



Terminal Evaluation of the UNEP GEF Project GFL-2328-2740-4C18

GLOBE Forest Legislation Initiative

GEF ID: 4543

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Project Identification Table

The GLOBE Forest Legislation Initiative (GFLI)			
GEF project ID:	4543	IMIS number:	GFL-2328-2740-4C18
Focal Area(s):	Multi focal area: Ecosystem Management Environmental governance	GEF OP #:	BD
GEF Strategic Priority/Objective:	BD- 2 CCM-5 CD2	Duration:	24 months
Actual start date:	4 August 2011	GEF Allocation:	US\$ 1,000,000
Completion date:	31 July 2013	Total Cost:	US\$ 2,187,050
Project Type:	Medium Sized Project.	Actual expenditures reported as of 30th June 2013	US\$ 970,000 This represents a delivery rate of 100% against the total approved budget of the same amount (USD 970,000).
MSP/FSP Co-financing:	\$1,187,050	Actual expenditures entered in IMIS as of 31 December 2012:	US\$ 379,604
Total co-financing realized as of 30 June 2013:	US\$1,085,325		

Acronyms

BD	Biological Diversity
BMZ	German Ministry of Economic Development and Cooperation
CLUA	Climate and Land Use Alliance
COP	Conference of the Parties
DFID	Department for International Development
DRC	Democratic Republic of Congo
EOU	Evaluation and Oversight Unit
FAO	Food and Agriculture Organisation
FIP	Forest Investment Programme
GEF	Global Environment Facility
GEI	Green Economy Initiative
GHG	Greenhouse Gases
GLOBE	Global Legislators Organisation (for a Balanced Environment)
ICCF	International Conservation Caucus Foundation
LULUCF	Land Use Change, Land Use and Forestry
M&E	Monitoring and Evaluation
NICFI	Norway's International Climate and Forest Initiative
PEI	Poverty-Environment Initiative
REDD+	Reduced Emissions from Deforestation and forest Degradation
SFM	Sustainable Forest Management
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
TEEB	The Economics of Ecosystems and Biodiversity
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

Executive Summary

This terminal evaluation has been conducted under the overall responsibility of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP Task Manager at UNEP/ Division of Environmental Policy and Implementation (DEPI). The evaluation analyses whether the project attained its objectives, what problems or challenges it encountered, and what lessons were learned from the intervention.

The primary purposes of the evaluation are to:

- Provide evidence of results to meet accountability requirements;
- Promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners – GLOBE International in particular.

The primary aim of the GLOBE Forest Legislation Initiative (GFLI) project is to: ‘strengthen legislation and parliamentary scrutiny functions 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+).’ Brazil, the Democratic Republic of Congo, Indonesia, and Mexico were selected because they are among the most densely forested countries in the world.

The project activities of GLOBE involved convening groups of concerned legislators at the national level and providing these groups with the specialist scientific, legal, and financial oversight information they needed to enhance their REDD+ law-making activities. Tools and frameworks to facilitate legislation on the sustainable management of forests were and continue to be developed at the national scale with the help of GLOBE staff. Engagement with wider stakeholder groups was an important part of this process.

The project also promoted international communication and coordination between legislators, both in the participating countries and more widely to include other forested developing countries and REDD+ donor countries. All four of the selected countries are key participants in the REDD+ process and the Forest Investment Programme. They have all received support from the Global Environment Facility (GEF) to carry out National Capacity Assessments. The GFLI has recently been expanded to the Philippines, Columbia, and Peru, the latter of which will host UNFCCC COP-20 in 2014 (COP-20).

During the inception phase of the terminal evaluation, the evaluation team chose to reframe the outputs and outcomes and to regroup the original four components to three. This decision was made due to the confusing distinction between outputs and outcomes in the initial project document.

The three reconfigured project components, as outlined in the project document and delineating the three main areas of focus of the project are set out as follows:

1. Capacity developed of legislators in parliaments to be more effectively engaged in REDD+.
2. Legislators receive high-quality advice from leading international and national experts on how to develop legislation related to REDD+ issues.

3. Legislators from key forested developing countries and REDD+ donor countries engage in a dialogue to enhance peer-to-peer learning, South-South knowledge sharing and relationship building activities.

The evaluation focused on a set of key questions, which are based on the revised outcomes, as formulated by the evaluation team (below in Section 2)

Overall, the GLOBE Forest Legislation Initiative consistently succeeded in its primary task, namely the provision of a platform and information to foster discussions on REDD+ leading to legislation and better management practices. Cross-party interaction and legislators engagement were enhanced, legislator awareness and understanding of REDD+ strategies and policies increased, and channels for the exchange of information between legislators from the Initiative countries have been opened.

As regards the achievement of intended outcomes, first, the project has been successful in encouraging multi-partisan collaboration on REDD+ issues and engaging legislator interest on REDD+ topics through a wide range of activities that included GLOBE-led meetings, informational sessions, and presentations. All of these contributed to the objective of raising awareness of REDD+ issues for legislators, government representatives, and stakeholders and enhancing legislative activities thereon.

Second, on the basis of interviews with participating legislators, the project has greatly contributed to awareness and understanding of national policy frameworks and national REDD+ strategies, with said levels of awareness and understanding directly correlating to the frequency of meetings, presentations and informational sessions organized.

Third, connecting the legislative and executive branches through meetings, informational sessions, and presentations has been a key focus and strategy for GLOBE staff in Mexico, Brazil and the DRC, with a certain degree of success in consistently bringing these actors together to the advance REDD+ agenda.

Fourth, the project made only a limited contribution to enhanced legislator understanding of REDD+ finance or their oversight role thereof. Based on interviews with Mexican and DRC legislators, specifics of the REDD+ financial mechanism remain somewhat opaque. It is highly possible that this result may be due in part to the fact that up until COP-19, REDD+ financial issues were generally poorly understood, not just by legislators but other key stakeholders as well. Nonetheless, in the latter half of the project more and more discussions on this topic were being held in the initiative countries, which hopefully bodes well for the future.

Fifth, REDD+ donor country representatives and forested country representatives attended many GLOBE events, and were involved as much as possible in project activities at the international level. It is hard to measure any increase in awareness and understanding because of the frequent turnover of parliamentarians, but also because awareness and understanding are in many ways intangible.

It is important to emphasise that the project's overall success is mainly due to the project team's understanding of the key elements essential to catalyzing and sustaining a productive dialogue, namely: the consistent updating of legislators on information related to REDD+; the inclusion of a diverse array of stakeholders from the legislative and executive branches and civil society; and the encouragement of information exchange between forested countries facing similar issues.

It is important to highlight that the stand-out achievement of the project was the passing of the first amendments to national laws, which paved the way for REDD+ at the national level in Mexico. This was a direct result of this project and has been widely recognized as such by the legislators from all parties in Mexico. It is interesting to note that there are thousands of laws and amendments sitting unpassed in the Mexican legislature.

However, as a result of the project, GLOBE legislators were supported to become the first in the world to prepare the way for REDD+.

Although the adoption of legislation may appear to be a reasonable goal for each of the four initiative countries to aspire to, it can be argued that it is equally, if not more important to ensure the creation of a solid core of REDD+ committed legislators within parliaments. From this core, it is presumed that what will follow is indeed the adoption of REDD+ legislation and the necessary level of parliamentary oversight and scrutiny to ensure implementation and enforcement (if the right conditions (drivers and assumptions) are in place).

It is this foundation that GLOBE is actively building, and the failure of Brazil, the DRC, and Indonesia in providing such “tangible” outcomes as legislation should therefore not be judged too harshly, given the various levels of REDD+ readiness and familiarity and different political contexts of these countries.

As long as this foundation continues to be built, and the critical issue of information loss through legislator turnover, which is the only true threat to the cementing of this foundation, is substantially addressed, GFLI activities will remain crucial to furthering the REDD+ agenda in key forest countries.

It is the evaluation team’s general opinion that result levels for this project were set too high, and that when measured against these outcome levels, the project cannot but seem to have underperformed. However, as stated earlier, it is absolutely necessary for the attainment of higher level outcomes to have a core of REDD+ committed legislators. In this sense, the project was therefore successful, albeit not in all four countries at all phases of the project life. It is important to note that the measurement of commitment is rather difficult, especially since some parliamentarians might be motivated by other factors beyond the project objectives, such as status and the perks of involvement in international projects.

Table 1: Project Rating Table

Criterion	Summary Assessment	Rating
A. Strategic relevance		S
B. Achievement of outputs	The achievement of project outputs was largely achieved across the four Initiative countries, such as formation of cross-party groups, preparation of background material, best practice exchange. The challenge lay more in the achievement of outcomes, which was affected by country-specific factors that were beyond the control of the project team	S
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	<p>A number of important behavioural changes have been generated as a result of the project’s successful outcomes, such as:</p> <ul style="list-style-type: none"> ▪ Increased cross-party interaction and legislator awareness, understanding and engagement in REDD+ issues; ▪ Strengthened relationships between the legislative and executive branches; ▪ Enhanced coordination between the national and sub-national scales of governance; ▪ Enhanced peer-to-peer learning, South-South exchange and increased awareness on the part of legislators from other forested developing countries and REDD+ donor countries of REDD+. ▪ Passage of legal reforms –the first of their kind- in Mexico. 	S
2. Likelihood of impact	<p>The success and sustainability of project results and ability to catalyze change is highly contingent on the impact drivers and their continued presence, such as the following:</p> <ul style="list-style-type: none"> ▪ Deepening of outreach to legislators 	S

	<ul style="list-style-type: none"> ▪ Outreach efforts beyond legislators to key stakeholders ▪ Legislator capacity to uptake expert information, and make political interventions ▪ Appreciation of government departments of the importance of REDD+ ▪ Sufficient opportunities for interaction ▪ Identification of appropriate REDD+ strategies for forest countries on a case-by-case basis by the Steering Committee <p>At this stage, it is too early to assess whether or not the project-related changes are likely to contribute to the project impact to “reduce carbon emissions from deforestation and forest degradation”. It is important to emphasise that the GLOBE project document did not contain a Theory of Change (since was not a UNEP/GEF requirement at the time of the submission of the funding proposal). That said, it is clear now that the overall impact was probably too ambitious (as we have explained throughout this report, the reason why we claim the objectives and impact were too ambitious is that they are extremely difficult to measure and attribute). Especially in light of the timeframe of the project as well as the very specific factors at the country level that were not only beyond the control of the project, but which could not have been anticipated at the time of project design. It is clear that the legislative reform achievement in Mexico was significant. However, the reason why the rating is set at Satisfactory, is that the legislative success was limited only to one of the four countries.</p>	
3. Achievement of project goal and planned objectives	The project was for the most part successful when measured against its initial log frame. The only significant difference between the initial and reconstructed log frame concerns some confusion between outcomes and outputs, of which some were inverted, and component 4, which the evaluation team established was actually an intermediate result.	S
D. Sustainability and replication		L
1. Financial	<p>On the one hand, it is clear that the continuation of project results and eventual attainment of impact is highly dependent upon continued financial support. However, a new UNEP/GEF project is being developed with the support of UNEP UN REDD and NORAD (this second phase of funding will support the establishment of new chapters in the Philippines, Columbia, and Peru). This second phase of donor funding is an important indication of the buy-in and support of the international community.</p> <p>Whilst continued donor support is one type of evidence of financial sustainability, at the same time the evaluation criteria ask for evidence of the project viability independent of financial support. In this light, the evaluation team feels maintains that further evidence is required regarding the viability of the GLOBE chapters in the absence of GEF project funds. While there may be no funding for international meetings, it must be determined whether the chapters will be able to continue to operate at a national level. At this point, it does not appear that there are any risks that might jeopardise the continued project results and onward progress towards impact.</p>	L
2. Socio-political	The main political factor involved in project result sustainability is the mitigation of information loss through legislator turnover. Creating a solid foundation of engaged parliamentarians is important. Building a deeper sense of country ownership will take more time. The level of legislator engagement has deepened as a result of GLOBE activities and their approach to capacity building, notably empowering legislators to decide for themselves which priorities they will focus on.	L
3. Institutional framework	The project focused on building capacity of legislators and addressed the importance of bridging the gap between the legislative and executive branches. The institutional framework of the project countries is relevant in terms of the degree of acceptance on the part of the executive branch of the importance of empowering legislators in the REDD+ sector. The degree to which the political and institutional framework of the participating countries was conducive to project performance varied between the four countries. For example, GLOBE and the DRC Government have facilitated the creation of a new body, the Legislative Working Group on Forest Governance and REDD, in the DRC National Assembly.	L
4. Environmental	Due to the large geographical scale of the project it has not been possible to assess the influence of environmental factors on the future flow of project benefits.	N/A
5. Catalytic role and replication	GLOBE's parliamentary capacity-building approach and GFLI activities in particular appear to have started to catalyse change, especially in creating new opportunities for stakeholder engagement in the legislative drafting process. Equitable benefit sharing and the role of environmental and social safeguards	HL

	<p>are some of the most crucial elements in current REDD+ discussions and provide an opportunity for legislators to step up and ensure that a more inclusive and broad-reaching approach to legislation is being adopted. The growing number of countries who have approached GLOBE (such as Zambia, Peru, Colombia, Zimbabwe, Philippines and Namibia) in hopes of starting their own chapters proves the initiative is generating interest.</p> <p>Many lessons tied to replication have been learned and were built upon within the life of the project itself. Mexico stands as a leader and model in project activities especially with regards to engaging civil society as well as other levels of governments in law making efforts and with regard to passing legislation. Furthermore, the failure of the Indonesian chapter highlighted the importance of understanding the political terrain of country before creating a chapter. In the case of Indonesia the GLOBE team did have a solid grasp of the terrain, however, they could not have foreseen the extent to which people opposed to positive action were prepared to go in attempting to disrupt progress.</p>	
E. Efficiency	The main measures undertaken to ensure cost and timesaving were the combination of resources from GEF with those of other donors and the combining of Initiative meetings with larger events such as UNFCCC COPs. The project encountered a number of delays beyond the control of the management team. For example, election cycles in the DRC presented delays. However, the GLOBE management team made considerable efforts to adapt accordingly. They also built on existing platforms, especially GLOBE's extensive network. Earlier project experiences and approaches were integrated.	S
F. Factors affecting project performance		S
1. Preparation and readiness	<p>The varying readiness levels of the countries involved meant responses to the activities and Logistical Framework were predictably uneven. As the Executing Agency, GLOBE approached the project with a solid institutional management infrastructure in place, as well as a technical and political familiarity with the REDD+ agenda. The project encountered a number of delays due to the country-specific factors beyond the control of GLOBE, such as changed national political contexts, in particular around election cycles. As a result, the project lost momentum and some institutional memory. Problematic political contexts paired with a general lack of familiarity with REDD+ (DRC) or even outright hostility towards REDD+ activities (Indonesia) meant that the quality of project activities suffered.</p> <p>According to GLOBE risk mitigation strategies were in place, yet the DRC election delays and the difficult Indonesia REDD political context were external factors beyond GLOBE's control. The Evaluation Team agrees with GLOBE that it is difficult to see how GLOBE could have tackled these problems differently. In the DRC context, the project has demonstrated remarkable progress since July 2012, with intense activity since then, despite delays in 2011/2012, which shows that GLOBE 'caught up' and is now on schedule. This is evidence that GLOBE managed to adapt to the political reality and volatile election cycle with relatively minimal disruption of project activities. In the Indonesia context, even if GLOBE would have had done more research, it is difficult to see how this alone could have helped to discover the true political agenda of the initial GLOBE chapter.</p> <p>Risk mitigation strategies employed by GLOBE included not transferring large amounts of money to GLOBE chapters particularly before getting to know them and building a relationship of trust. As a result, even through the initial Indonesia collaboration failed, the damage to the project as a whole was relatively small due to the risk mitigation strategy GLOBE had in place. If we did not dare to test collaboration with new groups of parliamentarians, the project would not be able to advance but would get stuck in a research phase.</p>	MS
2. Project implementation and management	The GLOBE project management team responded efficiently and effectively to the operational and institutional problems that arose during the course of the project. The flow of information from the Steering Committee to the national legislators of the four initiative countries was effective and consistent. Most of the implementation of creating transparent institutions and equitable benefit sharing mechanisms for REDD+ finance to ensure greater coordination between government ministries and consistency between national and sub-national REDD+ legislation, remains at a very early stage. The project implementation met GEF environmental and social safeguards and requirements in the sense that legislators played an important role in embedding nationally appropriate social and environmental safeguards in REDD+ strategies. Overall, the implementation and management arrangements set up at the start of the project provided suitable guidance throughout the project.	HS
3. Stakeholders participation and	The level and diversity of stakeholder engagement in GFLI activities during the project life in the four countries reflected each country's initial degree of familiarity with REDD and GLOBE activities. Partners named the difficulty of	S

public awareness	coordinating between the legislative and executive branches as a key issue in national politics in most of the initiative countries.	
4. Country ownership and driven-ness	<p>Country-ownership is an ongoing process and has several dimensions. First, it is important to emphasise that all of GLOBE's work builds on the principle of national ownership, with national chapters themselves deciding their political priorities. This is reflected for example in the decision by the legislators themselves to focus on green economy in Brazil and payment for ecosystem services in Indonesia. In this light, GLOBE has refrained from imposing an external REDD+ agenda and has accepted the legislators' own priorities.</p> <p>Secondly, there is no question that in many cases there has been genuine buy-in from legislators regarding the merit and value of project activities. However country-ownership is not just measured on those terms. It is measured on the ability of the beneficiaries to execute the project activities on their own without the help of the project management team. At this point, it appears that many of the legislators are dependent on GLOBE staff to execute the substantive work.</p>	S
5. Financial planning and management	As of 30 th September 2013, the cumulative expenditures amounted to USD 970,000, representing a delivery rate of 100% against the total approved budget of the same amount (USD 970,000).	S
6. UNEP supervision and backstopping	Overall UNEP supervision and backstopping were satisfactory. The evaluation team conducted separate interviews with the UNEP Task Manager, the UNEP Fund Manager(s) and the Globe Project Team. Based on these interviews, the evaluation team has concluded that all parties involved were committed to the achievement of the project objectives and that they were engaged, on a continuous and on-going basis, throughout the lifespan of the project.	S
7. Monitoring and evaluation		S
a. M&E Design	<p>The Project Log Frame did not clearly outline the potential pathway through which the project activities would translate into the intermediate results and the desired impact. Indicators were not SMART. This 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.</p> <p>However, it must be emphasised that this project was a first of its kind. This presented challenges for the log frame exercise. It is important to recognise the effort UNEP makes to support these innovative projects and to explore new ways of designing such projects.</p>	S
b. Budgeting and funding for M&E activities	A budget was set aside for monitoring through staff travel and national directors who do onsite monitoring continuously. This close monitoring approach is a key element of GLOBE's strategy world-wide.	S
c. M&E plan Implementation	Comprehensive activity progress reports, with accompanying country notes were prepared by the project-executing agency on a half yearly basis. The reports provide a detailed account of activities undertaken. They however, do not adequately link these to the overall [intended] impact of the project.	S
G. Complementarity with UNEP strategies and programmes	The project is complementary with a number of UNEP initiatives and specifically fits into UNEP's Programme of work sub-programme 3 (Ecosystem Management) and more importantly with the Climate Change Sub-Programme.	HS
Overall project rating		S

1. Introduction

This report presents the findings of the terminal evaluation of the project GLOBE Forest Legislation Initiative conducted from November 2013 to February 2014 by an independent team of consultants under the overall responsibility of the UNEP Evaluation Office.

The GLOBE Forest Legislation Initiative (FLI) project was designed to:

‘strengthen legislation and parliamentary scrutiny functions 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+).’

The Project commenced on 4 August 2011 and was extended to 30 November 2013, from the original completion date of 31 July 2013.

The executing agency was the Global Legislators Organisation (GLOBE). The overall direction of the initiative was governed by the senior legislators from the four countries, who were on the Steering Committee along with representatives from each of the partner organisations and the President of GLOBE International (i.e. GEF, UNEP, BMZ).

The overall cost of the project was US\$ 2,187,050. The total revised budget consisted of: 2,269,954 USD, with the allocation between donors:

- GEF Allocation: 1,000,000 USD,
- Norad I: 604,541 USD;
- GLOBE In-kind: 220,000 USD;
- UNEP/UN-REDD: 107,050 USD;
- GIZ: 136,500 USD;
- Norad II: 184,629 USD (Q2&3 2013)
- FCO Mexico grant: (AMOUNT TBC) USD

2. The Evaluation

2.1 Evaluation scope, objective and methods

This terminal evaluation is conducted under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP Task Manager at UNEP/ Division of Environmental Policy and Implementation (DEPI). The project analyses whether the project attained its objectives, what problems or challenges it encountered, and what lessons were learned from the activities.

The primary purposes of the evaluation are to:

- Provide evidence of results to meet accountability requirements;
- Promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners – GLOBE International in particular;

The evaluation will focus on the following key questions, which are based on the revised outcomes, as formulated above by the evaluation team:

- How effectively did the project activities provide the necessary support to enhance cross-party interaction and engagement in REDD+ activities?
- Has the project contributed to an increased level of awareness and understanding of REDD+ and of financial oversight roles in implementing it, amongst parliamentarians in the four Initiative countries, and more widely in other forested developing countries? Which activity proved most effective in engaging and sustaining awareness and commitment to these issues?
- Did the project activities enable legislators from key forested developing countries and 'REDD+ donor' countries to engage in dialogue, which enhanced peer-to-peer learning, south-south knowledge sharing and relationship building activities?
- Did project activities strengthen coordination between national and sub-national REDD+ strategies and develop coordination between all relevant government departments?
- Has the project enabled legislators to strengthen their REDD+ strategies by amending and passing legislation, promoting improved financial oversight functions, and supporting representation of local communities?
- Is there evidence that measures to conserve and sustainably use biodiversity have been incorporated in regulatory frameworks and that good management practices in LULUCF are being adopted within forested landscapes as a result of project activities?
- Overall, how likely is it that the project has contributed to the reduction in carbon emissions from deforestation and forest degradation?
- What are the key lessons learned for the design of future parliamentary capacity building initiatives?

All evaluation criteria have been rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes will not be rated.

The evaluation included a desk review of background and project documentation and face to face and Skype interviews with relevant GLOBE staff, legislators and stakeholders,

The list of documents reviewed is provided in Annex 6.3.

Skype interviews and face-to-face interviews (in Nairobi and at UNFCCC COP-19) were held with the following individuals:

- UNEP Task Manager (Nairobi)
- Participating legislators
- GLOBE International staff
- National GLOBE staff
- Project management and execution support
- Representative from Climate Focus
- UNEP Consultants
- Selected stakeholders

The evaluation team attended UNFCCC COP19 in Warsaw for the launch of the GLOBE Forest Legislation Study and to interview project partners. Due to an administrative error on the part of UNEP, the lead evaluator was not able to attend Warsaw. The research associates were graduate students who worked under the close supervision of the lead evaluator and the special advisor, who supervised the evaluation team during their entire mission in Warsaw.

An Inception Report was prepared and submitted for peer review before COP-19.

2.2 Strengths

The efficiency of the evaluation writing process was enhanced by completion of the inception report before interviews were conducted with key stakeholders at COP-19. This provided the evaluation team with a solid foundation of knowledge and the possibility to reconstruct the Theory of Change, against which the team could measure and assess stakeholders' accounts of project implementation.

Furthermore, the evaluation team benefitted from being able to meet legislators from Brazil, DRC, and Mexico at UNFCCC COP-19.

2.3 Limitations

The evaluation was limited in part by the disparity in levels of development and REDD+ readiness among the four initiative countries. This made it difficult to produce overarching conclusions because of the challenges in measuring success according to the same standard in four very different countries. In this light, it would have been helpful to have measured the contextual conditions (assumptions) for each country that promote or inhibit progress, so that project success could be measured fairly within each particular context. Comparisons between countries in terms of project progress are useful, but only if the specific context of each country is well-understood and explicitly presented.

Delays in the commencement of the Indonesian, Brazilian, and DRC activities, were a function of the time taken to build the foundation of the project. For example, in the DRC this investment paid off and according to GLOBE the activities and results of year 2 more than compensated for any delays in year 1. Finally, the evaluation team had difficulties in making contact with Brazilian legislators, due to language constraints and conflicting schedules.

3. The Project

A. Context

To date, the development of national REDD+ strategies has been led by the government departments responsible for managing the countries' forests. However, as REDD+ strategies mature beyond the "readiness" and planning stages, broad political support within the national governments and parliaments is proving critical to achieving ambitious targets to reduce deforestation while conserving biodiversity. Robust legal frameworks are needed to ensure national-level implementation of REDD+ activities. However, the viability and effectiveness of these frameworks is highly dependent on the timely and meaningful engagement of legislators, many of whom require support, particularly in terms of accessing authoritative information upon which to base their REDD+ law-making activities.

The importance of strengthening the role of legislators has been recognised by key multilateral and bilateral donors who are actively financing REDD+ efforts, including the UN-REDD programme, the World Bank, and Norway's International Climate and Forestry Initiative. The need for support to legislators was also identified in a GEF/UNEP funded project 'International Commission on Land Use change and ecosystems (GEF project ID 3811).

Up until UNFCCC COP-19 (11-22 November 2013) held in Warsaw, Poland, negotiations related to the international mechanism for REDD+ (endorsed by governments at UNFCCC COP-17 in Cancun) had been difficult and slow. Despite a steady growth of REDD+ initiatives that had been developed outside the ambit of the UNFCCC, governments had yet to agree on a number of key factors, notably the comprehensive financial arrangements essential to the full-scale implementation of the REDD+ mechanism. However, important

progress had been made at the UN climate talks in Bonn in June 2013, which laid the groundwork for the agreement reached at COP-19. In Bonn, agreement was reached on such key issues as: modalities for national forest monitoring systems, addressing drivers of deforestation and forest degradation, and the timing and frequency of presentations on information as to how safeguards are implemented.

A number of pivotal new developments in the project context have emerged within the last few months:

The first and most significant relates to the agreement on and adoption of an international REDD+ mechanism in Warsaw at COP-19: A comprehensive agreement on a fundamental REDD+ package was reached, with the Cancun mandate for REDD now completed. The landmark package of seven decisions included approval of a results-based payments system for countries that can prove they have reduced emissions. The agreement affirms that financial flows will be tied to demonstrated results. It should be noted that the Warsaw REDD finance decision does not confirm where REDD financing will come from. It is simply an agreement on what REDD finance might look like, i.e. from market or non-market mechanisms.

The second development relates to the recent release of the UN Intergovernmental Panel on Climate Change (IPCC)'s fifth climate assessment report in October 2013. The report highlighted overwhelming evidence for continued warming of the planet, with temperatures likely to rise between 0.3 and 4.8 degrees Celsius (0.5 to 8.6 Fahrenheit) by the late 21st century. The implications for REDD+ are significant, particularly because emissions from deforestation and agriculture currently comprise approximately 30% of global emissions.

The third development relates to the substantive findings of the 1st GLOBE Forest Legislation Study, which was presented at the Oslo REDD Exchange on 29-30 October 2013. These findings emphasize the crucial importance of parliaments in providing oversight of REDD+ financial flows and stimulating public participation, as well as promoting national REDD+ legislation. In many developing countries, whilst there is a growth in REDD+ demonstration and pilot projects, these are not underpinned by adequate national legislation. This means that forest communities are left in a legal void. The GLOBE Forest Legislation Study that was launched at COP-19 proposes a series of recommendations to address conflicting or non-existent legislation related to land tenure, benefit sharing, safeguards, carbon tenure, MRV, public participation, implementation/enforcement, and institutional arrangements in the four initiative countries.

