B* for training and facilitation experience and *Annex C* for list of recent publications.

2. Director, EU Office, Stockholm Environment Institute (Brussels, Belgium)

1998 to 2000

Established and managed Stockholm Environment Institute (SEI) EU office in Brussels. Advised SEI clients on a wide range of EU environmental policy issues. Liased with EU institutional actors and key stakeholders in the development of policy reform initiatives.

3. Director, UN Office, Earth Council (UN Headquarters, New York)

1995 to 1998

Established and managed The Earth Council's UN office in New York. Developed and led Earth Council advocacy initiatives directed towards the UN Commission on Sustainable Development and several of the global summits of the 1990s including the 1997 five-year review of the UN Conference on Environment and Development.

4. Director, EU Office, EarthAction (Brussels Belgium)

1992 to 1995

Established and managed EU office for EarthAction International, a global citizen advocacy network focused on environment, development and peace issues. Monitored EU development and

environment policy tracks and developed and coordinated EarthAction's European network of NGOs.

5. Executive Director, Canadian Participatory Committee for UNCED (Ottawa)

1990 to 1992

Established and ran the CPCU, a multi-stakeholder alliance of Canadian NGOs involved in the 1992 Earth Summit. Developed and coordinated advocacy initiatives focused on the Canadian Government's preparations for the Earth Summit and established and coordinated international NGO advocacy initiatives focused on the UNCED Preparatory Committee negotiations. Advised the Canadian Government in its substantive preparations for the Earth Summit.

Languages

Fluent in English and French.

In Canada

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APPENDIX B

Johannah Bernstein Environmental Diplomacy Training and Facilitation

I. MULTILATERAL DIPLOMACY TRAINING EXPERIENCE

In addition to international environmental law university teaching (McGill, University of Geneva, Duke University, University of Kent, and Columbia University) Johannah has developed and led environmental negotiation training programmes for UNEP, UNITAR, and the OSCE, in all regions of the world since 1992. Environmental diplomacy training and expert facilitation experience are described in more detail below.

UNEP Environmental Diplomacy Certificate Course

Designed and led climate diplomacy modules (including UNFCCC negotiation simulation) each year in the annual certificate course in environmental diplomacy, which UNEP co-convened with the University of Geneva (2006, 2007, 2008, and 2009).

UNEP-University of Geneva Global Environmental Policy Programme

Currently engaged by UNEP Regional Office for Europe to develop and lead a new module on international institutions in the Global Environmental Policy Programme executive training programme, which UNEP is co-organising with the University of Geneva (ongoing).

UNEP Environmental Security Initiative

Collaborating with UNEP in the design of a training programme on environmental security for ENVSEC focal points in all the ENVSEC member states (ongoing).

UNITAR Multilateral Diplomacy Programme

Designing and moderating Green Diplomacy Training Programme, as well as modules on corporate social responsibility and other global sustainability topics (ongoing).

Environment Canada Chemical MEAs Training Programme

Designed and led a three-day training programme for all of Environment Canada's Chemical Management Branch. The programme included a one-day negotiation simulation of a fictional Conference of the Parties to the Stockholm Convention (2010).

LEAD International Environmental Negotiations Training

Designed and led numerous training programmes on international environmental negotiations for LEAD's international programmes (targeted to young professionals in the public and private sectors). Most recently, designed and led a one-week training programme on the EU's Climate and Energy Policy for LEAD Europe cohorts (2009).

OSCE Environmental Security Strategy

Facilitated two-day expert working group on the first ever environmental security strategy, which I also drafted for the Spanish Chairmanship of the OSCE (2007).

UNEP-OSCE Training Programme on Energy Security

Designed and co-led two-day module on energy security for OSCE diplomats in Vienna (2008). This involved a one-day negotiation simulation on a fictional UN Convention on Sustainable Energy.

UNEP EU Environmental Diplomacy

Designed three-day training programme on EU environmental diplomacy in collaboration with the College of Europe in Bruges and UNEP Regional Office (2008).

IUCN NGO Advocacy Training

Designed and led a one-day training programme for IUCN regional offices on strategies and tactics for influencing MEA negotiations (2008).

Heinrich Bohl Foundation Advocacy Training Programmes for NGOs

Designed and led five-day advocacy training programmes for Central Asian, Balkan and Baltic NGOs on EU environmental policy-making processes (2004 and 2005) and on the European Neighbourhood Policy (2006 and 2007).

UNITAR Multilateral Diplomacy Programme

Designed and led five-day MEA negotiation training modules in Johannesburg for South African environmental negotiators and in Bangkok for South East Asian negotiators (2004).

UNEP-Joensuu Environmental Diplomacy Course

Designed and led two-day module for environmental negotiators on MEA negotiations and led negotiation simulation on a fictional UN Convention on Sustainable Forestry (2004 and 2005).

UNITAR MDG Training for Arab Parliamentarians

Designed two-day training for Arab Parliamentarians on strategies for implementing the MDGs in the Middle East (2004).

II. EXPERT FACILITATION and MODERATION EXPERIENCE

Over the past years, Johannah has also chaired and facilitated countless conferences, expert dialogues and roundtables on a wide range of global sustainability issues. Examples of key facilitation assignments include:

- 2012 Verbier 3-D Foundation roundtable on the role of art in nature conservation
- 2012 Workshop on corporate responsibility for Vattenfall (Sweden's state owned energy utility)
- 2011 Staff retreat for United Nations Environment Programme Regional Office for Europe (ROE)
- 2010 International Mountain Day for UNEP, Swiss Development Cooperation Agency and Verbier Green Pioneering Summit.
- 2010 UNEP major group and stakeholder consultations on international environmental governance and the Green Economy.

- 2009 UNEP Retreat for Regional Offices on the One UN Process.
- High-level event on climate change at IUCN's 2008 Congress.
- 2009 Policy Dialogues on Climate Diplomacy for the Tällberg Foundation (2009).
- Expert seminars on sustainable development governance hosted by the Finnish Foreign Ministry (2006).
- Stakeholder consultations on sustainable consumption for Worldwatch Institute (2006).
- Expert consultations on environmental security for the Organisation for Security and Cooperation in Europe (OSCE) (2006).
- Stakeholder consultations convened by the Dutch Government on the UN Commission for Sustainable Development (2005).
- Stakeholder consultations convened by the Swedish Government on the EU Sustainable Development Strategy (2004).
- Stakeholder roundtable consultations convened by WWF on the EU External Dimensions Strategy (2003).
- Expert policy dialogue on Sweden's global policy review hosted by the Stockholm Environment Institute (2003).
- Stakeholder consultations convened by the Danish Government for Rio+10 (2002).
- Stakeholder consultations for the European Commission on Rio+10 (2001).

ANNEX C

JOHANNAH BERNSTEIN

List of Reports, Articles and Briefing Papers

1999-2013

Bernstein, J and Gray, K. *Case Studies: The Role and Contribution of Major Groups to Promoting Sustainable Consumption and Production Patterns*. Prepared for the Seventh Session of the United Nations Commission on Sustainable Development. April 30, 1999.

Bernstein, J. *Analysis of UNEP Executive Director's Report on International Environmental Governance*. Prepared for the Stakeholder Forum Workshop. May, 2001.

Bernstein, J. *Recent Developments in International Environmental Governance in Relation to International Trade Policy: Looking forward from the WSSD*. Prepared for Ecologic International Workshop on "Architecture of the Global System of Governance of Trade and Sustainable Development". December 10, 2002.

Bernstein, J. *Promoting Gender Equality, Providing Energy Solutions: Preventing Climate Change*. Report prepared for the Swedish Ministry for the Environment for the 9th Substantive Session of the UN Climate Change Conference of the Parties. December 17, 2003.

Bernstein, J. *The Hague Conference on Environment, Security and Sustainable Development*. Discussion Paper prepared for the Institute for Environmental Security. May 7, 2004.

Bernstein, J. *Sustainable Development Governance Challenges in the New Millennium*. Prepared for the University of Joensuu Finland and UNEP for the Training Workshop on International Environmental Law-Making and Diplomacy. 2005.

Bernstein, J. *Synergising Sustainable Consumption and Competitiveness*. Final Report prepared for Germanwatch and Worldwatch Institute. March 29, 2005.

Bernstein, J. *The Art and Science of Multilateral Negotiations*. Prepared for the University of Joensuu Finland and UNEP Training Course on International Environmental Law-Making and Diplomacy. August 24, 2005.

Bernstein, J. *Charting the Sustainable Development Governance Reform Process*. Discussion Paper prepared for LEAD International. September 10, 2005.

Bernstein, J. and Kingham R. *A New Environmental Security Strategy for the Organisation for Security and Cooperation in Europe (OSCE)*. Prepared for the Organisation for Security and Cooperation in Europe. April, 2005.

Bernstein, J. *The Policy Relevance of the Earth Charter for Europe*. Paper prepared for the Maastricht Forum on the Future of Europe at Maastricht University, The Netherlands. May 11, 2007.

Bernstein, J. *Consultation Paper on Sustainable Consumption and Production and Sustainable Industrial Policy*. Submission prepared for UNILEVER for the European Commission. November 22, 2007.

Bernstein, J. *The Importance of Forest-Based Carbon Credits for Sustainable Land Use, Biodiversity Conservation and Poverty Eradication*. Submission to the European Commission for its Review on the Economics of Biodiversity Loss prepared for World Conservation Society, CARE International, Rainforest Alliance, GFA ENVEST, Durrell Institute for Conservation Ecology, Climate, Community and Biodiversity Alliance and Sustainable Forestry Management Ltd. December 27, 2007.

Bernstein, J. *The Development Imperative for Including Forest Credits in the EU Emissions Trading Scheme*. Draft Position paper prepared for Sustainable Forestry Management Ltd. April 30, 2008.

Bernstein, J. *The Importance for Rainforest Nations of Lifting the Ban on Forest Carbon Credits in the EU ETS*. Background Paper prepared for Sustainable Forestry Management Ltd. May 11, 2008.

Bernstein, J, Kok, M, Pinter, L, Tsoumani, E and Tyler, S. *Ecosystem Goods and Services and International Policies: Making the Connections*. Paper prepared for the Netherlands Environmental Assessment Agency and International Institute for Sustainable Development. July, 2008.

Bernstein, J with assistance from Berglas R, Wenger S and Zalucky, H. *Personal Emission Trading: Opportunities and Challenges*. July 16, 2008.