B. Objectives and components

The primary objective of the GLOBE Forest Legislation Initiative (GFLI) project is to: 'strengthen legislation and parliamentary scrutiny functions 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+).'

Brazil, the Democratic Republic of Congo, Indonesia and Mexico were selected because they are among the most densely forested countries in the world, and for the reasons cited in paragraph 5 and 48.

The project activities of GLOBE involved convening groups of concerned legislators at the national level and providing these groups with the specialist scientific, legal and financial oversight information they needed to enhance their REDD+ law-making activities. Tools and frameworks to facilitate legislation on the sustainable management of forests were and continue to be developed at the national scale with the help of GLOBE staff. Engagement with wider stakeholder groups was an important part of this process.

The project also promoted international communication and coordination between legislators, both in the participating countries and more widely to include other forested developing countries and REDD+ donor countries. All four of the selected countries are key participants in the REDD process and the Forest Investment Programme. They have all received support from the Global Environment Facility (GEF) to carry out National Capacity Self-Assessments. The GFLI has recently been expanded to Columbia and Peru, the latter of which will host UNFCCC COP-20 in 2014 (COP-20).

During the inception phase of the terminal evaluation, the evaluation team chose to reframe the outputs and outcomes and to regroup the original four components to three. This decision was made due to the confusing distinction between outputs and outcomes in the initial project document. The components were consolidated into a more coherent grouping, which enabled a more logical framing of the outputs and outcomes. The original project log frame is included in Annex 1 of this report. The reframed components are:

Component 1 – Capacity developed in parliaments to provide greater support to legislators to be engaged in REDD+ and legislators increase their cross-party interaction and deepen their engagement in REDD+ activities, and enables them to strengthen the coordination between national and sub-national REDD+ strategies and develop greater coordination between all relevant government departments.

Component 2 – Legislators receive high-quality advice from leading international and national experts on how to deliver REDD+ while conserving the forest biodiversity and promoting good management practices in LULUCF, which enables them to have an increased level of awareness and understanding of national policy frameworks and national REDD+ strategies.

Component 3 – Legislators from key forested developing countries and REDD+ donor countries engage in a dialogue to enhance peer-to-peer learning, South-South knowledge sharing and relationship building activities, in order to synergize and create an effective global REDD+ mechanism.

C. Target areas/groups

The primary target group in this project were the parliamentarians in the four initiative country GLOBE chapters. The initiative provided these parliamentarians with knowledge, access to substantive experts, resources and other country parliamentarians to foster dialogue and advance REDD+ legislation. The reasoning for targeting this group is due to the lack of engagement of legislators in the REDD+ process and the need for national laws and regulatory structures to be created if the governmental process is to succeed. The GLOBE national chapters provide a wide range of policy advice to legislators to support them in their law-making related to sustainable development. National staff are embedded in the GLOBE chapters and their knowledge of the national political context, along with the strong sense of ownership among national legislators, is an important factor in GLOBE's success. National chapters decide which issues to pursue and GLOBE supports them in achieving their objectives, as long as they are in line with overall GLOBE sustainable development goals.

D. Milestones/key dates

The project's key milestones include the following:

- Formation of Initiative Steering Committee: May 2011
- Project start date: 4 August 2011
- Cross-party groups formed in the four initiative countries: August to November 2011
- First phase of the Forest Legislation Study completed: December 2011
- Brazilian inception meeting: April 2012

- Mexican GLOBE Chapter reformed after the 2012 election: November 2012
- Parliamentary hearing in Brazil to present preliminary conclusions of the Forest Legislation Study: November 2012
- Public Hearing in Brazil regarding preliminary conclusions of the Forest Legislation Study: May 2013
- Four meetings of DRC Legislative Working Group on Forests and REDD: 2012-2013
- Project completion date: 30 November 2013
- Project reporting period: 4 August, 2011 to 31 December 2013
- New GLOBE Mexico Chapter formed: November 2012
- Indonesian Green Economy Caucus formed: February 2013 (and relaunched in Q4 2013)
- Forest Legislation Study presented at the Oslo REDD Exchange: October 2013
- Brazilian chapter of the Forest Legislation Study presented in the Brazilian Congress: May 2013
- Formation of second Mexican chapter: November 2013
- Final study of Forest Legislation Initiative presented at COP-19: November 2013

E. Implementation arrangements

The Executing Agency was GLOBE and its International Secretariat assumed responsibility for the overall coordination and management of the initiative. The overall direction of the initiative was governed by the senior legislators from the four countries, who sat on the Initiative Steering Committee along with representatives from each of the partner organisations (i.e. GEF, UNEP, BMZ) and the President of GLOBE International.

A Management Board included the Global Initiative Director, the GLOBE Secretary General, a member of the UNEP-GEF team and a representative from other key funders. This Board assumed responsibility for reviewing the budget of the initiative. The Global Initiative Director served as the Project Manager and was responsible for the overall coordination of the project. The Global Initiative Director oversaw the work of the four National Initiative Directors who operated from the four countries' parliaments and who coordinated the activities of the cross-party groups of legislators at the national level.

F. Project financing

The original budget was set at 2,187,050 USD. It was later revised at 2,269,954 USD. GEF provided an allocation of 1,000,000 USD and NORAD provided 595,000 USD. GLOBE provided in-kind contributions equaling 220 000 USD. UNEP/UN REDD also provided 107 050 USD and GIZ provided 136 500 USD. NORAD subsequently provided an additional 184,629 USD (Q2&3 2013).

The following budget was contained in the original project document.

Table 2: Original budget as contained in project document.

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
(select) BD-2	Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks.	National and sub-national land-use plans that incorporate biodiversity and ecosystem services valuation.	GEF TF	181818	207410
CCM-5 (select)	Good management practices in LULUCF adopted within forested landscapes	Forested land under good management practices	GEF TF	181818	207410
CD-2 (select)	Increased capacity of stakeholders to diagnose, understand and transform complex dynamic nature of global environmental problems and develop local solutions	Stakeholders are better informed via workshops and trainings about global challenges and local actions required	GEF TF	545455	622230
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)	Others		(select)		
Subtotal				909091	1037050
Project management cost⁴			GEF TF	90909	150000
Total project costs				1000000	1187050

G. Project partners

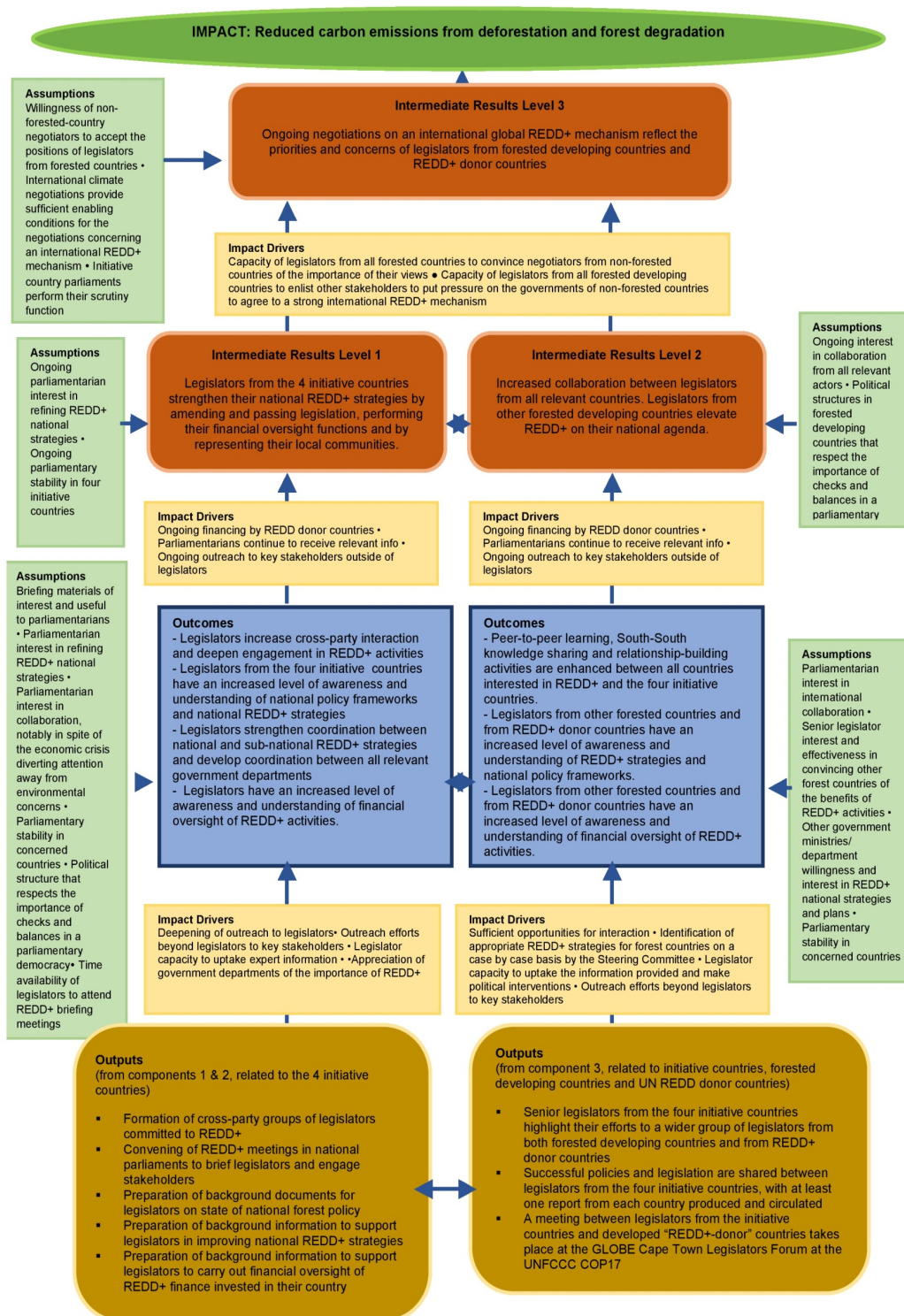
The key partners included:

- Norad – Supporting/co-financing agency GFLI global level
- UNEP/UN-REDD – Supporting/co-financing agency in DRC
- FAO/UN-REDD – Supporting agency, contributor to 2nd GIFF in November 2013
- GIZ – Supporting/co-financing agency GFLI global level
- Prakarsa – Collaborating NGO/Research organization, partner in Indonesia supporting the Green Economy Caucus
- CN-REDD, Government of DRC – Partner in implementation of DRC programme
- FORD and USAID supporters in Mexico

H. Changes in design during implementation

No major changes in design during implementation except for the dissolution of the first Indonesian GLOBE chapter in March 2012 over differences with the parliamentarians involved and the creation of a new chapter, the Green Economy Caucus, in February 2013.

I. Reconstruction of the Theory of Change of the project



4. Evaluation Findings

4.1 A. Strategic Relevance - Satisfactory

Sub-regional environmental issues and needs

The project clearly responded to sub-regional environmental issues and needs since the GFLI was designed as a response to pre-existing capacity building demands from legislators in the four initiative countries. This implies that REDD+ was already a priority issue. Furthermore, senior legislators from each initiative country served on the project's Steering Committee, which provided overall strategic direction for the project. Their presence contributed to project oversight to ensure that all interests and needs were considered in the project execution.

UNEP mandate and policies

The project contributed especially to the UNEP sub-programme on Climate Change, which hosts all UN REDD work on climate change mitigation. Notably the project aligns with the third of this sub-programme's goals: reducing emissions from deforestation and degradation. In general the GLOBE project directly supports the Climate Change sub-programme's goal of strengthening the ability of developing countries to integrate climate change responses into national development processes.

GEF focal areas

The project contributed to the following GEF focal areas:

- BD2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes, and sectors. The GLOBE project specifically supports the GEF objective of enhancing the policy and regulatory framework for mainstreaming biodiversity.
- CCM5: Promote conservation and enhancement of carbon stocks through sustainable management of land use, land use changes and forestry (LULUCF). By promoting and supporting the adoption of REDD legislation, the GLOBE project has been designed to help reduce greenhouse gas emissions from land use, land use change, and forestry.
- CD3: Strengthening capacities to develop policy and legislative frameworks. The GLOBE project supports this objective by enhancing synergies among the legislative and executive branches and improving the overall quality of REDD legislation.

Assessment of the realistic nature of the project objectives

The project's formal objective as stated in the TOR is "to strengthen legislation and parliamentary scrutiny functions 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)".

Given the vast differences in the four initiative countries' political context and REDD+ readiness status, the project should not have set the same overarching results for all four initiative countries. With regards to the strengthening of legislation, the differing degrees of REDD+ readiness in the countries very much influenced their ability to deliver. A country with a robust framework like Mexico was able to progress to the actual enactment of legislation. However, the DRC, which started from a significantly lower level of REDD+ familiarity, could not have been expected to produce similar results within the same timeframe. It should be noted that GLOBE chose 4 different forest countries at specifically different points of their

development and in a different region of the world precisely to generate 4 different sets of knowledge that can be shared across the world. Part of the project's focus was to share best practices in the way that was achieved between Mexico and DRC legislators. Whilst the difference in country development presented challenges in project execution, the point of the project was to provide a platform to generate different types of knowledge that could be shared around the world.

With regards to the strengthening of parliamentary scrutiny functions, it is important to note that all 4 project countries have established national REDD funds in some form. Even though legislation has not been passed in full, according to GLOBE, scrutiny is relevant albeit lacking. Indonesian legislators have been demanding insight into REDD funds managed by the new REDD Indonesian agency. In the DRC, a national REDD fund is being established by the Ministry of Finance. According to GLOBE, legislators are demonstrating increasing interest in the importance of financial scrutiny.

4.2 B. Achievement of outputs - Satisfactory

The overall rating for the achievement of outputs is satisfactory. It would have been higher if Indonesia had succeeded in achieving its outputs, which for reasons that are explained throughout this section, it was not able to do. The Evaluation Team fully understands the challenges that GLOBE faced in Indonesia, notably the concerted effort by vested interests to undermine the project. It should also be pointed out that election cycles affected the achievement of outputs in the DRC. However, GLOBE is adept at managing the impact of electoral cycles as evidenced in their work in Mexico, where there was a transition to a completely new Congress, in which GLOBE succeeded in supporting legislators to pass new legislation.

The outputs as defined in our reconstructed Theory of Change, are set out in Section 2.6 include the following:

Many meetings were held to achieve these outputs. The focus of meetings depended on legislators' own priorities. They set the agenda In Brazil, the DRC, and Mexico. Meetings were held to discuss the findings of the studies i.e. proposed areas of legislative reform related to REDD (land tenure, carbon tenure, institutional arrangements, benefit sharing, safeguards, MRV, public participation, etc.).

Formation of cross-party groups of legislators committed to REDD+

Cross-party groups of legislators were successfully formed in all countries, albeit with some delays, and complete restructuring in the case of Indonesia. In Mexico, the GLOBE chapter has members from all 7 of the 7 parties in Congress/Senate. In Indonesia, the Green Economy Caucus has members from the 4 largest out of the 9 parties in Parliament. GLOBE DRC has representatives from more than 10 parties. Waiting to get the figure for Brazil.

The second Mexican chapter, was formed in November 2013 after congressional turnover. It includes 52 members, 15 of which have been involved with GLFI.

The Brazilian chapter now includes over 20 legislators, including 11 senior lawmakers. Additional legislators have participated in individual activities and in the First World Summit of Legislators, including the President of the Congress. Although chapter activities were delayed by a Forest Code debate that demanded full legislator attention, the chapter was nearly fully formed by early 2012, a testament to legislator interest in the REDD+ topics concerned.

The new Indonesian chapter, formed after the dissolution of the initial chapter, which had been infiltrated by legislators seeking to block REDD+ initiatives, was established in

February 2013. It was renamed the Green Economy Caucus and includes 13 members. Participating parliamentarians were identified and vetted through a thorough process led by local NGO Prekumpulan Prakarsa, and their commitment to REDD+ is still being explored. They are more interested in wider SFM, linked to the green economy agenda.

The DRC chapter has 22 members. More than 70 legislators have participated in GLOBE activities, and between 6 and 10 legislators are part of a REDD working group. Timeliness was problematic in the case of the DRC due to a delay in the announcement of results of election cycles, which meant the chapter was only formed in September 2012.

Convening of REDD+ meetings in national parliaments

Project progress reports indicate that REDD+ meetings were regularly and convened in all countries except Indonesia where there had been time-lags due to the fact that the first chapter had to be disbanded because of reasons explained in paragraph 70. Mexico was particularly thorough in organizing regular meetings that convened parliamentarians and as diverse an array of stakeholders as possible. Brazilian GFLI activities were specifically interesting because they integrated REDD+ concerns with discussions on Payments for Environmental Services, demonstrating a willingness to adapt to national contexts.

Preparation of background documents

The most important information prepared by GLOBE was the Forest Legislation Study, which was released in two parts, the first part was descriptive and released in December 2011 and the second part was normative and released in November 2013. This two-step approach meant that the first phase could be used as a baseline

The GLOBE Forest Legislation Study was designed as 4 unique country-adapted studies, to be used as tools by legislators themselves. The consultants were given some freedom to design them according to national priorities, although they all covered 8 basic thematic areas of REDD legal reform agreed upon with GLOBE. This made them useful as national tools. However, this made them perhaps more difficult to use for the purposes of international comparison. GLOBE hired 2 international consultants to compare the reports and present the findings in a more coherent way. This was done successfully but it was a challenging exercise. The opposite approach would have been to prepare less in-depth, general overviews of existing legislation using a more standardized format. Instead all of the key project partners were provided with a very thorough baseline study early on in the project's life.

The project had originally provided for the publication of additional policy briefs. However GLOBE decided to integrate "best practices" examples into the study itself and produce an Executive Summary highlighting some of the best practices identified in the national chapters.

On the specific subject of parliamentary oversight, a report including a desk review of parliamentary oversight in each initiative country and a comparative analysis was produced in collaboration with the Overseas Development Institute (ODI) and made available to GLOBE staff and chapters in late 2012. The report highlighted national opportunities for GFLI legislators to promote efficiency and effectiveness in delivering the goals of REDD+ through scrutiny responsibilities, notably financial oversight. Key messages from this report were shared at the Globe International Forest Forum in Doha at COP18.

Senior legislators from the four initiative countries highlight their efforts to a wider group of legislators from both forested countries and from REDD+ donor countries

Said presentations of REDD+ efforts have taken place at multiple meetings throughout project life, including the GLOBE Cape Town Legislators Forum at COP-17, the 1st GLOBE International Forest Forum at COP-18 and the 2nd GLOBE International Forest Forum at

COP-19, the 1st GLOBE Climate Summit in January 2013, and the World Summit of Legislators at Rio+20, which convened 300 legislators from 86 countries for a forest session.

Successful policies and legislation are shared between legislators from the four initiative countries, with at least one report from each country produced and circulated

Legislators were able to present and share information at each of the international GFLI meetings that took place within the life of the project. Furthermore, Brazil-Indonesia and Mexico-Brazil bilateral legislator meetings took place thanks to contacts first initiated at the GLOBE Cape Town Legislators Forum at COP17.

In late 2013, DRC and Mexico legislators started preparing bilateral cooperation in 2014. A Mexican legislator visited Kinshasa and GLOBE DRC in February 2014, presenting the Mexican success story of passing legislation in 2012. More recently, the GLOBE Natural Capital Summit in Berlin in 2013 provided an opportunity for further Mexico-Brazil dialogue as well as dialogue with Germany and the UK, REDD donor countries. Brazil remains a particular focus for the other initiative parliamentarians because of the country's successful deforestation reduction practices. One Mexican legislator notably reported there had been much dialogue around best practices in a meeting held in Brazil between a visiting Mexican parliamentarian and their Brazilian counterpart in 2012. These best practices included the link between REDD+ and ecosystem services, and the link between REDD+ and biodiversity, as well as on elements of the Brazil Forest Code revision, as well as exchanging experiences around hosting the World Summit of Legislators (Brazil in 2012, Mexico in 2014).

A GLOBE Cape Town Legislators Forum at the UNFCCC COP17

A meeting between legislators from all concerned countries did indeed take place at the GLOBE Cape Town Legislators Forum at the UNFCCC COP-17. Furthermore, a bilateral meeting between Indonesian and Brazilian legislators about initial sharing of national experiences on forest legislation as well as land tenure, including in relation to the Brazil Forest Code revision and Indonesia's Forestry and Agrarian Laws, was arranged thanks to contact initiated at the Legislators Forum. Although the Indonesian chapter was eventually dismantled, this type of interaction between legislators was a testament to the viability of GLOBE activities in encouraging exchange between national legislators.

4.3 C. Effectiveness: Attainment of objectives and results - Satisfactory

The assessment of effectiveness is subdivided in three categories:

- Evaluation of the achievement of direct outcomes as defined in the project's reconstructed Theory of Change;
- Assessment of the likelihood of impact of project activities (using a Review of Outcomes ROTI- approach);
- Evaluation of the achievement of the formal project overall objective, purpose, goals and component outcomes.

4.3.1. (i) Direct outcomes as defined in the reconstructed ToC - Satisfactory

The evaluation team reformulated project outcomes accordingly:

- Legislators increase their cross-party interaction and deepen their engagement in REDD+ activities
- Legislators from the four initiative countries have an increased level of awareness and understanding of national policy frameworks and national REDD+ strategies
- Legislators strengthen coordination between national and sub-national REDD+ strategies and develop coordination between all relevant government departments

- Legislators have an increased level of awareness and understanding of financial oversight of REDD+ activities
- Peer-to-peer learning, South-South knowledge sharing and relationship-building activities are enhanced between all countries interested in REDD+ and the four initiative countries
- Legislators from other forested countries and from REDD+ donor countries have an increased level of awareness and understanding of REDD+ strategies and national policy frameworks
- Legislators from other forested countries and from REDD+ donor countries have an increased level of awareness and understanding of financial oversight of REDD+ activities.

The project's delivery of outputs and activities that contributed to each of these is discussed in Section 4.2. This section describes overall effectiveness at the outcome level (as defined in the reconstructed ToC).

Legislators increase their cross-party interaction on REDD+

Overall the project has been successful in encouraging multi-partisan collaboration on REDD+ issues and engaging legislator interest on REDD+ topics through a wide range of activities that included GLOBE-led meetings, informational sessions and presentations. All of these contributed to the objective of raising awareness of REDD+ issues for legislators, government representatives and stakeholders and enhancing legislative activities thereon.

Country-specific political contexts and varying degrees of familiarity with GLOBE were underlying factors that contributed to the very different level of achievements with regard to the first outcome.

Mexico

Mexico was by far the most active country in terms of event organization, regularly bringing together the actors described above and in particular including members of *ejidos* (communal land split into individual agricultural plots) and forest communities to discuss progress on REDD and ensure adequate representation of all parties concerned. This focus on and inclusion of traditionally under-represented communities was cited many times as a key factor in the successful legislative reform efforts led by GLOBE, which resulted in the adoption of the reforms in June 2012.

Partners also highlighted the role that GLOBE had played in catalyzing cooperation on these reforms between senators initially all competing for sole authorship. Despite mid-term elections in September 2012, which meant that a new chapter had to be created, both visibility of REDD+ and legislator interest were greatly heightened by the reforms along with the addition of 40 new legislative members to GLOBE Mexico.

Brazil

GLOBE Brazil was initially less active in mobilizing legislators on REDD+ because of a protracted legislative debate on the Forest Code, which was only resolved in April 2012. At the beginning of the project, it was clear that Brazilian legislators already possessed a substantive grasp of REDD+ issues, and in fact a REDD+ law was already being presented to various parliamentary Commissions by a GBLOBE member. The pre-existing multi-partisan spirit enabled GLOBE staff and caucus members to subsequently make up for lost time and to successfully convene meetings that enhanced the engagement of cross-party legislators and representatives from the executive branch of the Brazilian Government.

Indonesia

Indonesia proved particularly problematic as GLOBE staff discovered that the group of legislators chosen for the chapter (all members of the Indonesian Parliament's Upper House)

had not been clear about their motives and disclosed information and presented themselves in a way that endangered GLOBE's reputation. A new chapter, renamed the Green Economy Caucus, was launched in February 2013. Participating legislators were all chosen from the Indonesian Parliament's Lower House with the help of a local NGO, Perkumpulan Prakarsa, experienced in engaging parliamentarians on both environmental and development issues and now acting as interim GLOBE Indonesia Secretariat, as Indonesian legislators preferred not to establish a formal GLOBE Chapter, but to choose an alternative institutional set-up in the form of a caucus. GLOBE agreed with the try-out of this model as a way to enhance and support national ownership. Ultimately cross-party interaction did increase, as the Green Economy Caucus has members from the 4 largest parties in the Indonesian Parliament (out of 9 parties in total) 2.

Regarding the new Green Economy Caucus, progress on REDD has been slow, mainly due to the generally difficult political climate in Indonesia around REDD and forest governance, which are very sensitive political issues. However, GLOBE staff believe that linking forests with the wider Green Economy agenda (as suggested by Indonesian legislators themselves), could be a way forward.

Oversight of REDD funds is another issue that Indonesian legislators have pursued in 2013, including via the media. Given that the Green Economy Caucus was launched in 2013, it is still too early to evaluate the final results of this new strategy.

DRC

The DRC was emerging from its second presidential and parliamentary elections at the start of the project. Official results from these elections were delayed until summer 2012. This meant that project activities were only launched in September 2012. However, initial progress was swift, with a GLOBE September 2012 capacity-building workshop having been attended by 75 cross-party legislators, all demonstrating a keen interest in REDD+. A Legislative Working Group on Forest Governance was launched one month later with the support of a team of lawyers. This Working Group produced a REDD+ roadmap focusing on five areas, with the GLOBE DRC chapter of cross-party legislators now leading efforts to reform five laws in each of these areas key to establishing a REDD+ legal framework. Engagement in REDD+ in the country has certainly increased given a near complete lack of REDD+ awareness on the part of legislators at the beginning of the project.

The vastly different current states of REDD+ legislator engagement in the four Initiative countries highlight the need for GLOBE to: continue to adopt a country-specific approach in its efforts; target financing more strategically; and to adapt project timeframes to on the ground realities. For example, it has become clear that Indonesia and the DRC would have benefited from longer project timeframes and more funding.

In addition, congressional turnover was another key challenge that affected continued legislator engagement on REDD+ issues. However in the case of Mexico, it is important to highlight that the leading figure that supported the passing of the REDD reforms, Dep. Ignacio Pichardo, became a Local Deputy and the State of Mexico. He just passed the Climate change law for the State of Mexico. This proves that even after leaving the federal congress, they continue engaging in these topics. . Indonesia will be holding legislative elections in 2014 and partners emphasise that GLOBE should secure the support of legislators before they engage in what is sure to be a time-consuming election process.

Legislators have an increased level of awareness and understanding of national policy frameworks and national REDD+ strategies.

According to the legislators interviewed, the project has contributed to awareness and understanding of national policy frameworks and national REDD+ strategies, with said levels of awareness and understanding directly correlating to the frequency of meetings, presentations and informational sessions organized.

Mexico is therefore the most successful example, with REDD+ legislative reforms providing concrete evidence of the success of the project's activities in support of legislator awareness and understanding. However, it must be emphasised that the country benefitted from strong ties to GLOBE and a legal framework with pre-existing coverage of land, forest and carbon tenure and some familiarity with community rights.

Whilst starting from a different baseline, DRC legislators appear to be responding to GLOBE's activities. As mentioned in the previous outcome, the Legislative Working Group has produced a roadmap and work on five legislative reforms related to REDD+ is ongoing. All of the DRC legislators interviewed at COP-19 confirmed their increased familiarity and understanding of REDD+ issues with one exception being REDD+ finance, which still seemed confusing to most.

Given that the evaluation team was unable to interview Brazilian and Indonesian legislators, direct feedback on this outcome is unavailable. Indonesia's second chapter is still too recent to have reached any significant outcomes, and that Brazil's pre-existing familiarity with GLOBE and REDD+ and the high level/seniority of stakeholders currently involved in chapter activities seem to indicate the chapter is successful.

Legislators strengthen coordination between national and sub-national REDD+ strategies and develop greater coordination between all relevant government departments

Connecting the legislative and executive branches through meetings, informational sessions, and presentations has been a key focus and strategy for GLOBE staff in Mexico, Brazil and the DRC, with a certain degree of success in consistently bringing these actors together in all three cases. This was part of GLOBE's strategy in Indonesia too; however it has not worked as well given that parliamentarians in the first phase were not interested in meeting with the Executive branch to discuss REDD. It remains to be seen whether this strategy will work better with the new group of legislators under the Green Economy Caucus.

The issue of coordination between national and regional levels of governance was not a focus of legislators in the first face of the initiative (apart from Mexico, which has advanced the furthest). However, some have expressed an interest in focusing on this issue in the next phase.

However, it should be emphasized that it is unclear to what extent legislators themselves are engaged in promoting cooperation between parliament and the executive branches and between the national and sub-national levels. At this point, most of the work in this regard is still being undertaken by GLOBE staff. Questions have been raised by NGOs and GLOBE staff regarding the capacity of legislators to continue to engage with the executive without continuing support by GLOBE staff.

Overall, while national legislators feel supported in their efforts to strengthen coordination, there is a clear need for increased information flow through the different scales of governance from the federal down to the local levels. Currently, with the exception of Mexico, there is very little vertical information flow. Indeed, as stated earlier in this evaluation report, a substantial part of GLOBE's success in advancing Mexican forestry reforms can be attributed to the chapter's consistent interaction with local communities and *ejidos*. Although the (very) different national contexts should always be taken into account, Mexico stands out as a positive example from which lessons can be learned in terms of coordinating national and local REDD+ interests.

Given the fact that Mexico and Brazil are federal states and the DRC is highly decentralised, enhancing the "trickle-down" of information (i.e. from the national to the sub-national levels) is of particular importance.. Legislators from the DRC in particular raised concerns over the effectiveness of project activities that only transmitted information to key actors at the

national level, considering that most forest communities in the country engage on a very local level and have limited interaction with the federal legislators.

With regards to government involvement, Mexico and Brazil stand out as the two countries with the most inclusive policies.

Mexico

Mexico engaged in a thorough stakeholder engagement process, including government representatives from the Ministry of Environment and Natural Resources and the National Forest Commission (CONAFOR), immediately after its Inception Workshop with the aim of engaging in a round of REDD+ legal reforms. During the approval process of reforms, questions brought to GLOBE by CONAFOR, the Ministry of Environment and the Hacienda (Mexican treasury) were consistently addressed, which opened up a very important communication channel with these key government entities.

According to CONAFOR, GLOBE's work has provided it with a much-needed interlocutor within Congress. As a result, the Mexican chapter and its legislators are currently working on a new round of reforms of forest legislation, including REDD+ components, with not only CONAFOR but also the rest of the government's environmental agencies and the Ministries of Agriculture and Agrarian Reform and Land Planning. Five meetings convening these actors have already taken place, with the latest having been held on March 7, 2014 in CONAFOR, where it was agreed that legislative and executive branches would collaborate on a process to reform forest legislation.

Brazil

Although Brazil's late start has meant fewer opportunities to enhance coordination between the two branches, one significant meeting did take place in December 2012. GLOBE Brazil convened a meeting at the Permanent Climate Change Commission in Congress where the preliminary findings of the GLOBE Forest Legislation Study Brazil chapter were presented and the relevance of the REDD+ and Payment for Environmental Services (PSA) law projects were debated. This provided a unique opportunity for a high-level debate between Congress and the Ministries of Environment, Finance and Foreign Relations.

These different branches of the Executive were then able to present their technical perspective on the Law Projects, highlighting points of convergence and divergence. Participants from both branches noted the importance and need for enhancing interaction between the two. The convening of representatives from these two branches was significant since it was the first time these actors had been brought to the table on REDD+ issues since 2010. Following the success of the meeting, both legislative and executive demonstrated strong interest in the preliminary findings of the legislation study and in participating in its official launch.

DRC

The DRC is the country where collaboration between executive and legislative branches has been the most advanced (apart from Mexico). It has even been institutionalised through the Legislative Working Group on Forest Governance and REDD. Engagement with the Ministry of Environment / CN-REDD is at the heart of GLOBE's engagement in the DRC. The delay at the start of the project has been more than compensated by the significant progress in Executive / Legislative dialogue in the second half.

As a result, there has been increased engagement of legislators in the reforms on laws relating to the national forest code, land tenure, and nature conservation. Furthermore, the Legislative Working Group is the result of a partnership/MOU between GLOBE and the CN-REDD. This union provides a vital bridge between the legislative and the executive, and is so far proving successful, as evidenced by the CN-REDD's desire to direct World Bank funding to prolonging activities with the Legislative Working Group.

Indonesia

The Indonesian Inception Workshop in October 2011 successfully convened representatives from the legislative and executive branches with legislators interacting with the Head of the President's Delivery Unit for Development Monitoring and Oversight (also known as UKP4), and the Minister of Forestry.

The second Indonesian chapter is still in its early stages and progress has been slow, especially given that legislative elections will be taking place in 2014. However, partners indicated that the head of UKP4 is still keen on engaging parliament on REDD+ issues through the new Green Economy Caucus chapter. This is evidenced by the participation of Pak Heru Prasetyo, Deputy Head of UKP4/Indonesian President's delivery unit, at the 2nd GLOBE International Forest Forum in November 2013

Legislators have an increased level of awareness and understanding of financial oversight of REDD+ activities

Overall, the project does not seem to have contributed immensely to enhanced legislator understanding of REDD+ finance or their oversight role thereof. Based on interviews with Mexican and DRC legislators, specifics of the REDD+ financial mechanism remain somewhat opaque. It is highly possible that this result may be due in part to the fact that up until COP-19, REDD+ financial issues were generally poorly understood, not just by legislators but other key stakeholders as well.

In Mexico, GLOBE legislators led several events in late 2012 about national budgets and forests together with legislators from the Environment Commission and Climate Change Commission.

GLOBE Brazil members discussed the multiple sources of REDD+ finance during public hearings organized by GLOBE Brazil in partnership with the Bicameral Commission on Climate Change in December 2012 and May 2013. In the DRC, the Legislative Working Group on Forest Governance and REDD+ has addressed the issue of finance for REDD+ in its discussions, and Indonesian Green Economy Caucus members have raised this issue in the media (Jakarta Post) and other contexts.

GLOBE also held a session on financial oversight at COP 18 in Doha in November – December 2012, which hosted the first International Forest Forum, with participants from the DRC, Mexico, Indonesia, and Brazil.

Peer-to-peer learning, south-south knowledge sharing and relationship building activities are enhanced between all countries with an interest in REDD+

Many legislators were particularly enthusiastic about these activities, which lie at the core of GLOBE's "raison d'être". This is due to the fact that GLOBE committed a great deal of time and funding to organizing several international meetings for legislators and key stakeholders:

- GLOBE Cape Town Legislators Forum - November 2011
- GLOBE World Summit of Legislators - June 2012
- 1st GLOBE International Forest Forum - December 2012
- Sixth Forest Day - December 2012
- 1st GLOBE Climate Summit-January 2013
- Conference on REDD+ - to be held in 2016 in the DRC

These meetings yielded a number of bilateral meetings focused on exchange of information and best practices. For example, a bilateral political dialogue between GLOBE Brazil and GLOBE Indonesia was launched in the sidelines of the GLOBE Cape Town Legislators' Forum and GLOBE took advantage of a Mexican senator's visit to Brazil to arrange meetings with Brazilian parliamentarians, which resulted in a discussion over best practices.

Most project partners emphasised that these relationship-building opportunities were an important measure of success of GLOBE activities, both in terms of providing incentives for parliamentarians to join GLOBE chapters and for ensuring information exchange between countries. Within the context of an international REDD+ mechanism, this last element is especially important since cooperation and coordination between countries will be essential to the functioning of the international mechanism. It is therefore recommended that the frequency of such international meetings be increased to respond to legislator demand (which currently is high) and to continue to encourage knowledge exchange.

Legislators from other forested countries and from REDD+ donor countries have an increased level of awareness and understanding of REDD+ strategies and national policy framework

REDD+ donor country representatives and forested country representatives attended many GLOBE events, and were involved in project activities at the international level. It is difficult to measure any increase in their awareness and understanding because they were not interviewed during this evaluation.

Legislators from other forested countries and from REDD+ donor countries have an increased level of awareness and understanding of financial oversight of REDD+ activities

Since the better understanding of financials of REDD+ still seems quite opaque among legislators in the participating countries, this is likely to be similar (if not worse) for forested countries outside the GLOBE FLI project.

4.3.2. (ii) Likelihood of impact using RoTI and based on reconstructed TOC - Satisfactory

The assessment of the likelihood of impact of the GLOBE FLI 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.

(a) To what extent has the project to date contributed to changes in behaviour as a result of project outcomes?

A number of important behavioural changes have been generated as a result of the project's successful outcomes such as:

- Increased cross-party interaction and legislator awareness, understanding and engagement in REDD+ issues;
- Strengthened relationships between the legislative and executive branches;
- Enhanced coordination between the national and sub-national scales of governance;
- Enhanced peer-to-peer learning, South-South exchange and increased awareness on the part of legislators from other forested developing countries and REDD+ donor countries of REDD+.

The behavioural changes that are described in this section are framed in terms of the project's three intermediate results, which are essential pre-conditions for the achievement of project impact.

Intermediate results level 1

Legislators from the 4 Initiative countries support their national REDD+ strategies by

amending and passing legislation, by performing their financial oversight functions and by representing their local communities.

In Mexico the GLOBE-led REDD+ reforms that were signed into law in June 2012, (which followed the General Law on Climate Change passed in April 2012) were possible due to the frequency and intensity of GLOBE's involvement of government representatives and coordination with indigenous community and *ejidos* representatives.

Brazilian project activities were delayed by a national Forest Code debate, however significant progress has been made through integration of REDD+ issues into discussions over a payment for environmental services law (PSA) in Congress. Meanwhile, a REDD+ law project, which had been stalled for months, advanced considerably in the Chamber of Deputies in part as a result of GFLI's efforts in convening legislators and representatives from the Ministries of Environment, Foreign Affairs and Finance and civil society to discuss both PSA and the law project.

Project activities in the DRC started from a much lower baseline than Mexico and Brazil, notably, minimal awareness of GLOBE activities and REDD+ issues. It is not surprising therefore that results were achieved on a smaller scale. Nonetheless, increased cross-party interaction and awareness, understanding and engagement in REDD+ activities appear to have increased legislative interest, notably through the Secretary General of the DRC Ministry of Environment speaking at the 2nd International forest forum in Warsaw, indicating a high-level sense of ownership of the process within the government and through the creation of a DRC Legislative Working Group. This has contributed to reform efforts on five key laws: nature conservation law, land tenure law, forest code, agricultural code and hydrocarbon law. The nature conservation law was adopted by the National Assembly in 2013 and entered into force in February 2014. The land tenure law is undergoing revision, especially as regards the specific rights of local communities, and will enter into force once key issues are resolved. According to DRC partners, the future of these revisions hinges in part on GLOBE, as the organization has recommended that national studies on each of the reform areas be completed before legislators start amending any laws. Parliamentarians indicated they were waiting for GLOBE to find consultants to conduct said studies. Further funding has been confirmed from NORAD and UNEP.

In Indonesia, the Executive Branch responsible for REDD (UKP4, the unit under the President's Office) participated in the 2nd GLOBE International Forest Forum in Warsaw and welcomed the Indonesia chapter of the GLOBE Forest Legislation Study and requested more collaboration with Indonesian legislators as part of the national REDD strategy process.

Intermediate results level 2

Increased collaboration between legislators from all relevant countries.

Legislators collaborated on establishing an international knowledge bank on legislative best practices for REDD+, which did not previously exist. They have also advanced joint positions internationally including the Forest Declaration adopted in January 2013 signed by legislators from 30 countries, collaboratively operating on developing joint positions in relation to international negotiations under the UNFCCC and in relation to Sustainable Development Goals / the Rio+20 process (at the WSL 2012 in Brazil and ahead of the WSL in 2014 in Mexico)

The engagement of international actors at the international events organised by GLOBE has been important in helping to forge new relationships between the legislators of participating countries. They also helped to create a link to international and national REDD processes, raising the profile of the GFLI internationally and convincing new international actors of the importance of engaging legislators in REDD processes. It also helped to explore synergies between for example UN-REDD's ongoing work and GLOBE's work on legal preparedness for REDD, allowing GLOBE's work to feed into what the FAO and others are doing in this area. FAO co-sponsored the GLOBE 2nd International Forest Forum in Warsaw which is one

good example, as a result of more informal collaboration in Mexico and DRC over the past 2 years. As a result of this engagement, there is greater potential for increased international collaboration on REDD+ issues between legislators and general mainstreaming across national programmes of the REDD+ mechanism.

GLOBE DRC has requested in a formal letter that the Mexican Congress and DRC National Assembly establish a formal dialogue on forest issues. Their ambition is that this collaboration should continue beyond GLOBE support. Dialogues are ongoing between the two GLOBE chapters (independently of the GLOBE International Secretariat) as a result of initial exchanges in 2012 and 2013. In the 2nd half of 2013, the Peruvian government invited GLOBE legislators and staff from Mexico to Lima twice to share the Mexican experience of legislating for REDD/climate change and hosting a COP, and the role of legislators in this process (in view of COP 20 in Lima in 2014). This has also taken place without any direct involvement of the GLOBE International Secretariat. Upon request, GLOBE legislators from the UK and Mexico have travelled to Colombia, to establish the GFLI with GLOBE Colombia members. In addition, legislators from REDD+ donor countries have participated in international events for a, such as the 2 GLOBE International Forest For a, as well as in bilateral visits in the DRC, Mexico, Colombia, and Indonesia. Furthermore, before the initial difficulties with the Indonesian chapter, bilateral meetings between GLOBE Brazil and GLOBE Indonesia, initiated at the GLOBE Cape Town Legislators Forum, hinted at the possibility of a formal dialogue between the two countries on REDD+ issues. All these examples are good illustrations of the success of project outcomes related to international collaboration.

Intermediate results level 3

Ongoing negotiations on an international global REDD+ mechanism reflect the priorities and concerns of legislators from forested developing countries and REDD+ donor countries and 4 initiative countries continue to enhance LULUCF management practices.

GLOBE has facilitated the participation of GFLI legislators at 3 UNFCCC COPs (2011-2013). This has enabled GFLI legislators to participate in their national government COP delegations and engage in REDD discussions with their national UNFCCC negotiators, as well as exercise their parliamentary oversight function in relation to the executive branch positioning in international negotiations, and witness the link between the legislation they passed in Congress (Mexico) and Mexico's active position on REDD in the UNFCCC negotiations. The fact that Mexico advanced REDD+ legislation in 2012, as the first country to integrate UNFCCC provisions on safeguards and MRV in their national legislation, also injected a certain level of confidence in Mexico's position in the international negotiations. The effect on the overall outcome of the negotiations is of course difficult to ascertain, but it is clear that legislators' involvement in UNFCCC negotiations has strengthened their oversight role and that the Executive Branch has been forced to listen to GLOBE legislators' forest/REDD concerns as they were part of national UNFCCC delegation meetings.

An agreement on an international payment-for-services REDD+ mechanism was reached at COP19 in Warsaw in November 2013. It is impossible to directly attribute this achievement to project activities. However there is little doubt that recent progress, particularly in Mexico, and the findings of the GLOBE Legislation Study helped to increase awareness and interest in REDD+. This certainly helped to deepen understanding among negotiators of the importance of national legislation and legislators in order for the international REDD+ mechanism to work.

(b) To what extent is the project likely to contribute to changes in behaviour in the future?

The success and sustainability of project results and ability to catalyze change is highly contingent on impact drivers and their continued presence, such as the following

- Deepening of outreach to legislators

- Outreach efforts beyond legislators to key stakeholders
- Legislator capacity to uptake expert information, and make political interventions
- Appreciation of government departments of the importance of REDD+
- Sufficient opportunities for interaction
- Identification of appropriate REDD+ strategies for forest countries on a case-by-case basis by the Steering Committee

Project documentation and interviews with key legislators, staff and stakeholders indicate that all of these impact drivers are being addressed by GLOBE, and are therefore extremely likely to continue to exist after the project's end.

According to interviews, providing legislators with a regular and consistent stream of information (especially through the convening of informational sessions) is the key to sustaining legislator interest and engagement. GLOBE has also learned that actively and consistently involving civil society and government representatives ensures that project activities lead to concrete results, as was evidenced by the passing of reforms in Mexico.

The importance of providing opportunities for legislators to initiate contacts leading to dialogue over REDD+ issues (both at the national and international level) was referred to many times in interviews, and GLOBE staff made it clear this was to be a focus for the future, if and when funding permits. The significant number of international meetings involving all the project stakeholders that took place during the project life is a positive illustration of GLOBE's convening capacity.

Regarding the issue raised regarding the legislators' true motivations for participating in the project, it is perhaps noteworthy to point out the unexpected attendance of legislators from Zambia, Zimbabwe and Namibia in Warsaw, who did not receive any funding from GLOBE, did not stay at the GLOBE hotel yet contacted GLOBE to request if they could participate at the 2nd GLOBE International Forest Forum as they want to start up GLOBE Chapters in their respective countries, and that they do not benefit from the same capacity building schemes that officials from Ministries of Environment generally do and therefore feel that they lack sufficient knowledge to engage in national REDD/forest legislation reform efforts.

Obviously the same would apply to Mexican and Brazilian legislators who paid for their own travel.

For many legislators, being away from their national constituencies is a sacrifice as it is time spent away from important national debates, particularly around election periods. Many legislators who participate realise that participating in international events will not help them win votes. They choose to sacrifice time they could have spent shaking hands with voters or organising fundraising events in their constituencies with full media coverage, and instead spend several days away from the limelight. For many legislators, this is an indication that they have a personal commitment to the cause, and that they are willing to take time from their very busy agendas.

These points illustrate GLOBE's convening power. GLOBE officials have indicated that legislators often convey to them that they do not really have a platform to learn more about REDD/forests/climate change, or learn from their colleagues in other countries facing the same challenges. Legislators generally do not benefit from the capacity building schemes of international organisations related to sustainable development, which are mostly directed to the Executive Branch of Government or civil society organisations, which frequently take part in exchanges with their counterparts in other countries.

The legislators find that GLOBE fills a void and provides this platform, which empowers them as legislators and enables them to play a more active role - winning the respect of their fellow legislators in the longer term and increasing their influence over national politics on issues that they consider important.

Assumptions as defined in the ToC are set out as follows, regrouped for evaluation purposes around the two key “actors” they refer to: parliaments themselves, and the greater contexts in which they operate.

Assumptions concerning parliaments:

- Briefing materials of interest and useful to parliamentarians
- Parliamentary interest in refining REDD+ national strategies
- Parliamentary interest in collaboration, notably in spite of the economic crisis diverting attention away from environmental concerns
- Time availability of legislators to attend REDD+ briefing meetings
- Parliamentary stability in concerned countries
- Parliaments perform their parliamentary scrutiny function

Thus far, GLOBE has been successful in providing stimulating information, maintaining legislator interest and fostering information exchanges and interaction over REDD+ issues, even in the face of problematic national contexts like the Forest Code debate in Brazil. Indeed, although project activities in Brazil were delayed because of said debate, a chapter was nonetheless formed quite early on and GLOBE staff ensured that REDD+ issues were on legislators’ minds.

Parliamentary stability in the concerned countries is not an issue, although close attention should be paid to the DRC whose parliament is still very young, and to a lesser degree Indonesia, whose parliament is also relatively new. Parliamentary scrutiny is a key element of the GFLI project, given that legislation is only effective if it is implemented and enforced. The parliament’s oversight role over implementation and regulation is therefore crucial and GLOBE staff emphasized that parliamentary oversight will figure prominently in the next installment of project activities, notably with follow-up on the aforementioned Mexican reforms.

Assumptions concerning the project’s greater context include:

- Political structure that respects the importance of checks and balances in a parliamentary democracy; and
- International climate negotiations provide sufficient enabling conditions for the negotiations concerning an international REDD+ mechanism.

The REDD+ agreement reached at COP 19 in Warsaw validates these assumptions. Though many specificities of the main REDD+ mechanism have not been finalised, the agreement provides the framework necessary for forested developing countries to start implementing REDD+ strategies. Furthermore, official pledges from NORAD and UNEP to continue funding the initiative seem to indicate non-forested country negotiators are taking in feedback from forest country legislators and reacting accordingly. Project evaluation shows that all countries so far have proven somewhat dedicated to a system of checks and balances, though some (Mexico, Brazil) are obviously more familiar with the processes involved than others (DRC, Indonesia).

GLOBE staff also see influence on non-forested countries happening more indirectly. For example, GFLI legislators influence their own national governments by participating in negotiations at COPs. The negotiators in turn influence other (non-forested) countries. GFLI legislators also influence their fellow legislators in non-forested countries, who in turn influence their national governments. This took place for example at the World Summit of Legislators, where the forest session attracted legislators from both forested and non-forested countries, as well as through the Forest Declaration, which raised the profile of REDD on the agendas on legislators from 30+ countries. UK legislators, following discussions with their GFLI peer legislators, have written parliamentary written questions to the UK Minister for International Development on REDD and forest legislation as well as REDD finance, including questions related to the UK’s position on these issues as a donor to

the GEF and the World Bank. The Minister has subsequently responded formally, and expressed that the UK will explore further action on this. As a result of pressure from UK legislators, the UK government has also increased its own allocations to parliamentary engagement in REDD and climate legislation in early 2014.

(c) How likely are all these changes to contribute to further significant changes, i.e. a reduction in carbon emissions from deforestation and forest degradation?

Review of intended impact

It is important to be realistic when evaluating the *outcomes to impact* logical thread in the context of this project. At this stage, it is virtually impossible to assess whether or not the project-related changes are likely to contribute to the project impact to “reduce carbon emissions from deforestation and forest degradation”. Given that so many disparate efforts are underway (at the global, regional, national and local levels) to reduce emissions from deforestation and forest degradation, it is very difficult, if not impossible, to accurately attribute GLOBE project activities to the desired impact.

In addition, at the country level, even well-designed primary legislation cannot reduce forest carbon emissions and deforestation unless implemented and enforced. In order to attain this goal, strong policy mandates for forest protection are absolutely essential.

It should be noted that an important development in the overarching project context occurred at COP19. Though it would be impossible to attribute it solely to GLOBE’s activities, agreement was reached on the international REDD+ mechanism, establishing a results-based payment system and landmark decisions on finance, reference levels, MRV, safeguards, forest monitoring systems, institutional arrangements and addressing drivers of deforestation.

The Warsaw Framework for REDD+, is backed by combined pledges of \$280 million in financing from the United States, Norway and United Kingdom. The pledges are not directly linked to the Warsaw Framework as there is not yet a final decision on the funding sources – although the pledges can be seen as an expression of political momentum/will to advance REDD finance.

The REDD+ agreement reached at Warsaw is an essential step in ensuring that project impact is reached. Indeed, until an agreement was reached at COP19, the measurement, reporting and verification (MRV) of REDD+ activities and outcomes still needed to be clearly articulated, both at the national and international level, to ensure common or at least equivalent approaches were used. The Warsaw Framework has established a clear framework that enables forested developing countries to start implementing REDD+ activities.

However, in order for the new Warsaw Framework to be operationalized, as described in the third level of the intermediate results, national and collaborative efforts need to be strengthened. If country-level REDD+ mechanisms do not work, success at the international level will be compromised. It is therefore perhaps more realistic to focus on achievements between outcome to intermediate results, which in themselves are essential for the realisation of the overall impact of reducing emissions from deforestation and degradation.

Changes that have already taken place within the GFLI project’s life, if sustained, will reinforce the national REDD+ foundations necessary to reducing carbon emissions. For example, the successful passing of REDD+ reforms in Mexico has drawn legislator attention to REDD+ and SFM issues and reinforced legislative-executive ties. This is already proving very helpful in mobilising resources to pass a second round of reforms of forest legislation. This second round of reforms of forest legislation will include REDD+ components.

Given the political issues that were encountered by the Indonesian chapter of GLOBE of the Forest Legislation Initiative with local legislators refusing to develop a legislative reform agenda for REDD+, Indonesia has started to demonstrate some positive results. Delays in Indonesia do mean they are still at output level, although future developments on national and international level are looking positive.

RoTI analysis

The rating for outcomes to intermediate states is B. It would have been an A if indeed outcomes had been met in all four initiative countries. As explained throughout this report, the project achieved varying degrees of success because of country-specific factors, which were beyond the control of the project team. This meant that outcomes have not been met in all countries. It is important to emphasise that the evaluation team recognizes and commends the GLOBE project team for having done everything possible to address the country-specific factors. However, since the RoTI is not a judgement of the project team per se, but rather the extent to which UNEP is succeeding in its work towards designed impacts.

The rating for intermediate states to impact is also rated as B. It would have been higher if indeed the overall impact (i.e. reduction in emissions from deforestation and degradation) could be directly attributed to GLOBE's project activities.

4.3.3. (iii) Achievement of project goal and planned objectives - Satisfactory

The project was for the most part successful when measured against its initial log frame (which is contained in Annex 5.1). The evaluation team changed very little in its reconstruction of the project logic, and outcome statements and indicators were generally adequate. The only significant difference between the initial and reconstructed log frame concerns some confusion between outcomes and outputs, of which some were inverted, and component 4, which the evaluation team established was actually an intermediate result. Nonetheless, the rating of the initial project design was overall satisfactory. The outputs under the original component 4 were integrated with the revised components (as per the reconstructed Theory of Change).

4.4 D. Sustainability and replication- Likely

Sustainability

4.4.1. (i) Financial- Likely

The continuation of project results and eventual attainment of impact is highly dependent upon continued financial support.

On the one hand, it is clear that the continuation of project results and eventual attainment of impact is highly dependent upon continued financial support. However, a new UNEP/GEF project is being developed with the support of UNEP UN REDD and NORAD (this second phase of funding will support the establishment of new chapters in the Philippines, Columbia, and Peru). This second phase of donor funding is an important indication of the buy-in and support of the international community.

Whilst continued donor support is one type of evidence of financial sustainability, at the same time the evaluation criteria ask for evidence of the project viability independent of financial support. In this light, the evaluation team feels maintains that further evidence is required regarding the viability of the GLOBE chapters in the absence of GEF project funds. While there may be no funding for international meetings, it must be determined whether the chapters will be able to continue to operate at a national level. At this point, it does not appear that there are any risks that might jeopardise the continued project results and onward progress towards impact.

4.4.2. (ii) Socio-political - Likely

The main political factor involved in project result sustainability is the mitigation of information loss through legislator turnover. The project had made plans for this, engaging with legislators from both the government and opposition parties, and in the case of Mexico reforms were passed in a short time, before any congressional turnover. GLOBE's success in reestablishing GLOBE Mexico after the 2012 elections is indeed an important example of how this challenge was addressed successfully. According to GLOBE's "GLOBE Results 2011-2013" report, one of the key challenges in working with parliaments is the volatility caused by elections, which GLOBE addresses by supporting the establishment of national GLOBE chapters with local staff.