Bernstein, J with assistance from Berglas, R and Zalucky, H. *Market Mechanisms for REDD: Implications for Commonwealth Countries*. Discussion Paper prepared for the International Centre for Trade and Sustainable Development. July 21, 2008.

Bernstein, J. *Ethics and the Challenges of Saving Gaia*. Paper written for the Dutch National Committee on Sustainable Development. August 22, 2008.

Crawford, A. and Bernstein, J. *Multilateral Environmental Agreements - Conservation and Conflict; A Case Study of Virunga National Park, Democratic Republic of Congo*. Published by the International Institute for Sustainable Development. September, 2008.

Bernstein, J., *The Earth Charter and Human Rights*. Discussion Paper prepared for the National Committee for International Cooperation and Sustainable Development (NCDO) for the 61st Annual DPI/NGO Conference Reaffirming Human Rights for All. Paris, France. September 3, 2008.

Bernstein, J and McGraw, D. *Policy Primer – From Kyoto to Copenhagen*. Prepared for former US Vice-President Al Gore. December 1, 2008.

Bernstein, J. *Value of Sustainable Energy*. Prepared for Verbier Green Pioneering Summit. 2009.

Bernstein, J. *The State of the World's Glaciers*. Prepared for the Tällberg Foundation's Learning Journey to Greenland. May 3, 2009.

Bernstein, J. *Lessons from White Earth*. Article published in Dagens Nyheter, Stockholm . June 2, 2009.

Bernstein, J. *Overview of Corporate Social Responsibility*. Prepared for the Duke University Economic Governance and Trade Program on Global Policy and Governance. June 25, 2009.

Bernstein, J. *CSR and the Extractive Industry*. Prepared for the Duke University Economic Governance and Trade Program on Global Policy and Governance. June 25, 2009.

Bernstein, J. *Tracking Global Governance Reform*. Report prepared for the Tällberg Foundation. October 12, 2009.

Bernstein, J. *Redesigning Climate Governance: Defining a Safe Operation Space for Humanity*. Briefing Paper prepared for the Tällberg Foundation. October 14, 2009.

Bernstein, J. *Legal Options for the Copenhagen UN Climate Conference*. Briefing Paper prepared for Aprove. November, 2009.

Bernstein, J. *Save the Kyoto Protocol*. Position Paper prepared for Aprove. November (6), 2009.

Bernstein, J. *State of Play of International Environmental Governance*. Briefing Paper prepared for FIELD. March, 2010.

Bernstein, J, Jospe, D, Sherer, L and Turley, A. *Assessing the Value of Civil Society Involvement in IPBES Governance*. Briefing Paper prepared for IUCN. May 20, 2010.

Bernstein, J. *Environmental Diplomacy – from Stockholm '72 to Rio 2012*. Prepared for Duke University Program on Global Policy and Governance course on Environment and Sustainable Development. June 28, 2010.

Bernstein, J. *A Review of Public Sources for Financing Climate Adaptation and Mitigation. Preliminary Discussion Paper*. Prepared for the Climate Action Network US as the NGO submission to the UN High-Level Advisory Group on Climate Finance. July 22, 2010.

Bernstein, J. *Policy, Legal and Institutional Environmental Framework*. Chapter written for the Second Environmental Performance Review of Bosnia and Herzegovina, Published by the UN Economic Commission for Europe, August 2010.

Bernstein, J. *Framework Conditions for Effective Environmental Negotiations*. Discussion Paper prepared for the UN Economic Commission for Europe. September 3, 2010.

Bernstein, J. *Possible Forms for the Outcome of UNFCCC- COP 16*. Briefing Paper prepared for Aprove. September 25, 2010.

Bernstein, J and Ballingal, T, and Smith, J. *Major Groups and Stakeholders Consultation on International Environmental Governance*. Final Report Prepared for the United Nations Environment Programme. October 25, 2010.

Bernstein, J., Ballingal, T, and Smith, J. *Major Groups and Stakeholders Consultation on the Green Economy*. Final Report Prepared for the United Nations Environment Programme. October 25, 2010.

Bernstein, J. *Evidence from the Ice*. Background Paper written for the Swiss Development Cooperation Agency and the United Nations Environment Programme in preparation for UN International Mountain Day. December 11, 2010.

Bernstein, J. *Critical Mountain Issues for Vulnerable Mountain Communities*. Background Paper written for the Swiss Development Cooperation Agency and the United Nations Environment Programme in preparation for UN International Mountain Day. December 11, 2010.

Bernstein, J. *Greening the Ski Industry*. Background Paper written for the Swiss Development Cooperation Agency and the United Nations Environment Programme in preparation for UN International Mountain Day. December 11, 2010

Bernstein, J. *Breaking the International Environmental Governance Deadlock: Learning from Other Regimes*. Discussion Paper prepared for University of Geneva and UNEP. January 2, 2011.

Bernstein, J. "Innovations in Sustainability Governance in the UNECE region". Official background paper prepared for the UNECE Regional Preparatory Committee Meeting December 1-2, 2011.

Bernstein, J. "Training modules on Green Diplomacy". Prepared for the United Nations Institute for Training and Research". May 2012.

Bernstein, J. "Innovations in Sustainability Governance in the UNECE region". Official background paper prepared for the UNECE Regional Preparatory Committee Meeting December 1-2, 2011.

Bernstein, J., Anders Wijkman and Johan Rockstrom. "Nobel challenge to world leaders at Rio+20: Time to tip the balance towards sustainability". Article published in the International Herald Tribune. June 9, 2012.