Although passing legislation is key, creating a solid foundation of engaged parliamentarians is equally important. Some of the stakeholders that were interviewed felt that country-ownership was still an elusive goal, because GLOBE continued to do much of the substantive work. This only reveals part of the national ownership issue. Another dimension of national ownership is reflected in the extent to which Brazilian and Mexican legislators contributed to the organization of the World Summit of Legislators, which would not have been possible without a sense of national ownership.

Building a deeper sense of country ownership will take more time, especially in countries such as the DRC and Indonesia.

One recommendation to mitigate the issue of information and engagement loss could be the creation of a parliamentary mentorship programme uniting departing parliamentarians with their incoming counterparts. This could ensure that the former remain engaged with GLOBE, and thus part of the network, and that both new and former legislators are informed and kept up to date.

4.4.3. (iii) Institutional framework - Likely

The institutional framework of the project enabled project outcomes and benefits to be sustained during the life of the project. Since this has not been completely obtained in the majority of the countries (Brazil, DRC, Indonesia), it therefore seems likely that without GLOBE (and thus a continuation of their projects in those countries) the future of a solid institutional framework is not secured. If the institutional framework were to be dismantled, it is unlikely that project results could be sustained.

Nonetheless, in Mexico and the DRC major steps were taken. For example, it should be recognised that GLOBE and the DRC government have facilitated the creation of a new body, the Legislative Working Group on Forest Governance and REDD, in the DRC National Assembly.

4.4.4. (iv) Environmental - N/A

Due to the large geographical scale of the project it has not been possible to assess the influence of environmental factors on the future flow of project benefits.

4.4.5. (v) Catalytic role and replication - Highly Likely

GLOBE's parliamentary capacity-building approach and GFLI activities in particular appear to have started catalyzing change, especially in creating new opportunities for stakeholder engagement in the legislative drafting process.

Equitable benefit-sharing and the role of environmental and social safeguards are some of the most crucial elements in current REDD+ discussions and provide an opportunity for legislators to step up and ensure that a more inclusive and broad-reaching approach to legislation is being adopted. The passing of forestry reforms in Mexico reflects the validity of

this approach. Interviews with DRC parliamentarians reveal the DRC chapter is keen to follow in Mexico's footsteps and close the national-regional gap.

The GFLI has a number of champions, most prominently NORAD and UNEP, and the long line of countries who have approached GLOBE in hopes of starting their own chapters, including Zambia, Zimbabwe, the Philippines and Namibia, proves the initiative is spurring change around the world. In 2013, Peru and Colombia joined the GFLI and have had visits by Mexican and UK legislators several times already. There is a large potential for regional collaboration and exchange in the Latin America (Mexico, Colombia, Peru, Brazil). Furthermore, an entirely new organization, the Conservation Council of Nations (CCN) was launched in 2011 and has been successful in establishing multiparty conservation caucuses in several countries. Although the CCN was formed by the International Conservation Council Foundation (ICCF), an organization, which for decades has been dedicated to working with conservation caucuses within the United States, CCN has been focusing its efforts on forging collaboration between legislators and key stakeholders to advance legislative reform on conservation and natural resource management issues. Both GLOBE and CCN have collaborated successfully over the past two years.

The renewed funding pledges from NORAD and UNEP represents another expression of validation of the project activities.

It is also worth mentioning that organizations such as the GEF formally stated in Warsaw that this project needs to be scaled up massively in 10-15 countries as parliamentary engagement is key to the success of REDD, and not many organizations are pursuing this at the moment. UN- REDD has also expressed a desire to work much more strategically with GLOBE as they see the added value of the GFLI to their work.

Importantly, Dr Naoko Ishii, GEF Chairperson & CEO in GLOBE Forest Legislation Study stated in the foreword: 'The importance of GLOBE's Forest Legislation Initiative, working directly with senior legislators to improve national forest governance, law enforcement, financial scrutiny, accountability and policy coordination cannot be exaggerated.'

Replication

Given the spectrum of development and REDD+ readiness of the four initiative countries, many lessons tied to replication have been learned and built upon within the life of the project itself.

Mexico stands as a leader and has inspired DRC parliamentarians, who have explicitly described their desire to focus on integrating regional and community interests into national law.

Furthermore, the failure of the Indonesian chapter provided an excellent lesson for GLOBE on the importance of understanding the political terrain of a country before creating a chapter. GLOBE staff made it clear this lesson would be applied to future initiative countries. The Brazilian chapter meanwhile demonstrated its innovation by integrating REDD+ concerns into discussions over Payments for Environmental Services (PES). This indirect approach to REDD+, which mirrors the renaming of the Indonesian chapter to "Green Economy Caucus", highlighted the fact that in some instances the best way to promote REDD+ related change is to package it more palatably according to national priorities.

Overall, this is one area in which the disparity of initiative country REDD+ readiness levels proved useful, in that lessons learned from Mexico and Brazil could be swiftly integrated into the DRC and Indonesia's REDD+ strategies. The Forest Legislation Study has identified which areas are more contextually dependent in the 4 countries (land tenure reform, land use planning arrangements, institutional arrangements), and which are more easily replicated across geographical/political boundaries (benefit sharing, MRV, safeguards, carbon tenure). The Forest Legislation Study is an important part of GLOBE's strategy and project design as

it has allowed the GFLI to identify which areas are relevant for further bilateral and multilateral exchanges. The importance of this analysis should be stressed.

4.5 E. Efficiency - Satisfactory

The main measures undertaken to ensure cost and time-saving were the combination of resources from GEF with those of other donors and the combining of Initiative meetings with larger events such as COPs.

The project encountered a number of delays in particular election cycles, National elections were part of GLOBE's risk analysis and they did have a strategy for dealing with them. The only country where elections can be said to have had an impact is the DRC, where elections were held in 2011. The 6 months delay in processing election results could not realistically have been estimated by GLOBE. Aftermaths of the elections delayed the start of the project.

The only other country to have held elections over the course of the project period was Mexico. This was integrated into the GFLI's strategy and properly for the reason that after the elections, GLOBE Mexico was successfully re-established and new REDD legal reforms were discussed. GLOBE is used to dealing with electoral cycles in the 50+ countries where they are active.

Two of the four Initiative countries commenced project activities far later than intended and one had to recreate an entire new chapter, thus delaying project activities significantly. Inception workshops defining national objectives for each country's GFLI programme were intended to take place in fall 2011. However, only Mexico and Indonesia's inception workshop took place around the intended starting date in September and October 2011 respectively.

Both Brazil and the DRC's political context greatly affected the output of project activities. The DRC had just completed its second round of parliamentary elections when the project started and results of these elections were only announced mid-2012. Appropriate legislators had to be identified with the inception workshop only taking place in September 2012. Brazilian legislators' attention was focused on the country's Forest Code Debate until early 2012, resulting in the inception workshop only taking place in April 2012. Furthermore, as stated earlier in the report, problems with the first Indonesian chapter required the establishment of an entirely new chapter. The inception workshop for this new chapter took place in February 2013, which means project activities were only able to start in the last 6 months of the project. Project activities took place also in 2011 and 2012 but did not lead to any major results since legislators were not committed. The Indonesian challenge proved to be very cost-heavy for the project.

Every effort was made to build on existing platforms, especially GLOBE's extensive network. Earlier project experiences and approaches were integrated. The first opportunity to ensure the alignment of the project with major initiatives was the establishment of the Initiative Steering Committee. Moreover, the GLOBE International Secretariat undertook discussions with key actors such as the UN REDD programme, the Forest Carbon Partnership Facility, the REDD+ Partnership and several government and NGO bodies at the project design stage. The project particularly cooperated with UN REDD country teams with a specific focus on Indonesia. Given the issues the project encountered there, the Indonesian UN-REDD Task Force was helpful in assisting GLOBE in finding entry points to the Indonesian parliament to make sure a new group could be established.

4.6 F. Factors affecting performance - Satisfactory

4.6.1. (i) Preparation and Readiness - Moderately Satisfactory

Considerable effort was directed to project design. However, the varying readiness levels of the countries involved meant that implementation of the project's planned activities were predictably uneven.

As the Executing Agency, GLOBE brought considerable expertise as well as a technical and political understanding with the REDD+ agenda.

Despite the challenges that have been discussed throughout this report, overall the project objectives were realistic considering GLOBE's 20-year track record in strengthening parliamentary capacity and engagement in environmental law-making. The project objectives were also realistic in light of the fact that REDD+ readiness has elevated in importance in developing countries, especially in the four project countries given their large forested areas. While each of the four countries were at different stages of REDD+ readiness, it became clear that the accelerated engagement of parliamentarians was very important to advancing the REDD+ agenda domestically.

According to GLOBE risk mitigation strategies were in place, yet the DRC election delays and the difficult Indonesia REDD political context were external factors beyond GLOBE's control. The Evaluation Team agrees with GLOBE that it is difficult to see how GLOBE could have tackled these problems differently. In the DRC context, the project has demonstrated remarkable progress since July 2012, with intense activity since then, despite delays in 2011/2012, which shows that GLOBE 'caught up' and is now on schedule. This is evidence that GLOBE managed to adapt to the political reality and volatile election cycle with relatively minimal disruption of project activities. In the Indonesia context, even if GLOBE would have had done more research, it is difficult to see how this alone could have helped to discover the true political agenda of the initial GLOBE chapter.

Risk mitigation strategies employed by GLOBE included not transferring large amounts of money to GLOBE chapters particularly before getting to know them and building a relationship of trust. As a result, even though the initial Indonesia collaboration failed, the damage to the project as a whole was relatively small due to the risk mitigation strategy GLOBE had in place. If we did not dare to test collaboration with new groups of parliamentarians, the project would not be able to advance but would get stuck in a research phase. . . .

4.6.2. (ii) Project implementation and management - Highly Satisfactory

The GLOBE project management team responded efficiently and effectively to the operational and institutional problems that arose during the course of the project, as was most obviously evidenced by their handling of the issues that arose in Indonesia. GLOBE demonstrated excellent problem-solving skills by sub-contracting the local NGO Prakarsa to act as interim Indonesian Secretariat, map out appropriate parliamentarians and collaborate with the Green Economy Caucus.

In general, collaboration between the different individuals involved in project management was constructive and positive. The relationship between the Global Initiative Director, the London based team and the National staff was described as healthy and clear by multiple stakeholders. Although the former Global Initiative Director Chris Stephens left the project in December 2012, the new Global Initiative Director Marlene Grundström confirmed that the transition went smoothly, in part thanks to former Brazil and DRC Initiative Director Thais Narciso and Mexico Initiative Director Andrés Avila-Akerberg, who acted as co-directors during the six month transition period.

Decisions taken at the Steering Committee level were always shared between the GLOBE International Secretariat, the National Initiative Directors and Advisors who were able to advise, guide and support the national legislator groups in their efforts to attain the GFLI project objectives.

GLOBE legislators were supposed to take a leadership role in supporting the creation of transparent institutions and equitable benefit sharing mechanisms for REDD+ finance, to ensure greater coordination between government ministries and consistency between national and sub-national REDD+ legislation. Most of the implementation of these processes remains at a very early stage, making it hard to rate their efficiency at this level.

The project implementation met GEF environmental and social safeguards requirements in the sense that legislators played an important role in embedding nationally-appropriate social and environmental safeguards in REDD+ strategies. This will ensure that the rights of forest communities and indigenous people are respected and that biodiversity conservation is integrated into national REDD+ strategies.

Overall, the implementation and management arrangements set up at the start by GLOBE provided suitable guidance throughout the project. Collaboration between GLOBE staff and national legislators has, apart from the issues faced with the first chapter of GLOBE Indonesia, been successful and continues to be so. The Steering Committee succeeded in its task of defining the objectives and approach of the GFLI project. Several adaptations had to be made during the project life along the project (notably because of election cycles) and some of those caused serious delays. As previously stated, this could have been anticipated more if the timeframe of implementation had taken in consideration the national events on both political and social levels. As far as the complete re-establishment of the GLOBE chapter in Indonesia is concerned, these issues could not have been expected. It is a testament to GLOBE's efficiency that the organization was able to tackle this issue and that, despite the great delay it caused in the implementation of the GFLI project in Indonesia, a new and fruitful collaboration has been set up through the Green Economy Caucus.

4.6.3. (iii) Stakeholder participation and public awareness- Satisfactory

The level and diversity of stakeholder engagement in GFLI activities during the project life in the four countries reflected each country's initial degree of familiarity with REDD and GLOBE activities. Thus, Mexico demonstrated the most active and diverse stakeholder engagement; Brazil was less able to devote time to GLOBE activities but nonetheless made key progress with government stakeholders thanks to a pre-existing framework; Indonesia overcame initial obstacles thanks to the formation of a new key alliance with a local NGO; and the DRC is continuing to engage with different stakeholders.

Furthermore, it should be noted that one of the GLOBE GFLI's focuses in terms of stakeholder engagement was enhancement of dialogue between the legislative and executive branches of government. Partners named the difficulty of coordinating the two branches as a key issue in national politics in most of the initiative countries. Including government representatives in GLOBE activities was therefore of the utmost importance, and this approach proved successful in the DRC, Mexico, and Brazil, albeit at different levels of results.

Mexico

The Mexican initiative actively engaged three levels of stakeholders, involving the following NGOs: Mexican Center for Sustainable Forestry (CCMSS), Mexican Center for Environmental Law (CEMDA), Greenpeace Mexico, TNC México, Red MOCAF, Reforestamos México, Fundar, Pronatura, AMBIO; the Ministry of Environment (SEMARNAT), the National Forest Commission (CONAFOR) and more recently the ministries of Agriculture and Agrarian Reform and Land Planning (SEDATU); and a number of representatives from *ejidos* and communities.

During the process of development of the reform initiative, GLOBE consistently invited officers from CONAFOR and SEMARNAT to events, and made efforts to ensure they were both kept in the loop. When questions arose from CONAFOR and the Treasury (Hacienda) during the approval process of the reforms within Congress, GLOBE ensured all concerns

were answered. This enabled a true dialogue to develop between the chapter and the two government entities, which has proven extremely useful in setting up a second round of reforms of forest legislation now additionally involving the ministries of Agriculture and Agrarian Reform and Land Planning (SEDATU). This close work with governments and a systematic dialogue with *ejidos* and communities enabled a smooth passing of initial reforms and one that represented the interests of all parties concerned, and laid the groundwork for a second round now able to benefit from the relationships formed between all these actors.

Brazil

The focus in Brazil has been on strengthening the dialogue between the Executive and the Legislative branches. However, one particular issue, which was raised, reflecting civil society's concerns, was the importance of respecting indigenous peoples rights for the success of REDD+. This was acknowledged in both Law Projects (PES & REDD) under consideration by the two houses of Congress; these Law Projects were put forward by GLOBE members. In addition, ensuing discussion at the Commission of Agriculture in the Chamber of Deputies have further specified the rights of indigenous peoples, Hon. Rebecca Garcia, a GLOBE member participated actively in this debate.

Though Brazil's involvement has been less active given various political context-related delays, as mentioned earlier in the report, the Brazilian chapter was able to orchestrate a rapprochement between Congress and the executive that bodes well for future REDD+ efforts. The convening of representatives from these two branches was significant since it was the first time these actors had been brought to the table on REDD+ issues since 2010. Following the success of the meeting, both legislative and executive demonstrated strong interest in the preliminary findings of the legislation study and in participating in its official launch. The outcome was the continued drafting of a REDD+ law project by a GLOBE member and continued dialogue with the Executive. For other political reasons, this project was stalled and is still 'dormant'. It could be pursued again following upcoming elections in 2014, if legislators wish to pursue it further. The preparatory work that was undertaken is still valuable.

Indonesia

The establishment of a second GLFI Indonesia chapter has been made possible through engagement with local NGO Prekumpulan Prakarsa. The NGO created a map of appropriate legislators for GLOBE to target, and is now acting as interim Indonesian Secretariat as GLOBE looks for a new National Initiative Director. The involvement of Prekumpulan Prakarsa acted as a major lesson for GLOBE, as many partners stated they now understood the importance of relying on local knowledge and familiarity with parliamentary systems and dynamics, particularly in developing countries.

DRC

Civil society has been highly involved in the DRC, being formally represented through the civil society network Groupe de Travail sur Climat et REDD (GTCR) in the Legislative Working Group. Members of indigenous groups, civil society as well as international organizations such as IUCN have all participated in key meetings. They were also consulted as part of the Forest Legislation Study development process, by consultants hired by GLOBE.

The DRC is still in early stages of stakeholder engagement, but GLOBE remains very focused on bridging the legislative-executive gap, with the Ministry of Environment regularly making presentations to chapter legislators and the Legislative Working Group working closely with UN-REDD. The relationships formed will be all the more crucial in the DRC because of the deeply contentious debates around such issues as land tenure, not to mention the low level of familiarity with REDD and low opportunity costs related to forest conservation.

4.6.4. (iv) Country ownership and driven-ness - Satisfactory

Country-ownership is an ongoing process and has several dimensions. First, it is important to emphasize that all of GLOBE's work builds on the principle of national ownership, with national chapters themselves deciding their political priorities. This is reflected for example in the decision by the legislators themselves to focus on green economy in Brazil and payment for ecosystem services in Indonesia. In this light, GLOBE has refrained from imposing an external REDD+ agenda and has accepted the legislators' own priorities.

Secondly, despite the buy-in of the legislators, ownership is also measured by the capacity to execute the project activities. In some cases, it is apparent that legislators are highly dependent on GLOBE to carry out the substantive work.

GLOBE has identified a number of other lessons regarding national ownership of REDD+. These include: (i) providing support to legislators to participate in the UNFCCC process has helped national parliaments to translate complex international REDD+ policy processes into national legislation; (ii) bridging the gaps between the legislative and executive branches has been a challenge where these two branches of government have different visions on REDD+; (iii) REDD+ law making cuts across a wide range of sectors, which presents challenges for many legislators who are accustomed to drafting narrowly sectoral legislation; (iv) adapting REDD+ to national political realities is important; (vi) country ownership is facilitated through flexible cooperation modalities; (vii) ensuring that national chapters are supported by local staff is one way to ensure institutional memory preservation once legislators leave.

4.6.5. (v) Financial planning and management – Satisfactory

Overall project financial planning and management was satisfactory.

Cash advances were released to the Executing Partner – Globe International in a timely manner on the basis of requests received and submission of acceptable financial reports of previous cash advances. By the end of the terminal evaluation, all financial reports and the audited financial report had been received by the fund managers. The audited financial report, dated 6th February 2014, states that in the opinion of the auditors, Chatterhouse (Accountants) LLP, "the financial statements present fairly, in all material respects, the cash receipts and disbursements of the Global Legislators Forestry Initiative project for the period 1st October 2011 to 31st May 2013 in accordance with the cash receipts and disbursements basis of accounting". The auditors have thus provided an unqualified opinion raising no significant reservations in respect of the financial statements prepared by Globe International. On the basis of this report, UNEP will release the final cash advance, being 5% of the approved budget, which is essentially a reimbursement for expenses incurred by Globe International.

The dynamic nature of the project activities and project implementation context necessitated many budget revisions, which were effected in consultation and with the written approval of the Project Implementing Agency – UNEP. Resource reallocations among budget lines were effected to cater for revised activities and their associated budgetary requirements. It is understood that these were effected in response to changed project environment and the ever-evolving nature of the project context.

As of 30th September 2013, the cumulative expenditures amounted to USD 970,000, representing a delivery rate of 100% against the total approved budget of the same amount (USD 970,000). Adequate funds were available to the project and its partners although some components of the project such as office space, were generally under-budgeted.

According to the Project Document, the executing agency was supposed to submit co-financing reports to the implementing agency every six months during the project period.

There is no evidence that this was ever done as the fund managers did not receive such reports. However, the executing agency did submit, after the close of the project, a final co-financing report, a final audited financial report which includes the co-financing component(s). This is an area where greater emphasis will need to be placed by both the Task Manager(s) and the Fund Manager(s) to ensure that complementary resources (co-finances) are actually realised and that the project objectives, which are invariably dependent on the co-finances, are indeed realised. Although the audited financial report indicates that some US\$ 805,190 co-financing resources were realised, the failure to report on these during the project period, as stated in the project document, presented a potential risk to the project as the implementing agency could not determine the availability of these resources and the potential impact of the lack of such resources on the realization of the project objectives.

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, and unqualified opinion provided by the auditors, the evaluation team is of the view that proper financial standards were applied during the project lifespan.

The following table gives a breakdown of the actual expenditures for the project as at 30th September 2013.

Table 2-- : Breakdown of Actual Expenditures by Category and Funding Source (all figures in US \$)

	GEF Funding	Cofinance 1	Cofinance 2	Cofinance 3	Cofinance 4
		NORAD Grant	UN-REDD Grant	GIZ	FCO Mexico Grant
Project Personnel	311,898.6	183,687		22,750	48,481
Consultants	128,551.08	133,432	47,225	43,660	
Administrative Support	52,230	48,502			
Staff travel and transport	7,826.07			6,188	1,673
Publications, Translations Reporting and Dissemination	833.90		1,350		
Meetings/Conferences (including inception workshop)	393,120.20	231,018	8,120	10,524	
Expendable Equipment	19,245.25				
Premises (office rent, maintenance of premises and other overheads)	52,294.70	7,902		8,000	4,678
Financial Audit	4,000				
GRAND TOTAL	970,000	604,541	56,695	91,122 ¹	54,832

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 970,000. As indicated above, the executing agency did not submit any co-financing report to the UNEP during the life of the project. But on the basis of the final co-financing report and audited financial reports submitted after the conclusion of the project a total of US \$ 910,000 was mobilised and utilised in furtherance of the project objectives. A second UN REDD grant was included, however this is not reflected in the table above. Furthermore the above figure does not reflect the 220 000 USD in-kind contribution of GLOBE.

¹ GIZ provided a total amount of 136,500 USD. This table provides a breakdown for 91,112 USD of that amount. The Evaluation Team requests that GLOBE provides a breakdown of the remaining amount.

4.6.6. (vi) UNEP supervision and backstopping – Satisfactory

Overall UNEP supervision and backstopping were satisfactory. The evaluation team conducted separate interviews with the UNEP Task Manager, the UNEP Fund Manager(s) and the Globe Project Team. Based on these interviews, the evaluation team has concluded that all parties involved were committed to the achievement of the project objectives and that they were engaged, on a continuous and on-going basis, throughout the lifespan of the project.

According to the Globe project team, project supervision was consistent with the provisions outlined in the Project Document. Project supervision was provided, in the main, 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. Additionally, 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, Edoardo Zandri developed and maintained good working relations with and attended many meetings organised by Globe International while other UNEP and GEF officials provided valuable feedback and guidance to the process.

In terms of monitoring results, there was a strong emphasis given to outcome monitoring, despite the obvious difficulty of quantifying outcomes over the short-term and the unique nature of the project which involved working with Parliaments, in different country contexts and the need to forge new relationships, initiate new processes of dialogue, and evolve new approaches to law-making with respect to forest legislation. All these unique features of the project made it difficult to quantify results, especially at the outcome and [potential] impact levels. In the future, it will be necessary for stakeholders – GEF, UNEP and the executing agencies-, to debate and agree on what exactly constitutes results in such a project context.

Discussions with the Globe International, the project executing agency, revealed that 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, especially on the need for the project team to remain objective even in instances when activities and associated budgets had to be revised due to changed or unique national circumstances, such as was the case in Indonesia. In addition, the project supervision documents were of good quality and the financial, administrative and other fiduciary aspects of project implementation supervision were, by and large, adequate. The only exception to this was the failure of the executing agency to submit, on a regular basis, the co-financing reports and the failure by UNEP to demand that such reports be submitted

4.6.7. (vii) Monitoring and evaluation – Satisfactory

Monitoring and evaluation of the project is rated as satisfactory.

M and E Design – Moderately Satisfactory

The project followed standard UNEP monitoring, reporting and evaluation processes and procedures. The 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 5 of the Project Document. There was however, no planned project (mid-term) evaluation since the [initial] envisaged project period of 24 months was considered too short for such an exercise.

As such only one terminal evaluation was planned. The project also used the Project Level Capacity Development Scorecard (Monitoring Guidelines of Capacity Building Development in GEF Projects) for components 2 and 3 of the project (i.e. the original components as set out in the log frame).

The Project Log Frame, though clearly articulating the strategic objective of the project; outcomes and outputs; objectively verifiable indicators; means of verification and assumptions, did not clearly outline the potential pathway through which the project activities would translate into the intermediate results and the desired impact. It is important to note that at the time of project design, theories of change analyses were not required by UNEP. Therefore the evaluation team 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 (Annex A of the Project Document). However, this was not in any way a fault of GLOBE International.

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, was 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 neither specific nor time-bound. 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, baseline data and information on each of the indicators were largely missing. In future, it will be necessary to collect more baseline data and information on the basis of a clearly defined methodology and/or consultation process.

Appendix 5 of the Project Document presents an M and E Plan which outlines the roles and responsibilities of the various project stakeholders vis-a-vis project monitoring as well as the periodicity of and reporting relationships between the project and UNEP. The plan assigns joint responsibility for some of the monitoring functions to national executing agencies/project beneficiaries. This is a positive development and should be replicated in future projects stating clearly their role as well mechanisms for their continuous engagement in the monitoring process.

Budgeting and Funding for M and E – Satisfactory

Budget was set aside for monitoring through staff travel and national directors who do onsite monitoring continuously. This close monitoring approach is a key element of GLOBE's strategy world-wide.

M and E Implementation - Satisfactory

Comprehensive activity progress reports, with accompanying country notes were prepared by the project executing agency on a half yearly basis. These reports include, but are not limited to the Project Implementation Reports (PIRs) covering the following time periods: August 1 2011 – 31st January 2012; February 1 2012 to July 31 2012; and August 1 to January 29 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 detailed country reports; and mission and workshop reports 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.

4.7 G. Complementarity with UNEP strategies and programmes - Highly Satisfactory

The project is complementary with the following UNEP initiatives:

- The intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES), whose mandate is to bridge the science-policy divide.
- UNEP's Study on the Economics of Ecosystems and Biodiversity (TEEB), which promotes the economic valuation of natural capital through a range of policy instruments and mechanisms.
- UNEP's Green Economy Initiative, which promotes dialogue and consultation to promote a green economy transformation.
- The joint UNDP-UNEP Poverty Environment Initiative that supports the mainstreaming of poverty environment linkages into national development.

Linkage to UNEP's Expected Accomplishments and POW 2010-2011

The project specifically fits into UNEP's Programme of work sub-programme 3 (Ecosystem Management) through the following UNEP-expected accomplishments:

- (a) The capacity of countries and regions increasingly to integrate an ecosystem management approach into development and planning processes is enhanced;
- (c) The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services is strengthened; and

The project also fits into UNEP's Programme of work sub-programme 4 (Environmental Governance) through the following UNEP-expected accomplishments:

- (b) Enhanced capacity of States to implement their environmental obligations and achieve their environmental goals, targets and objectives through strengthened institutions and the implementation of laws; and
- (c) National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability into the implementation of their programmes of work (UNDAF).

Alignment with the Bali Strategic Plan

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 GLOBE 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*; and

(g) To emphasise the identification and *dissemination of best practices* and the fostering of entrepreneurship and partnerships.