Bernstein, J. "Training modules on environmental governance". Prepared for the United Nations Institute for Training and Research". November 2012.

Bernstein, J. and W. Dewit. "Extended Functional Review of the UNEP Mediterranean Action Plan". Report prepared for the United Nations Environment Programme. January 2013.

Bernstein, J. " UNEP Guidebook on Sustainable Agriculture". Guidebook prepared for the United Nations Environment Programme. January 2013.

Bernstein, J. "Geneva as a unique centre of global governance". Presentation to the University of Geneva roundtable on global governance. July 12, 2013.

Links to Johannah Bernstein's mountain videos

- *Celebrating Pachamama*, Video produced for the World Mountain Forum, funded by the Swiss Development Cooperation Agency.
<http://klewel.com/conferences/verbiergps2011/iframe.php?talkID=24&lang=>
- *Conserving Pachamama*- Video produced for the World Mountain Forum 2011, funded by the United Nations Environment Programme.
<http://klewel.com/conferences/verbiergps2011/iframe.php?talkID=5&lang=>
- *Constructing on Pachamama*- Video produced for the World Mountain Forum 2011, funded by the Swiss Development Cooperation Agency.
<http://klewel.com/conferences/verbiergps2011/iframe.php?talkID=19&lang=>

Ojijo Odhiambo

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Language: English

Marital Status: Married

Email: ojijo.odhiambo@undp.org or

Trainings and Academic Qualifications

- | | |
|----------------|--|
| 1989 - 1991 | Masters of Science in Agricultural Economics (Development Economics as a major) - University of Nairobi. |
| 1986 - 1989 | Bachelor of Science in Agriculture (First Class Honours) - University of Nairobi. |
| 1991 – to date | Short-term training courses on Policy Analysis and Research including refresher courses in modelling. |

Key Skills and Professional Interests

- Policy Research and Analysis – with specific interest in Poverty, Economic Development, and Governance
- Monitoring, Evaluation, and [Impact] Assessment
- Advocacy, Report Writing and Effective Communication
- Strategic Planning
- Capacity Development – Training and Mentoring.

3.1 Jan 2009 to present United Nations Development Programme –Regional Bureau for Africa – Duty Station, Windhoek, Namibia.

Position: Senior Economist/Economics Advisor and Head of Strategy and Policy Unit.

Responsible for/ Generic ToRs:

- Provision of high quality economic input to UN Country Team/UNDP programmes through compilation, analysis and interpretation of economic and statistical data.
- Provision of top quality and innovative policy advisory services to the Government of Namibia on the basis of analyses and syntheses of macro-economic and MDG-related information and best practices and facilitation of capacity development and knowledge building and management in support of pro-poor growth and the attainment of MDGs.
- Creation of strategic partnerships with the Government of Namibia, the UN Agencies, IFIs, bi-lateral and multi-lateral donors, private sector and civil society, especially in relation to the MDGs and donors' priorities and implementation of resource mobilization strategy.
- Advocacy and promotion of awareness of UNDP mandate, mission and purpose with respect to the Millennium Development Goals, human development and equitable economic growth.
- Monitoring of poverty reduction and progress towards the achievement of the MDGs.
- Performance of senior management functions in the Country Office.

Highlights of Main Achievements:

- (2011): Coordination of the Country Situational Analysis/ Common Country Assessment . Currently undertaking final edits of the report for publication.
- (2012 -2013): Coordination, provision of technical guidance to and drafting of the United Nations Partnership Framework (UNPAF) 2014 -2018 for Namibia and the UNDP Country Office Country Programme Document (CPD) 2014 -2018. UNPAF and CPD document available at http://www.na.undp.org/content/dam/namibia/docs/legalframework/undp_na_UNPAF_26%20July%202013.pdf
- (2011 – 2012) Coordination and co-drafting of as well as spearheading advocacy work around Namibia’s Aid for Trade Framework and Strategy. Document available at <http://www.na.undp.org/content/namibia/en/home/library/poverty/tradeframestrat/>
- (2010 -2013) Conceptualization of, and together with other partners developing and institutionalizing the concept of Namibia Index of Multiple Deprivation (NIMD). To date one national and 13 regional reports have been produced using the 2001 Census data and are available at <http://www.na.undp.org/content/namibia/en/home/library/poverty/> and another set are currently being produced using the 2011 Census data.
- (2013) Resource mobilization for, coordination, technical guidance and drafting of the Namibia Millennium Development Goals Report 2013. Also drafting and editing of the Namibia Millennium Development Goals Reports 2008 and 2010. All reports available at <http://www.na.undp.org/content/namibia/en/home/mdgoverview/>
- (2009 -2013) Resource mobilization for, coordination, technical guidance and drafting of report of Effects of VAT Zero Rating of Basic Commodities on Poor Households in Namibia and Effects of Public Works Programmes on Poverty and Inequality in Namibia.
- (2012 -2013) Coordination, technical guidance and drafting of report of Domestic Resource Mobilization in the Context of NEPAD and Other Infrastructure Projects in Namibia.
- (2013 – still on-going) Conceptualization and coordination of a poverty analysis and mapping at small area level in Namibia and training of national counterparts and drafting of final reports.
- (2013 – still on-going) Conceptualization and coordination of the Namibia Index of Multiple Deprivation (using 2011 national population census) and drafting of final reports.

3.2 Feb 2008 to Dec 2008

United Nations Children Fund (UNICEF) Kenya – (*On Secondment from UNDP Kenya*)

Position:

Lead Consultant responsible for conducting “Situation and Women in Kenya”.

Analysis of Children

Responsible for/ToRs:

- Identifying the causes and linkages between the issues affecting the rights of children and women and the potential hazards to their well being
- Identifying the country’s human and organizational capacities and gaps and how these could be addressed
- Identifying the necessary actions that can help realize the rights of children and women in Kenya

Main Achievement:

Report of ‘2009 Situation Analysis of Children, Young People and Women in Kenya: Securing Kenya’s Future in the Hands of Children and Young People’ produced. Document available at: www.nccs.go.ke/index.php?option=com_docman&task=doc...5...

3.3 Feb 2004 to Feb 2008

United Nations Development Programme, Nairobi, Kenya.

Position

Advisor – Millennium Development Goals (MDGs) responsible for: coordinating, overseeing and directing activities of the MDGs Unit.

Responsible for:

- MDGs Needs Assessment and Costing Exercise –developing the Kenya specific Concept Note and coordinating the exercise
- Supporting Government of Kenya in Mainstreaming MDGs within the Policy, Planning, Budgeting, Monitoring and Reporting frameworks, including the development of long-term MDG-based strategy and the impending revision of the ERS (Kenya’s medium-term PRS).
- Coordinating the implementation of UNDP/SNV programme on local level actors and the MDG/PRS process in Kenya and capacity building functions for district level line ministry and CSOs staff under the larger (government-led) MDGs Mainstreaming Project.
- Millennium Development Goals campaign and advocacy work at the national and sub-national levels, bringing on board all sectors – public, private and civil society- as well as development partners
- Promotion of enhanced understanding and utilization of Sector Wide Approaches (SWAPs) in project planning and implementation at the national level.
- Strengthening and supporting Monitoring and Evaluation of the Economic Recovery Strategy for Wealth and Employment Creation (Kenya’s PRSP) and periodic reporting on progress towards the attainment of the MDGs.
- Promotion of Policy Research and Analysis on MDGs through development of scope(s) of work and identification of competent institutions and individuals to carry out assignments.
- Secretary of the UNDAF Poverty, Hunger and Partnerships (MDGs 1 and 8) Theme Group and the MDGs Mainstreaming Project Steering Committee meetings.

3.4 October 2000 to Jan 2004 United Nations Development Programme – Kenya Country Office and Government of the Republic of Kenya, Nairobi, Kenya.

Position **Programme Advisor – Good Governance for Poverty Eradication Programme serving as the principal Policy Advisor to the Government of Kenya on matters of good governance and poverty reduction.**

Responsible for:

- Technical backstopping on matters of Good Governance to all Government Departments under the UNDP/Government of Kenya Country Cooperation Framework generally, and specifically under the Good Governance for Poverty Eradication with focus on *inter alia* the comprehensive review of the constitution; work on devolution/decentralization policy and law; strengthening the role of Parliament, support for judicial reforms; support for voter education; formulation of policy on NGO Sector and strengthening of the electoral system in Kenya.
- Provision of technical advise to the Poverty Reduction Strategy Paper (PRSP) consultation and drafting process in respect of good governance and formulation of a national framework for monitoring and evaluation.
- Derivation of content and drafting of the Economic Recovery Strategy for Wealth and Employment Creation; the Investment Programme for the Economic Recovery Strategy and Consultative Group (CG) meeting working documents
- Provision of inputs, from a governance perspective, into government policy documents including the budget speeches.
- Overseeing the execution by the Government of Kenya, the UNDP funded Good Governance for Poverty Eradication Programme, which was implemented by government departments, research institutions and NGOs.

3.5 February 1997 to ‘Sept.2000. **Resource Management and Policy Analysis Institute (REMPAI), Nairobi Kenya.**

Position **Founder Director**

- Responsible for Policy Research and Capacity Development functions.
- Provided technical backstopping and oversaw the execution of consultancy assignments.

3.6 July 1999 to April 2000 **The All Africa Conference of Churches (AACC), Nairobi, Kenya and Lome, Togo**

Position **Consultant Resource Person**

- Co-ordinator of the Lome IV Convention Capacity Building Project
- Developed the AACC position paper on development co-operation between the EU and ACP countries.
- Initiated the production of *Baobab* – Newsletter of Economic and Social Justice in Africa.

3.7 January 1994 to February 1997. Kenya Energy and Environment Organisation (KENGO), Nairobi, Kenya.

Position **Principal Officer and Senior Resource Economist**

- Head of Environment and Development Policy Department. Overall responsibility for co-ordination of all policy research work at both the national and regional levels.
- Responsible for resource mobilization, human resource development and strategic planning.

Also Head of Desertification Policy Analysis and Trade and Environment Unit.

- Responsible for the co-ordination of policy research and advocacy on issues of desertification, especially in line with the United Nations Convention to Combat Desertification.
- Instrumental in the establishment and initially co-ordinated the African Working Group on Trade, Environment and Sustainable Development.