Gender

The project did not explicitly take into consideration gender inequalities in access to and control over natural resources. However, it is assumed that the views of women, along with civil society and indigenous peoples were taken into account into all phases of project design and execution.

Gender equality is a key issue for GLOBE as an essential component of sustainable development. The focus on female leaders emanates from a preoccupation with gender-balanced participation in policy-making. GLOBE International is particularly sensitive to the fact that national parliaments tend to be male-dominated environments and is therefore persuaded that the participation of female legislators in the network should be an active organizational concern.

GLOBE seeks to identify female leaders in the Parliaments it works in. In the context of the existing Brazil Programme of the GLOBE Legislators' Forest Initiative, its key interlocutor is Deputy Rebecca Garcia, the author of the national REDD+ Law Project currently under consideration at the Brazilian Chamber of Deputies. The President of GLOBE Brazil is Senator Vanessa Grazziotin. Similarly, in Mexico, a majority of the most active GLOBE members on REDD+ have been female, including the President of GLOBE Mexico, Maria Isabel Ortiz Mantilla.

However, in some countries it has proven to be difficult to actively promote women's participation in the GFLI, given the relatively autonomous national GLOBE chapters. This has been the case particularly in the DRC, where women's participation in politics and particularly as elected members of congress remains a national challenge.

In the next phase of the GFLI, 2013-2015, GLOBE wishes to work more actively on gender issues, including integrating a gender perspective into the research/legislative component of the Initiative, potentially looking at how gender perspectives can be integrated into national legislation for REDD+.

South-South Cooperation

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 GLOBE project are indeed the informal exchanges that were cultivated between legislators from the four initiative countries and other forested developing countries and donor governments, such as anchor events, and thematic events. These exchanges have facilitated the sharing of best practices in the development of REDD+ legislative reform.

5. Conclusions and Recommendations

Table 5: Overview of conclusions, lessons learned and recommendations

Key area of analysis	Conclusions	Lessons learned	Recommendations
Project design	<p>[1] In general, the design of the project activities resulted in varying degrees of success in the achievement of the GFLI's primary aim.</p> <p>[2] The overall project success is mainly due to GLOBE's <i>astute understanding of the key elements</i> essential to meaningful dialogue.</p> <p>[3] The adoption of legislation may not have been a reasonable goal for each one of the four initiative countries, considering the fact that each country is at a different <i>level of democratic maturity</i>. It was more important to ensure the creation of a solid core of REDD+ committed legislators, which could serve as a foundation upon which to step up legislative reform efforts.</p> <p>[4] GLOBE's focus on the enhancement of dialogue between the legislative and executive branches of government was also an important element of the project design. Partners highlighted the difficulty of coordinating the legislative and executive branches as a key issue in national politics.</p> <p>[5] International meetings between legislators and parliamentarians of the four initiative countries were beneficial to the sharing of knowledge and experience. The opportunity for parliamentarians to interact within their own countries and with other forested developing countries facing similar REDD+ challenges was identified by stakeholders as a key success factor in the GFLI.</p>	<p>[1] The tangible success and uptake of project activities in Mexico and Brazil reflect the desire of legislators to become more engaged in country level activities to improve REDD+ readiness. Sub-optimal results in the DRC and Indonesia reflect the important reality that legislators in forested developing countries most certainly need continuing support to ensure meaningful engagement in the legislative process on REDD+ issues. Adapting project activities to disparate country-specific factors will be helpful to ensuring a more uniform level of success between initiative countries.</p> <p>[2] Building this project on GLOBE's previous work to support legislators to engage positively in the development of the REDD+ mechanisms was an important success factor. The importance of the project team's experience cannot be understated. Building on the success of prior efforts to engage with legislators enabled GLOBE to leverage its experience, expertise and vast network of contacts among legislators. In a climate of dwindling resources, wherever possible new projects should aim to build on or replicate proven models of engagement.</p> <p>[3] Once the core of committed legislators is established, it will be easier to catalyse the adoption of REDD+ legislation. It is this foundation that GLOBE is actively building, and the failure of Brazil, the DRC and Indonesia in providing such "tangible" outcomes as legislation should therefore not be judged too harshly, given the various levels of REDD+ readiness and familiarity and different political contexts of these countries. As long as GLOBE continues to build the foundation of committed REDD+ legislators and redress the critical issue of information loss through legislator turnover is resolved, GFLI activities will remain crucial to furthering the REDD+ agenda in key forested countries.</p> <p>[4] The challenge of bridging the gap between the legislative and the executive on approaches to REDD+/forest governance has been an important learning experience in all project countries. The relative maturity of the democracy in question is a key factor in the extent to which that gap can be bridged. Where the democratic culture is relatively advanced, there is a greater tendency for the executive branch to be more accepting of a stronger role for the legislative branch as a check and balance. There is an interesting cross-learning with the CCN project where the CCN conservation caucuses had more traction in those countries whose democratic systems were more developed and more accepting of the</p>	<p>[1] In the second phase of the GFLI, GLOBE should take more account of the country-specific factors, which may enhance or impede project results. This means modifying intended outcomes according to the political cultures in order to frame them more realistically. Because the aim of the GFLI is to strengthen the legislative branch, gaining a deeper understanding of the political cultures of the countries in which they plan to engage in phase 2 is absolutely critical. This is especially key where executive branches have continued to be resistant to a stronger role for the legislative branch in the REDD+ process.</p> <p>[5] The frequency of GLOBE's international meetings should be increased to respond to legislator demand (which currently is high).</p>

		<p>new model of multi-partisan collaboration. The systematic engagement of representatives from the executive branch in the GLOBE project activities was an important factor in helping to bridge the gap between the executive and legislative branches.</p> <p>[5] The relationship-building opportunities that were created by the project helped to build a sense of solidarity among parliamentarians that reinforced the common cause. It also provided incentives for parliamentarians to join GLOBE chapters and for ensuring information exchange between countries. The promotion of dialogue between the four initiative countries was particularly useful in terms of ensuring the replication of project results, as was mentioned in Section 4.4.5. Indeed, Mexico stands as a model that can be followed by the three other countries with regards to its success reconciling differing interests of civil society members and government representatives in their legislation. This focus on and inclusion of traditionally under-represented communities was cited many times as a key factor in the successful legislative reform efforts led by GLOBE, which resulted in the adoption of the legislative reforms in June 2012.</p> <p>[6] There is no question that the reconfigured components were difficult to measure. These difficulties are inherent in the nature of these projects, which are new to GEF. This reinforces the need for framing components, objectives, and outcomes much more concretely than they have been in this project.</p>	
Strategic relevance	<p>[1] The strategic relevance was assured due to the fact that GLOBE included legislative representatives from each of the four Initiative countries on the project's Steering Committee. Their presence ensured that key interests and concerns were addressed throughout the project life.</p> <p>[2] Given the vast differences in the four initiative countries' political context and REDD+ readiness statuses, the project should not have set the same overarching results for all four initiative countries. A country with a robust framework like Mexico was able to progress to the actual enactment of legislation. However, the DRC, which started from a significantly lower level of REDD+ familiarity, could not have been expected to produce similar results within the same timeframe.</p>	<p>[2] With regards to the strengthening of legislation, the differing degrees of REDD+ readiness in the countries is a key influencing factor in project success.</p>	<p>[2] GLOBE must continue to take into account, country specific factors such as the differing degrees of REDD readiness and therefore adapt country-specific capacity building activities accordingly.</p>
Achievement of outputs and activities	<p>[1] The achievement of project outputs was largely achieved across the four Initiative countries, such as formation of cross-party groups, preparation of background material, best practice exchange. The challenge lay more in the achievement of outcomes, which was affected by country-specific factors that were beyond the control of the project team.</p>		
Effectiveness	<p>[1] Overall the project was successful in encouraging</p>	<p>[1] Legislators seem to be increasingly open to new models of multi-partisan</p>	<p>[1] Given the receptivity of legislators to new models of multi-partisan</p>

	<p>multi-partisan collaboration, as well as increasing awareness and legislator interest. However in terms of the adopting of REDD+ legislation, results were varied between each of the Initiative countries.</p> <p>[2] Connecting the legislative and executive branches through meetings, informational sessions, and presentations was an important element of GLOBE's success in Mexico, Brazil and the DRC, with a certain degree of success in consistently bringing these actors together in all three cases.</p> <p>[3] On financial oversight, the project has not contributed to enhanced legislator understanding of their REDD+ finance oversight role.</p> <p>[4] Overall, result levels for this project were set too high. This meant that when measured against the varying outcome levels, the project appears to have underperformed. The achievement (or not) of outcomes was directly related to country-specific factors that were beyond the control of the project team. Indeed, for countries like Indonesia and the DRC, capacity building alone is a major achievement. In the DRC for example, no major legislation has been passed because the establishment of a Legislative Working Group on REDD+ and Forest Governance in cooperation with UN-REDD had to be first established. An absolute precondition to the successful enactment of REDD+ legislation is enhanced capacity among legislators.</p> <p>[5] It is both far too early to tell and generally extremely difficult to assess whether the project has contributed to a reduction in carbon emissions from deforestation and forest degradation, especially given the number of external factors involved. However, the foundation that GLOBE is attempting to lay is undoubtedly working in the direction of this intended impact.</p>	<p>collaboration, which in developing countries has been relatively new. This is also evidenced with the CCN project, where the multi-partisan conservation caucus model was welcomed by legislators who grasped the value, especially as a neutral platform for debating key issues on the legislative agenda.</p> <p>[2] In newer democracies, executive branches are often not prepared to accept a stronger role for their national legislatures.</p> <p>[3] Financial oversight is a complex challenge, which can only be addressed once the project is actually successful in catalyzing the adoption of new legislation.</p> <p>[4] Whilst the main objective of the project has been the enactment of REDD+-related legislation in each project country, the intended results were over-ambitious. This is often a challenge with GEF-funded projects where emphasis is placed on tying project results with broader GEF environmental objectives. This discrepancy between intended and obtained results also highlights the importance of supporting further installments of the GFLI, the synergy of which should indeed produce "tangible" outcomes for all countries concerned, such as the enhancement of measures to conserve and sustainably manage forests and biodiversity.</p> <p>[5] Given that so many disparate efforts are underway (at the global, regional, national and local levels) to reduce emissions from deforestation and forest degradation, it is very difficult, if not impossible, to accurately attribute GLOBE project activities to the desired impact.</p>	<p>collaboration, UNEP and the GEF should consider scaling up their funding to parliamentary capacity building efforts.</p> <p>[2] Greater efforts are needed by GLOBE in the second phase of this project in order to connect the legislative and executive branches, especially in the REDD+ context. In newer democracies where executive branches may not be ready to accept a stronger role for their national legislatures, even more efforts are needed to empower legislators to advance REDD+ issues and to play an important check and balance role vis-à-vis the executive branch.</p> <p>[4] Project goals must be framed more realistically to ensure a greater likelihood of achievement. At the same time, given the difficulty in measuring and attributing project activities to such an ambitious impact, as the one framed for this project, GLOBE should consider developing proxy indicators such as those created by the CCN team that have been helpful in measuring intangible factors.</p>
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Sustainability and replication	<p>[1] With continued financial results, the project is not sustainable. However, both NORAD and UNEP have pledged financing for the second phase.</p> <p>[2] Legislative turnover may pose a risk to the overall sustainability of the project through information loss.</p> <p>[3] GLOBE's capacity building approach has started to catalyse change, especially in terms of creating new opportunities for increasing stakeholder engagement in the legislative reform process.</p> <p>[4] Equitable benefit-sharing and the role of environmental and social safeguards are among the most crucial elements in REDD+ discussions.</p>	<p>[2] Creating a solid foundation of engaged parliamentarians and building a stronger sense of ownership among parliamentarians are critical success factors, but they take time to develop.</p> <p>[4] In many countries, legislation tends to be very narrowly drafted and legislators must be equipped with the knowledge, resources and tools to weigh and balanced competing interests</p>	<p>[2] To mitigate the issue of information and engagement loss, it would be helpful to establish a parliamentarian mentorship programme that would provide a platform for the exchange of expertise between departing and incoming parliamentarians</p>
Factors affecting performance	<p>[1] The project encountered a number of delays, however GLOBE managed to respond to them with skilled adaptive management.</p> <p>[2] In some countries (i.e. DRC and Indonesia), the problematic political contexts were exacerbated by general lack of familiarity or even outright hostility towards REDD+ activities, which mean that the quality of project activities suffered.</p> <p>[3] The level of stakeholder engagement in project activities reflected the initial level of familiarity with REDD+ and GLOBE activities in each of the four Initiative countries. For example, in Mexico and the DRC stakeholder engagement was very high.</p> <p>[4] Country ownership in terms of the actual capacity of legislators to lead activities is still incipient.</p> <p>[5] The lack of clarity of the envisaged change pathway seems to have affected the monitoring of and reporting on project progress (in terms of linking any note progress to intermediate results and ultimately, the desired impact).</p> <p>[6] GLOBE's baseline studies were comprehensive in nature, however they took quite long to prepare. This meant that they could not be applied at the beginning of the project.</p>	<p>[3] Stakeholder engagement outreach strategies should be adjusted to country-specific circumstances, such as familiarity with REDD+ and GLOBE activities. This requires greater on the ground evaluation in order to determine the appropriate level of engagement. It also requires better baseline information and data. There were limited funds for this.</p> <p>[4] The degree of country ownership often relates to the level of REDD+ readiness and familiarity in the country concerned. However, even highly invested legislators seemed unable to bear the burden of GFLI activities. It is important to distinguish between country ownership in terms of engagement and buy-in (which indeed characterized this project) and ownership in terms of actual capacity to execute project activities (which according to interviews was less evident). GLOBE has identified other important</p>	<p>[3] GLOBE should ensure that in Phase 2, baseline data and information are compiled for each of the indicators, which were largely missing in Phase 1. In future, it will be necessary to collect more baseline data and information on the basis of a clearly defined methodology and/or consultation process.</p> <p>[4] Strengthening country ownership could be improved by reinforcing the capacity of staff in GLOBE chapters to ensure that there is a structure in place to assist with substantive activities and to lessen reliance on the GLOBE International Secretariat.</p> <p>[5] Clearly defined responsibilities for monitoring should be framed by GLOBE for Phase 2, especially for national executing agencies/project beneficiaries. Their roles and key mechanisms for their continuous engagement in the monitoring process should be clearly articulated.</p>

Table 6: Project Rating Table

Criterion	Rating
A. Strategic relevance	S
B. Achievement of outputs	S
C. Effectiveness: Attainment of project objectives and results	S
1. Achievement of direct outcomes	S
2. Likelihood of impact	S
3. Achievement of project goal and planned objectives	S
D. Sustainability and replication	L

1. Financial	L
2. Socio-political	L
3. Institutional framework	L
4. Environmental	N/A
5. Catalytic role and replication	HL
E. Efficiency	S
F. Factors affecting project performance	S
1. Preparation and readiness	MS
2. Project implementation and management	HS
3. Stakeholders participation and public awareness	S
4. Country ownership and driven-ness	S
5. Financial planning and management	S
6. UNEP supervision and backstopping	S
7. Monitoring and evaluation	S
a. M&E Design	S
b. Budgeting and funding for M&E activities	S
c. M&E plan Implementation	S
G. Complementarity with UNEP strategies and programmes	HS
Overall project rating	S

6. ANNEXES

6.1. Project logframe

Project Logical Framework and Objectively Verifiable Impact Indicators:

Project Title: The GLOBE Legislator Forest Initiative

Objectives and Outcomes/Outputs	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Objective To strengthen legislation and parliamentary scrutiny functions 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+).	<ul style="list-style-type: none"> At least one new or amended piece of legislation in each of the initiative countries related to REDD+ that reflects the letter and spirit of the Cancun Agreement relevant to national and global REDD+ initiatives drafted. An increase in the level of parliamentary activity to support REDD+ and in the level of understanding amongst legislators in the four key countries on REDD+. 	<ul style="list-style-type: none"> The formal evidence of legislation proposed, parliamentary debates and records of ministerial meetings. A survey of legislators from the initiative countries to investigate the changes in the level of understanding of REDD+ between the beginning and the end of the initiative. The products of the international political dialogue between legislators from the initiative countries, a wider group of REDD+ nations and "REDD+-donor" countries. 	<ul style="list-style-type: none"> That there is sufficient interest in the parliament to take part in an initiative on REDD+ and commit their political capital to supporting the initiative. That the legislators have sufficient time to commit to the initiative and take part in the national and international meetings. That individuals with sufficient skills and expertise can be employed for the key positions to manage the initiative and deliver the objectives in a timely manner. That the REDD+ process in the initiative countries reaches the legislative during the period of the initiative's time period.
Component 1 Establishment of cross-party group of legislators			
Outcome 1.1 Capacity is developed in parliaments to provide greater support to legislators to be engaged in REDD+ Output 1.1.1 A cross-party group of legislators committed to REDD+ is created in the	<ul style="list-style-type: none"> Over 20 legislators from each country with the relevant level of influence and interest are engaged in the initiative. A set of objectives are developed by each national group that outlines specific nationally-relevant goals for the initiative. 	<ul style="list-style-type: none"> The invitations to the legislators and the ongoing communication following their acceptance to be involved in the national groups. The finalised set of objectives for each national group. A programme of meetings for 	<ul style="list-style-type: none"> That there is sufficient interest in the parliament to take part in an initiative on REDD+ That legislators who are sufficiently influential also have an interest in joining the national groups That there are no other

Objectives and Outcomes/Outputs	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
<p>parliaments of the initiative countries within the first three months of the project</p> <p>Output 1.1.2 At least one meeting per month is arranged on REDD+ in the parliaments of the initiative countries in order to engage with stakeholders and to brief legislators on key topics</p>	<ul style="list-style-type: none"> A regular programme of meetings of the national groups is organised and attended by the legislators. A National Initiative Director is installed in each of these countries to coordinate the activities of the legislators within the initiative. A series of oral briefings and/or policy seminars for the initiative are organised with relevant experts, government representatives and stakeholders on the critical policy areas of the initiative. 	<p>each national group including the agenda of each of the national group meetings and the attendee list.</p> <ul style="list-style-type: none"> The employment contract of each of the National Initiative Directors. Minutes from each of the briefings and seminars with the legislators. 	<p>parliamentary initiatives on REDD+ that attract the engagement of the key legislators</p> <ul style="list-style-type: none"> That consensus can be reached amongst each national group on what the objectives should be. That the legislators find time in their busy schedules in order to attend the meetings That individuals with sufficient experience and skills can be identified and are available to take up the position of National Initiative Director. That the relevant experts, government officials and stakeholders are willing to meet with the legislators. That the parliaments of the initiative countries allow the National Initiative Directors to be located within the parliament in order to gain sufficient access to the legislators and the parliamentary facilities.
Component 2 Strengthening capacity and improving the knowledge of legislators			
<p>Outcome 2.1 Legislators high-quality advice from leading international and national experts on how to deliver REDD+ while conserving forest biodiversity and promoting good management practices in LULUCF</p>	<ul style="list-style-type: none"> The production of a detailed analytic study of existing forestry legislation in the four initiative countries that is relevant to REDD+. This report will highlight the existing gaps in the legal and regulatory frameworks in each of the initiative countries and also include comparative analysis between 	<ul style="list-style-type: none"> The publication of this report by the initiative legislators, the National Initiative Directors, the GLOBE International Secretariat and the initiative's legal advisors. The publication of these documents by the initiative 	<ul style="list-style-type: none"> That advisors with sufficient expertise can be engaged for the production of these documents. That the authors of previous reports that are relevant to the initiative's activities linked to forest legislation and REDD+ in the initiative

Objectives and Outcomes/Outputs	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
<p>Output 2.1.1 Legislators are provided with a comprehensive set of documents on the existing forest policy landscape in their country, including the gaps in the existing policy and regulatory frameworks within the first six months of the project</p> <p>Output 2.1.2 Legislators are equipped with the necessary information to make political interventions in order to improve their national REDD+ strategies</p> <p>Output 2.1.3 Legislators are equipped with the necessary information to strengthen their role to carry out financial oversight of REDD+ finance invested in their country to ensure that accountable institutions are established and that REDD+ benefits are shared in an equitable and transparent manner within the first twelve months of the project</p>	<p>the different approaches adopted.</p> <ul style="list-style-type: none"> The production of a set of guidelines for each of the initiative countries that outlines the potential actions that legislators could take in order to make a positive contribution to an effective national REDD+ strategy using, amongst other sources, the UN-REDD Programme's material The production of a set of policy briefs that highlight good practice in the key policy areas that are identified by the legislators. The production of a report exploring the role of parliaments in providing financial oversight of REDD+ finance, drawing on examples from the four initiative countries, with recommendations on how to strengthen this function. 	<p>legislators, the National Initiative Directors, the GLOBE International Secretariat and the initiative's legal advisors.</p> <ul style="list-style-type: none"> The publication of this report by the initiative legislators, the National Initiative Directors, the GLOBE International Secretariat and the initiative's economic advisors. 	<p>countries are willing to collaborate with the initiative team and contribute their work towards these documents.</p> <ul style="list-style-type: none"> That the legislators involved in the initiative are willing to contribute provide their expertise and experience to these documents.
Component 3 Enhancing international dialogue among legislators			
<p>Outcome 3.1 Legislators from key forested developing countries and "REDD+-donor" countries engage in a dialogue to enhance peer-to-peer learning, south-south knowledge sharing and relationship building activities</p> <p>Output 3.1.1 The Initiative Steering Committee is established within the first three months of the project</p>	<ul style="list-style-type: none"> A Global Initiative Director is employed by the GLOBE International Secretariat to manage the overall delivery of the initiative. An Initiative Steering Committee is created that includes senior legislators from the four initiative countries along with representatives of the initiative's partner organisations. A Launch Workshop is coordinated to convene the Initiative Steering 	<ul style="list-style-type: none"> The employment contract of the Global Initiative Director. The membership list of the Initiative Steering Committee and the minutes of their biannual meetings. The agenda, attendee list and meeting report from the Launch Workshop. The agenda, attendee list and 	<ul style="list-style-type: none"> That an individual with sufficient experience and skills can be identified and are available to take up the position of the Global Initiative Director. That the legislators are willing to take on the responsibility of being involved in a leadership capacity within their national groups and take part in international travel to join the leadership group to guide the initiative.

6.2. 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 (ROtI rating)	<p>1. Is the project on track to achieve its direct/first-level outcomes as defined in the reconstructed ToC? (Outcomes)</p> <p>2. What is the likelihood of impact at the medium stage? (Intermediate results)</p> <p>3. How effectively has the project achieved its formal overall objective, overall purpose, goals and component outcomes? (All levels)</p> <p>4. Which of the project activities was most effective in contributing to the project's goals? (Outputs)</p> <p>5. 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>6. 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>New or amended legislation in each initiative country.</p> <p>Evidence of increased parliamentary activity to support REDD+ (meetings, parliamentary debates publications etc)</p> <p>Evidence of cooperation between government ministries working on REDD.</p> <p>Evidence of increased knowledge amongst participating legislators.</p> <p>Evidence that at least 20 legislators (from different political parties) have participated in national groups.</p> <p>Evidence that country reports and policy briefs, financial oversight brief were written, guidelines created and national objectives set.</p>	<p>Legislative documents</p> <p>Records of parliamentary debates or meetings</p> <p>Survey of legislators to capture changes in level of understanding</p> <p>Minutes/reports of national and international meetings and presentations</p> <p>Objectives of participating national groups</p> <p>Membership lists of national groups (showing political party)</p> <p>National level studies</p> <p>National level guidelines</p> <p>National policy briefs</p> <p>Report on financial oversight role of parliament</p> <p>Launch workshop minutes</p> <p>Attendance list of meetings</p> <p>Project management team</p> <p>Participating legislators</p> <p>Trainers/advisors</p>

		<p>Evidence that parliamentary groups met regularly.</p> <p>Evidence that transparent institutions and equitable benefit sharing mechanisms are being developed in participating countries.</p> <p>Records of changes in LULUCF practices.</p> <p>Records on carbon emissions.</p>	<p>National Initiative directors</p> <p>Global initiative director</p> <p>Steering committee members</p> <p>Interdisciplinary 'task force' members in initiative countries</p> <p>Representatives from the various government ministries involved in REDD+ (to discuss progress on coordination)</p>
A.2 Relevance	<ol style="list-style-type: none"> 1. Were the project's objectives and implementation strategies consistent with: <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) 2. 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>Activity levels of national cross-party groups of legislators;</p> <p>Evidence of strengthened REDD+ strategies;</p> <p>New REDD+ legislation;</p> <p>Evidence that REDD+ has become more of a national priority and that good LULUCF practices are being adopted;</p>	<p>Legislative documents</p> <p>Records of parliamentary debates or meetings</p> <p>Survey of legislators to capture changes in level of understanding</p> <p>Minutes/reports of national and international meetings and presentations</p> <p>Objectives of participating national groups</p> <p>Membership lists of national groups (showing political party)</p> <p>National policy briefs</p> <p>Official parliamentary records;</p>

			<p>UNEP Regional Environmental Trends Reports</p> <p>UNEP and GEF strategy programmes;</p> <p>Task Manager;</p> <p>Participating legislators and caucus members;</p> <p>National stakeholders (NGOs, private sector and forest communities)</p> <p>Representatives of REDD and SFM initiatives;</p> <p>Global and National Initiative directors</p>
A.3 Efficiency	<p>1. Were any cost or time saving measures adopted by the project? (Outputs)</p> <p>2. How have delays, if any, affected project execution, cost and effectiveness? (Outputs)</p> <p>3. 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 etc. to increase project efficiency? (Outputs)</p>	<p>Evidence of strengthened REDD+ strategies;</p> <p>New REDD+ legislation;</p> <p>Evidence that REDD+ has become more of a national priority and that good LULUCF practices are being adopted;</p>	<p>Final budget reports in project document;</p> <p>PIRs;</p> <p>Annual work plan;</p> <p>Project Design Document;</p> <p>National and associated initiatives stakeholders;</p> <p>Legislators;</p> <p>Task Manager;</p> <p>GEF secretariat;</p>
Sustainability and Catalytic Role			
B.1 Financial	1.To what extent are the continuation of project results and the eventual impact of the project	Activity levels of cross-party	Final budget reports in project

	<p>dependent on continued financial support? (Outputs and impacts)</p> <p>2. 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>3. Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact? (Outputs)</p>	<p>legislator groups;</p> <p>Evidence that country reports and policy briefs, financial oversight brief were written, guidelines created and national objectives set;</p>	<p>document;</p> <p>Annual work plans and budgets;</p> <p>UNEP Task Manager;</p> <p>Fund Management officer;</p> <p>Representatives of associated initiatives;</p> <p>Legislators;</p> <p>National stakeholders;</p> <p>National Initiative directors;</p>
B.2 Socio-political factors	<p>1. Are there any social or political factors that may influence the sustenance of project results and progress towards impacts? (Outputs and Outcomes)</p> <p>2. 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>3. 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 level of cross-party legislator groups;</p> <p>Evidence of increased levels of parliamentary knowledge of and commitment to REDD+ issues;</p> <p>New REDD+ legislation;</p> <p>Evidence of cooperation between national stakeholders on REDD+ related activities;</p>	<p>Annual PIRs;</p> <p>Minutes of cross-party legislator group meetings;</p> <p>National policy briefs;</p> <p>Legislators;</p> <p>National stakeholders;</p> <p>Task Manager;</p> <p>Representatives of associated initiatives</p>
B.3 Institutional	<p>1. How robust are the required institutional frameworks and government structures and</p>	<p>Evidence of increased parliamentary activity to support REDD+ (meetings, parliamentary</p>	<p>Project document;</p>

framework	<p>process, policies, sub-regional agreements, legal and accounting frameworks? (Outputs)</p> <p>2. 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>debates publications etc);</p> <p>Evidence of cooperation between government ministries working on REDD;</p> <p>Evidence of increased knowledge amongst participating legislators.</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>
B.4 Environmental	<p>Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Outputs</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? Outputs, outcomes and intermediate results</p> <p>Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled? Outcomes and impact</p>	<p>Records of changes in LULUCF practices.</p> <p>Records on carbon emissions.</p>	<ul style="list-style-type: none"> ▪ National environmental studies; ▪ Project document; ▪ Task Manager; ▪ Parliamentarians; ▪ Legislators; ▪ National initiative directors;
C. Catalytic role and replication	<p>1. 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</p>	<ul style="list-style-type: none"> ▪ New or amended legislation in each initiative country. ▪ Evidence of increased parliamentary activity to support REDD+ (meetings, parliamentary debates 	<p>Legislative documents, records of parliamentary debates or meetings.</p> <p>Survey of legislators to capture changes in level of understanding.</p>