3.8 September - December 1993 Environment and Development Resource Centre (EDRC), Brussels - Belgium.

Position **Trade, Environment and Sustainable Development Advisor**

- Review of all papers for presentation during the EDRC/ European Parliament Conference on Trade and Environment.
- Advise the Centre Director on modalities for the incorporation of Southern NGOs and Governments participation in a post-Rio (UNCED) and pre-Copenhagen (Social Summit) global NGO meeting.

3.9 March - September 1993 **Kenya Energy and Environment Organisations KENGO), Nairobi, Kenya.**

Position **Planning Officer**

- Responsible for long-range planning and co-ordination of NGOs' participation in national planning processes.
- Produced a five-year organisational development plan
- Worked closely with the Ministry of Planning and National Development of Kenya in the preparation of the Sixth National Development Plan.
- Developed a concept paper for an environmental policy symposium for Kenyan parliamentary legislators.

3.10 December 1991 -March 1993 KENGO Professional Services Ltd., Nairobi. Kenya

Position **Manager**

- Responsible for consultancy proposal development, negotiations for consultancies and overseeing the execution of the consultancy assignments.

3.11 August 1991- December 1991 **Kenya Energy and Environment Organisations (KENGO), Nairobi, Kenya.**

Position **Consulting Economic Analyst**

- Documentation and quantification of the activities carried under the field extension programme in Kenya
- Determination of economic viability of selected field activities.

Published Papers:

- Odhiambo, Ojijo and Odada John E. (2010): Addressing the Plight of Poor Households by Zero Rating Value Added Tax on Basic Commodities in Namibia. IPC-IG Working Paper No. 72. Available at <http://www.ipc-undp.org>
- Odhiambo, Ojijo (2012): Towards a Common Vision: Pulling Together or Apart? A Review of Sub-national Patterns of Multiple Deprivation in Namibia. IPC-IG Working Paper No. 92. Available at <http://www.ipc-undp.org>
- Odhiambo Ojijo and Ashipala Johannes (2012): A Spatial Analysis of sub-National Deprivation in Multiple Domains in Namibia: A Case Study of Kavango Region. Available at <http://www.worldwewant2015.org/node/282870>

Accepted Peer Reviewed Journal Papers:

Odhiambo, Ojijo and Odada, John E (forthcoming) "Effects of Zero Rating Value Added Tax in Government Revenue in Namibia: A Partial Equilibrium Analysis": *African Journal of Economic and Management Sciences*.

Odhiambo, Ojijo and Ziramba, Emmanuel (forthcoming) "Mobilising Domestic Resources for Development Financing in Namibia – Constraints and Opportunities": *International Journal of Business and Social Science*.

Peer Review of Journal Papers

- 2011: Agricultural Sector Outsourcing and Political Risks: The Case of Kenya's Flower Trade with the EU. Available at <http://www.africaeconomicconference.org/2011/papers/html>
- 2013: "Does Access to Local Markets Influence Child Labour in Rural Uganda?" for the African Journal of Economic and Management Studies.

Other Paper Reviews:

- 2013: Effective Partnerships for Accelerating the Millennium Development Goals (MDGs) at the sub-National level: Evidence from the Implementation of Nigeria's Conditional Grant Scheme (CGS).

Client	<i>United Nations Environment Programme (UNEP), Nairobi</i>
Period	November 2013 – January 2014
Assignment	Terminal evaluations of two projects: 'The Globe Legislator Forest Initiative' and 'Partnering for Natural Resource Management – Conservation Council of Nations', both of which are concerned with strengthening of the capacity of global parliamentarians to formulate and implement sound policies, programs and practices for conservation and sustainable natural resource management.
Client	<i>United Nations Environment Programme (UNEP), Nairobi</i>
Period	May - June 2000

Assignment	Development of training materials and training on State of the Environment and Retrospective Policy Analysis for [Sub-regional] Collaborating Centres in Africa responsible for preparation of sub-regional inputs for the Global Environment Outlook - 3 report.
Period	July -August 2000
Assignment	Member of the core team of experts preparing the eastern Africa sub-regional input for the Global Environment Outlook - 3 report. Responsible for further training on State of Environment and Retrospective Policy Analysis in Eritrea and Kenya and preparation and presentation of final sub-regional report.
Period	June - October 1995
Assignment:	Critical Evaluation of Environmental Assessment and Reporting policies and practices in Eastern Africa (i.e. Burundi, Comoros, Djibouti, Ethiopia, Eritrea, Kenya, Madagascar, Mauritius, Reunion Islands, Rwanda, Seychelles and Uganda). The consultancy assignment, which involved consulting with governmental and other key stakeholders and organising a regional workshop, was aimed at developing a strategy for UNEP's intervention in the area of Environmental Assessment and Reporting at national and regional levels.
Client	<i>United Nations Institute for Training and Research(UNITAR) Geneva.</i>
Period	October 2000
Assignment	Design and development of Integrated State of the Environment/Policy Analysis Training Modules and training of representatives of national focal institutions in the SADC countries.
Client:	<i>The African Centre for Technology Studies(ACTS), Nairobi and WWF International, Washnington D.C.</i>
Period:	September - November 1996
Assignment:	Building on the experience of the implementation of Structural Adjustment Operations in Kenya, to develop the concept of Environmental Adjustment Programme and a framework for requisite changes in the environment sector in order to attain environmental sustainability in Kenya.
Client	<i>East Africa Co-operation Secretariat (Sub-Contract), Arusha</i>
Period	March - April 2000
Assignment	Freeing Cross-Border Trade in Agricultural Products- Identification of Tariff and Non-tariff Barriers to Agricultural Trade in the Region and making proposals for freeing cross-border trade in the region.
Client	<i>Technoserve Inc./United States Agency for International Development, Nairobi.</i>
Period	January - February 2000
Assignment:	Study on the "Impact of Liberalising Trade between Tanzania and her Neighbours".
Period	January 1999 - June 1999
Assignment	Preparation of Commodity Policy Briefs based on the results of Informal Cross-Border Trade Studies conducted in eastern and southern Africa.
Client:	<i>United Nations Development Programme/Government of Kenya, Nairobi.</i>
Period	November - December 1999

Assignment: Review of the UNDP/Government of Kenya Country Cooperation Framework Programme Support Documents on “*Good Governance for Poverty Eradication*” and “*Gender Mainstreaming and the Empowerment of Women*”.

Period: January - March 1998

Assignment: Assessment of Capacity Development Needs for CBOs and CBOs in Kenya and development of a programme of action for capacity building for selected NGOs and CBOs as part of the implementation of the National Action Programme provided for under the United Nations Convention to Combat Desertification (UNCCD).

Client: *Oxfam (GB) Kenya/DfID, Nairobi.*

Period: March - May 1998

Assignment: Participatory development of the work with Agricultural Communities in Kenya. The task involved analysis of key issues relating to food security in Kenya, in particular, and the East and Central Africa region, in general, as well as developing a framework for implementation of the proposed [expanded] food security programme.

Period: October - December 1997

Assignment: Economic Impact Assessment of the Wajir Pastoral Development Project. Led a team of international consultants that described and quantified the economic, social and institutional impact OXFAM's work with pastoral communities in Wajir District in Kenya.

Client: *World Neighbours Inc. - East Africa*

Period: June - August 1997

Assignment: Review of the natural resources management components of the Kenyan programmes and development of an implementation framework for enhanced programme activities.

Client: *Bread for the World - Stuttgart, Germany.*

Period: September 1996 - March 1997.

Assignment: Study of the effects of rising global cereal prices on low income food deficit countries of Africa and the realisation of compensatory measures promised under the Uruguay Round of Multilateral Trade Negotiations.

Client: *GTZ and the National Council of NGOs in Kenya, Nairobi*

Period: September 1996

Assignment: To prepare and present background document on Economic Development and Environment for a NGO meeting on Social Dimensions of Development Programme in Kenya.

Client: *Kenya National Farmers Union (KNFU), Nairobi and The Protestant Farmers Association of Wuttemberg, Germany*

Period: June - July 1996

Assignment: To prepare background paper for the African farmers regional meeting on "Food Dumping and Its Effects on Farmers". Additionally I was asked to draft the keynote speech and present a paper on "Food Dumping in Relation to Structural Adjustment Programmes, International Trade and Agricultural Policies in Africa".

Client: *Ministry of Environment and Natural Resources and Finnish International Development Agency (MENR/FINNIDA), Nairobi*

Period January - May 1995

Assignment: Initially to prepare thirty project profiles being the first step in the implementation of the Kenya Forestry Master Plan. Thereafter to prepare three project documents for actual implementation of the Kenya Forestry Master Plan.

Period December 1992 - February 1993

Assignment: Determination of the Shadow Pricing procedure for forest and related products in Kenya. The study also involved determination of actual shadow prices for the said products.

Period December 1992

Assignment: Preparation of a "Users Manual for Project Document Preparation with special emphasis on the Forestry Sector".

Period June December 1992

Assignment: Initiation and Development of District Level Forestry Development in Ten Pilot Districts in Kenya.

Period March June 1992

Assignment: Evolving modalities for NGOs' involvement in Forestry Development in Kenya.

Period November - December 1991

Assignment: Determination of the Demand and Supply Situation for the Non-Wood Forest Products in Kenya.

Participation and Paper Presentations in Selected International Symposia, Conferences and Workshops

16 17 November 2013	Participated in the Global Landscapes Forum: Shaping the climate and development agenda for forests and agriculture held in Warsaw, Poland.
30 Oct- 2 Nov 2012	Participated (as participant and rapporteur) in the 2012 African Economic Conference held in Kigali, Rwanda.
November 2010	Participated (as rapporteur) in the African-China Poverty Reduction and Development Conference held in Addis Ababa, Ethiopia.
September 2005	Participated in the World Summit 2005 held in New York and organized the Kenyan side event on "Progress On the MDGs in Kenya".
February 2001	Participated in the UNEP Workshop on Fisheries Subsidies organised by UNEP and held in Geneva Switzerland. Also participated in the deliberations of the Committee on Trade and Environment of the World Trade Organisation.
November 1999	Participated at African, Caribbean and Pacific Civil Society Organisations Forum on Beyond Lome IV Convention: Ideas for the Future; held in Douala, Cameroon.
March 1999	Participated in the High Level symposium on Trade and Environment and Trade and Development convened by the Director General of the World Trade Organisation and held in Geneva, Switzerland.
February 1999	Presented a paper on "Trade and Environment - Conflicts and Synergies: Priority Issues for sub-Saharan Africa at a meeting held in Harare, Zimbabwe.
November 1998	Presented the Oxfam Wajir Pastoral Project Case Study at an impact Assessment workshop convened by Oxfam and held in the United Kingdom.
April 1998	Presented a paper on Multilateral Environmental Agreements and Trade liberalization at the Trade and Environment Symposium held in Geneva Switzerland.
November 1997	Presented a paper at the African Caribbean and Pacific (ACP) NGOs workshop convened to discuss the coming to an end of Lome IV and issues for consideration in the post-Lome IV era and held in Entebbe, Uganda.
March 1997	Presented a paper on " The Effects of Rising Cereal Prices on Least Developed and Net Food Importing Countries and the Realisation of Compensation Measures Promised under the Uruguay Round of Multilateral Trade Negotiations" at a meeting organised for European NGOs, members of parliament and policy makers held at Aachen, Germany.
January 1997	Organised the Eastern and Southern Africa regional consultation meeting to review the United Nations Conference on Environment and Development (UNCED)/Rio process. The consultation was part of a global process being co-ordinated by the Earth Council in San Jose, the recommendations of which were presented to the Special Session of the United Nations General Assembly in 1997.
November 1996	National Workshop on Implementation of the Convention on Biological Diversity: Presented a paper on Financial Resources and Mechanisms - New and Additional Financial Resources for Biodiversity Conservation and Sustainable Use. Participated at the World Food Summit in Rome, Italy. Presented the keynote address to the workshop on Trade and Sustainable Agriculture organised during the summit.

	Participated at the African Centre for Technology Studies/WWF workshop on "Environment Adjustment Operations in Kenya held in Nairobi, Kenya.
May 1996	Participated at a UNEP/GEF-NGO consultation in Geneva, Switzerland. This strategy evolution workshop, which was aimed at forging new partnerships between UNEP and the NGO community on modalities of effecting GEF work in the four focal areas, drew a select group of NGO personalities with expertise and experience on GEF issues.
April 1996	Participated at the fourth session of the United Nations Commission on Sustainable Development in New York, USA. As part of the NGO preparations for this meetings I organised a two-day pre-event meeting to map out NGO working strategies for the meeting.
February 1996	Participated at the second session of the six-member GEF-NGO working committee. Prepared final version of document tabled before the GEF Council. Recommendations of this working committee have since been submitted to the governing council of the Global Environment Facility (GEF) and have served to effect changes in the GEF project cycle.
Nov/Dec 1995	Participated in discussions on new mechanisms for GEF - NGO relations held in Washington D.C, USA. Chosen as a member of a six-member (representing the various regions) working committee on new GEF- NGO relations.
October 1995	Participated in the sixth council meeting of the Global Environment Facility (GEF) and the preceding GEF-NGO consultation held in Washington DC, USA.
July 1995	Presented a critique of the Global Environment Facility (GEF) Chairman's report on Operational Strategies for Land Degradation under the GEF at the 5th council meeting of the GEF held in Washington DC, USA.
April 1995	Participated as an NGO representative during the third session of the United Nations Commission on Sustainable Development (CSD) held in New York, New York, USA.
November 1994	Participated as a resource person during an NGO planning meeting on Desertification held in Ouagadougou, Burkina Faso.
October 1994	At the invitation of the United Nations Quaker Office in Geneva, held discussions with leading experts in Trade and Environment on issues then under consideration by the GATT committee on Trade and Environment in Geneva.
June 1994	Participated in the GATT - NGO consultation session on Trade and Environment in Geneva, Switzerland.
May 1994	Paper presentation at a workshop on International Trade and Desertification organised for African negotiators to the Inter-Governmental Negotiating Committee for the elaboration of a Convention to Combat Desertification and Mitigate the Effects of Drought held in Nakuru, Kenya.
April 1994	Served as resource person during a World Bank - NGO consultation session on Development Impact Indicators held in Washington DC, USA.
March 1994	Paper presentation at a workshop on "Desertification Convention: Issues of Property Tenure Regimes" - organised for African convention negotiators in Dakar, Senegal. Presented a paper on " <i>Duality in Land Tenure Systems: Opportunities for Conflict Resolutions - A Case Study of Kenya</i> ".
February 1994	Substantive input into the NGOs' position paper to the OECD working group on Trade and Environment.

December 1993	Environment and Development Resource Centre/Danish United Nations Association - "Between the Summits - Down to Earth", Copenhagen, Denmark. I co-authored simple "How To" booklets on Trade and Environment and Desertification.
November 1993	Environment and Development Resource Centre/European Parliament: "Striking a Deal" - A comprehensive workshop on Trade and Environment and the role of Europe in North-South trade and development relations held at the European Parliament. Presented a paper entitled <i>"International Trade and Environment - A Southern Perspective"</i> .
November 1993	Conference of the CRID on "A Future World After Rio" held in Paris, France. Presented a Paper entitled <i>"Population Debate in Developing Countries - From Population Control to Population Planning"</i> .
1993 to 1995	On various occasions I have participated, as NGO representative, in the deliberations of the Inter-Governmental Committee for the elaboration of a Convention on Desertification (INCD) in those countries experiencing serious drought and desertification, especially, in Africa, which were held alternately in Paris, Geneva, Nairobi and New York.
July 1992	Developed training materials on Sustainable Environmental Management Course (SEMCO) and organised the first session of this course for participants from Hifadhi Ardhi Dodoma (HADO) - Tanzania.