	<p>and impact)</p> <ol style="list-style-type: none"> 2. Has the project provided incentives (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour? (Outputs) 3. Has the project contributed to institutional changes and/or policy changes by encouraging institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects? (Outputs) 4. Has the project contributed to sustained follow-on financing (catalytic financing) from Governments or other donors? (Outcomes) 5. 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) 6. Has the project taken steps to promote replication of the project activities? (Outputs) 7. Is replication of the project feasible and what are the key factors that may influence replication and scaling up of project experiences and lessons? (Outcomes and Impact) 	<p>publications etc)</p> <ul style="list-style-type: none"> ▪ Evidence of cooperation between government ministries working on REDD. ▪ Evidence of increased knowledge amongst participating legislators. ▪ Evidence that at least 20 legislators (from different political parties) have participated in national groups. ▪ Evidence that country reports and policy briefs, financial oversight brief were written, guidelines created and national objectives set. ▪ Evidence that parliamentary groups met regularly. ▪ Evidence that transparent institutions and equitable benefit sharing mechanisms are being developed in participating countries. ▪ Records of changes in LULUCF practices ▪ Evidence of cooperation between national stakeholders on REDD+ 	<p>Minutes/reports of national and international meetings and presentations.</p> <p>Objectives of participating national groups.</p> <p>Membership lists of national groups (showing political party)</p> <p>National level studies</p> <p>National level guidelines</p> <p>National policy briefs</p> <p>Report on financial oversight role of parliament</p> <p>Launch workshop minutes</p> <p>Attendance list of meetings</p> <p>Task Manager;</p>
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		related activities;	Parliamentarians; Legislators; National initiative directors;
Processes affecting Attainment of Project Results			
D. Stakeholder participation/ Public awareness	<ol style="list-style-type: none"> 1. Who did the project collaborate and interact with during its implementation? (Outputs) 2. 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) 3. How extensive and effective were the public awareness activities? (Outputs, outcomes) 	<ul style="list-style-type: none"> ▪ Evidence of increased parliamentary activity and collaboration to support REDD+; ▪ Evidence of stakeholder outreach; ▪ Evidence of partnership work with appropriate NGOs and stakeholders; ▪ Level of national awareness on conservation issues; 	<p>Legislative documents, records of parliamentary debates or meetings.</p> <p>Survey of legislators to capture changes in level of understanding.</p> <p>Minutes/reports of national and international meetings and presentations.</p> <p>Project management and execution support</p> <p>UNEP Task Manager and Fund Management Officer</p> <p>Participating Legislators</p> <p>National stakeholders (NGOs, private sector and forest communities)</p>

			<p>Relevant staff of GEF Secretariat</p> <p>Consultants who have provided inputs to the project</p>
E. Country ownership/ drivenness	<p>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)</p>	<p>New or amended legislation in each initiative country.</p> <p>Evidence of increased parliamentary activity to support REDD+ (meetings, parliamentary debates publications etc)</p> <p>Evidence of cooperation between government ministries working on REDD.</p> <p>Evidence of increased knowledge amongst participating legislators.</p> <p>Evidence that At least 20 legislators (from different political parties) have participated in national groups.</p> <p>Evidence that country reports and policy briefs, financial oversight brief were written, guidelines created and national objectives set.</p>	<ul style="list-style-type: none"> ▪ National Environmental Programme; ▪ Official parliamentary record; ▪ Records of parliamentary debates and meetings; ▪ National Initiative Director; ▪ Parliamentarians; ▪ Legislators; ▪ Task manager;

		<p>Evidence that parliamentary groups met regularly.</p> <p>Evidence that transparent institutions and equitable benefit sharing mechanisms are being developed in participating countries.</p>	
F. Achievement of Outputs and Activities	<ol style="list-style-type: none"> 1. 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) 2. What was the degree of success of the project in achieving its different outputs? (Outcomes) 	<p>Records of changes in LULUCF practices</p> <p>Records on carbon emissions</p> <p>Evidence of increased parliamentary activity to support REDD+ (meetings, parliamentary debates publications etc)</p> <p>Evidence of cooperation between government ministries working on REDD.</p> <p>Evidence of increased knowledge amongst participating legislators.</p>	<p>Legislative documents, records of parliamentary debates or meetings.</p> <p>Survey of legislators to capture changes in level of understanding.</p> <p>Minutes/reports of national and international meetings and presentations.</p> <p>Project management and execution support</p> <p>UNEP Task Manager and Fund Management</p>

			<p>Officer</p> <p>Participating Legislators</p> <p>National stakeholders (NGOs, private sector and forest communities)</p> <p>Relevant staff of GEF Secretariat</p> <p>Consultants who have provided inputs to the project</p>
G. Preparation and Readiness	<p>1. Were the capacities of executing agencies properly considered when the project was designed? (Outputs)</p> <p>2. Was the project document clear and realistic to enable effective and efficient implementation? (Outputs)</p> <p>3. Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? (Outputs)</p> <p>4. Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? (Outputs)</p> <p>5. Were adequate project management</p>	<p>Evidence of similar-project study in project design;</p> <p>Evidence of complementarities with other projects;</p> <p>Evidence that Project activities take environmental and social safeguards into consideration.</p>	<p>Project design document;</p> <p>Task Manager;</p> <p>Parliamentarians;</p> <p>Legislators;</p> <p>National stakeholders (NGOs, private sector and forest communities);</p> <p>Relevant staff of GEF Secretariat;</p> <p>Consultants who have provided inputs to the</p>

	<p>arrangements in place? (Outputs)</p> <p>6. Were lessons from other relevant projects properly incorporated in the project design? (Outputs)</p> <p>7. What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? (Outputs)</p> <p>8. Were GEF environmental and social safeguards considered when the project was designed? (Outputs)</p>		<p>project;</p> <p>Representatives of associated REDD and SFM initiatives (FIP, UN-REDD etc.)</p>
H. Implementation Approach and Adaptive Management	<p>1. 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>2. 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>3. To what extent did project management respond to direction and guidance provided by the Steering Committee and UNEP supervision recommendations? (Outcomes)</p> <p>4. What operational and political/institutional problems and constraints</p>	<p>New or amended legislation in each initiative country.</p> <p>Evidence of increased parliamentary activity to support REDD+ (meetings, parliamentary debates publications etc)</p> <p>Evidence of cooperation between government ministries working on REDD.</p> <p>Evidence of increased knowledge amongst participating legislators.</p> <p>Evidence that At least 20 legislators (from different political parties) have participated in national groups.</p>	<p>Project document;</p> <p>Survey of legislators to capture changes in level of understanding.</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> <p>Steering committee members</p>

	<p>influenced the effective implementation of the project, and how did project partners try to overcome these problems? (Outputs and outcomes)</p> <p>5. How did the relationship between the GLOBE Initiative Director and London-based team and the National staff develop? (Outcomes)</p> <p>6. To what extent did the project implementation meet GEF environmental and social safeguard requirements? (Outcomes)</p>	<p>Evidence that country reports and policy briefs, financial oversight brief were written, guidelines created and national objectives set.</p> <p>Evidence that parliamentary groups met regularly.</p> <p>Evidence that transparent institutions and equitable benefit sharing mechanisms are being developed in participating countries.</p>	<p>Interdisciplinary 'task force' members in initiative countries</p> <p>Representatives from the various government ministries involved in REDD+ (to discuss progress on coordination).</p>
Monitoring and Evaluation			
I.1 M&E Design	<p>1. Assess the quality of the project logframe as a planning and monitoring instrument. (Outputs)</p> <p>2. 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>3. 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</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>SMARTness of log frame;</p> <p>Baseline data collection on performance indicators;</p> <p>High quality M&E plan in prodoc;</p> <p>Evidence of stakeholder input in M&E;</p>	<p>Project design document;</p> <p>Annual progress reviews;</p> <p>PIRs;</p> <p>Task Manager;</p> <p>Project document ;</p> <p>Stakeholders ;</p> <p>GEF tracking tools.</p>

	<p>explicit and reliable? (Outputs and outcomes)</p> <p>4. 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>5. Were specific targets specified for project outputs? Was the desired level of achievement specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations? (Outputs)</p> <p>6. Did UNEP duly complete the relevant GEF tracking tool for this project ? Was the information therein accurate? (Outcomes)</p>	GEF tracking tool completed.	
I.2 M&E Plan Implementation	<p>1. Were annual project reports and Progress Implementation Review (PIR) reports complete, accurate and with well justified ratings? (Intermediate results and outcomes)</p> <p>2. Was the information provided by the M&E system used to improve project performance and to adapt to changing needs? (Outputs)</p> <p>3. 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>Good quality PIRs;</p> <p>Evidence that project team made use of monitoring information to adapt project performance;</p> <p>M&E resources and training activities.</p>	<p>PIRs ;</p> <p>Project team ;</p> <p>Team member responsible for monitoring activities.</p>
I.3 Budgeting	1. Was support for M&E budgeted	Timeframe between allocation	▪ Final budget reports in project

and Funding for M&E activities	adequately and funded in a timely fashion during implementation? (Outputs)	of M&E funding and implementation of M&E activities	document; <ul style="list-style-type: none"> ▪ Annual work plans and budgets ▪ Financial reports of executing partners, ▪ UNEP Task Manager ▪ Fund management officer
J. Financial Planning and Control	<p>1. 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>2. Did recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. influence project performance? (Outputs and outcomes)</p> <p>3. 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>4. 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>5. [Analyse the effects on project performance of any irregularities in</p>	<p>Activity levels of cross-party legislator groups;</p> <p>Evidence that country reports and policy briefs, financial oversight brief were written, guidelines created and national objectives set;</p> <p>Evidence that UN rules on budget standards were followed</p> <p>Evidence that recruitment and procurement influenced project performance</p> <p>Evidence of additional resources</p> <p>Co-financing agreements</p>	<ul style="list-style-type: none"> ▪ Final budget reports in project document; ▪ Annual work plans and budgets; ▪ UNEP Task Manager; ▪ Fund Management officer; ▪ Representatives of associated initiatives; ▪ Legislators; ▪ National stakeholders; ▪ National Initiative directors;

	procurement, use of financial resources and human resource management, and the measures taken by UNEP and GLOBE International to prevent such irregularities in the future. Were the measures taken adequate? (Outcomes)		
K. UNEP Supervision and Backstopping	<p>1. How adequate were project supervision plans, inputs and processes?</p> <p>2. What emphasis was given to outcome monitoring (results-based project management)?</p> <p>3. Was project reporting and ratings realistic and candid (i.e. are PIR ratings an accurate reflection of the project realities and risks)?</p> <p>4. Was the document of project supervision activities of good quality?</p> <p>5. Were financial, administrative and other fiduciary aspects of project implementation supervision adequate?</p>	<p>Evidence that project supervision plans were implemented</p> <p>Evidence of results-based project management</p> <p>Causal linkage between PIR rating and the project realities and risks</p>	<p>Monitoring and evaluation plan in project document</p> <p>PIRs</p> <p>Annual work plans and budgets</p> <p>UNEP Task Manager</p> <p>Parliamentarians and legislators</p>

6.3. Schedule and proposed consultation process

Table 4 – Timetable

7. Task	8. Task and activities	9. Timing & milestones
10. 1	11. Inception phase 12. Review of project document; collection of project documents; reconstruction of “Theory of Change”; preparation of interview questions and evaluation methodology; planning mission to UFCCC COP-19 including preparation for interviews at COP-9; and planning of the full evaluation: <ul style="list-style-type: none"> · Submission of draft inception report · Meetings with project partners in London and Nairobi · Comments from Evaluation Office · Submission of final inception report 	13. 20 October- 15 November 2013 14. 15. 16. 7 November 2013 17. 7-11 November 2013 14 November 2013 18. 15 November 2013
19. 2	20. Document evaluation 21. The evaluation team will evaluate the project documentation against the agreed matrix. The following documents in particular will form part of the evaluation: <ul style="list-style-type: none"> · Project design documents · Project supervision plan, with associated budget · Correspondence related to project · Supervision mission reports · Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports · Project progress reports, including financial reports submitted · Cash advance requests documenting disbursements · Annual Project Implementation Reports (PIRs) · Management memos related to project · Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.). · Project revision and extension documentation · Updated implementation plan for the recommendations of the Mid-Term Evaluation · Project Terminal Report (draft if final version not available) · GEF Tracking Tool for the relevant focal area 22. 23.	24. 31 October to 11 November 2013 25.

26. 3	27. Field mission to UNFCCC COP-19 and interview with stakeholders 28. Ojjo Odhimabo London visit	29. 15– 20 November 2013 30. 23 October
31. 4	32. Drafting of report 33. Drafting of the evaluation based on facts and evidence gathered during the document review and the field mission to UNFCCC COP-19. Follow up interviews will be conducted where needed. 34. A draft final evaluation report will be issued.	35. 20 November -10 December 2013 36. 37. 38. Draft evaluation report submitted on 10 December, 2013
39. 5	40. Comment by UNEP Evaluation Office and project team 41. UNEP Evaluation Office, UNEP Task Manager and GLOBE FLI Project Leader comment on the draft final report. 42. Important comments to be addressed: <ul style="list-style-type: none"> · Factual errors to be corrected based on evidence · Oversights to be pointed out for rectification and update · Response to evaluation rating. In case of strong or important disagreement, evidence to support a possible revision of rating is to be submitted to the Consultants. 	43. 10 December 2013 – 15 January 2014 44.
45. 6	46. Final report Issue of final evaluation report based on the comments received from the UNDP, UNIDO, key Stakeholders and Project Owners	47. 20 January, 2014

Evaluation Interviews

GLOBE Terminal Evaluation list of interviewees:

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6.5. Assessment of Quality of Project Design

Table 5 – 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?	<p>This project has been designed to contribute to key GEF priorities and two of UNEP's six programmatic priorities, specifically Ecosystem Management and Environmental The. This is especially the case because the project was designed to assist countries in achieving their environmental commitments and goals, especially the role of the legislative branches in the governments of developing countries. It should also be noted that UNEP is engaged in the development and implementation of a number of REDD+ projects.</p> <p>As regards UNEP's programme of work sub-programme 3, the project aligns with the following UNEP-expected accomplishments:</p> <p>(a) The capacity of countries and regions increasingly to integrate an ecosystem management approach into development and planning processes is enhanced; and</p> <p>(c) The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystems is strengthened.</p> <p>The project also fits into sub-programme 4 (Environmental Governance) and contributes through the following UNEP-expected accomplishments:</p> <p>(b) Enhanced capacity of states to implement their environmental</p>	p.24-25	Highly Satisfactor y

	<p>obligations and achieve their environmental goals, targets and objectives through strengthened institutions and the implementation of laws; and</p> <p>(c) National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability into the implementation of their programmes of work.</p>		
Does the project form a coherent part of a UNEP-approved programme framework?	Yes, see above.	p.24-25	Highly Satisfactory
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?	<p>The project is complementary with the following UNEP initiatives:</p> <ul style="list-style-type: none"> • The intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES), whose mandate is to bridge the science-policy divide. • UNEP's Study on the Economics of Ecosystems and Biodiversity (TEEB), which promotes the economic valuation of natural capital through a range of policy instruments and mechanisms. • UNEP's Green Economy Initiative, which promotes dialogue and consultation to promote a green economy transformation. 	p.25-26	Highly Satisfactory

		<ul style="list-style-type: none"> The joint UNDP-UNEP Poverty Environment Initiative that supports the mainstreaming of poverty environment linkages into national development processes. This project also aimed to complement the CCN project “Partnering for Natural Resource Management- Conservation Council of Nations”. The project is also consistent with a number of UNEP-GEF projects that were operational in the collaborating countries during the project’s life. These are listed in pages 24 and 25 of the CEO endorsement. 		
Are the project’s objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	One of the project’s four components is specifically designed to provide legislators with advice on the forestry policy landscape in their country, including information on how to deliver REDD+ while conserving forest biodiversity, gaps in the legal and regulatory frameworks, good practice in key policy areas.	p. 16-17	Highly Satisfactory
	ii) the UNEP mandate and policies at the time of design and implementation?	Yes, see questions on project’s relationship to UNEP-expected accomplishments and programmatic objectives.	p.24-26	Highly Satisfactory
	iii) the relevant GEF focal areas, strategic	Yes, the project contributes to the following GEF focal areas: BD2: Mainstream biodiversity	p.8	Highly Satisfactory

	priorities and operational programme(s)? (if appropriate)	conservation and sustainable use into production landscapes, seascapes and sectors. CCM5: Promote conservation and enhancement of carbon stocks through sustainable management of land use, land use changes and forestry (LULUCF). CD2: Generate access and use of information and knowledge		
	iv) Stakeholder priorities and needs?	The project design included a number of mechanisms for engaging stakeholders, such as dialogues between national and sub-national legislators, public-private dialogues, outreach to forest space communities and indigenous peoples, and engagement of national and international-level NGOs. In addition, each of the four initiative countries were tasked to develop their own stakeholders strategies.	p.22	Highly Satisfactory
	Is there complementarity with UN-REDD	The project is aligned with UN-REDD's mission to promote the informed involvement of relevant stakeholders and to support REDD+ activities at the national level. See UN-REDD website : http://www.un-redd.org/AboutUN-REDDProgramme/tabid/102613/Default.aspx		Highly Satisfactory
	Overall Rating for Relevance	Highly Satisfactory		
Intended Results and Causality				
	Are the objectives realistic?	The objective is to strengthen legislation and parliamentary scrutiny functions within key forested developing countries (Brazil, the Democratic Republic of Congo (DRC), Indonesia and Mexico) in support of national efforts to Reduce Emissions from	p.10-11	Highly Satisfactory

	<p>Deforestation and forest Degradation (REDD+) and promote Sustainable Forest Management (SFM).</p> <p>The project objectives are realistic considering GLOBE's 20-year track record in strengthening parliamentary capacity and engagement in environmental law-making. The project objectives are also realistic in light of the fact that REDD+ readiness has elevated in importance in developing countries, and especially in the four project countries (Brazil, Indonesia, DRC and Mexico). While each of the four countries is at different stages of REDD+ readiness, it is clear that the accelerated engagement of parliamentarians is very important to advancing the REDD+ agenda domestically. The extent to which REDD+ readiness can be advanced domestically will also have an important bearing for the robustness of the global forest carbon market.</p> <p>REDD+ national efforts are being implemented in over 20 developing countries. The role of lawmakers in this processes is critical because up until now REDD policy making has been in the purview of the executive functions. So yes, project is realistic and highly relevant.</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 project document confuses outputs and outcomes. See reframed outputs and outcomes in Table 2.</p> <p>This project was developed before UNEP required a ToC. The intervention logic for the project is implicit throughout the project document albeit missing from the logframe.</p>	p.28	Unsatisfactory

Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	<p>The time frame is 2 years and may have been too short considering election cycles. The delivery of the project within the time frame depends on the successful establishment of cross-party groups of legislators, on the extent to which legislators receive high quality advice and the amount of peer-to-peer learning that is carried out. Delivery of the project is therefore contingent on sufficient information provided to legislators to enable them to make necessary interventions on political and legislative level.</p> <p>The timeframe may have been too short considering the election cycle frequency.</p>	p.28	Satisfactory
Are the activities designed within the project likely to produce their intended results?	Yes. The activities for each of the components are described in detail in the project document. They are convincingly described in their ability to produce the project objectives.	p.15-19	Highly Satisfactory
Are activities appropriate to produce outputs?	The activities are geared towards supporting the capacities of legislators to engage them in REDD+. This project builds on the preliminary work of earlier GLOBE projects and is far more focused on the national level and for key REDD countries. At first review, they are appropriate	p.15-19	Highly Satisfactory
Are activities appropriate to drive change along the intended causal pathway(s)?	Based on the reconstructed ToC, activities do seem appropriate to drive change along the project's causal pathways.	p.28	Highly Satisfactory
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	The project document does not clearly identify impact drivers or the roles of key actors and stakeholders.	p.28	Satisfactory
Overall Rating for Intended Results and Causality	Satisfactory		

Efficiency			
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	The approach that has been adopted for this project builds upon GLOBE's broad experience of working with senior legislators to address environmental challenges in both developed and developing countries. In particular, this method has taken on board many lessons that were learnt during the activities of the GLOBE International Commission on Land Use Change and Ecosystems (GEF ID#3811).	p.10, p.19, p.21 CEO	Highly satisfactory
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>The first opportunity to ensure the alignment of the project with the major initiatives was the establishment of the initiative steering committee, which included key actors as noted below.</p> <p>Moreover, the GLOBE International Secretariat undertook discussions with key actors such as the UN REDD programme, the Forest Carbon Partnership Facility, the REDD+ Partnership, and several government and NGO bodies.</p> <p>The planning workshop that was convened by GLOBE was another important opportunity to coordinate the project with the various initiatives developed by these actors</p>	p.8 CEO	Highly satisfactory
Overall Rating for Efficiency	Highly Satisfactory		
Sustainability/ Replication and Catalytic Effect			
Does the project design present a strategy / approach to sustaining outcomes / benefits?	No clear strategy for sustaining project outcomes is outlined in the project design.	p.35 (Annex B, qu.11)	Unsatisfactory
Does the design identify the social or political factors that may influence	Yes, The risks associated with working with legislators (i.e. interest, relevance of the agenda,	p.42-43 (Annex B,	Highly Satisfactory

<p>positively or negatively the sustenance of project results and progress towards impacts?</p> <p>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?</p>	<p>and turn-over) have been addressed and cleared. In addition, the project design does foresee activities for civil society engagement.</p> <p>The project document identifies a number of communication components, including communication of the work of REDD+ initiatives directly to legislators, legislator to legislator communication, including the GLOBE Legislative Cape Town Forum in 2011, and the GLOBE World Summit of Legislators in May 2012.</p>	<p>qu.19, 20)</p> <p>p. 23 and 74</p>	
<p>If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?</p>	<p>This is not evident in the project document</p>	<p>/</p>	<p>Moderately Unsatisfactory</p>
<p>Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?</p>	<p>Although some doubts remain as to the project funding's capacity to achieve expected outcomes, no substantial risks have been identified.</p>	<p>p.46 (Annex B, qu.28)</p>	<p>Satisfactory</p>
<p>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?</p>	<p>The project Decision Making Flow Chart clearly describes the institutional frameworks, governance structures and processes required to achieve project results, but not necessarily to sustain them.</p>	<p>p.55</p>	<p>Moderately Satisfactory</p>
<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</p>	<p>These are not described</p>	<p>/</p>	<p>Unsatisfactory</p>

affect sustainability of project benefits? NO				
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches show-cased by the demonstration projects;	N/A	/	/
	ii) strategic programmes and plans developed	The project design included the development of a cross-party group of legislators in each of the initiative countries. It also included the provision of expert advice to legislators to strengthen their parliamentary responsibilities, it also included the coordination of an international political dialogue on deforestation between legislators from all countries.	p.15-19	Highly Satisfactory
	iii) assessment, monitoring and management systems established at a national and sub-regional level	N/A	/	/
Does the project design foresee adequate measures to contribute to institutional changes?		The project does not aim to promote institutional change per se, but rather to enhance the capacity of parliamentarians to promote robust REDD+ strategies.	p.15-19	Satisfactory
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?		All four components of the project are designed to equip parliamentarians to promote policy change on REDD+.	p.15-19	Highly Satisfactory
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from		The project design does not include follow-on financing.	/	Satisfactory

Governments, the GEF or other donors?			
<p>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)?</p>	<p>This initiative will focus on the key aspects of REDD+ where legislators can play a unique role in ensuring that the socioeconomic benefits of the mechanism are realised. These include:</p> <ul style="list-style-type: none"> • Financial Scrutiny and Equitable Benefit Sharing: Legislators can play a critical role in ensuring that REDD+ finance is managed in a transparent and accountable manner in order to reduce the risk of corruption, and that an equitable benefit sharing mechanism is created to ensure that local communities are fairly rewarded for their role in reducing deforestation. • The Role of Environmental and Social Safeguards: Legislators play an important role in embedding nationally-appropriate social and environmental safeguards in REDD+ strategies. This will ensure that the rights of forest communities and indigenous people are respected and that biodiversity conservation is integrated into national REDD+ strategies. • Forest Governance, Policy Coordination and Enforcement: Legislators help develop clear and coherent policy, regulation and legal frameworks, and call for the necessary capacity to enforce these. In addition, legislators can develop greater coordination between all government departments who have a stake in the country's forests. <p>The initiative will also aim to maximize the role of women in developing REDD+ legislation. Initially this will be focus on efforts to engage female legislators in</p>	p.20	Highly Satisfactory

	<p>the initiative countries and to give them a leadership role in advancing their national legislation. Beyond this, when the initiative gets to the stage of developing legislation, strong emphasis will be put on the participation of women in order to recognize the crucial role that they play as stewards of natural resources, in particular in rural communities.</p>		
<p>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?</p>	<p>The primary stakeholders are the legislators from the four initiative countries. The planned activities are designed to help build the capacity of parliamentarians, by providing them with the necessary resources to influence their</p> <p>Despite the focus on national legislators, there are a number of other stakeholder groups that are important to the success of the initiative. In order to create effective and durable REDD+ strategies, it is critical that the sub-national legislators, private sector, civil society organisations and indigenous communities are all engaged in this process. The initiative will encourage experience-sharing between the legislators of the different approaches for effective participation of these groups. Examples of engaging these stakeholders include:</p> <ul style="list-style-type: none"> • Developing dialogues between national and sub-national legislators in each of the initiative countries to ensure that the rapidly emerging policies and initiatives at the state, provincial, and project levels are integrated. • Creating public-private dialogues between legislators and private sector representatives to explore how sustainable financial incentives can be created to reduce deforestation. 	p.22	Highly Satisfactor y

	<ul style="list-style-type: none"> Ensuring that legislators represent their constituents and champion the rights of forest-based communities and indigenous people by ensuring that these stakeholders are invited to participate in developing the REDD+ strategy. Encouraging international and national-level civil society organisations to provide policy and legal advice to legislators. <p>Each of the four initiative countries will develop their own stakeholder engagement strategies that will ensure that the legislators develop productive and regular dialogues with each of the groups described above. See Appendix 12 for a diagram that outlines this approach.</p>		
Overall Rating for Sustainability/ Replication and Catalytic Effect	Moderately Satisfactory		
Risk Identification and Social Safeguards			
Are critical risks appropriately addressed?	<p>The risks associated with working with legislators (i.e. interest, relevance of the agenda, and turn-over) have been addressed by ensuring that activities are cross-party and transfer of information and commitment to REDD are not influenced by election cycles.</p> <p>The risk of insufficient interest has been mitigated by the fact that the project is responding to a pre-existing demand and will be driven by legislators themselves. By providing as much ownership and control to legislators, it was hoped that legislators would be sufficiently committed to delivering on project goals.</p> <p>Other risks are described in further detail on p.21 and p.22.</p>	p.21, p.43 (annex B, qu.20)	Highly Satisfactory

Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	Yes, especially given the political nature of the project. The possibility of elections and subsequent legislator changes was dutifully addressed in the project logframe.	p.28	Highly Satisfactory
Are potentially negative environmental, economic and social impacts of projects identified?	Impacts have not been described	/	Unsatisfactory
Overall Rating for Risk Identification and Social Safeguards	Satisfactory		
Governance and Supervision Arrangements			
Is the project governance model comprehensive, clear and appropriate?	Yes, roles and responsibilities are clearly defined in the Decision Making Flow Chart	p.55	Highly Satisfactory
Are roles and responsibilities clearly defined?	Yes, the roles of Global Initiative Director, National Initiative Director, National Project Manager and the Initiative Steering Committee (senior GLOBE legislators from each of the four countries) are clearly defined.	p.45	Highly Satisfactory
Are supervision / oversight arrangements clear and appropriate?	Yes, a management board was established that included the GLOBE Initiative Director, the GLOBE Secretary-General, a member of the UNEP-GEF Directorate and representatives from other funders.	p.45	Highly Satisfactory
Overall Rating for Governance and Supervision Arrangements	Highly Satisfactory		
Management, Execution and Partnership Arrangements			
Have the capacities of partners been adequately assessed?	The overall direction of the project has been governed by the senior legislators from the four countries, who sat on the initiative's Steering Committee with representatives	p.26	Moderately Satisfactory

	<p>from key partner organization.</p> <p>The project document does not address the capacity of these partners per se.</p>		
Are the execution arrangements clear?	<p>The Executing Agency will be the Global Legislators Organization (GLOBE) Ltd, a not-for-profit company registered in England and Wales (company number: 05739111). A Management Board will be established that will include the Global Initiative Director, the GLOBE Secretary General, a member of the UNEP-GEF Directorate and a representative from any other key funders. The Global Initiative Director will act as the Project Manager and he/she will be responsible for the overall coordination of the project. The Global Initiative Director will oversee the work of the four National Initiative Directors, and will be supported by a Forest Policy Officer based in the GLOBE International Secretariat.</p> <p>Cleared</p>	p.45 (Annex B, qu.24)	Highly Satisfactory
Are the roles and responsibilities of internal and external partners properly specified?	<p>The role of the internal partners is specified, however the role of external partners is not specified beyond their participation in the steering committee.</p>	p.45	Satisfactory
Overall Rating for Management, Execution and Partnership Arrangements	Satisfactory		
Financial Planning and Budgeting			
Are there any obvious deficiencies in the budgets / financial	<p>Because this is a process-oriented initiative, most of the objectives should be achievable with the funding that has been</p>	p. 46 (Annex B,	Satisfactory

planning?	allocated. However, this must be properly verified with the Task Manager and project partners.	qu.28)	
Is the resource utilization cost effective? Is the project viable in respect of resource mobilization potential?	There was concern about the \$50,000 allocated to staff travel, however this concern was addressed by GLOBE staff who explained that project team travel was an essential part of the outreach efforts.	p. 45 (Annex B, qu.27)	Highly Satisfactory
Are the financial and administrative arrangements including flows of funds clearly described?	Yes, financials are broken down in multiple tables in the project document	p.2	Highly Satisfactory
Overall Rating for Financial Planning and Budgeting	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 logical framework does not contain key elements of the Theory of Change as it was prepared before UNEP required it. However, the logical framework does include indicators, appropriate means of verification and assumptions.	p.28	Satisfactory
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	Yes	See logframe	Highly Satisfactory
Is there baseline information in relation to key performance	Yes, the project did include a baseline REDD legislation study for each of the four countries	p.75	Highly Satisfactory

indicators?	Appendix		y
Has the method for the baseline data collection been explained?	YES	p.75-102	Highly Satisfactory
Has the desired level of achievement (targets) been specified for indicators of outcomes and are targets based on a reasoned estimate of baseline?	The logframe contains objectively verifiable indicators and means of verification. Check logframe to see if desired level . Yes in certain cases. Search around for other outcomes and indicator	p.28	Satisfactory
Has the time frame for monitoring activities been specified?	YES	/ Page 6-8	/
Are the organisational arrangements for project level progress monitoring clearly specified?	YES	/Page 6-8	/
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	YES	/Page 6-8	/
Overall, is the approach to monitoring progress and performance within the project adequate?	Yes	/Page-6-8	/
Overall Rating for Monitoring	Highly Satisfactory		
Evaluation			
Is there an adequate plan for evaluation?	Yes, the plan for evaluation is included in appendix 7 of the project document.	p.56	Highly Satisfactory
Has the time frame for evaluation activities been specified?	Yes, see appendix 7.	p.56	Highly Satisfactory
Is there an explicit budget provision for the terminal evaluation?	Yes, see appendix 7.	p.56	Highly Satisfactory
Is the budget sufficient?	Yes, see appendix 7	p.56	Highly Satisfactory

Overall Rating for Evaluation	Highly Satisfactory
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6.6. CV of consultants

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. Liaised 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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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).

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, Tsioumani, 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 - Curriculum Vitae

Personal Details and Contacts

Current Address

UN House, 1st Floor Room 1-2

38 Stein Street

Private Bag 13329, Windhoek, Namibia.

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E-mail: ojijo.odhiambo@undp.org or ojijoteko@hotmail.com

Personal Details

Nationality: Kenyan

Marital status: Married

Language: English

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 Analysis of Children and Women in Kenya”.

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 advice 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).

5. Selected Consultancy Assignments

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, Washington 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: *United Nations Development Programme/Government of Kenya, Nairobi.*

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.

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.

Summary of Comments on Draft report

The Draft report was sent to :-

Victor Kabengale, CN REDD

Binny Buchori and Beka Ulung Hapsara, Prakarsa

Emelyne Cheney, UN REDD programme

Marianne Haugh, NORAD

Marlene Grundstrom (Globe team).

Christoph Feldkötter, GIZ

Comments have been received from

Emelyne Cheney, UN REDD programme

Marianne Haugh, NORAD

Marlene Grundstrom (Globe team).

Christoph Feldkötter, GIZ

Overall comments:

I find the document very interesting. It gives us a lot of information on the project and that is valuable for our understanding of the project and of how GLOBE works. (Marianne Haugh, NORAD)

All comments are in shown in the attached report. Most can be addressed quickly on the report. Substantive comments are noted below. The evaluator can respond on the document. Where she chooses not to respond to suggestions, she should note her arguments in the table below which will be appended to the report.

Report section (paragraph number)	Party	Comment	EO response	Evaluation team response
7	NORAD	Comment on difficulty of measuring legislator capacity and suggestion for better wording of objective.	<p>Something to be discussed in the synthesis report.</p> <p>Possibly comment on this in the lessons learned section.</p>	NORAD suggestion for wording is very good and we have addressed this in the lessons learned. It would be useful to speak with Marianne to get her advice on how best to measure the new component that has been articulated for the next phase. It is important to point out that NORAD is referring to new wording for the outcomes, whereas the text in question is a component—two very different things.
11, 19 and ratings table (C1, C2, C5) 62	Globe	Feel not enough emphasis has been placed on the significance of new legislation in Mexico.	Evaluator to consider and respond.	<p>We have referred throughout the report on the particular significance of the new legislation in Mexico. We have cited Mexico achievements for most of the evaluation criteria. We feel that it has been sufficiently highlighted. We have added a reference in the executive summary.</p> <p>Also, Marlene Grundstrom had provided us with very detailed</p>

Report section (paragraph number)	Party	Comment	EO response	Evaluation team response
				<p>comments on the first draft, all of which we addressed and integrated. Also, it appears that NORAD deleted a statement regarding the standout achievement of Mexico's legislative reform efforts.</p> <p>Also we were specifically asked to reduce the length of the report which meant removing very specific references</p> <p>We should point out in response to Mr. Mathews comments about the capacity of my two research associates. I was unable to travel to Warsaw because of an administrative error on the part of UNEP. My research associates were under my close supervision and also that of my special advisor Mr. Ojijo Odhiambo.</p>
20	Globe	Statement challenged	Please consider and respond	Paragraph 20 deleted

Report section (paragraph number)	Party	Comment	EO response	Evaluation team response
Ratings table (E. Efficiency), 63, 187, 188	Globe	Comment that election cycles only had an impact in DRC.	Please consider and respond	Comments have been addressed in the ratings table directly.
Ratings table F.1, 187, 190	Globe	Question judgement that the project could have been more prepared and did not develop risk mitigation strategies	Please consider and respond	GLOBE's arguments were persuasive however and the rating was changed from MS to S.
Ratings table (F4) Country ownership	Globe	Buy in of legislators has not been sufficiently recognised. Their dependence on REDD not seen by project staff as a weakness but as evidence of the importance of this project!	Please consider and respond	Comment has been addressed. Evaluation team stands by their rating because dependence on GLOBE staff is regarded as a weakness in the context of the specific UNEP EO evaluation criteria.
28	Norad	Interest in participation of female leaders	Please consider and respond. Can we include something on this in the synthesis report/workshop plan?	Point well taken. We will address this in the synthesis.
33	Globe	Question on methodology and use of interns.	Can you emphasise in methodology section that interns worked under close	Done

Report section (paragraph number)	Party	Comment	EO response	Evaluation team response
			supervision of the lead consultant.	
37	Globe	Question whether delays were really a problem. Need to take into account other commitments of legislators..	Please consider and respond	Comments addressed
39	Globe	Question that donors really understand the significance of working with legislators.	Please consider and respond	The Evaluation Team challenges Mr. Mathew's comment about the World Bank's understanding of REDD+ issues. The Bank's Forest Carbon Partnership Facility is an important example of the degree to which the Bank has grasped the importance of REDD+.
42	Globe	Too simplistic	Please expand.	More detail has been provided
46, 60	Globe	More substantial reasoning on selection of countries.	Please add additional information provided on selection.	The selection process has been clearly explained in paragraph 48 and in earlier paragraphs (5) of the executive summary
50	Globe	Expands on reason for targeting parliamentarians.	Please include	Done
62	Globe	Question the comment that scrutiny of	Please consider and	We also added in NORAD comment about the value of

Report section (paragraph number)	Party	Comment	EO response	Evaluation team response
		REDD spending is not yet relevant.	respond	project countries at different stages of development. Scrutiny comment has been addressed
75	Globe	Comment on use of consultants	Please consider and respond	Comment addressed
92	Globe	Evidence of ongoing commitment	Please consider and respond	Comment addressed
97	UN REDD	Would like more information on this and some lessons.	Please consider and respond	Need information from GLOBE
103	Norad	Requestion for more information on Mexico	Please consider and respond	Need information from GLOBE
107	Globe	Questions comment	Please consider and respond	ADDRESSED
162	Globe	Can you include mention of the success in re-establishing Globe after the 2012 elections?	Please consider and respond	ADDRESSED
163	Globe	Question statement	Please consider and respond	ADDRESSED
188	Globe	Question comment on DRC	Please consider and respond	ADDRESSED
206	UN REDD	Interested in more analysis/lessons on participation country ownership.	Please consider and respond	TO BE addressed in synthesis

Report section (paragraph number)	Party	Comment	EO response	Evaluation team response
			Something to be discussed in synthesis report.	
215, 216 (Table 2)	GIZ Globe	Factual error in figures.	Please revise	Addressed, however GLOBE must provide us with breakdown of the additional figures for GIZ contribution
228	UN REDD	Request more detail on complementarity of the project with UNEP strategies and programmes	Please consider and respond	This will be done in the synthesis
232	Globe	Have provided more information on gender	Please include	DONE
Conclusions	UN REDD	Comment on lessons	Please consider and respond.	will be addressed in the synthesis
Conclusions (factors affecting performance)	Globe	Several comments on conclusions.	Please consider and respond	DONE

6.7. TERMS OF REFERENCE²

Terminal Evaluation of the UNEP/GEF project The GLOBE Legislator Forest Initiative

I. PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary (from PIR – September 2013)

GEF project ID:	4543	IMIS number:	GFL-2328-2740-4C18
Focal Area(s):	Multi focal area: Ecosystem Management Environmental governance	GEF OP #:	BD
GEF Strategic Priority/Objective:	BD- 2 CCM-5 CD2	GEF approval date:	22nd July 2011
UNEP approval date:	22 July 2011	First Disbursement:	4 August 2011
Actual start date:	4 August 2011	Planned duration:	24 months
Intended completion date:	31 July 2013	Actual or Expected completion date:	31 December 2013
Project Type:	Medium Sized Project.	GEF Allocation:	\$1,000,000 USD
Expected MSP/FSP Co-financing:	\$1,187,050	Total Cost:	\$ 2,187,050
Mid-term review/eval. (planned date):	n/a	Terminal Evaluation (actual date):	November 2013
Mid-term review/eval. (actual date):	n/a	No. of revisions:	No revisions
Date of last Steering Committee meeting:	November 2012	Date of last Revision:	n/a
Disbursement as of 31 June 2013	\$920,000	Date of financial closure:	n/a
Date of Completion:	n/a	Actual expenditures reported as of 30th June	US\$ 646,374.33

² TOR version of Sep-13

		2013	
Total co-financing realized as of 30 June 2013:	US\$1,085,325	Actual expenditures entered in IMIS as of 31 December 2012:	US\$379,604

ACRONYMS

GEF OP	Global Environment Facility Operational Programme
IMIS	
LULUCF	Land use, land use change and forestry.
MSP	Medium sized project
REDD	Reducing Emissions from deforestation and forest degradation.
ROtI	Review of Outcomes to Impact
ToC	Theory of Change

2. Project rationale

1. This project aims to strengthen the capacity of forested developing countries to effectively implement REDD+ mechanisms.
2. The REDD initiative was launched in 2007 as part of the Bali Action Plan and to date 22 countries are involved in developing REDD+ strategies to access international financing to support forest conservation and sustainable forest management.
3. As countries work towards readiness to implement the REDD+ mechanism, a weakness in the process is the lack of involvement of legislators³. REDD+ preparation is often carried out by a particular government department or Ministry, however broader political support is necessary to ensure that the proposed mechanisms are supported by the relevant legal framework, that laws are enforced and in order to ensure accountability and transparency of management structures. Without this, there is potential for the increased flows of funds to encourage corruption and illegal deforestation. Failure to involve legislators at an early stage of planning can lead to barriers being encountered as plans require legal endorsement.
4. This “missing part of the mechanism” has been recognised by the leading multilateral and bilateral institutions who are financing the REDD+ programmes including the UN-REDD programme, the World Bank and Norway’s International Climate and Forestry Initiative. The need for support to legislators was also identified in a GEF/UNEP funded project ‘International Commission on Land Use change and ecosystems (GEF project ID 3811). Executed by Globe Legislators’ Organisation (GLOBE International), an international organisation comprising parliamentarians from over 70 countries committed to finding legislative solutions to the challenges posed by climate change and sustainable development, this project focused primarily on improving legislators understanding of the international REDD+ negotiations ahead of the UNFCCC COP 15 in 2009. Feedback from

³ The term “legislator” when used in this document refers to a person who writes and passes laws, and who is a member of a national legislature

participants indicated that there was a need and a demand for further support to legislators in the development of REDD+ mechanisms at the national level. The proposed project planned to build on this preliminary work with more focus at the national level in four key REDD+ countries.

Participating Countries

5. The selected countries are all key participants in the REDD process. All have received support from GEF to carry out National Capacity assessments. All are part of the Forest Investment Programme (FIP) which means that government's financial oversight role is particularly important.
6. **Brazil** has the second largest area of forests in the world with about 40% of its gross greenhouse gas emissions coming from deforestation. It launched a national plan on Climate Change, including deforestation in 2008. At the national level, Brazil does not yet have a framework that regulates REDD+ activities, however at the subnational level many Amazon states are designing their own legal and institutional frameworks for REDD+⁴.
7. The Congo basin is the second largest continuous rainforest in the world. 60% of it lies within the borders of the **Democratic Republic of Congo** which is one of the top ten countries in terms of forest cover lost each year. A business-as-usual reference scenario based on demographic and socio-economic development has predicted that deforestation in the DRC could reach 12 million ha by 2030, and degradation at 21 million ha. The associated greenhouse gas (GHG) emissions would thus be approximately 390 Million tons (Mt) of CO₂ in 2030. The REDD process was launched in 2009 and with the REDD preparation phase scheduled for 2010 – 2012. The REDD+ plan was launched in March 2013 and in October 2013 a UN-REDD funding was agreed.
8. **Indonesia** hosts the third largest tropical rainforest in the world. Deforestation rates are high and in 2005 Indonesia's GHG emissions were estimated at 2.1 billion tones of CO₂. This places Indonesia as the 4th largest GHG emitter globally. A REDD commission was established within the Ministry of Forestry in 2007. A REDD+ national strategy was launched in September 2012 and currently Indonesia receives approximately \$4.4 billion from the international community for climate change and REDD+ related activities⁵.
9. **Mexico** has the third largest area of forest in Latin America. With an estimated 10-12 % of the Earth's species, Mexico is among the five most biologically "mega-diverse" countries in the world (CBD, 2013)⁶. Agriculture, deforestation and land use change account for around 30% (15.7 million tons of CO₂e) of national emissions. Deforestation alone is responsible for 14 % of national emissions.⁷ President Calderón presented the "Mexican Vision on REDD" at the UNFCCC COP16 in Cancún in December 2010. Mexico is a member of the Forest Carbon Partnership Facility (FCPF) and is a UN-REDD partner country. It has also been selected as a pilot country by the Forest Investment Programme (FIP).

⁴ <http://www.theredddesk.org>

⁵ <http://www.theredddesk.org>

⁶ From www.the.theredddesk.org

⁷ According to reports that Mexico has presented to FAO, forest and tropical forest deforestation diminished from 354,035 ha. annually during 1993-2002, to 155,152 ha during 2002-2007. CONAFOR, *Visión de México sobre REDD*, 2010.

10. Baselines studies (see Prodoc 2013 and <http://www.globeinternational.info/index.php/the-1st-globe-forest-legislation-study>) identified key legislative issues in REDD+ development in these countries and can be used as a baseline to evaluate progress made over the project life.
11. In summary, this project, aimed to build on GLOBE's previous work to support legislators to engage positively in the development of the REDD+ mechanisms. While the previous GEF funded project addressed general understanding of the REDD+ mechanism, this project would focus more closely on national level issues. Four countries were selected to participate in this phase. However, it was envisaged that the project's impact would go beyond these four, as legislators shared their experiences and learning at International Legislator' forums.
12. As with all activities aiming to reduce deforestation rates, this initiative is cross-cutting and is aligned with a number of the GEF focal areas. In particular it should contribute towards achieving:-
13. **BD2 – Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors.** The initiative will work with legislators to integrate biodiversity conservation into sustainably managed landscapes by improving the policy and regulatory frameworks in forested developing countries.
14. **CCM 5: Promote conservation and enhancement of carbon stocks through sustainable management of land use land use change and forestry (LULUCF).** This initiative will encourage legislators to adopt good management practices in LULUCF within forested landscapes.
15. **CD2: Generate, access and use of information and knowledge.** Stakeholders are better informed via workshops and trainings about global challenges and local actions required. There is an increased capacity of stakeholders to diagnose, understand and transform the complex dynamic nature of global environmental problems and develop local solutions.
16. The initiative contributes to UNEP's Programme of Work in **Ecosystem Management and Environmental Governance**.

3. Project objectives and components

17. *The project's goal was 'To strengthen legislation and parliamentary scrutiny functions within key forested and 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+).'*
18. The planned activities involved bringing together groups of concerned legislators at the national level and providing these groups with the specialist scientific, legal and financial oversight information they needed to better engage in legislation to support REDD+. Engagement with wider stakeholder groups would be part of this process. The project would also promote international communication and coordination between legislators, both in the participating countries and more widely to include other forested developing countries and REDD+ donor countries. Finally the project envisaged that concrete action would be taken by participating legislators to strengthen their national REDD+ mechanisms.
19. The project components, outcomes and outputs are summarised in Table 2.

Table 2. Goals, components and expected outcomes

Component	Outcome	Output
<p>1. Strengthening capacity and improving the knowledge of legislators</p> <p>The provision of expert legal, economic and scientific advice to legislators in order to strengthen the parliamentary functions in support of national REDD+ strategies, NBSAPs (activities linked to forests) and the UNDAF process.</p>	<p>Legislators receive high-quality advice from leading international and national experts on how to deliver REDD+ while conserving forest biodiversity and promoting good management practices in LULUCF</p>	<p>Output 2.1.1: Legislators are provided with a comprehensive set of documents on the existing forest policy landscape in their country, including the gaps in the existing policy and regulatory frameworks within the first six months of the project</p> <p>Output 2.1.2: Legislators are equipped with the necessary information to make political interventions in order to improve their national REDD+ strategies</p> <p>Output 2.1.3: Legislators are equipped with the necessary information to strengthen their role to carry out financial oversight of REDD+ finance invested in their country to ensure that accountable institutions are established and that REDD+ benefits are shared in an equitable and transparent manner within the first twelve months of the project</p>

<p>2. Establishment of Cross- party group of legislators.</p> <p>The development of an influential and well-supported cross-party group of legislators in each of the initiative countries who are actively committed to reducing deforestation, conserving forest biodiversity and promoting good management practices in LULUCF.</p>	<p>Capacity is developed in parliaments to provide greater support to legislators to be engaged in REDD+</p>	<p>Output 1.1.1: A cross-party group of legislators committed to REDD+ is created in the parliaments of the initiative countries within the first three months of the project</p> <p>Output 1.1.2: At least one meeting per month is arranged on REDD+ in the parliaments of the initiative countries in order to engage with stakeholders and to brief legislators on key topics</p>
<p>3. Enhancing International dialogue among legislators</p> <p>The coordination of an international political dialogue on deforestation between legislators from all countries with an interest in creating an effective global REDD+ mechanism</p>	<p>Legislators from key forested developing countries and 'REDD+ donor' countries engage in a dialogue to enhance peer-to-peer learning, south-south knowledge sharing and relationship building activities.</p>	<p>Output 3.1.1: The Initiative Steering Committee is established within the first three months of the project</p> <p>Output 3.1.2: Successful policies and legislation are shared between legislators from the four initiative countries with at least one report from each country produced and circulated</p> <p>Output 3.1.3: Legislators in key "REDD+-donor" countries have a better understanding of how REDD+ finance is being spent</p> <p>Output 3.1.4: Senior legislators from the initiative countries take an international leadership position by highlighting their efforts to a wider group of legislators from forested developing countries at least one gathering of senior legislators</p>
<p>4. Enhancing contribution of legislators in development and implementation of REDD+</p> <p>Action is taken by the legislators in key forested developing countries by performing their typical</p>	<p>Legislators strengthen their national REDD+ strategies by amending and passing legislation, performing their financial oversight functions and by representing their local communities. This will result in the incorporation of measures to conserve and sustainably use biodiversity in policy and regulatory frameworks and encourage good management practices in LULUCF adopted within</p>	<p>Output 4.1.1: Legislation or amendments to existing legislation that underpins the national REDD+ strategy while embedding nationally-appropriate social and environmental safeguards and capturing the multiple benefits of reducing deforestation drafted</p>

parliamentary functions to contribute to the development and implementation of effective and durable national REDD+ strategies	forested landscapes	<p>Output 4.1.2: Legislators ensure that REDD+ finance is managed in a transparent and accountable manner, and that an equitable benefit sharing mechanism is established</p> <p>Output 4.1.3: Legislators strengthen the coordination between national and sub-national REDD+ strategies and develop greater coordination between all relevant government departments</p>
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Source: Project Document

4. Executing Arrangements

20. The **Implementing Agency** for the project was the United Nations Environment Programme (UNEP). The UNEP Task Manager was responsible for project oversight to ensure the project met UNEP and GEF policies and procedures. The Task manager would also review the quality of draft project outputs, provide feedback to the project partners and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications. The Task Manager was also responsible for coordination with other GEF projects as appropriate.
21. The **Executing Agency** for the project was the Global Legislators Organisation (GLOBE) Ltd. The GLOBE International Secretariat, which is based in London, UK, and is hosted by the UK parliament in Westminster, took responsibility for the overall coordination and management of the initiative.
22. The Initiative steering committee was to be made up of senior legislators for the four countries, a representative from UNEP and The President of Globe International. The steering committee was to meet twice a year and would be responsible for guiding the initiative and defining high-level strategy.
23. A management board, which would include the Global Initiative Director, the GLOBE secretary general, a member of the UNEP-GEF directorate and representative from other funding organisations, was responsible for reviewing and signing off the project budget. Key financial parameters would be monitored quarterly to ensure cost-effective use of financial resources.
24. The Global Initiative Director would act as Project Manager and be responsible for the overall coordination of the project. The Global Initiative Director would oversee the work of four National Initiative Directors who would operate from the four countries' parliaments and would coordinate the activities of the cross-party groups of legislators at the national level. Over 20 legislators from each country, from different political parties were to be engaged in the initiative. At least one meeting a month would be organised in parliaments in order to engage stakeholders and brief legislators on key topics.
25. The Global Initiative Director would be supported by a Forest Policy Officer who would be based in the GLOBE international secretariat and would have responsibility for overseeing the policy and legal advice provided to the legislators.
26. The GLOBE international secretariat would act as the central coordinating body and would manage the international coordination component of the initiative. Independent consultants would be recruited when necessary to provide advice and guidance to legislators.
27. Project risks and assumptions would be regularly monitored both by project partners and UNEP.

5. Project Cost and Financing

28. The estimated project costs at design with associated funding sources are presented in Table 3.

Table 3 Estimated Project costs (from CEO Endorsement Approval January 2011)

Project Component	Grant	Cofinancing
1	340,000	218.525
2	355,000	218525
3	180,091	400,000
4	0	200,000
Monitoring and Evaluation	34,000	
Subtotal	909091	1037050
Project management cost	90909	150000
Total project costs	1,000,000	1,187,050

Cost to GEF Fund	US\$ 1,000,000
Cofinancing anticipated	US\$ 1,187,050
Total co-financing realized as of 30 June 2012'	US\$ 1,085,325

Confirmed Cofinancing (Jan 2011)	
German Ministry of Economic Cooperation	140,000
UN-REDD programme (UNEP)	52,050
GLOBE	775,000
Subtotal	967,050

29. Review and signing off of budgets was the responsibility of the Management Board as outlined in Section 4.

6. Implementation Issues

30. The project was to open with a launch workshop to convene the Initiative Steering committee and to discuss and endorse the objects and direction of the initiative. Hereafter this group would meet biannually.
31. Meeting between legislators for the initiative countries was planned at the GLOBE Cape Town Legislators Forum at the UNFCCC COP 17.
32. National initiative Directors were to hold monthly meetings with legislators , were to work to oversee a detailed analytic study of existing forest legislation and gaps in legal regulatory frameworks and to develop nationally specific objectives.
33. As required consultant would be used to provide legislators with the necessary information and guidance in order to make political interventions to improve their national REDD strategies.
34. A report would be produced to explore the role of parliaments in providing financial oversight of REDD financing drawing on examples from the four participating countries.
35. GLOBE legislators from this initiative were expected to take a leadership role in either amending existing legislation or advancing new legislation that creates the enabling conditions for an effective national REDD+ strategy. They should take a leadership role in supporting the creation of transparent institutions and equitable benefit sharing mechanisms for REDD+ finance, to ensure greater coordination between government ministries and consistency between national and subnational REDD+ legislation.
36. Senior legislators were to meet and share their experiences with a wider group of legislators from forested developing countries at least one gathering.
37. There have been no project revisions over the project life.

II. TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

38. In line with the UNEP Evaluation Policy⁸, the UNEP Evaluation Manual ⁹ and the Guidelines for GEF Agencies in Conducting Terminal Evaluations¹⁰, the Terminal Evaluation of the Project “The GLOBE Legislator Forest Initiative” is undertaken after completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.
39. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners – GLOBE International in particular. Therefore, the evaluation will identify lessons of operational relevance for future project

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

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

¹⁰ http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

formulation and implementation. It will focus on the following sets of key questions, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

- a) Did the project activities build the capacity of participating parliaments to provide greater support to legislators to be engaged in REDD+?
- b) Did the project provide legislators with relevant and useful advice on how deliver REDD+ while conserving forest biodiversity and promoting good management practices?
- c) Did the project activities enable legislators from key forested developing countries and 'REDD+ donor' countries engage in dialogue which enhanced peer-to-peer learning, south-south knowledge sharing and relationship building activities?
- d) Have participating legislators strengthened their REDD strategies by 1) amending and passing legislation, promoting improved financial oversight functions and supporting representation of local communities?
- e) Is there evidence that measures to conserve and sustainably use biodiversity have been incorporated in regulatory frameworks and that good management practices in LULUCF are being adopted within forested landscapes as a result of project activities?

2. Overall Approach and Methods

40. The Terminal Evaluation of the Project "**The GLOBE Legislator Forest Initiative**" will be conducted by an independent evaluation team under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP GEF Coordination Office (Nairobi), and the UNEP Task Manager at UNEP/ Division of Environmental Policy and Implementation (DEPI).
41. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.
42. The findings of the evaluation will be based on the following:
 - a) A **desk review** of project documents and others including, but not limited to:
 - Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining to REDD+
 - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
 - Project reports such as progress and financial reports from the executing partners to the Project Management Unit (PMU) and from the PMU to UNEP; Steering Group meeting minutes; annual Project Implementation Reviews and relevant correspondence;
 - Launch workshop minutes
 - Minutes from relevant GLOBE international forums (Cape Town)
 - Minutes/report from World Summit of Legislators
 - Baseline studies, policy briefs and country guidelines (see Appendix 3 and reports on GLOBE international website)
 - National objectives, visibility plan and dissemination documents.
 - National policy documents
 - National Stakeholder engagement strategy
 - Any other documentation related to project outputs;
 - b) **Interviews** with:
 - Project management and execution support
 - UNEP Task Manager and Fund Management Officer (Nairobi);
 - Participating Legislators
 - National stakeholders (NGOs, private sector and forest communities).
 - Relevant staff of GEF Secretariat
 - Consultants who have provided inputs to the project.

- Representatives of associated REDD and SFM initiatives (FIP, UN-REDD etc.).

c) **Country visits.**

- The evaluation team will attend the UNFCCC COP in Warsaw (November 18 – 21) where they will have the opportunity to meet and interview many of the project partners. Other key stakeholders will be interviewed by phone/Skype or email.

3. Key Evaluation principles

43. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.
44. The evaluation will assess the project with respect to a **minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with the UNEP strategies and programmes. The evaluation team can propose other evaluation criteria as deemed appropriate.
45. **Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 3 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
46. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between what has happened with and what would have happened without the project. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
47. As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the “*Why?*” question should be at front of the evaluation team’s mind all through the evaluation exercise. This means that the evaluation team needs to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the evaluation team to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “where things stand” today.

4. Evaluation criteria

A. Strategic relevance

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

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

B. Achievement of Outputs

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

C. Effectiveness: Attainment of Objectives and Planned Results

51. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.
52. The evaluation will reconstruct the Theory of Change (ToC) of the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) over outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called intermediate states. The ToC further defines the external factors that influence change along the pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control).
53. The assessment of effectiveness will be structured in three sub-sections:
- (a) Evaluation of the **achievement of direct outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs.
 - (b) Assessment of the **likelihood of impact** using a *Review of Outcomes to Impacts* (ROtI) approach as summarized in Annex 8 of the TORs. Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as a result of the project's direct outcomes, and the likelihood of those changes in turn leading to changes in the natural resource base, benefits derived from the environment and human living conditions.
 - (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in original logframe (see Table 2 above) and any later versions of the logframe. This sub-section will refer back where applicable to sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.
54. There are some effectiveness questions of specific interest which the evaluation should certainly consider:
- a) Which of the project activities was most effective in contributing to the project's goals?
 - b) Was there a difference in achievement of outcomes and likelihood of impact in the different countries participating and what factors were involved? Are there lessons for future interventions?
 - c) 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)?

D. Sustainability and replication

55. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability.
56. Four aspects of sustainability will be addressed:
- a) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
 - b) *Financial resources*. To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources¹¹ will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
 - c) *Institutional Framework*. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?
 - d) *Environmental sustainability*. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?
57. **Catalytic role and replication.** The catalytic role of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP and the GEF also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:
- (d) *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at the national and international level.
 - (e) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
 - (f) contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
 - (g) contributed to *policy changes* (on paper and in implementation of policy);
 - (h) contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;
 - (i) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).
58. **Replication**, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different

¹¹ Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

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

E. Efficiency

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

F. Factors and processes affecting project performance

60. **Preparation and readiness.** This criterion focuses on the quality of project design and preparation. Were project stakeholders¹² adequately identified? Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed¹³?
61. **Project implementation and management.** This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:
- (j) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
 - (k) Evaluate the effectiveness and efficiency of project management by GLOBE International and how well the management was able to adapt to changes during the life of the project.
 - (l) Assess the role and performance of the units and committees established and the project execution arrangements at all levels.
 - (m) Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations.
 - (n) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems. How did the relationship between the Global Initiative Director and London based team and the National staff develop.
 - (o) Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.

¹² Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

¹³ <http://www.thegef.org/gef/node/4562>

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

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

63. Country ownership and driven-ness. The evaluation will assess the performance of government agencies involved in the project:

- (s) In how far has did participating Governments assume responsibility for the project and provide adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project and the timeliness of provision of counter-part funding to project activities?
- (t) To what extent has the political and institutional framework of the participating countries been conducive to project performance?
- (u) To what extent have the public entities promoted the participation of forest communities and their non-governmental organisations in the project?
- (v) How responsive were the government partners to GLOBE International coordination and guidance, and to UNEP supervision?

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

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

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

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

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

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

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

- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.
- (gg) *M&E Plan Implementation.* The evaluation will verify that:
- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
 - annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
 - the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.
- (hh) *Use of GEF Tracking Tools.* These are portfolio monitoring tools intended to roll up indicators from the individual project level to the portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool¹⁴ to meet its unique needs. Agencies are requested to fill out at CEO Endorsement (or CEO approval for MSPs) and submit these tools again for projects at mid-term and project completion. The evaluation will verify whether UNEP has duly completed the relevant tracking tool for this project (BD2, CCM5 and CD2), and whether the information provided is accurate.

G. Complementarities with UNEP strategies and programmes

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

- (ii) *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ToC/ROtI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy 2010-2013 (MTS)¹⁵ would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist and it is still useful to know whether these projects remain aligned to the current MTS.
- (jj) *Alignment with the Bali Strategic Plan (BSP)*¹⁶. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- (kk) *Gender.* Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- (ll) *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

5. The Evaluation Team

69. For this evaluation, the team will consist of one team leader and one special advisor (seconded to the evaluation with permission from UNDP). The evaluation team should

¹⁴ http://www.thegef.org/gef/tracking_tools

¹⁵ <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

¹⁶ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

have relevant experience in GEF project evaluation, environmental law, international legislative processes, capacity building and the REDD+ mechanism. The Team Leader will coordinate data collection and analysis, and the preparation of the main report for the evaluation, with substantive contributions by the special advisor. Both team members will ensure together that all evaluation criteria are adequately covered.

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

6. Evaluation Deliverables and Review Procedures

71. The evaluation team will prepare an **inception report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality; a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.
72. The review of design quality will cover the following aspects (see Annex 9 for the detailed project design assessment matrix):
- Strategic relevance of the project
 - Preparation and readiness (see paragraph 25);
 - Financial planning (see paragraph 30);
 - M&E design (see paragraph 33(a));
 - Complementarities with UNEP strategies and programmes (see paragraph 34);
 - Sustainability considerations and measures planned to promote replication and upscaling (see paragraph 23).
73. The inception report will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* the most of the data collection (review of reports, in-depth interviews, observations on the ground etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.
74. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.
75. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.
76. The inception report will be submitted for review and approval by the Evaluation Office before the evaluator travels to Warsaw.
77. **The main evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 1. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent

conclusions, lessons and recommendations, which will be cross-referenced to each other (and where relevant to the **Partnering for Natural Resource Management – Conservation Council of Nations (CCN) project**, which will be evaluated by the same team). The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the author will use numbered paragraphs and make cross-references where possible.

78. **Review of the draft evaluation report.** The evaluator will submit the zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the UNEP Task Manager, who will ensure that the report does not contain any blatant factual errors. The UNEP Task Manager will then forward the first draft report to the other project stakeholders in particular GLOBE International, for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluator for consideration in preparing the final draft report.
79. The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.
80. **Submission of the final Mid-term Evaluation report.** The final report shall be submitted by Email to:

Mike Spilsbury, Acting Head
UNEP Evaluation Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: (+254-20) 762 3387
Email: Michael.spilsbury@unep.org

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

Maryam Niamir-Fuller, Director
UNEP/GEF Coordination Office
Nairobi, Kenya
Email: maryam.niamir-fuller@unep.org

Ibrahim Thiaw, Director
Division of Environmental Policy Implementation (DEPI)
United Nations Environment Programme
Nairobi, Kenya
Email: ibrahim.thiaw@unep.org

Edoardo Zandri, Task Manager
GEF Biodiversity/Land Degradation/Biosafety Unit
Division of Environmental Policy Implementation (DEPI)
United Nations Environment Programme

82. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.
83. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation team. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 4.
84. The UNEP Evaluation Office will also prepare a **commentary** on the final evaluation report, which presents the EO ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report. These ratings are the final ratings that the UNEP Evaluation Office will submit to the GEF Office of Evaluation.

7. Logistical arrangement

85. This Terminal Evaluation will be undertaken by an independent evaluator contracted by the UNEP Evaluation Office and a special advisor seconded from UNDP. The evaluation team will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the team members' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize field visits, and any other logistical matters related to the assignment. The UNEP Task Manager and GLOBE International will, where possible, provide logistical support (introductions, meetings, transport etc.) for the country visit, allowing the evaluation team to conduct the evaluation as efficiently and independently as possible.

8. Schedule of the evaluation

86. The **contract for the Team leader** will commence on November 1st 2013 and end on 1st May 2014 (32 days spread over a period of 26 weeks). She will travel to Warsaw (in November 2013). The consultant will submit a draft evaluation report by the January 15th 2014.
87. The team leader will be hired under an individual Special Service Agreement (SSA). There are two options for contract and payment: lumpsum or "fees only".
88. **Lumpsum**: The contract covers both fees and expenses such as travel, per diem (DSA) and incidental expenses which are estimated in advance. The evaluation team members will receive an initial payment covering estimated expenses upon signature of the contract.
89. **Fee only**: The contract stipulates consultant fees only. Air tickets will be purchased by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-country travel and communication costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.
90. **The special advisor will be seconded to the evaluation with permission from UNDP**. He will be reimbursed for travel and expenses to and in Warsaw, and for communication costs incurred by the evaluation.

91. The payment schedule for the team leader will be linked to the acceptance of the key evaluation deliverables by the Evaluation Office:
- Final inception report: 20 percent of agreed total fee
 - First draft main evaluation report: 40 percent of agreed total fee
 - Final main evaluation report: 40 percent of agreed total fee
92. In case the team are not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the evaluation team have improved the deliverables to meet UNEP's quality standards.
93. If the team fail to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultant's fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Annex 1. Annotated Table of Contents of the main evaluation deliverables

INCEPTION REPORT

Section	Notes	Data Sources	Max. number of pages
1. Introduction	Brief introduction to the project and evaluation.		1
2. Project background	Summarise the project context and rationale. How has the context of the project changed since project design?	Background information on context	3
3. Review of project design	Summary of project design strengths and weaknesses. Complete the Template for assessment of the quality of project design (Annex of the Terms of Reference).	Project document and revisions, MTE/MTR if any.	2 + completed matrix in annex of the inception report
4. Reconstructed Theory of Change	The Theory of Change should be reconstructed, based on project documentation. It should be presented with one or more diagrams and explained with a narrative.	Project document narrative, logical framework and budget tables. Other project related documents.	2 pages of narrative + diagram(s)
5. Evaluation framework	The evaluation framework will contain: <ul style="list-style-type: none"> Detailed evaluation questions (including new questions raised by review of project design and ToC analysis) and indicators Data Sources It will be presented as a matrix, showing questions, indicators and data sources.	Review of all project documents.	5
6. Evaluation schedule	<ul style="list-style-type: none"> Revised timeline for the overall evaluation (dates of travel and key evaluation milestones) Tentative programme for the country visit 	Discussion with project team on logistics.	2
7. Distribution of responsibilities within the evaluation team	Distribution of roles and responsibilities among evaluation team. (may be expanded in Annex)		1
6. Annexes	A- Completed matrix of the overall quality of project design B- List of individuals and documents consulted for the inception report C- List of documents and individuals to be consulted during the main evaluation		

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MAIN REPORT

Project Identification Table	An updated version of the Table 1 (page 1) of these TORs
Executive Summary	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table), as well as the most important lessons and recommendations. Maximum 4 pages.
I. Introduction	A very brief introduction, mentioning the name of evaluation and project, project duration, cost, implementing partners and objectives of the evaluation.
II. The Evaluation	Objectives, approach and limitations of the evaluation
III. The Project	
A. Context	Overview of the broader institutional and country context, in relation to the project's objectives, including changes during project implementation
B. Objectives and components	
C. Target areas/groups	
D. Milestones/key dates in project design and implementation	
E. Implementation arrangements	
F. Project financing	Estimated costs and funding sources
G. Project partners	
H. Changes in design during implementation	
I. Reconstructed Theory of Change of the project	
IV. Evaluation Findings	
A. Strategic relevance	This chapter is organized according to the evaluation criteria presented in section II.4 of the TORs and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.
B. Achievement of outputs	
C. Effectiveness: Attainment of project objectives and results <ul style="list-style-type: none"> i. Direct outcomes from reconstructed TOC ii. Likelihood of impact using RoTI and based on reconstructed TOC iii. Achievement of project goal and planned objectives 	
D. Sustainability and replication	
E. Efficiency	
F. Factors affecting performance	
G. Complementarity with UNEP strategies and programmes	

V. Conclusions and Recommendations	
A. Conclusions	This section should summarize the main conclusions of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with the overall assessment of the project. Avoid presenting an “executive summary”-style conclusions section. Conclusions should be cross-referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here (see Annex 2).
B. Lessons Learned	Lessons learned should be anchored in the conclusions of the evaluation. In fact, no lessons should appear which are not based upon an explicit finding of the evaluation. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyse the pros and cons of each option. It is suggested, for each recommendation, to first briefly summarize the finding it is based upon with cross-reference to the section in the main report where the finding is elaborated in more detail. The recommendation is then stated after this summary of the finding.
Annexes	These may include additional material deemed relevant by the evaluator but must include: 1. Response to stakeholder comments received but not (fully) accepted by the evaluators 2. Evaluation TORs (without annexes) 3. Evaluation program, containing the names of locations visited and the names (or functions) and <u>contacts (Email)</u> of people met 4. Bibliography 5. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs) 6. Brief CVs of the evaluation team.

Important note on report formatting

Reports should be submitted in Microsoft Word .doc or .docx format. Use of Styles (Headings etc.), page numbering and numbered paragraphs is compulsory from the very first draft report submitted. Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou.

Annex 2. Evaluation Ratings

The evaluation will provide individual ratings for the evaluation criteria described in section II.4 of these TORs.

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

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report.

Criterion	Summary Assessment	Rating
A. Strategic relevance		HS → HU
B. Achievement of outputs		HS → HU
C. Effectiveness: Attainment of project objectives and results		HS → HU
1. Achievement of direct outcomes		HS → HU
2. Likelihood of impact		HS → HU
3. Achievement of project goal and planned objectives		HS → HU
D. Sustainability and replication		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
5. Catalytic role and replication		HS → HU
E. Efficiency		HS → HU
F. Factors affecting project performance		
1. Preparation and readiness		HS → HU
2. Project implementation and management		HS → HU
3. Stakeholders participation and public awareness		HS → HU
4. Country ownership and driven-ness		HS → HU
5. Financial planning and management		HS → HU
6. UNEP supervision and backstopping		HS → HU
7. Monitoring and evaluation		HS → HU
a. M&E Design		HS → HU
b. Budgeting and funding for M&E activities		HS → HU
c. M&E plan Implementation		HS → HU
Overall project rating		HS → HU

Rating for effectiveness: Attainment of project objectives and results. An aggregated rating will be provided for the achievement of direct outcomes as determined in the reconstructed Theory of Change of the project, the likelihood of impact and the achievement of the formal project goal and objectives. This aggregated rating is not a simple average of the separate ratings given to the evaluation sub-criteria, but an overall judgement of project effectiveness by the evaluation team.

Ratings on sustainability. According to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will be the lowest rating on the separate dimensions.

Ratings of monitoring and evaluation. The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design). M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

Annex 3. Project costs and co-financing tables

Project Costs

Component/sub-component	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)

Co-financing

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursed (mill US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support									
- Other (*)									
-									
-									
Totals									

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

Annex 4. Quality Assessment of the Evaluation Report

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

Key report quality criteria	UNEP EO Assessment	Rating
A. Are all evaluation questions and criteria specified in the TORs adequately addressed?		
B. Does the report present an assessment of the achievement of the relevant outcomes and project objectives?		
C. How well is the Theory of Change reconstructed and used for the assessment of effectiveness, likelihood of impact, sustainability and replication potential of the project?		
D. Is the report internally consistent and the evidence complete and convincing and were the ratings substantiated when used? Are there any major evidence gaps?		
Other report quality criteria		
E. Does the report present a sound assessment of sustainability of outcomes?		
F. Are the lessons and recommendations supported by the evidence presented?		
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Does the report structure follow EO guidelines and are all requested Annexes included?		
J. How well does the report assess the quality of the project M&E system and its use for project management?		
K. Was the report well written? (clear English language and grammar)		
L. Was the report delivered in a timely manner?		

Overall Report Quality Rating = $3 \times (A + B + C + D) / 16 + 1 \times (E + F + G + H + I + J + K + L) / 32$

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

Annex 5. Documentation list for the evaluation to be provided by the UNEP Task Manager

- Project design documents
- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Project revision and extension documentation
- Updated implementation plan for the recommendations of the Mid-Term Evaluation
- Project Terminal Report (draft if final version not available)
- GEF Tracking Tool for the relevant focal area

Annex 6. Introduction to Theory of Change / Impact pathways, the ROtI Method and the ROtI Results Score sheet

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

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

Theory of Change (ToC) / impact pathways

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

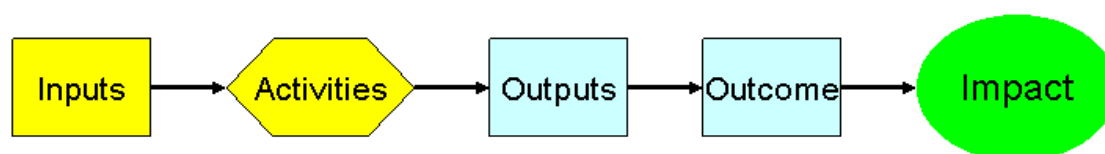


Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.

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

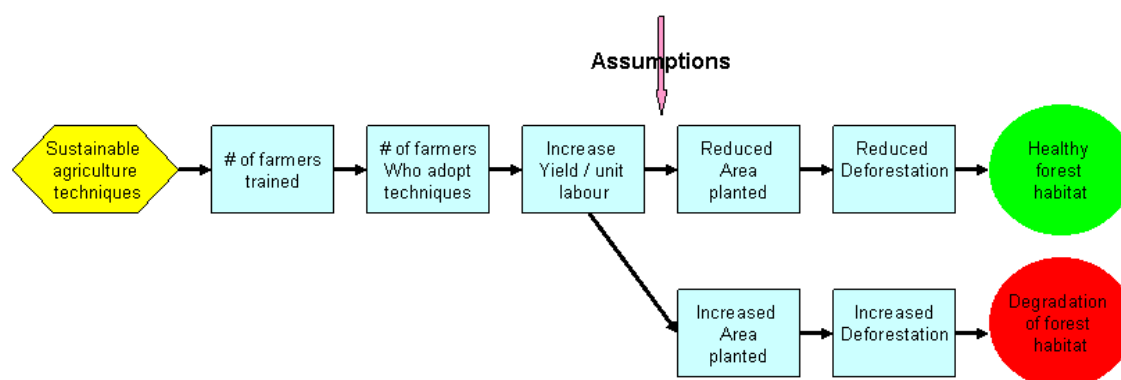


Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.

The GEF Evaluation Office has recently developed an approach to assess the **likelihood of impact** that builds on the concepts of Theory of Change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)¹⁷ and has three distinct stages:

- a. Identifying the project's intended impacts
- b. Review of the project's logical framework
- c. Analysis and modelling of the project's outcomes-impact pathways: reconstruction of the project's Theory of Change

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The second stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method¹⁸. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such processes are often complex: they might involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrues long after the completion of project activities.

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

Drivers are defined as the significant, external factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant external factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project partners & stakeholders. The drivers and assumptions are considered when assessing the likelihood of impact, sustainability and replication potential of the project.

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

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

¹⁷ GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook.

http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf

¹⁸ Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

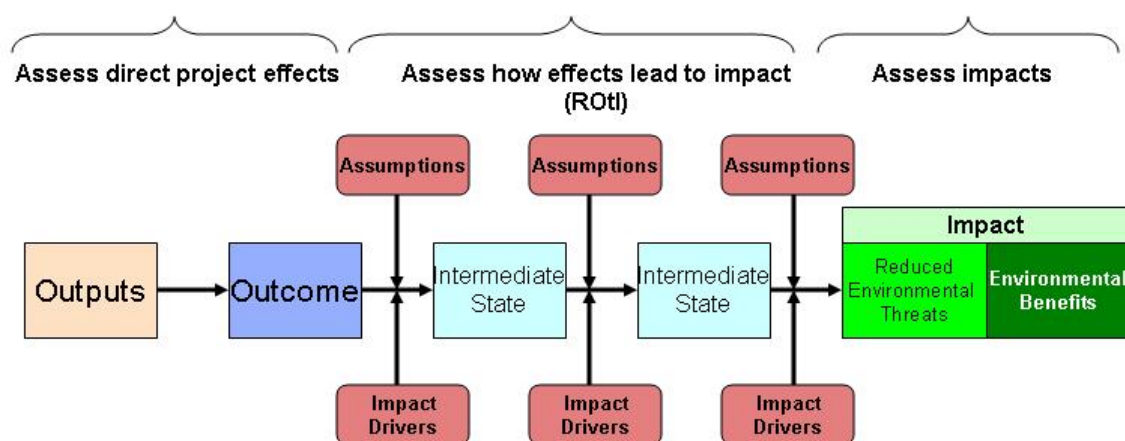


Figure 3. A schematic ‘impact pathway’ showing intermediate states, assumptions and impact drivers¹⁹ (adapted from GEF EO 2009)

In ideal circumstances, the Theory of Change of the project is reconstructed by means of a group exercise, involving key project stakeholders. The evaluators then facilitate a collective discussion to develop a visual model of the impact pathways using cards and arrows taped on a wall. The component elements (outputs, outcomes, intermediate states, drivers, assumptions, intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

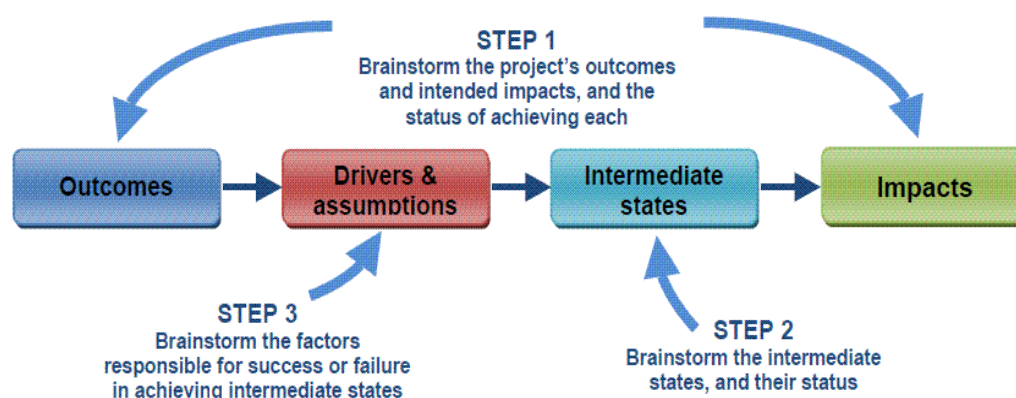


Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)

In practice, there is seldom an opportunity for the evaluator to organise such a group exercise during the inception phase of the evaluation. The reconstruction of the project's Theory of Change can then be done in two stages. The evaluator first does a desk-based identification of the project's impact pathways, specifying the drivers and assumptions, during the inception phase of the evaluation, and then, during the main evaluation phase, (s)he discusses this understanding of the project logic during group discussions or the individual interviews with key project stakeholders.

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

¹⁹ The GEF frequently uses the term “impact drivers” to indicate drivers needed for outcomes to lead to impact. However, in UNEP it is preferred to use the more general term “drivers” because such external factors might also affect change processes occurring between outputs and outcomes.

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

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

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

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

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

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

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

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

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

Scoring Guidelines

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

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

Examples

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

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

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediate states and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should

lead to desired intermediate outcomes. Providing implicit linkages to intermediate states is probably the most common case when outcomes have been achieved. (Score - B)

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

Intermediate states:

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

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

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

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

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

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

Impact: Actual changes in environmental status

“Intermediate states” scored B to A.

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

Annex 6.8 : UNEP Evaluation Report Quality Assessment

Evaluation Report Title:

Partnering for Natural Resource Management- Conservation Council of Nations (CCN)

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

Substantive report quality criteria	UNEP EO Comments	Draft Report Rating	Final Report Rating
A. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Draft report: Good Final report:	5	5
B. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Good Final report:	5	5
C. Presentation Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: Good Final report:	5	5
D. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: Conclusions need to be substantiated. Final report: Despite efforts by the consultant attribution still an issue	3	4
E. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: Final report:	5	5
F. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?	Draft report:	5	5

	Final report:		
G. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Good Final report:	5	5
H. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Lessons and recommendations need clarifying Final report: Good	4	5
I. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Final report:	4	5
Other report quality criteria			
J. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Well written but very long! Final report: A bit better	4	5
K. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: Good Final report:	5	5
L. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Well written. Could be a little more concise Final report:	5	5
M. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Some reformatting necessary. Final report: Good	4	5
OVERALL REPORT QUALITY RATING		4.5	4.9

Rating system for quality of evaluation reports

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

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

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

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

Comments in relation to any non-compliant issues: