

Report
Terminal Evaluation of the project
Capacity for Implementing
Rio Conventions in Samoa

UNDP PIMS 4938

GEF PMIS 5164



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Report: Terminal Evaluation of the project “Capacity for Implementing Rio Conventions in Samoa”

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Cover photo: Beach erosion, Samoa. Trond Norheim 2017.

ABBREVIATIONS

ACEO	Assistant Chief Executive Officer
AWP	Annual Work Plan
CC	Climate Change
CCCD	Cross-Cutting Capacity Development
CDC	Cabinet Development Committee
CEO	Chief Executive Officer
CSO	Civil Society Organization
DAC	Development Assistance Committee (of OECD)
DKIF	Data, Knowledge & Information Facility
EA	Executing Agency
ES-MERF	Environment Sector Monitoring & Evaluation Results Framework
FA	Focal Area
GEF	Global Environment Facility
HACT	Harmonised Approach to Cash Transfers
IA	Implementing Agency
ICT	Information & Communication Technologies
M&E	Monitoring and Evaluation
MCO	Multi-country office (of UNDP)
MNRE	Ministry of Natural Resources and Environment
MOF	Ministry of Finance
MTEF	Medium Term Expenditure Framework
NAP	National Action Programme
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategy and Action Plan
NCSA	National Capacity Self Assessment
NESP	National Environmental Sector Plan
NGO	Non Governmental Organization
OECD	Organization for Economic Cooperation and Development
PIC	Pacific Island Countries
PIF	Project Identification Form
PMIS	Project Management Information System
PMU	Project Management Unit
QPR	Quarterly Progress Report
SDS	Strategy for Development of Samoa
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
SPREP	Secretariat for the Pacific Regional Environment Programme
STAP	Scientific and Technical Advisory Panel
TE	Terminal Evaluation
TM	Task Manager
TOC	Theory of Change
TOR	Terms of Reference
UN	United Nations
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNFCCC	United Nations Framework Convention on Climate Change

Project Summary Table

Project Title:	Capacity for Implementing Rio Conventions in Samoa			
GEF Project ID:	5164 (GEF PMIS)		<u>at endorsement</u> <u>(Million US\$)</u>	<u>at completion</u> <u>(Million US\$)</u>
UNDP Project ID:	4938 (UNDP PIMS) 00078841 (Atlas Award ID)	GEF financing:	USD 500,000	USD 488,840.12
Country:	Government of Samoa	IA/EA own:	USD 100,000	USD 100,000
Region:	Asia and the Pacific	Government:	USD 400,000 (in-kind)	USD 400,000
Focal Area:	Multi Focal Area	Other:		
FA Objectives, (OP/SP):	CD-2: Generate, access and use of information and knowledge; CD-3: Strengthened capacities for policy and legislation development for achieving global benefits	Total co-financing:	USD 500,000.00	USD 500,000
Executing Agency:	Ministry of Natural Resource and Environment (MNRE)	Total Project Cost:	USD 1,000,000.00	USD 1,000,000.00
Other Partners involved:	UNCCD	ProDoc Signature (date project began):		17 th September 2014
		(Operational) Closing Date:	Proposed: Sept 17 th 2017	Actual: Dec 31 st 2017

Project Description

The project had the goal to address the capacity gaps and needs that are vital to the enhancement of Samoa's ability to meet its obligations under the three Rio Conventions. The objective was to strengthen technical and institutional capacities for more effective implementation of these Conventions.

The project was implemented in three linked components: (i) The Rio Conventions more effectively implemented through national planning frameworks that are supported by the best practice tools and institutional arrangements; (ii) Raised public support and understanding of the Rio Conventions; and (iii) Development plans and programmes address implementation of Rio Conventions at national and sectorial level. At the end of the project, the activities should have resulted in mainstreaming and promotion of the Rio Conventions into national development plans, and the strengthening of inter-ministerial cooperation and participatory approaches.

Evaluation Ratings*:			
1. Monitoring and Evaluation	Rating	2. IA& EA Execution	Rating
M&E design at entry	4	Quality of Implementation – Implementing Agency (IA, UNDP)	5
M&E Plan Implementation	5	Quality of Execution - Executing Agency (EA, MNRE)	5
Overall quality of M&E	4	Overall quality of Implementation / Execution	5
3. Assessment of Outcomes	Rating	4. Sustainability	Rating
Relevance	2(R)	Financial resources	3
Effectiveness	5	Socio-political	4
Efficiency	5	Institutional framework and governance	4
Overall Project Outcome Rating	5 (S)	Environmental	4
		Overall likelihood of sustainability	4

*Relevance has two criteria: 2=Relevant (R), 1=Not Relevant (NR); Sustainability has a rating from 1 (unlikely) to 4 (likely), and the other criteria have a rating from 1 (highly unsatisfactory) to 6 (highly satisfactory)

Summary of conclusions, recommendations and lessons:

The project was highly relevant for UNDP, GEF, the Government and local stakeholders. It was also very relevant for GEF's Multi-Focal Area because it dealt with support to Samoa's compliance with the Rio conventions, corresponding with the 3 GEF's Focal areas biodiversity, climate change and land degradation. It was cost-effective to use existing government institutional structures and staff. The project was money well invested, and would give positive impacts for the institutions and the country in the years to come. It had a high degree of effectiveness, however it is not possible to measure compliance with all expected results due to lack of baseline. Even though some baseline information was established during project implementation, this does not give the situation at the starting point of the project. All project products seem to be of high quality, with high degree of user satisfaction. This is one of the few projects where the impacts have been clearly felt already during implementation, with a gradual trend towards improved effectiveness and efficiency throughout implementation as a result of improved organization and use of the new ICT system. There has been great activity from MNRE's staff during project implementation, and that commitment has been key for the positive results.

The recommendations of the TE Evaluation include that the Government of Samoa should give high priority to approval of the bills drafted under the Rio Project, to assure impact and sustainability. The project results should be scaled up through new projects directed towards national and local stakeholders. MNRE should continue to invest in institutional development to maintain and improve the results achieved, including training of all staff to assure compliance with policies, procedures, and improved systems. Continued active staff participation should be encouraged for possible adjustment of the systems, to maintain the

enthusiasm and assure positive results. MNRE's DKIF system should be continually maintained and upgraded, and the divisions must upload documents directly. An institutional Management System for on-line decision-making could complement DKIF to improve institutional development.

Lessons learned from the project shows that it is possible to achieve great results on institutional strengthening with a relatively low budget, based on strong commitment from the organization and its staff. Such projects make it possible for the institution to achieve impact fast, even during project implementation. Projects for the Rio Conventions can be brought to the local level and should learn from the local communities, not only deal with international and national level. Regarding the management structure, even though a PMU with several Managers seems to have worked well for this project, for projects with a more narrow focus only one Manager should be in charge. The Legal Division should be involved from early project design phase also for other MNRE projects. Another lesson is that it can be expensive to select the cheapest consultant, and it is better to combine criteria for quality and price.

1. INTRODUCTION

1.1. Objectives of the evaluation

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP supported GEF financed projects are required to undergo a terminal evaluation upon completion of implementation.

The objectives of the Terminal Evaluation (TE) were to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from the project and aid in the overall enhancement of UNDP programming.

The TE should be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The GEF Implementing Agency (IA) for this project was the United Nations Development Programme (UNDP) and the Implementing Partner was the Ministry of Natural Resource and Environment (MNRE) in Samoa. The Terminal Evaluation has followed a participatory and consultative approach, ensuring close engagement with government counterparts, in particular the GEF focal point and project team, UNDP Country Office and key stakeholders.

An overall approach and method for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator was expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability and impact. A set of questions covering each of these criteria should be drafted.

It is expected that the conclusions, recommendations and lessons learned from the evaluation would be useful especially for the Government of Samoa, UNDP and GEF; for knowledge sharing, design and implementation of similar or related projects in the future.

1.2. Project goal and objectives

The long-term goal of the project was to strengthen the technical and institutional capacities that will catalyse Samoa's mainstreaming of the three United Nations Rio Conventions: Convention on Biological Diversity (UNCBD), Convention to Combat Desertification (UNCCD) and the Framework Convention on Climate Change (UNFCCC). On this basis the Government of Samoa would be able to provide for a more effective implementation of these conventions.

The mainstreaming included promotion of the Rio Conventions into national development plans, and strengthening of the inter-ministerial cooperation and participatory approaches. The strengthening of legislative and regulatory instruments through the project would help further institutionalize capacities developed. The project should also help improve public awareness to strengthen the understanding of Samoa on the important linkages between different national sustainable development priorities.

This project addressed issues identified through the PIC's National Capacity Self Assessments (NCSA), which noted the following common problems and vulnerabilities: (i) Lack of historical and current evidence of the status and trends of various environmental resources and drivers of environmental change; (ii) Information management problems, including lack of standardized procedures for collecting and aggregating relevant environmental data; and (iii) ^[1]_[SEP]Dissemination problems, with available information not always getting into the hands of local technical staff, local government officials, or local citizens.

The project was structured in three linked components:

1. The Rio Conventions more effectively implemented through national planning frameworks that are supported by the best practice tools and institutional arrangements
2. Raised public support and understanding of the Rio Conventions
3. Development plans and programmes address implementation of Rio Conventions at national and sectorial level.

1.3. Main aspects

1.3.1. *Understanding of the Project and the assignment*

The Consultant understands the evaluation as an analysis of two main elements with a logic sequence:

- 1) *Project performance*, with emphasis on effectiveness of outputs and outcomes, as well as efficiency, impact, sustainability and relevance; and
- 2) *Lessons learned*, including what has worked well and what has not; giving inputs to design of other UNDP and GEF projects, and especially to other projects in Samoa.

1.4. Methodology

1.4.1. *Main evaluation aspects*

The evaluation paid special attention to the compliance with expected Project outputs, outcomes and impacts, and the influence and integration of experiences and lessons learned. The evaluation also considered actions, strategies, policies and other factors that have influenced the execution positively or negatively, considering policies and contexts, and the relations between the project, partners and UNDP/GEF.

Based on review of the results, the Consultant analysed if they have given or are expected to give the intended impacts, according with the Project objectives.

1.4.2. *General considerations based on UNDP, GEF and OECD-DAC standards*

The Consultant applied the following considerations throughout the evaluation:

- a) Free and open evaluation process**, transparent and independent from Project management and policy-making, to enhance credibility;
- b) Evaluation ethics** that abides by relevant professional and ethical guidelines and codes of conduct, while the evaluation is undertaken with integrity and honesty;
- c) Partnership approach**, to build development ownership and mutual accountability for results. A participatory approach was used on all levels (government, institutions, implementing agencies);
- d) Co-ordination and alignment**, to consider national and local evaluations and help strengthen country systems, as well as plans, activities and policies;
- e) Capacity development of partners** by improving evaluation knowledge and skills, stimulating demand for and use of evaluation findings, and supporting accountability and learning; and
- f) Quality control** throughout the evaluation process.

1.4.3. *Approach to comply with the TOR*

The Consultant reviewed the implementation progress, results, and effects/impacts, especially regarding the strengthening of MNRE's capacity to mainstream and implement the three Rio Conventions. The Consultant prepared an Evaluation Question Matrix as the

basis for the evaluation (see Annex 4). Links were established between the evaluation questions and evidence, cross-checking multiple sources of information. The initial review of documents (project document, logframe, progress reports, etc.) during preparation of the Inception Report gave preliminary and partial answers to the evaluation questions. These answers were cross-referenced and complemented with additional documents and data obtained during the mission, but most of all through meetings with UNDP and MNRE staff that had been participating or related with the project, as well as contacts with other stakeholders (NGO). Complementary information was added to the information in the QPRs, to be able to estimate the degree of compliance with output targets. Many of the same evaluation questions used during meetings were repeated with different staff members of MNRE to verify information previously obtained and to check the degree of agreement between different divisions and staff members.

The results of this process are reflected throughout the TE report. However, some examples are: (i) Cross-checking the Consultant's opinion about the quality of project design with the results achieved and the opinions of project staff about how it experienced to work with the established project design; (ii) Getting the opinions of UNDP and MNRE about the relevance of the project, to compare with what was mentioned in the project document; (iii) Comparing expected and achieved results, and getting direct information about results from UNDP and MNRE to complement summarized information in the QPRs; (iv) Getting the opinions of UNDP and different divisions of MNRE on the UNDP supervision/support provided during project implementation; (v) Verifying resources planned and committed from MNRE to strengthen sustainability after the project has closed; and (vi) comparing expected project impact with reported and verified results.

1.4.3.1. Assessment of the Project design and implementation structure

The Consultant reviewed the quality of the Project design and quality of the logical framework based on the Theory of Change (TOC); as well as the organizational structure of PMU, MNRE and the project in general.

1.4.3.2. Planning process of the evaluation mission

a) Ethical guidelines

The Consultant maintained clear impartiality and independence at all stages of the evaluation process, applicable towards any activity related to planning, gathering, organization, processing and assessment of information; as well as facilitation of the evaluation results according to the TOR and rules agreed with UNDP.

b) Evaluation plan

The Consultant planned the evaluation in detail, and the draft evaluation plan was presented to UNDP as part of the Inception Report presented February 24. The Consultant initiated the consultancy from the date of signing of the contract (February 14th), and initiated the evaluation mission was carried out on March 19th - March 29th.

1.4.3.3. Information and data collection

Documents were recollected in advance through contacts with UNDP and complemented with other documents received during the mission. The documents were reviewed to extract relevant information for the evaluation.

The Consultant reviewed all relevant sources of information, such as the project document, work plans, budgets, progress reports, financial reports with audits, project files, contracts with service providers, samples of project products and other information considered useful for evidence-based assessment.

The mission activities and evaluation in general used a participatory and consultative approach for data collection, ensuring strong engagement with UNDP, MNRE, PMU and national government counterparts. Key persons of information were national GEF focal points and the MNRE Managers participating in the Project Management Committee.

During the visit to Samoa, meetings were carried out with UNDP Deputy Resident Representative and Project Task Manager (Assistant Resident Representative Environment, Energy and Climate Change) and Programme Associate, as well as many MNRE staff members. Information from documents reviewed, workshops and interviews were organized and processed to give reliable data for the evaluation report.

Fig. 1. Map of Samoa

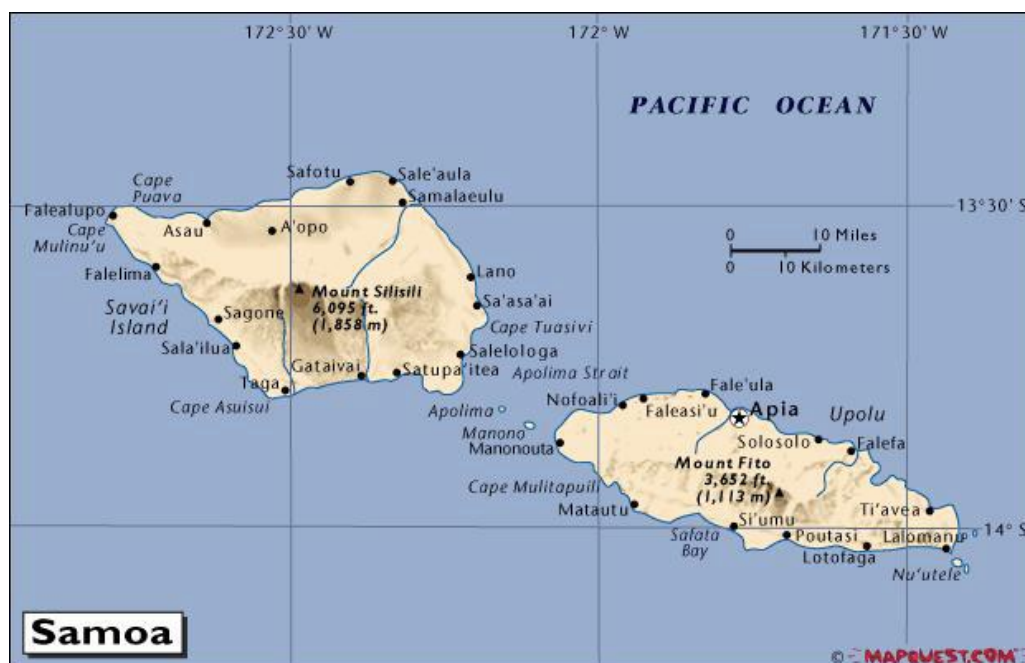


Table 1. Sources of information for the terminal evaluation

Written and digital information
Project Identification Form (PIF)
Project Document with all appendixes
Project inception report
Project budget
Results Framework
M&E system and tracking tools
Procurement system (planning and tracking)
Human resources regulations and sample contracts for project positions
List of all staff of PMU, with position, title, and main responsibilities
Risk matrix (with possible mitigation decisions taken + any new versions of matrix)
UNDP Environment Policies, Strategies and Work programs
UN Development Assistance Framework (UNDAF) with Samoa Country Matrix
GEF policies and strategies with Focal Area strategic programme objectives
GEF CEO Endorsement documents
GEF STAP Reviews
Baseline study
Project Annual Work Plans (AWP) with budgets
All annual financial project reports
Financial audits (with auditor observations)
Meeting Minutes for Project Steering Committee/Board

Memos from workshops and seminars
 Quarterly progress reports (QPR)
 Environmental review reports or environmental screening tools
 Consultancy products (reports, technical studies, etc.)
 Project publications
 Training materials and tools
 Project website (if applicable) and other communication tools/products
 MNRE Website and DKIF
 Country statistics (Internet)
 Country map
 Information about other national projects in the same thematic areas (UNDP/GEF/Internet)
 Signed agreements with partners (collaboration and financing)

The Consultant used a set of evaluation questions covering each of the main criteria covered; see Evaluation Question Matrix (Annex 4).

Table 2. Persons interviewed

Name	Title
UNDP	
Mr Kanjeng P. Notonegoro	Deputy Resident Representative
Mrs Yvette Kerslake	Assistant Resident Representative / Team Leader
Mr Ioane Iosefo	Programme Associate
Mr TaufaoTaufao	Monitoring and Evaluation ProgrammeAnalyst
MNRE	
Mr Ulu Bismarck Crawley	CEO MNRE
Ms Tuiolo Schuster	Coordinator / Project Manager - Rio Project, ACEO Corporate Services
Ms Jackie Nuuvai	Assistant - Project Accounts
Ms Faauluuluga Papalili	Principal Capacity Building Officer
Mr Moafanua Afuvai Tolusina Pouli	ACEO Forestry Division
Ms Grace Laulala	Principal Land Development Officer (CCD Focal Point)
Ms Czarinalese Stowers	Principal Terrestrial Conservation Officer (CBD Focal Point)
Toai Bartley – Lee	Acting ACEO, Disaster Management Office
Tolefoa Fetoloai Yandall Alama	ACEO, PUMA
Ms Vanda Faasoa Chan Ting	ACEO, Renewable Energy Division / Project Manager
Ms Shirley Malielegaoi	ACEO, Legal Division
Ms Kathleen Taituiave	Principal Legal Division
Mr Mulitalo Bernie Tauaanae	ACEO, ICT
Ms Anne Rasmussen	ACEO, GEF Services Division (Climate Change Focal Point)
Ms Frances Reupena	ACEO, Environment Sector Division / Project Manager
SPREP	
Mr MeapeloMaiai	GEF Advisor
Mr Paul Anderson	Coordinator, INFORM Project
SUNGO	
Mr FaleafagaTonimaa	Consultant
Rosa Maulolo	Administrative Manager

The evaluation paid special attention to the compliance with expected Project outputs, outcomes and impacts, and the influence and integration of experiences and lessons learned. The evaluation also considered actions, strategies, policies and other factors that have influenced the execution positively and negatively, considering policies and contexts, and the relations between the government, partners and UNDP/GEF.

Based on review of the results, the Consultant analysed if they have given or are expected to give the intended impacts (possible ex-post impacts), according with the Project objectives.

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

2.1. Project start and duration

The project went through a PPG phase from April 11th 2013, was approved July 8th 2014 and initiated Sept 17th 2014. It was expected to last 36 months, but got a no-cost extension until December 2017 to be able to finalize the stakeholder consultations. The total duration has therefore been approximately 39 months.

2.2. Problems that the project sought to address

The problems related to global environmental management are rooted in an overall institutional weakness of governance, including environmental governance, in Samoa. The National Capacity Self Assessment (NCSA) identified the following major shortfalls:

- Weak coordination and collaborative systems across sectors
- Ineffective implementation, enforcement and monitoring of legal frameworks at the systemic and individual levels impacting on the effective implementation of convention obligations
- Weak institutional arrangements for the implementation of the Conventions
- Poor financing and lack of appropriate human resources in governmental institutions
- Lack of consistency and insufficient sharing of information between key stakeholders. There is currently little communication across the ministry responsible for the Conventions in Samoa. This is linked to low commitment to follow up on identified priorities, and to the lack of a strong policy framework and political commitment to implementation
- Non-existent frameworks and strategies to communicate issues to the wider community and to raise public awareness of the Rio Conventions
- The weak capacity of the government to carry out strategic planning that reflects an integration of international objectives into local and national action plans. This is primarily related to two factors: first, the lack of up-to-date social, economic and environmental data to support the strategic planning process; and second, lack of communication and coherent regulations establishing the framework for preparing and implementing integrated sustainable planning.

Based on these challenges, the NCSA's main recommendation was to improve national policy, legislative and institutional frameworks for better compliance to the requirements of sustainable development, in particular to the three Rio Conventions. This included:

Promote and strengthen cross-sectorial cooperation and participatory approach in the implementation of environmental programmes and initiatives at the national and local levels; Strengthening and enforcement of policies and legal frameworks at the systemic and individual levels;

Establish adequate institutional data and information management and dissemination mechanism; and ^[1]_{SEP} Strengthen communication tools and strategies to improve public awareness to facilitate the participation of local populations in national efforts.

2.3. Project goal and objectives

The goal defined in the Project Document was to address the capacity gaps and needs that are vital to the enhancement of Samoa's ability to meet its obligations under the Conventions.

The objective was to strengthen technical and institutional capacities for more effective implementation of the three Rio Conventions.

2.4. Baseline indicators and targets at project level

The overall baseline at the moment of project approval was that:

- There is no overarching policy that links the Rio Conventions within the framework of national sustainable development
- Requirements of the Rio Conventions are not effectively integrated into sectorial plans and policies
- There is little inter-ministerial coordination on the implementation and enforcement of natural resource and environmental policies.
- Policy interventions often result in overlap, duplication of effort, and weak implementation.
- There is fragmented data and information to undertake a streamlined and coordinated effort at achieving Rio Convention monitoring and reporting obligations.

This baseline draws an important picture of the situation before the project, but it is not possible to make calculation of % progress due to concrete figures of the starting point. The targets on project level were defined as:

1. The 2016 - 2020 Strategy for the Development of Samoa has been approved by the Cabinet of Ministers and ready for Parliamentary consideration for adoption ^[1]_{SEP}
2. There is a minimum of 20% increase in the understanding of the Rio Convention mainstreaming among key government agencies and staff ^[1]_{SEP}
3. There is a minimum of 15% increase in the understanding of the Rio Conventions among the communities, schools and general public ^[1]_{SEP}

The first of these targets is easy to measure, because it is a yes/no question. The other two require baselines, which do not exist. The Consultant therefore recommends dialogue between MNRE and UNDP to agree on alternative baseline and/or targets for number 2 and 3.

For target number 2 there is no baseline mentioned in the ProDoc, and no intent was done to measure a baseline. It should not be assumed that zero MNRE staff members had understanding of the Rio Conventions in 2014. It is however possible to make a questionnaire where the staff members answer both what was their understanding of the Rio Conventions in 2014 and what it is today, and on this basis calculate the % increase.

For target number 3, according to the ProDoc text (target indicator 2.2.2), “targeted survey results show at least 20% *[note: not 15 as in the LogFrame]* (from a baseline of 0) rise in understanding of local communities of importance of meeting Rio Convention obligations. Survey completed by month 26, and released for publishing and sharing by month 30”. The problem with this is the following: **An increase of 20% above a baseline of zero will give zero**, so it doesn’t make sense. As an alternative with a baseline zero, the target could be defined e.g. as headcount (the initial number of persons with understanding of the Rio Conventions). MNRE under the Rio Project co-financed the Samoa Bureau of Statistics (SBS) National Census Survey, including review and update of environmental parameters in the Census Questionnaire. It is possible that some data from the census could be used as a proxy to establish a baseline and measure progress.

Even though currently available information does not give the opportunity to calculate % increase in understanding, the Consultant assumes based on information from community consultations and review of M&E for NESP that there has been a considerable increase, most probably above the targets.

2.5. Main stakeholders

The main stakeholders related with the project were the MNRE staff, technical staff of partner ministers and organizations (including NGOs), parliamentarians, legal officers, community authorities as well as a range of other stakeholders. Training and awareness rising provided strengthening of stakeholders and other social actors' understanding and value of the Rio Conventions, the legal framework, the DKIF and other related issues under the project. The project implemented a learning-by-doing process to increase the ability of stakeholders to diagnose, understand and transform information and knowledge into local actions.

2.6. Expected results

The project's objectives were (i) to strengthen key institutional and individual capacities to implement policies, plans, and programmes that deliver global environmental benefits; and (ii) to mainstream and integrate obligations of the three Rio Conventions into Samoa's national policy framework.

Figure 2. Project design

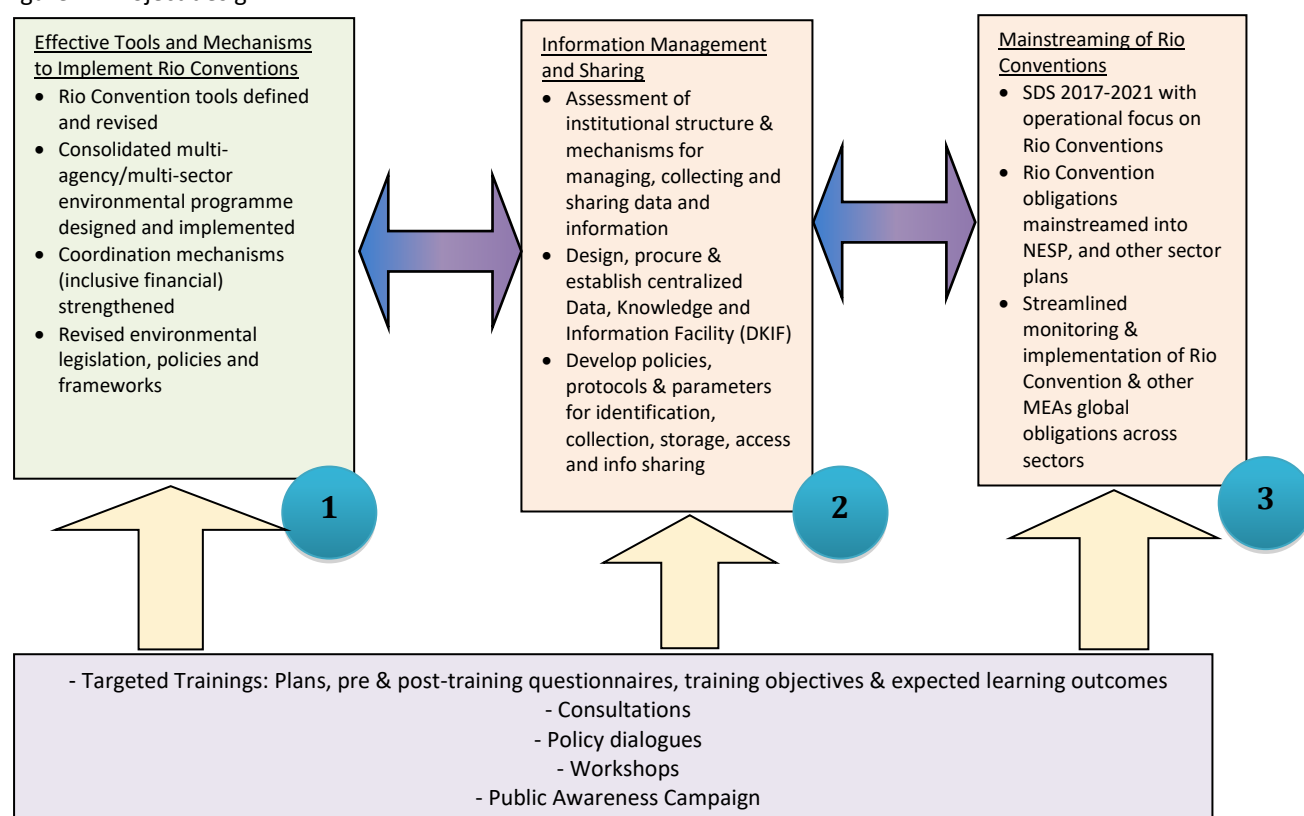


Table 3. Project components and expected outcomes

Components	Outcomes
1. Strengthened tools and mechanisms for implementing Rio Conventions	1. The Rio Conventions are more effectively implemented through national planning frameworks that are supported by best practice tools and institutional arrangements
2. Public Awareness-raising and Information Management	2. Raised public support and understanding of Rio Conventions
3. Mainstreaming Rio Conventions into Development Sectors	3. Development plans and programmes address implementation of Rio Conventions at national and sectorial level

3. FINDINGS

3.1. Project design/Formulation

3.1.1. Analysis of Results Framework/Logframe

The Consultant has undertaken a critical analysis of the project's logframe ("framework"), including the outputs, indicators and targets mentioned in the Project Results Framework. The conclusion is that it is a logical design, and no alternative would therefore be presented.

One issue to comment on is that if it had been a traditional project the budget and timeframe would not have been enough for the many tasks to be carried out. However, this was mitigated through MNRE Management's high priority to the project, resulting in a strong effort from staff and additional work-hours put in to achieve the targets on time.

The outcomes and outputs were well defined, and with mostly SMART indicators, while all indicators included at least quality, quantity and expected time of compliance (considering timeframe to be the whole implementation period when no deadline was mentioned).

The Consultant reviewed the quality of the Project designed to reach its goal, based on the Project Document and Logical framework. Some information for this review was also drawn from Project performance and difficulties encountered during the implementation. An analysis of the quality of the logical framework and/or results framework took effect based on the Theory of Change.

3.1.2. Assumptions and Risks

a) The Project Document mentioned *one medium risk*, regarding the staff turnover in government ministries, in particular the MNRE, where investments in training could be lost. This risk was planned to be mitigated involving as many staff as possible in the training activities, to count on individuals who would likely replace departing staff. *This is the only risk that turned into reality*, because two PMU staff members changed during the implementation period.

The ProDoc mentioned also three low risks: (i) the perception within some sectors of the government that environment should take a back seat to more important issues, such as the economy, health care and education resulting in sector agencies non-committal to mainstreaming Rio Conventions into their respective plans; (ii) key agencies and authorities not agreeing to share data and information towards the establishment of a centralized Data, Knowledge & Information Facility (DKIF) or the provision of poor quality or wrong information that would illegitimate decision-making and misinform Rio Convention reporting obligations; and (iii) the respondents to surveys conducted not providing true answers that could also damage the integrity of data and information collected for monitoring and reporting on Rio Convention implementation.

The ProDoc did not mention any mitigation measures for these three low risks. However, it seems like the project staff mitigated these issues anyway, through the day-to-day work.

b) The Project Results Matrix considered a large number of assumptions and five risks associated with the project. The way these are formulated it becomes clear that in case of any wrongdoing in the assumptions these might convert into risks. All the defined risks seem to be real risks (outside PMU's control). They are however lacking definition of mitigation measures. It is necessary to highlight that *the risks included in the Results Framework are not the same as those mentioned in the text of the ProDoc*.

Box 1. ASSUMPTIONS AND RISKS IN RESULTS FRAMEWORK

Assumptions on Project Level

Central and line government ministries and authorities maintain political commitment to the formulation and implementation of the Sustainable Development Strategy ^{[1][1][SEP]}

The project will be executed in a transparent, holistic, adaptive, and collaborative manner ^{[1][1][SEP]}

Non-state stakeholder representatives, in particular community representatives (Village Council), remain active participants in the project ^{[1][1][SEP]}

Policy and institutional reforms and modifications recommended by the project and the SDS are politically, technically, and financially feasible ^{[1][1][SEP]}

For component 1:

Assumptions

Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives

Sector agencies remain committed to undertaking an integrated approach to monitoring and reporting

Trainings are utilized and knowledge sustained ^{[1][1][SEP]}

Continued commitment and interest of stakeholders maintained ^{[1][1][SEP]}

Ministries and Parliament consider policy and legislative recommendations to mainstream Rio Conventions as a priority

Risks ^{[1][1][SEP]}

Delays in approval of revised legislation ^{[1][1][SEP]}

Not all parliamentarians agree with recommended legislation ^{[1][1][SEP]}

For component 2:

Assumptions

Sustainability of DKIF ^{[1][1][SEP]}

Ministries and agencies agree to share data and information ^{[1][1][SEP]}

Knowledge acquired through trainings applied in-house ^{[1][1][SEP]}

Road show will raise public awareness

Risks

Data not analysed properly resulting in wrong data and information released ^{[1][1][SEP][SEP]}

Campaign ambitious resulting in failure to achieve set targets and dates

For component 3:

Assumptions

MOF and sector agencies committed to mainstream Rio Conventions into national development plans and sector plans

Workshops conducive to learning outcome required to fully implement Rio Conventions ^{[1][1][SEP]}

Sector agencies committed to mainstreaming Rio Conventions into their respective plans

Survey respondents contribute their honest attitudes and values

Changes in awareness and understanding of Rio Convention mainstreaming can be largely attributed to project activities ^{[1][1][SEP]}

Sector agencies committed to utilizing M & E framework

Legal and community authorities awareness raised

Databases operational and contains right data

Risk

Delays in mainstreaming Rio Conventions into SDS due to competing priorities ^{[1][1][SEP]}

3.1.3. Lessons from other relevant projects incorporated into project design

The project document par. C.3.b called “Replicability and Lessons Learned” says a lot about lessons *to be learned* and how these lessons could be replicated, however the document doesn’t mention anything about lessons from previous projects that are incorporated into the design of this project.

3.1.4. Stakeholder participation

The project was developed on the basis of consultations with a number of stakeholder representatives, where the major stakeholders and partners to be involved were identified, as well as coordination mechanisms. The variation of stakeholders ensured a holistic approach to integration of the global environmental priorities into national development.

The project ensured that key stakeholders were involved at an early stage and throughout the implementation period. Their roles included contribution to identifying and developing strategic policy and programmatic gaps to meet the Rio Convention objectives and national obligations. Stakeholder engagement also included participation in the Project Board (Steering Committee) and the Technical Working Groups, review of project outputs such as recommendations for amendments to policies, plans, programmes and legislation, as well as participation in monitoring activities.

The key project stakeholders were government ministries (central and line ministries) and state owned enterprises (corporations), academia, the private sector, civil society organizations and community-based organizations. During the establishment of technical working groups on the three Rio Conventions, these non-state organizations were invited in the project activities to share their comparative expertise, but also to undertake selected project activities. The issue of gender equality was highlighted in the Project Document (see also 3.3.6 b). Additional key stakeholders are the parliamentarians that make policy decisions and are responsible for approving integrated environmental legislation.

The Consultant considers that co-financing from key stakeholders¹ especially in the public sector could have been higher (see 3.2.4) if they had been participating more actively in the planning of project activities and not only consulted. Many of these key stakeholders have core budgets and on-going activities that partially support the same issues, as well as complementary projects that could have been included as co-financing before approval.

3.1.5. Replication approach

The project was designed to ensure that its actions could be widely replicated within Samoa. The cost-effectiveness, as well as institutional, social and environmental sustainability inherent in the design was expected to contribute to replication of the project's approaches.

The project was expected to serve as catalyst of a more long-term approach to Rio Convention implementation by creating a set of institutional arrangements, negotiating improvements to the existing procedures of environmental legislation monitoring and compliance, and building up a strong baseline of technical capacities. Part of the catalytic role of the project is to demonstrate the value of this approach.

3.1.6. UNDP comparative advantage

UNDP has a broad experience working in Samoa and the Pacific region, including many GEF co-funded projects. Throughout the years UNDP has supported the Government of Samoa and especially MNRE many times, and has therefore a working relationship and high level of confidence with ministry staff.

UNDP's comparative advantage for this project lies in the possibility of transferring international UNDP-GEF experience from other regions of the world to MNRE, especially regarding institutional strengthening to comply with the Rio conventions.

¹ Ministry of Foreign Affairs & Trade, Ministry of Finance, Ministry of Agriculture & Fisheries, Ministry of Communication, Information & Technology, Ministry of Education, Sports & Culture, Ministry of Health, Ministry of Women, Social & Community Development, Samoa Water Authority, Samoa Tourism Authority, Scientific Research Organization of Samoa (SROS), Electric Power Corporation (EPC), Fire & Emergency Services Authority, National University of Samoa, and University of the South Pacific (USP).

3.1.7. *Linkages between project and other interventions within the sector*

The project is consistent with the programmatic objectives of the three GEF thematic focal areas of biodiversity, climate change and land degradation, which is dependent on the critical development of capacities (individual, organizational and systemic). This would support National Sustainable Development policies, as well as programmes and projects that reflect the Rio Conventions principles and obligations.

The thematically broad scope of the project would make it related to, as well as a framework for, most projects regarding environment and natural resources in Samoa, especially under the responsibility of MNRE.

3.1.8. *Management arrangements*

UNDP, as the Implementing Agency of the project, has been in charge of implementation through its Multi-Country Office in Samoa, with responsibilities for support to and monitoring and project quality assurance of the executing agency (MNRE), including planning, reporting and audit of project results in accordance with the project document and results framework. The Implementing Partner MNRE assigned a Project Manager and a Project Management Unit of 5 persons (including 3 Managers, later 4) and provided its staff and consultants to support the Project Management Unit. The project was implemented under the agreement reached between GEF, UNDP and MNRE, reflected in the Project Document.

3.2. Project implementation

3.2.1. *Management structure*

1. The Cabinet Development Committee (CDC) is the highest-level authority for development projects in Samoa, chaired by the Prime Minister. It further includes all Cabinet Ministers and Associate Ministers, Government CEOs and Assistant Chief Executive Officers (ACEOs). CDC approves all new projects and endorses all progress reports provided by the Project Board.

2. The Implementing Agency: MNRE's Chief Executive Officer (CEO) was the implementing agency's person in charge as Project Director, and the following in line was the ACEO whom was the Deputy Project Director. For this project the Deputy Project Director has been the ACEO Corporate Services (from time to time also the acting project director).

3. Project Management Unit (PMU): The project was managed by a small high-level Project Management Unit, consisting of the Project Coordinator and four other persons. In this case, since the project has covered the 3 Rio Conventions and much of what MNRE deals with, three Managers (ACEOs) were involved from the start, in charge of corporate services, legal unit, and environmental sector, while the Manager of the ICT Unit was incorporated later when the IT section was officially established. Additionally, two project staff supported the project administration and establishment of DKIF. The ACEO GEF was directly involved in the development of the project document and provided strategic advice on the project implementation in regards to GEF project implementing and reporting obligations.

3.2.2. *Adaptive management*

The project endured significant challenges, like change of several staff members, requiring internal updating of knowledge for the persons that were recruited or got new roles, as well as organizational adjustments, e.g. changing the IT unit into a Department, with required strengthening.

An example of adaptive management occurred in 2015, when the firm that had been

contracted for legal support was not able to comply with the tasks. They had been selected based on lowest price, but had not really understood the TOR. The PMU took the decision to cut the contract, go through a new bidding process and hire a new firm. This second time a more experienced and also more expensive firm, that had been a candidate also during the first round, was selected (see lessons learned). This adaptive management decision required starting the implementation process for the legal component again, and making budget adjustments due to a higher cost of the second consulting firm. Another example of adaptive management was securing joint effort with other projects not mentioned in the ProDoc to leverage additional funds to strengthen the project results (see 3.2.4).

The mentioned adaptive management was the result of monitoring activities included in the project's quarterly reports. Most of these reports highlighted issues to be resolved and proposed solutions, whereby the following reports commented on the results of the changes that took place. The consultant has not found any adaptive management decisions that were based on inputs from annual PIRs. The reason is that continuous monitoring resulted in fast adaptive management, with issues being resolved before preparing the annual PIRs.

3.2.3. Partnership arrangements

The project's strategy for implementation was to take a partnership approach between MNRE and UNDP, as well as between UNDP and national/local stakeholders. The project promoted strengthening of institutional, systemic and individual capacities, and of coordination mechanisms, partnerships and commitments. In this way improved coordination and collaboration should reduce overlap and duplication of activities, catalyse the effective and efficient exchange of information, and improve the country's implementation of the Rio Conventions. Also, by raising public awareness, building partnerships, and promoting policy dialogue, the project aimed at promoting an enabling environment within the government ministries and agencies, as well as with the civil society, academic and research institutes, NGOs and the private sector, for achieving sustainable development and addressing global environmental issues.

MNRE has a huge number of partners that are relevant for the ministry and also indirectly for the project through the implementation of the Rio Conventions on national and local level. As participants in the project, national partner organizations in the public and private sector (other ministries, firms, NGOs, CSOs, etc) have been trained in how to access information on the upgraded centralized MNRE database and website.

3.2.4. Project Finance

As mentioned earlier, the project had a low budget compared with its broad tasks and important outcomes. The following table summarizes the Rio Project's planned and actual financing.

Table 4. GEF financing and co-financing by source

Co-financing (type/source)	UNDP own financing (US\$)		Partner Agency (MNRE) (US\$)		Total (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual
Grants (GEF)	500,000	488,840	0	0	500,000	488,840
Loans/Concessions	0	0	0	0	0	0
In-kind support	0	0	400,000	400,000	400,000	400,000
Grant (UNDP)	100,000	100,000	0	0	100,000	100,000
Totals	600,000	588,840	400,000	400,000	1,000,000	988,840

At the moment of GEF CEO project approval, co-financing was only confirmed from MNRE (in-kind) plus USD 100,000 from UNDP. It would probably have been possible to achieve

additional co-financing before approval from other sources (other ministries, NGO's private sector) if these stakeholder groups had been more integrated in the project design phase and fully informed about the purpose of the project.

MNRE informed that 20,000 co-financing was later achieved from the Water and Sanitation Sector (EU Budget Support) and that the Samoa Bureau of Statistics (SBS) co-financed trainings for execution of the National Census Survey. Additional support from SMSMCL and UNCCD NAP Project is not considered as co-financing, since these are GEF projects.

As stated in Table 4, MNRE's contribution was in-kind, and due to the institutional enthusiasm for the project it has resulted in a larger co-financing than the US\$ 400,000 what was originally committed. It is however difficult to measure this additional contribution since MNRE staff members participate with their time on different projects, and the time is not financially divided by project. For the same reason, in the following table the co-financing (total from MNRE and UNDP) is showing the same as committed. The outstanding amount of USD 11,160 is to pay for the terminal evaluation.

Table 5. GEF financing by component

Components	GEF committed	GEF disbursed	Co-financing	Total
Component 1	100,000	119,208	50,000	169,208
Component 2	250,000	253,118	100,000	353,118
Component 3	100,000	78,988	124,000	202,988
Project management	50,000	37,526 ¹	226,000	263,526
Total	500,000	488,840	500,000	988,840

The following table shows the disbursements from the account in MNRE for each quarter, according to figures from the UNDP MCO. The larger amounts were paid in the second semester of 2016, to the consulting firm Schuster, Betham, Annandale Lawyers that was contracted for the legal advisory process.

The project showed very slow activity rate and related disbursements in the beginning (2014). That had to do with organization of the work, and staff changes also negatively influenced the progress. However, the most important aspect that caused delay was the need to cancel the contract with the first consulting firm that had been contracted for legal advisory services, and start from scratch with a new procurement process (see also 3.3.3).

Table 6. Project disbursements of GEF grant funding

Period	Disbursements (US\$)	% of GEF project budget
3 st Quarter 2014	0	0
4 th Quarter 2014	0	0
1 st Quarter 2015	105.22	0.02
2 nd Quarter 2015	5,037.09	1.00
3 rd Quarter 2015	5,888.91	1.18
4 th Quarter 2015	61,237.91	12.25
1 st Quarter 2016	7,418.75	1.48
2 nd Quarter 2016	10,688.71	2.14
3 rd Quarter 2016	78,125.68	15.63
4 th Quarter 2016	147,605.68	29.52
1 st Quarter 2017	11,633.91	2.33
2 nd Quarter 2017	93,564.65	18.71
3 rd Quarter 2017	61,942.07	12.39
4 th Quarter 2017	26,769.20	5.35

Audit: Samoa Audit Office (Auditor General) prepared a "Report of Factual Findings" for the period 1.01-31.12.2016, sent to UNDP June 9th 2017. The report for 2016 was concentrated on the lack of proper filing of project documentation and accounting records:

1. The implementing partner, MNRE did not properly file their documentations and accounting records such as payment vouchers for all UNDP projects (including the Rio Project).
2. Missing Face Forms and other necessary records: The implementing Partner, MNRE failed to keep proper documents including signed FACE forms, requests of direct payments and signed combined delivery report forms for the Rio Project Quarter 2, 3 and 4.
3. Non-compliance with the Government's Payment Policy: Payments not made within 15 working days (4 invoices, total \$104,932).
4. Non-compliance with Tender Board directives.

The firm Betham & Co. [1] Samoa presented in September 2015 a report to the UNDP Samoa MCO called "Report on UNDP Harmonized Approach to Cash Transfers (HACT) - Micro Assessment of Implementing Partner MNRE". The firm recommended that UNDP consider several issues on whether they are relevant for the development of a HACT Assurance Plan, which addresses all the risks identified in the micro assessment. Based on the conclusions reached in the report the firm however assessed the overall risk for MNRE as Low.

Moore Stephens LLP Chartered Accountants presented a Micro Assessment Report of MNRE 09.02.2017 under the HACT Framework. This assessment found one moderate risk, *the fixed assets and inventory*. All assets are recorded in Finance One by the Corporate Services division, which also maintains its own assets register. Spot checks are performed monthly but are insufficiently documented. Un-reconciled differences were noted between the assets recorded in the system and physical verifications undertaken. Inventories for consumable items were not made, however these were low-value office supplies only.

As a common conclusion of these three reports, there are no indications of bad financial management or intents of corruption. However, it is need for improving the MNRE registers, inventories and filing systems. These aspects are not project-specific but general for MNRE, and would affect effectiveness and efficiency of management of any project, and could potentially affect the different donors' trust and willingness to finance new large projects.

MNRE informs that since the HACT Report the Ministry has given much effort to address and improve these issues, including document filing.

3.2.5. Monitoring and evaluation: design at entry and implementation

The project monitoring tools and tracking system being used by the PMU (MNRE) are aligned with the national systems as required by the Government. The M&E system provides the necessary information on activities, outputs and outcomes, but not on impact. This is an area that should be strengthened to facilitate the work for terminal evaluations. The quarterly plans/reports and the M&E framework are aligned with UNDP-GEF requirements.

The project design at entry clearly defines roles and responsibilities for M&E between UNDP and MNRE, and refers to the Inception Workshop for including other key stakeholders in project monitoring. During the implementation, an M&E consultant worked closely with the PMU in designing a "Participatory Outcomes Map" for the formulation of the updated NESP Framework 2017-2021. Final Report for Development of the Environment Sector Monitoring & Evaluation Results Framework (ES-MERF) was submitted to PMU in May 2016. Stakeholder consultations including the topic of M&E were held with NGOs in May 2016 and with Government Ministries in June 2016.

Considering that it was a small project, the M&E budget was reasonable. A monitoring and evaluation specialist financed by UNDP was recruited to ensure project compliance with corporate programme and project management requirements, as well as to monitor and

report on the country programme and related partnership-building and resource mobilization. The final evaluation and some other minor M&E items were also included in the project budget, as well as in the M&E Work Plan (ProDoc table 4).

MNRE has complied with UNDP-GEF reporting requirements of Quarterly Progress Reports (QPR) and financial statements. Progress described in the QPRs were discussed in the Project Steering Committee, as well as in the Technical Working Groups where different stakeholders had the opportunity to comment on outputs and the process towards outcomes (see 3.1.4).

3.2.6. UNDP and Implementing Partner implementation / execution

As concluding remarks of the chapter on Project Implementation, the Consultant would comment that both the Implementing Agency UNDP and the Executing Agency MNRE have carried out a good project implementation and execution. MNRE implemented the project directly managed by its executive level staff (ACEOs) and with strong involvement from the CEO in inputs to planning and supervision and discussion of results. UNDP carried out quality monitoring and follow-up of the implementation team based on work plans and QPRs, to assure timely progress of the project. The delay of 3 months was due to the need for finalizing the stakeholder consultations done by MNRE.

The reporting from MNRE was realistic, based on monitoring of results, but it was most clearly focused on output level. The lack of baseline data to be able to monitor increased awareness could have been detected on an early stage from UNDP's an/or MNRE's side. There were also some results that were reported in QPRs as completed (100%) but at the same time mentioned as in progress or on-going.

The coordination and interaction between UNDP and MNRE has worked well, and was based on an established collaboration relationship. Issues were discussed in the steering committee and follow-up between UNDP and the PMU. Change of UNDP task manager during implementation of the project (due to maternity leave) did not adversely affect the monitoring and supervision of the project.

Risk monitoring was carried out from MNRE's and UNDP's side as planned (see 3.1.2), but luckily only one risk turned into reality: Staff turnover in MNRE during project implementation was mitigated through fast integration of other persons to replace departing staff.

3.3. Project performance

3.3.1. Review of overall results

By the end of the project implementation it was expected that the project should (i) have strengthened key institutional and individual capacities to implement policies, plans, and programmes that deliver global environmental benefits; and (ii) have mainstreamed and integrated obligations of the three Rio Conventions into Samoa's national policy framework.

In accordance with the TOR for the evaluation, the overall results have been assessed based on a review of project relevance, effectiveness, efficiency, sustainability and impact, as well as country ownership. Since it was a Terminal Evaluation, it was not possible to make changes to improve this project, however, the results would give lessons learned that could improve design of new projects and thereby the sustainability and impact of these operations. Additional to the individual evaluation criteria, the TE also focus on the totality of the process internally in MNRE and concerted efforts with other stakeholders, for implementing a high number of activities in parallel between the three major components.

3.3.2. Relevance

Relevance: The extent to which the objectives of the project are consistent with beneficiaries' requirements, country needs, global priorities and partners' and UNDP/GEFs' priorities

The Consultant found that the outcomes and outputs of the project have been very relevant and adequate, considering the global and national contexts.

The project was strongly relevant for UNDP, based on priorities given to environment and sustainable natural resources management in the framework of the Rio Conventions. The project was also highly relevant for GEF's Multi-Focal Area because it dealt with institutional strengthening of an institution that is working on multiple areas of environment and natural resources management. It had also the long-term goal of strengthening Samoa's ability to comply with the Rio conventions, which correspond with 3 different GEF Focal areas. All the three Rio Conventions (FCCC, CBD and CCD) mention the importance of organizations' capacities in favor of the environment, including stakeholder engagement, organizational capacities and environmental governance. The outcomes and outputs of the Project are very relevant for GEF, because they strengthen a national institution aligned directly to the GEF Policy Paper on Recommended Standards for GEF Implementing and Executing Agencies.

The project was also highly relevant for the Government of Samoa and MNRE, especially to be able to comply with the national obligations under the Rio Conventions. 25 years after the Conference in Rio de Janeiro on Sustainable Development, many countries have forgotten about their obligations, and moved on with development projects in multiple sectors, often dominated by infrastructure. Samoa has gone in front of bringing the global Rio Conventions to *local* stakeholders – an example to be followed by other countries.

3.3.3. Effectiveness

Development effectiveness: The extent to which the Project's purpose was achieved, or is expected to be achieved

In Table 7 the Consultant has assessed the end results of the project and commented on the compliance with the specific objectives, and expected outcomes and outputs. The information is based on the quarterly reports and other documents, PMIS and interviews, complemented by the Consultant's observations and opinions.

a) Major achievements

A very important result on project level is that **the Strategy for the Development of Samoa (SDS) 2016-2020 has been approved** by the Cabinet of Ministers and the Parliament. This outcome goes further than what was planned in the project document, where the goal was to get the SDS approved by the Cabinet of Ministers and ready for Parliamentary consideration.

The "Rio Project" is one of the few projects where the results and impacts of the project are clearly felt already during implementation. There seems to have been a gradual trend towards improved effectiveness and efficiency throughout the project implementation as a result of internal capacity building related with the project, but this cannot be seen isolated from other institutional strengthening in the same period, with different sources of financing. The financing has been justified both from an MNRE and donor/IA perspective.

The project effectiveness was low in the beginning when MNRE was organizing the initial work. Staff changes in 2015 also negatively influenced the initial effectiveness of project implementation, while the main factors that affected effectiveness from the start had to do with delays in procurement and availability of funds.

Regarding participatory processes, there has been great activity from MNRE's staff during the development of the new ICT system and its introduction, as well as other project activities, and that commitment has been key for the positive results. It has been very positive that MNRE has taken the global conventions to the local level and involved national and local stakeholders in the process.

The Consultant considers that the most important results at output level were:

- Draft bill on Soil management
- Draft bill on Climate Change (incl. a proposed new ministry)
- Draft bill on Environmental Management and Conservation (improvement of an old draft). The bill gives emphasis on how to comply with CBD, including the Nagoya Protocol on Access and Benefit Sharing and the Cartagena Protocol on Biosafety.
- Development of National Environmental Sector Plan (NESP) that feeds information to the Strategy for Development of Samoa (SDS)
- Development Sector Monitoring and Evaluation Framework
- Development of Sector Medium Term Expenditure Framework
- New common data base system (DKIF) and website for public and private stakeholder access.

The Consultant had the opportunity to review the new draft bills that have been prepared during the project period, as well as the DKIF System. All products seem to be of high quality, and there is also satisfaction from the users' side. The satisfactory outputs are of course result of institutional commitment combined with good and high-level consultants. However, the processes for approval and development of regulations must be completed for the outputs to have an impact.

b) Component 1

Effective tools and mechanisms for implementing Rio Conventions: A Review Paper including Tools & mechanisms, and definitions of tools has been completed. A consolidated environmental monitoring programme (M&E components) has also been completed, integrated into relevant sector agency work programmes, like NBSAP, NAP, NAPA and SNAP.

Training on best practice approaches to implement Rio Conventions: There are now completed strategic training plans that are listing specific learning outcomes for each required training and workshop. Another important result is that all training and workshop reports are available for downloading on MNRE platforms and website, and they can partly be accessed through links on partners' websites.

Regarding the goal that **learning from training and workshops should show at least 50% improvement in awareness of Rio Convention Focal Points and stakeholders**, it is highly likely that this has been achieved, but it is not possible to measure due to lack of baseline information. It was expected that the learning should improve implementation and consolidation of monitoring and reporting for Rio Convention implementation.

Strengthened environmental legal instruments and associated policies and legal frameworks: This includes some of the projects' most important results (the bills mentioned above), with compliance at least 90% for new and/or revised legal instrument approved by relevant authorities. Convention Laws have been made publicly available through the DKIF. Another target mentioned in the results framework is that the awareness of legislation, frameworks and policies relevant to Rio conventions should have improved by at least 50% for legal enforcement officers, community enforcement authorities and parliamentarians, but it is not possible to measure this due to lack of baseline.

c) Component 2

Centralized knowledge and information facility (DKIF) established to collect, manage, share and disseminate knowledge and information on Rio Conventions: The centralized DKIF is operational and Rio Convention reporting obligations has improved through use of data stored in DKIF. The MNRE website includes Rio Convention Laws and information published by implementing agencies, while targeted platforms and websites analyzed show more reports of Samoa's Rio Convention obligations. Information collection for DKIF and links to the MNRE website is however a still on-going process. There has been intensive targeted training for MNRE staff, Rio Convention Focal Points and implementing agencies. MNRE reports at least 50% improvement in targeted surveys (for data owners, creators, keepers, etc. of Rio Convention implementing agencies) with the goal to improve knowledge and information management and sharing, but it is not possible to measure this result due to lack of baseline.

Last Quarterly Progress Report (QPR4-2017) reports 96% completion for Component 2, but it is not clear how this was estimated since the report presents no concrete figures on output 2.2 (Raised public awareness and support through national campaign on Rio Conventions). The Communication Working Group has been requested to develop Report Card and awareness material on the overall progress of the Rio Conventions in Samoa. The Consultant considers that results until the official end of the project in December 2017 does not correspond with the reported % progress. There is however continued progress during 2018, and MNRE should inform UNDP about these results.

d) Component 3

Integration of Rio Conventions in the Samoa SDS 2017-2021 and in other national strategic frameworks: The Medium Term Expenditure Framework (MTEF) is operational and utilized by MNRE to monitor operations and financial arrangements for implementation of the Rio Conventions. The Economic, Policy and Planning Division (EPPD) of the Ministry of Finance review of the SDS and sector plans shows consideration of mainstreaming Rio Conventions. There is also improved awareness and understanding of the value of mainstreaming Rio Conventions within sectorial policies, legislation, plans and programmes.

Identified and addressed capacity gaps for mainstreaming Rio Conventions in four relevant sectors: A Survey was conducted to assess coordinated monitoring and reporting of global and national priorities. The work on integration of the Rio Convention in four sector plans is an ongoing process between sectors. The Rio Conventions with regards to climate change, environmental sustainability (including marine and terrestrial biodiversity) and land degradation (sustainable land management) have been integrated into the key sectors Agriculture, Health, Tourism, and the Community Sector. Before the Rio project MNRE had worked consistently with these key sectors to mainstream CC, DRM and environmental sustainability, which will continue e.g. through implementation of the Agriculture Sector Plan 2016-2020 and the NESP 2017-2021.

Strengthened National & Sectorial capacity on monitoring and reporting obligations of Rio Conventions and other MEAs: The MNRE, Conventional Focal Points, implementing agencies are utilizing Monitoring and Evaluation frameworks to monitor and report on Rio Convention obligations. The Ministry under its UNCBD, UNCCD and UNFCCC mandates carry out stakeholder consultations and national workshops with participation of villages and NGOs. There is increased streamlining of awareness and understanding in the relevant agencies and among stakeholders on inter-linkages of Rio Convention and other MEAs, as well as reporting obligations. Some communities are also initiating local processes. More training and capacity building of national stakeholders and villages is however required to build on what has been achieved and to promote sustainability.

Table 7. Summary of the Project's end results compared with baseline and target values

Project Strategy	Objectively verifiable indicators			Results achieved by Dec. 2017 (end of project)	Comments
	Indicator	Baseline value	Target value		
Long-term goal: To strengthen the technical and institutional capacities that will catalyze Samoa’s mainstreaming of the three Rio Conventions and provide for a more effective implementation of the Rio Conventions					
Project objectives: A. To strengthen key institutional and individual capacities to implement policies, plans, and programmes that deliver global environmental benefits B. To mainstream and integrate obligations of the three Rio Conventions into Samoa’s national policy framework	Outcome indicators: <ul style="list-style-type: none">▪ Rio Convention obligations are an integral part of Samoa’s Sustainable Development Strategy▪ SDS is an overarching plan of action for the environmental and sectorial action plans▪ The Government of Samoa and a wide range of stakeholders systematically review natural resource and environmental policies in a holistic manner in line with Rio Conventions requirements.▪ Key necessary capacities are built and/or strengthened for a more streamlined implementation of global obligations	<ul style="list-style-type: none">▪ There is no overarching policy that links the Rio Conventions within the framework of national sustainable development▪ Requirements of the Rio Conventions are not effectively integrated into sectorial plans and policies▪ There is little inter-ministerial coordination on the implementation and enforcement of natural resource and environmental policies.▪ Policy interventions often result in overlap, duplication of effort, and weak implementation.▪ There is fragmented data and information to undertake a streamlined and coordinated effort at achieving Rio Convention monitoring and reporting obligations.	By the end of the project: <ul style="list-style-type: none">▪ The 2017-2021 Sustainable Development Strategy has been approved by the Cabinet of Ministers and ready for Parliamentary consideration for adoption▪ There is a minimum of 20% increase in the understanding of the Rio Convention mainstreaming among key government agencies and staff▪ There is a minimum of 15% increase in the understanding of the Rio Conventions among the communities, schools and general public	<ul style="list-style-type: none">▪ Completed. The 2017-2021 Sustainable Development Strategy was approved by the Cabinet of Ministers and the Parliament.▪ It seems like this target has been achieved, but it is not possible to measure due to lack of baseline value▪ It seems like this target has been achieved, but it is not possible to measure due to lack of baseline value	<ul style="list-style-type: none">▪ Central Government and line ministries and authorities have maintained political commitment and coordination during the formulation of the Sustainable Development Strategy▪ The Consultant has recommended to UNDP and MNRE dialogue about if it is possible to replace targets 2 and 3 with alternative targets that reflect the issue of understanding of the Rio Conventions

Project Strategy	Objectively verifiable indicators			Results achieved by Dec. 2017 (end of project)	Comments
	Indicator	Baseline value	Target value		
Outcome 1: The Rio Conventions are more effectively implemented through national planning frameworks that are supported by best practice tools and institutional arrangements					
Output 1.1 Effective tools and mechanisms for implementing Rio Conventions	<ul style="list-style-type: none">Review of NBSAP, NAP, NAPA, SNAP tools & mechanismsSpecific definitions for each tool developed and specific components requiring strengthening to support Rio Convention obligationsAt least 3 workshop conducted on gaps and weaknesses of tools and mechanismsAt least 2 workshops conducted on the design, development and validation of consolidated environmental monitoring programmeOperational multi-sector, multi-agency M&E programme designed and trialed through workshopsAt least 2 sector agency work plans show integration of consolidated EMPReports on policy dialogues undertaken, on institutionalization of consolidated environmental monitoring programme	<ul style="list-style-type: none">Rio Convention tools and mechanisms exist however monitoring & reporting not streamlined across the Focal Points and implementing agenciesWeak inter-linkages between three Rio Convention reporting obligationsNon-existent consolidated environmental monitoring programmeSteering committees and TWG exist however strategic approach to implementation of Rio Conventions very weak	<ul style="list-style-type: none">Review of tools & mechanisms, and definitions of tools completedTraining and workshop learning outcomes shows at least 50% improvement in awareness of Rio Convention Focal Points and stakeholders on how to implement consolidated monitoring programme for Rio Convention implementation, monitoring and reportingConsolidated environmental monitoring programme (M&E components) integrated into relevant sector agency work programmes	<ul style="list-style-type: none">Completed. Review Paper including Tools & mechanisms, and definitions of tools completedIt seems like this target has been achieved, but it is not possible to measure due to lack of baseline valueCompleted. A consolidated environmental monitoring programme (M&E components) has been integrated into relevant sector agency work programmes: NBSAP, NAP, NAPA, SNAP.	<div>MNRE reports 100% compliance of all targets</div> <div>1 Internal Workshop in MNRE</div>

Project Strategy	Objectively verifiable indicators			Results achieved by Dec. 2017 (end of project)	Comments
	Indicator	Baseline value	Target value		
Output 1.2: Training on best practice approaches to implement Rio Conventions	<ul style="list-style-type: none"> Training plans designed, peer reviewed and published At least 5 trainings conducted for MNRE, Rio Convention Focal Points, implementing agencies and communities Reports of trainings and workshops ‘published’ and available via MNRE & other relevant platforms & website 	<ul style="list-style-type: none"> Level of understanding of Rio Conventions. Although the technical qualifications of staff on the Rio Conventions by technical staff is high, this is not the case for the partner implementing agencies 	<ul style="list-style-type: none"> At least 50% improvement in awareness of Rio Convention Focal Points and stakeholders on how to implement consolidated monitoring programme for Rio Conventions as result of workshops and training Strategic training plans listing specific learning outcomes for each required training & workshop completed All training, workshop reports available for downloading on MNRE & other relevant platforms & website 	<ul style="list-style-type: none"> It seems like this target has been achieved, but it is not possible to measure due to lack of baseline value Completed. Strategic training plans listing specific learning outcomes for each required training & workshop. Completed. All training and workshop reports are available for downloading on MNRE platforms & website, and partly links through partners’ websites 	<ul style="list-style-type: none"> Part of TA Contract (MNRE reports 100% compliance on all targets)
Output 1.3: Strengthened environmental legal instruments and associated policies and legal frameworks	<ul style="list-style-type: none"> Independent evaluation of outdated legislation frameworks, policies, completed At least 2 legal instruments revised and submitted to parliament At least 6 workshops with all legal enforcement officers and community enforcement authorities relevant to the Rio Conventions At least 1 workshop with parliament environment steering committee on legislation, frameworks and policies relevant to the Rio Conventions Convention Laws – Rio Conventions published 	<ul style="list-style-type: none"> Environmental legislation is extensive but not cohesive and sometimes conflict with other legislation Rio Conventions obligations are not effectively integrated within national legislation Commitment to Rio Convention provisions are not evident in sectors and national development plans 	<ul style="list-style-type: none"> Legal enforcement officers, community enforcement authorities and parliamentarians awareness of legislation, frameworks and policies relevant to Rio conventions improved by at least 50% New and/or revised legal instrument approved by relevant authorities Convention Laws – Rio Convention published by month 24 and made available through DKIF 	<ul style="list-style-type: none"> The environmental legal instruments and policies have been strengthened. The target should have focused on this issue instead of awareness, which is not possible to measure due to lack of baseline value 90%. New and/or revised legal instrument approved by relevant authorities Completed. Convention Laws published and made available through DKIF 	<ul style="list-style-type: none"> 6 consultation workshops were held on issues relevant to the Rio Conventions: 3 with NGO stakeholders; 3 with village councils. It is expected that % target was achieved, but it is not possible to measure due to lack of baseline (MNRE reports 100% compliance) Independent analysis of existing legal instruments; 2 legal instruments revised and submitted to parliament; 2 Rio Convention Laws published Part of TA Contract to include legal instruments and publication of Convention Laws. 90% progress (pending AG and MNRE Legal Team revision of legal instruments)

Project Strategy	Objectively verifiable indicators			Results achieved by Dec. 2017 (end of project)	Comments
	Indicator	Baseline value	Target value		
Outcome 2: Raised public support and understanding of Rio Conventions					
Output 2.1: Centralized knowledge & information facility (DKIF) established to collect, manage, share and disseminate knowledge and information on Rio Conventions	<ul style="list-style-type: none">Assessment report of institutional structure, systems and mechanisms for data management, knowledge & informationAt least 2 workshops with 60 participants for MNRE, Rio Convention Focal Points, and implementing agencies to present findings, recommendations and design of DKIFHigh quality DKIF design peer reviewed by relevant knowledge management, communications and data experts implementedPolicies, protocols and parameters for DKIF completedHardware, software procured and database designed and operationalAt least 4 national trainings conducted for 90 participants MNRE, Rio Convention Focal Points, implementing agencies, and other stakeholders on data entry, managing, sharing and extraction for environmental monitoring and reporting of Rio Convention obligations	<ul style="list-style-type: none">There is no systematic approach or institutional procedures to collect, synthesize, manage, share and analyze data collected by the three Rio Convention implementing agenciesInadequate data, knowledge & information management systems, policies and procedures in placeThere is limited coordination among agencies and ministries to reconcile design and implement data and knowledge sharing to achieve Rio Convention obligationsDatabases exist for three Rio Conventions however, storage of information is fragmented and access is very minimal – mostly restricted to Rio Convention Focal PointsInadequate hardware & software to capture, store, manage, extract and analyze data for Rio Convention monitoring & reporting purposes	<ul style="list-style-type: none">Intensive targeted training for MNRE, Rio Convention Focal Points and implementing agencies completedCentralized DKIF operationalTargeted surveys on knowledge and information management and sharing shows improvement by at least 50%MNRE website includes new webpage on Rio Convention Laws and information published by implementing agenciesTargeted platforms & websites shows analyzed and integrated reports of Samoa’s Rio Convention obligationsRio Convention reporting obligations improved through use of data stored within DKIF	<ul style="list-style-type: none">Completed. Intensive targeted training for MNRE, Rio Convention Focal Points and implementing agencies completedCompleted. Centralized DKIF operationalMNRE reports compliance, but it is not possible to measure due to lack of baselineCompleted. MNRE website includes new webpage on Rio Convention Laws and information published by implementing agenciesCompleted. Targeted platforms & websites show analyzed and integrated reports of Samoa’s Rio Convention obligationsCompleted. Rio Convention reporting obligations improved through use of data stored within DKIF	<ul style="list-style-type: none">MNRE reports 100% compliance of all targets
Project Strategy	Objectively verifiable indicators			Results achieved by Dec.	Comments

	Indicator	Baseline value	Target value	2017 (end of project)	
Output 2.2: Raised public awareness and support through national campaign on Rio Conventions	<ul style="list-style-type: none"> ▪ Campaign plan developed and peer reviewed ▪ Simplified and bilingual factsheets/ brochures explaining importance of meeting Rio obligations completed and disseminated ▪ At least 4 (2x Savaii, 2x Upolu) national roadshows involving Rio Convention Focal Points and implementing agencies for both Upolu & Savaii ▪ Quiz competition shows at least 40% increase in understanding of Rio Conventions (pre & post questionnaires) ▪ Annual school debates show at least 40% increase in understanding of Rio Convention obligations (pre & post questionnaires) 	<ul style="list-style-type: none"> ▪ Some understanding of Rio Convention exists within implementing agencies and general public however, knowledge not translated to 'grassroots' level ▪ Enforcement undertaken at community level however understanding of Rio Convention very basic 	<ul style="list-style-type: none"> ▪ At least four (4) sector plans show coordinated approach to implementing Rio Conventions through raised awareness ▪ At least 10 colleges, 10 primary schools on both Savaii & Upolu show improved understanding² of Rio Conventions and Samoa's obligations under the Conventions ▪ Targeted survey to determine whether campaign improved awareness of schools and relevant stakeholders completed 	<ul style="list-style-type: none"> ▪ Last Quarterly Progress Report (QPR4-2017) reports 96% completion on outcome 2, but no concrete figures on results. Of 2.2 ▪ The Communication Working Group has been requested to develop Report Card and awareness material on the overall progress of the Rio Conventions in Samoa. Consultations were also conducted during national environment events 	<ul style="list-style-type: none"> ▪ The progress until the end of the progress Dec. 2017 does not correspond with the reported 96% progress. There is however continued progress during 2018.
Outcome 3: Development plans and programmes address implementation of Rio Conventions at national and sectorial level					

²Through targeted national survey

Project Strategy	Objectively verifiable indicators			Results achieved by Dec. 2017 (end of project)	Comments
	Indicator	Baseline value	Target value and date		
Output 3.1: Integration of Rio Conventions in the Samoa SDS 2017-2021 and in other national strategic frameworks	<ul style="list-style-type: none"> Reports of policy dialogues undertaken with MOF EPPD during mid-term review of SDS and sector plans completed Revised MTEF showing links and institutional arrangements for implementation of Rio Conventions by month 33 At least 2 workshops targeting at least 60 participants for central agencies and implementing agencies conducted in collaboration with MOF, on mainstreaming Rio Conventions into SDS 	<ul style="list-style-type: none"> SDS exists, but does not fully integrate Rio Convention provisions National MTEF exists but does not show linkages for institutional arrangements for implementation of Rio Conventions General understanding of Rio Convention obligations in agencies that collaborate with MNRE but knowledge does not extend to operational level of Rio Conventions 	<ul style="list-style-type: none"> MOF EPPD review of SDS and sector plans show consideration of mainstreaming Rio Conventions by month 24 and integration by month 36 MTEF operational and utilized by MNRE to monitor operational and financial arrangements for implementation of Rio Conventions by month 30 At least four (4) sector agency work programmes show Rio Convention obligations mainstreamed by month 24 Improved awareness and understanding of the value of mainstreaming Rio Conventions within sectorial policies, plans, programmes and legislation 	<ul style="list-style-type: none"> MOF EPPD review of SDS and sector plans show consideration of mainstreaming Rio Conventions MTEF is operational and utilized by MNRE to monitor operational and financial arrangements for implementation of the Rio Conventions At least 4 sector agency work programmes show Rio Convention obligations mainstreamed There is improved awareness and understanding of the value of mainstreaming Rio Conventions within sectorial policies, plans, programmes and legislation 	<ul style="list-style-type: none"> MNRE QPR reporting should show more detail on the achieved results
Output 3.2: Identified and addressed capacity gaps for mainstreaming Rio Conventions in four relevant sectors	<ul style="list-style-type: none"> Four (4) sector plans integrate Rio Convention obligations by month 24 	<ul style="list-style-type: none"> No M & E framework exists to monitor implementation status of Rio Convention (for MNRE & relevant sectors) Monitoring and reporting of Rio Convention obligations not systematic 	<ul style="list-style-type: none"> Survey conducted to assess coordinated monitoring and reporting of global and national priorities by month 30 At least four (4) relevant sectors show improved implementation status of Rio Convention by month 36 	<ul style="list-style-type: none"> Survey was conducted to assess coordinated monitoring and reporting of global and national priorities The 4 sector plans for agriculture, health, tourism and community sector consider the Rio Conventions 	
Project Strategy	Objectively verifiable indicators			Results achieved by Dec.	Comments

	Indicator	Baseline value	Target value and date	2017 (end of project)	
Output 3.3: Strengthened National & Sectorial capacity on monitoring and reporting obligations of Rio Conventions and other MEAs	<ul style="list-style-type: none"> Integrated Monitoring & Evaluation (M & E) Framework developed and trialed by month 10 for implementation by month 12 At least four (4) trainings on M & E framework and reporting obligations (tools) of Rio Conventions and other relevant MEAs At least 4 reports published on MNRE website & relevant platforms 	<ul style="list-style-type: none"> No integrated M & E framework exists Monitoring and reporting of Rio Convention obligations not systematic Databases scattered and information non-qualitative 	<ul style="list-style-type: none"> MNRE, Conventional Focal Points, implementing agencies & communities (MOF, MAF, Police) utilizing M&E framework to monitor and report on Rio Convention obligations by month 24 Awareness and understanding of all relevant agencies and stakeholders on inter-linkages of Rio Convention and other MEAs and reporting obligations become more streamlined by month 24 	<ul style="list-style-type: none"> MNRE, Conventional Focal Points, implementing agencies & communities are utilizing M&E framework to monitor and report on Rio Convention obligations More streamlining of awareness and understanding of relevant agencies and stakeholders on inter-linkages of Rio Convention and other MEAs and reporting obligations 	

3.3.4. Efficiency

Efficiency: How economically the resources and inputs (funds, expertise, time, etc.) have been converted to outputs

The outcomes achieved even with relatively few resources are an indication of efficient project implementation. This is partly the result of high-level commitment from MNRE's side, since it was a project expected to give substantial institutional changes. It was some changes in the management positions at an early stage that might have affected efficiency during 2014-2015. Adaptive management was executed when it was necessary to replace the firm that had been contracted for legal advisory services. A lesson learned was that it is not efficient to select a firm based on price if it doesn't have the required capacity.

The PMU consisted of five management persons, but many more staff members participated in concrete activities. The project was efficiently managed from the moment the procurement issues were resolved, and the new consultants came on board. Institutional commitment from both management and staff resulted in a highly successful project.

The Project Management Unit (PMU) consisted of four Managers (ACEO): ACEO Corporate Service Division (Deputy Project Director), ACEO Legal Division, ACEO Environment Sector, and ACEO ICT, plus two staff members supporting the project administration, as well as participation of the ACEO GEF based on her experience with previous GEF projects. Please note that ICT was elevated from Unit to Division during the project implementation with a new ACEO, and that the ACEO Environment was recruited in 2015 during the project implementation period.

The positive elements of this model are (i) that broad high-level steering of a project gives high priority and more efficient chain of command to monitor and implement activities; (ii) that it gives a cross-cutting approach and mainstreaming of the main topics throughout the institution; and (iii) that it promotes collaboration across division lines that could give a stronger ministry.

On the other hand, a PMU consisting of many high-level managers (ACEOs) might have some negative effects, since (i) it could easily diffuse the question of who is in charge, because each ministry staff member would orient the day-to-day work based on instructions from his/her division chief (an issue mentioned by some staff members); (ii) it could also confuse the idea of who was in charge at any moment in time for external actors like UNDP and other ministries; and (iii) the ACEOs could be distracted from the other important tasks in their division, or be overwhelmed with work.

From the institutional perspective of MNRE it was clear and understood that the ACEO Corp. Service was the Project Manager and the other ACEOs were seen as component managers. This set up created ownership of the project components and outputs as these were in line with divisional priorities of the respective ACEOs involved. The Component managers provided technical and administrative support to the overall Project Manager, considered by the PMU as an advantage. ACEOs were well versed with each other's component and able to provide support in the absence of the other, to avoid unnecessary delays.

It is however necessary to take into consideration that the Rio project was an exception. Most projects implemented by MNRE have a much more narrow technical focus, e.g. forestry, biodiversity or climate change. In these cases it would be most logical and efficient to implement the project under the leadership of the respective technical division. The Rio project achieved high efficiency partly because each ACEO in the PMU was able to instruct and count on the staff of her/his division.

The DKIF system has improved efficiency of MNRE work, based on improved access to and flow of information, which is a process that should continue to be strengthened. It is however basically a depository of documents, so the next step for improved efficiency would be to establish a Project Management System (see 3.3.7 a). The 15 MNRE divisions have so far mostly sent over documents to the ICT division for uploading to DKIF. This is not efficient, and MNRE high-level management should monitor that all divisions comply with the instructions of direct uploading to the system.

The project was designed to be implemented during three years, and it only needed a small extension in the end. The Consultant considers that three years was a realistic timeframe, giving time for recruitment of the consultants, design and institutional introduction of all the outputs as well as seminars, training and stakeholder consultations. The extension of the project corresponds approximately with the time that was lost on having to go through a second procurement process to recruit a replacement legal advisory firm.

The financial resources seem to have been enough for the activities that were planned, because the budget covered everything. That doesn't mean that there are no additional needs, like more staff training, but that would probably be resolved in the follow-up to assure sustainability of achievements.

3.3.5. Country ownership

The Rio Project is an example where country ownership is very clear. It was designed based on Samoa's need for mainstreaming of the Rio Conventions in its national policies, strategies and legislation, to comply with its obligations according to these conventions. It has later shown to also improve institutional performance in general. It is also important to highlight that MNRE has brought the Rio Conventions to national and local stakeholders, and even out to the villages. This gives strengthened country ownership and thereby improved sustainability, which is an example for other countries.

3.3.6. Mainstreaming

The project was designed in the framework of the GEF-5 Cross-Cutting Capacity Development (CCCD) Strategy, Programme Framework C, which calls for the strengthening of capacities to develop policy and legislative frameworks to meet Rio Convention objectives, and to strengthen capacities for improved management and compliance. This is being achieved through deeper and meaningful mainstreaming into national planning, policy and budgetary frameworks.

While Samoa is advancing in its mainstreaming agenda through the adoption of sector wide approaches (e.g. to climate change), project mainstreaming of some issues relevant for the SDG targets was lacking at national and local levels when the project started, and it still has to be further strengthened, like gender mainstreaming (see 3.3.7 b) and poverty reduction. However, the project's long-term impact on local population would be important both for their standard and quality of living, due to national-level project impacts and increased opportunities for local stakeholder initiatives in the framework of the Rio Conventions.

3.3.7. Sustainability

Sustainability: The continuation of benefits from the Project after the development assistance has been completed and the probability of continued long-term benefits

The Consultant considered several dimensions of sustainability: (i) Technical, (ii) Social & Environmental, (iii) Institutional, and (iv) Economic-Financial.

a) Technical: The technology introduced in MNRE through the project consists of software for upgrading of the ICT systems, especially the Data, Knowledge & Information Facility (DKIF) and website. Internal and external consultations and capacity building on

the ICT system have strengthened its sustainability, and it is important to highlight that MNRE is only hosting the system, while there are multiple users. To assure sustainability it is important that all new staff get solid training from the beginning, and that all staff and also other stakeholders get continuous learning and follow-up. A lesson learned is how it is possible to incorporate the benefits of a new system introduced already during project implementation, and thereby get increased project efficiency. However, to improve sustainability of the ministry's work with the system, it is important that the Division Managers assure compliance with MNRE's decision to upload information directly, instead of handing over documents to the IT team. The IT CEO seems overloaded, and it is not a sustainable work situation.

Another IT issue that has to do with MNRE's sustainability is that DKIF basically is a depository of information. It is *not a Management System*, where the ministry staff can access and use information for online decision-making. The Consultant would recommend that MNRE get a presentation from Secretariat for the Pacific Regional Environment Programme (SPREP) about the Management System SPREP established through another UNDP-GEF-CCCD project, also finalized in 2017. Design and implementation of an MNRE Management System with all modules could be a new scaling-up project.

b) Social and Environmental: The project was special, because the design did not include any activities on the ground, except for consultations and training with local stakeholders. Social and Environmental Safeguards were treated jointly by the project document, which is the reason the Consultant is discussing social and environmental sustainability in the same chapter. The beneficiaries of what has been established through the project would be first of all MNRE and the Government of Samoa, then national stakeholders engaged with environmental issues (public and private sector, including NGOs/CSOs), and through them the local population through improved environmental and climate change programmes with environmental & social safeguards. The future beneficiaries would be the local public and private sector, NGOs/CSOs, villages, women and youth that are integrated in collaboration with MNRE, or as beneficiaries. All the three project outcomes are related to the social and environmental sustainability when applied at local level, however Outcome 2 "Raised public support and understanding of Rio Conventions" is the most clearly related with local stakeholder engagement.

Attention has been given to issues of gender equality, guided by the GEF's Policy on Gender Mainstreaming. Gender issues were also reviewed as part of UNDP's Environmental and Social Screening Checklist. Gender balance and other stakeholder participation issues were dealt with in the Quarterly Operational Reports and the annual Project Implementation Review that is reported to the GEF Secretariat. It should be highlighted that all the persons in the PMU were women, except for the IT ACEO. Despite this, the project reporting treat gender issues mostly as headcount instead of mainstreaming the issue and analysing the project's impact on gender influence and empowerment. It is possible that this lack of priority to the issue is exactly because the women already are in charge.

c) Institutional: The strong institutional ownership of the project has promoted sustainability of the results. It was especially positive for institutional sustainability that most project staff was MNRE staff, and some additional project staff was later absorbed by MNRE. The whole project has been dedicated to institutional strengthening to comply with the Rio Conventions, an issue that was overdue since many years ago. The way MNRE has developed through the project implementation has also improved institutional sustainability. The organization has taken on the project activities and outcomes as their own, and it is a real sense of appropriation. Therefore, there is no option that the results of the project would end when the project ends. The results are already assimilated and would continue to strengthen the institution. The strengthening that has been achieved through support from

the project would probably lead to a stronger ministry, but there are still many areas pending, like the Management System mentioned under (a). All the draft bills produced through the project must be approved to assure impact and sustainability, but when they are approved they will maintain in force for many years because any bill passed by Parliament cannot be easily repealed.

The environmental challenges in Samoa from issues like climate change and related natural disasters also signify that the country would need a stronger MNRE. This ministry would be able to continue in charge of all issues covered by the Rio Conventions, however the Public Service Commission is proposing a new Ministry of Climate Change. If that is being approved would depend on institutional and financial priorities, but the achievements under the Rio Project would in any case maintain sustainability under any of the two institutional options.

Other countries in the South Pacific region and elsewhere could replicate the experience from the project. A next phase building on the results of this project could continue to strengthen the institutional and technical development in the areas of biodiversity, land management and climate change. It does not have to be a new GEF project, because there are many financing opportunities and the institutional strengthening of MNRE through the Rio project could signify that more financing agencies would be satisfied with MNRE as an executing agency.

One aspect of institutional sustainability has to do with **UNDP and GEF value added**. UNDP has very successfully worked with GEF projects in the Samoa for many years, and specifically with many MNRE executed projects. UNDP is counting on its accumulated experience from all over the world including the Pacific region. An important aspect where UNDP is providing its experience is stakeholder participation, including poverty-focus, gender mainstreaming and South-south collaboration, however it is also important that UNDP's support and supervision helps MNRE and other executing agencies implement good projects according to internationally accepted norms for results monitoring and financial transparency. Both MNRE and UNDP/GEF seem to be satisfied with the collaboration that has strengthened MNRE institutionally and technically.

d) Economic-financial: The project is categorized in GEF as a medium-size project based on the GEF funding budget of only ½ million USD. But despite being a relatively small project, the results and impact are large. The investments from GEF's and MNRE's side would show to be very small compared with the continued results in the ministry and Samoa in general. The available data does not give the opportunity to do a cost-benefit analysis, and it would also depend on the time perspective for impacts.

Without doing this analysis it is still easy to conclude that it has been money well invested, that would give positive impacts for the ministry and the country in the years to come. It would be very interesting with an institutional study within a few years, maybe 2020, to compare the situation when the project started (2014) with the situation then.

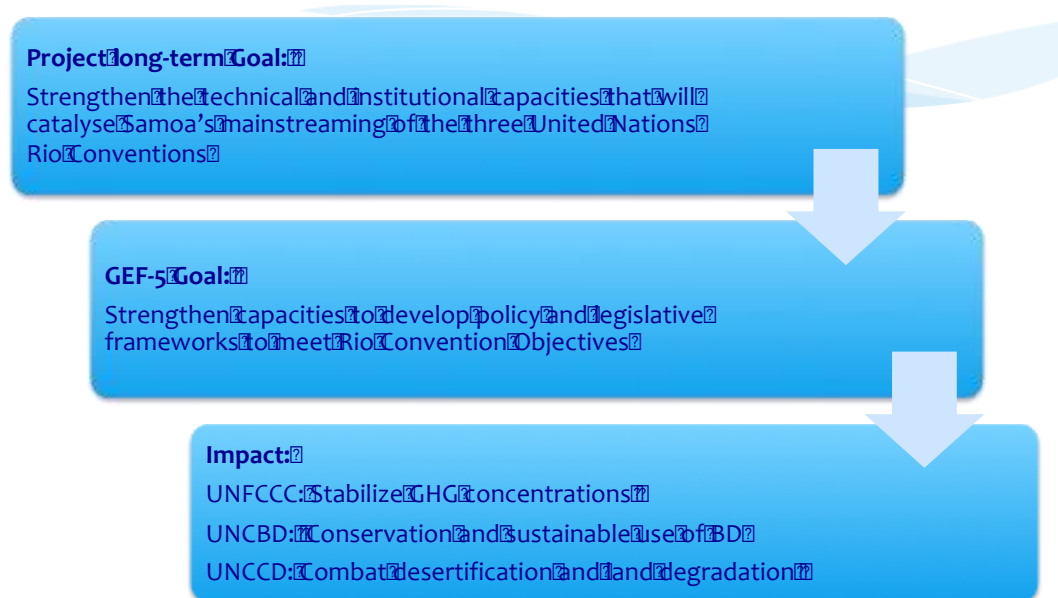
3.3.8. Impact

Development impact: Positive and negative, primary and secondary, long-term effects produced by the Project, directly or indirectly, intended or unintended

This project was presented to GEF for funding under the GEF-5 "Cross-Cutting Capacity Development" (CCCD) Strategy, Programme Framework C, which called for the strengthening of capacities to develop policy and legislative frameworks to meet the Rio Conventions' objectives. MNRE is designated national focal point for the 3 Rio Conventions: United Nations Framework Convention on Climate Change (UNFCCC); United Nations Convention on Biological Diversity (UNCBD); and United Nations Convention to Combat Desertification (UNCCD), so it was a good fit for the institution.

The GEF CCCD strategy serves to provide resources for reducing the institutional bottlenecks and barriers to the synergistic implementation of the Rio Conventions. The project was in line with CCCD Programme Framework C - Objective 3, which calls for countries **to strengthen capacities for developing policy and legislative frameworks to meet Rio Convention Objectives**. Through a learning-by-doing process, the project improved MNRE's management, legislative system, ICT system and M&E system, and thereby its capacity to support national capacities and processes in compliance with the Rio Conventions. A diagram of the relation between the project's objective, GEF-5 Goal and impacts is shown in figure 3. Please note that all the stages in the diagram would happen ex-post, except for compliance with the Project Objectives.

Fig. 3. Process from Project objectives to Impact



Regarding the target groups of the project *during implementation*, the main group was the MNRE management and staff, but other important stakeholder groups were national and local stakeholders like NGOs and villages. An indirect beneficiary group would be the beneficiaries of MNRE programmes and projects, through improved and more effective project management and maybe increased funding due to improved confidence from the donor community.

The most important impact on national level has been as an Enabling Project for the domestication of obligations under the conventions. The impact was strengthened due to one strong executing agency and concentration on a few large activities, instead of many small. Most important results were achieved through the Legal Component, that would give strong impact under the condition that the bills are being approved. The ICT component has given the impact of better MNRE decision-making based on improved access to information through DKIF. Another impact is the improved work relations within MNRE, where the project has further strengthened the relationships and collaborative partnerships between the focal points. Continuous capacity building during implementation gave strong Impact and strengthened previously on-going processes.

4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS

4.1. Conclusions

1. The project that was implemented by MNRE is highly relevant for UNDP, GEF, the Government and local stakeholders. The project was also very relevant for GEF's Multi-Focal Area because it dealt with support to Samoa's compliance with the Rio conventions, which is corresponding with 3 of GEF's Focal areas.
2. This relatively small project has been money well invested, that would give positive impacts for the institution and the country in the years to come.
3. The Project had a high degree of effectiveness, however it is not possible to measure compliance with all expected results due to lack of baseline data.
4. All project products (legislative, ICT, etc.) seem to be of high quality, and have received high degree of satisfaction from the users' side (MNRE, national and local stakeholders).
5. This is one of the few projects where the results and impacts of the project have been clearly felt already during implementation. There has been a gradual trend towards improved effectiveness and efficiency throughout the project implementation as a result of improved organization and use of the ICT system.
6. There has been great activity from MNRE's staff during project implementation, and that commitment has been key for the positive results.

4.2. Recommendations

National level:

1. The Government of Samoa should give high priority to approval of the bills drafted under the Rio Project, to assure impact and sustainability of the achievements.
2. The project results should be scaled up (especially on local level) through different sources of funding.

Ministry level:

1. MNRE should continue to invest in institutional development to maintain and improve the results achieved through the project.
2. All current and new staff should continue to receive and maintain training to assure compliance with policies and procedures, and use of the improved systems. Continued active staff participation should also be encouraged for possible adjustment of the systems, to maintain the enthusiasm and assure positive results.
3. MNRE's DKIF system should be continually maintained and upgraded, and the divisions must comply with Management's requirement of uploading the documents directly. An institutional Management System for on-line decision-making could complement DKIF to improve institutional development.

Stakeholder level:

1. To follow up the project results, national and local stakeholders (Villages, NGOs, CSOs, Villages, Women, Youth) should be involved in implementation of new projects in line with the Rio Conventions.

4.3. Lessons learned

1. The project shows that it is possible to achieve great results on institutional strengthening with a relatively low budget, based on strong commitment from the organization and its staff. Such projects make it possible for the institution to achieve impact fast, even during project implementation.
2. Projects for the Rio Conventions can be brought to the local level and learn from the local communities, not only focus on the international and national level (an example that could be presented in international forums).
3. Even though a PMU with several Managers seems to have worked well for this institutional development project, for other projects with a more narrow technical focus only one Manager should be in charge.
4. The Legal Division should be involved from early project design phase, also for other MNRE projects.
5. It can be expensive to select the cheapest consultant. It is better to combine criteria for quality and price, and if the budget is not enough for a high-quality consultant, it would be better to reformulate the budget than contracting a firm that is not able to comply with the TOR.

Annex 1 Terms of Reference

REQUEST FOR PROPOSAL FOR TERMINAL EVALUATION FOR THE ENHANCING CAPACITY TO DEVELOP GLOBAL ENVIRONMENT PROJECTS IN THE PACIFIC (CCCD)**BASIC CONTRACT INFORMATION**

Location: Samoa

Application Deadline:

Category: Environment and Climate change

Type of Contract: Individual Contract

Assignment Type: International Consultant

Languages Required: English

Starting Date: 27th November 2017

Duration of Initial Contract:

Expected Duration of Assignment

A. Project Title:

Capacity for Implementing Rio Conventions in Samoa

B. Project Description or Context and Background:

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for the Terminal Evaluation (TE) of the full size project "Capacity for Implementing Rio Conventions in Samoa" (PIMS 4938). The GEF Implementing Agency (IA) for this project is the United Nations Development Programme. The Implementing Partner for this project is the Government of Samoa through the Ministry of Natural Resources and Environment.

The essentials of the project to be evaluated are as follows:

PROJECT SUMMARY TABLE

Project Title:	Capacity for Implementing Rio Conventions in Samoa			
GEF Project ID:	5164 (GEF PMIS)		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	4938 (UNDP PIMS) 00078841 (Atlas Award ID)	GEF financing:	USD 500,000	USD 483,285.01
Country:	Government of Samoa	IA/EA own:	USD 100,000	USD 100,000
Region:	Asia and the Pacific	Government:	USD 400,000 (in-kind)	USD 400,000
Focal Area:	Multi Focal Area	Other:		
FA Objectives, (OP/SP):	CD-2:Generate, access and use of information and knowledge; CD-3: Strengthened capacities for policy and legislation development for achieving global benefits	Total co-financing:	USD 500,000.00	USD 500,000
Executing	Ministry of Natural	Total Project	USD 1,000,000.00	USD 1,000,000.00

Agency:	Resource and Environment (MNRE)	Cost:		
Other Partners involved:	UNCCD	ProDoc Signature (date project began):		17 th September 2014
		(Operational) Closing Date:	Proposed: 17 th September 2017	Actual: 31 st December 2017

-

C. Scope of Work:

The project was designed to assist the Government of Samoa to meet its obligations under the three Rio Conventions by catalysing better decisions for the global environment. At the end of the project, activities should have resulted in a set to achieve the mainstreaming and promotions of the Rio Conventions into national development plans, and the strengthening of inter-ministerial cooperation and participatory approaches. As appropriate, the strengthening legislative and regulatory instruments will help further institutionalize capacities developed under the project. The project should help improve awareness to strengthen the understanding of Samoa on the important linkages between national sustainable development priorities. The project has implemented in three linked components:

- 1. The Rio Conventions more effectively implemented through national planning frameworks that are supported by the best practice tools and institutional arrangements**
- 2. Raised public support and understanding of Rio Conventions**
- 3. Development plans and programmes address implementation of Rio Conventions at national and sectoral level**

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

Evaluation Approach and Method:

An overall approach and method³ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#)⁴. A set of questions covering each of these criteria should be drafted using the Evaluation Question Matrix (see [Annex C](#)). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Samoa, including the MNRE Premises

Interviews will be held with the following organizations and individuals at a minimum:

- 1) UNDP
 - Resident Representative/ Deputy Resident Representative
 - Programme Manager – Environment & Climate Change
 - Programme Associate – Environment & Climate Change
- 2) Ministry of Natural Resources and Environment
 - Chief Executive Officer
 - Assistant Chief Executive Officer – Corporate Service Division

³ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

⁴ See <<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>>

- Assistant Chief Executive Officer – Legal Division
- Environment Sector Coordinator
- Principal Project Accountant
- Principal IT & Knowledge Management
- Legal Consultant

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIRs, project budget revisions, midterm review, progress reports, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

Evaluation Criteria's & Ratings

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#)

Evaluation Ratings:			
1. Monitoring and Evaluation	Rating	2. IA& EA Execution	rating
M&E design at entry		Quality of Implementation – Implementing Agency (IA, UNDP)	
M&E Plan Implementation		Quality of Execution - Executing Agency (EA, MNRE)	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	Rating	4. Sustainability	rating
Relevance		Financial resources	
Effectiveness		Socio-political	
Efficiency		Institutional framework and governance	
Overall Project Outcome Rating		Environmental	
		Overall likelihood of sustainability	

Project Finance/ Co Finance

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator will receive assistance from the Multi-Country Office (MCO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

Mainstreaming:

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

Impact:

The evaluator will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.⁵

Conclusions, Recommendations & Lessons:

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**.

ED: Implementation Arrangements:

The principal responsibility for managing this evaluation resides with the UNDP MCO in Samoa. The UNDP MCO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluator to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

E. Evaluation Timeframe:

The total duration of the evaluation will be 20 days over duration of max 3 months* according to the following plan:

Activity	Timing	Completion Date
Preparation	2 days	11 December 2017
Evaluation Mission	10 days	8 - 19 th January 2018
Draft Evaluation Report	6 days	26 th January 2018
Final Report	2 days	16 th February 2018

** The indicated max duration takes into account consultant's initial desk review and quality check of the final report from UNDP MCO, as well as potential delays due to unforeseen circumstances, not included as deliverables in the table above*

F: Evaluation Deliverables:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP MCO, UNDP-GEF RTA & MNRE
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP MCO & MNRE
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to MCO, reviewed by RTA, PCU, GEF OFPs & MNRE
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to MCO for uploading to UNDP ERC & final report to MNRE

⁵A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROTI Handbook 2009](#)

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report. See [Annex H](#) for an audit trail template

F. Duty Station:

Home-based with travel to Apia, Samoa. It is expected that the consultant will spend 10 days in Apia, Samoa. When in Samoa the consultant will be based at the UNDP Office or MNRE.

G. Competencies :

Corporate Competencies

- The independent consultant:
 - Demonstrates integrity by complying with the UN's values and ethical standards;
 - Promotes the vision, mission, and strategic goals of UNDP;
 - Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.

Functional

- The independent consultant should possess proven and strong analytical and communication skills, including the ability to produce high quality reports.

Project & Resource Management

- The independent consultant should have strong organizational skills;
- The independent consultant should be able to work independently and collectively to produce individual high quality inputs and collectively high quality and TOR-compliant outputs;
- The independent consultant should possess sound judgment, strategic thinking and the ability to manage competing priorities.

Team Work

- Demonstrated ability of the team to work in a multi-cultural environment.

H. Team Composition:

The evaluation team will be composed of 1 independent evaluator. The consultant shall have prior experience in evaluating GEF or GEF/LDCF projects. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities. The selected candidate must be equipped with his/her own computing equipment.

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct ([Annex E](#)) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#).

The consultant must present the following qualifications:

- Post-graduate degree in environmental management, or other closely related field ((10 points)
- Minimum 7 years of relevant professional experience in providing management or consultancy services to the multi focal area projects; in developing national and regional capacities and enabling conditions for global environmental protection and sustainable development (30 points)
- Previous experience with results-based monitoring and evaluation methodologies(30 points)
- Technical knowledge in the targeted GEF focal areas: Multi Focal Area– Capacity Development(20 points)
- Experience working in the Pacific region (5 points)
- Excellent knowledge of English language (5 points)

Offers will be evaluated according to the Combined Scoring method – where the technical criteria will be weighted at 70% and the financial offer will be weighted at 30%.

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

I. **Payment modalities and specifications:**

%	Milestone
10%	Upon approval of TE Inception Report
30%	Upon submission of draft TE Report
60%	Upon finalization and approval (by the UNDP-MCO and UNDP RTA) of TE Report

• **Recommended Presentation of Proposal:**

Given below is the recommended format for submitting your proposal. The following headings with the required details are important. Please use the template available (Letter of Offer to complete financial proposal)

CVs with a proposed methodology addressing the elements mentioned under deliverables must be submitted by **Friday, December 1, 2017**, electronically via email: procurement.ws@undp.org or apply online attaching all the required documents on <https://jobs.undp.org/>. Incomplete applications will not be considered and only candidates for whom there is further interest will be contacted. Proposals must include:

- **P11 form – template attached**
- **3 professional references (most recent)**
- **Brief Methodology** on how you will approach and conduct the work (no more than 1 page)
- **Financial Proposal** – Professional daily fee (inclusive of per diem and travel costs) or alternatively lump sum amount
- **Letter of interest and availability** summarizing all details required (see template in [ANNEX I](#))

Queries about the consultancy can be directed to procurement.ws@undp.org.

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

Annex 2 Summarized Evaluation Plan

Date	Activity
14.02	Signing of contract
15.02-25.02	Study of documents and presentation of draft Inception Report
26.02-05.03	UNDP review, comments and approval of Inception Report
17-29.03	Mission travel
19.03	Mission start, arrival in Apia
20.03	Inception meetings with UNDP Deputy Resident Representative and UNDP project staff; Study of documents
21.03	Meetings in MNRE
22.03	Morning: Meeting in SPREP, Afternoon: Meetings in MNRE
23.03	Work in UNDP
26.03	Morning: Meeting with SUNGO, Afternoon: Meetings with MNRE
27.03	Debriefing meeting and pptpresentation of draft findings with UNDP
28.03	Debriefing meeting and pptpresentation of draft findings with MNRE
29.03	Return travel
01-15.04	Work with draft Terminal Evaluation Report, including follow-up for additional information
15.04	Delivery of draft Terminal Evaluation Report
15-17.04	UNDP review of draft report and presentation of comments
18-20.04	Adaptation of draft report and finalization of Evaluation Report
20.04	Delivery of Terminal Evaluation Report



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**Annex 3. UNDP Mission by UNDP-GEF RIO Project Terminal Evaluation Consultant Mr.
Trond Norheim to Samoa
20th – 29th March 2018**

AGENDA

1. MISSION SCHEDULE

Time/ Venue	Agenda	Persons met
Monday, 19th March 2018 ARRIVE IN SAMOA AT 8:40PM		
Tuesday, 20th March 2018		
9.00 – 5.00 pm Venue: One UN House	Courtesy and Briefing Meeting with UNDP DRR <ul style="list-style-type: none"> - Objective of the mission - Feedback on RIO Project - Expectations and way forward 	UNDP: Mr. Notonegoro, Ms. Yvette Kerslake & Mr. Ioanelosefo
Wednesday, 21st March 2018		
10.00 – 11.00am Venue: MNRE TATTE	Meeting with the Rio Project Team <ul style="list-style-type: none"> • Briefing on mission • Presentation on project results • Way forward 	MNRE: MsTuiolo Schuster, Ms Jackie Nuuvai and MsFaauluulugaPapalii
11.00am – 12.00 pm	Meeting with relevant MNRE officers <ul style="list-style-type: none"> • Forestry ACEO • Principal Land Management Officer • Principal Terrestrial Conservation Officer • Principal Disaster Management Officer • ACEO PUMA • ACEO RE 	MNRE: MoafanuaTolusinaPouli, Grace Laulala & Czarina, Toai Bartley, FetoloaiAlama & Vanda Chan Ting.
12.00 – 1.00pm	LUNCH	
2.00 – 4.00pm	Meeting with ACEO Legal Services <ul style="list-style-type: none"> • Rio legal frameworks 	MNRE: Ms Shirley Malielegaoi & Ms Kathleen Taituiave
Thursday, 22nd March 2018		
10.00am – 12.00 pm	<ul style="list-style-type: none"> • Meeting with SPREP 	Mr. MeapeloMaiai – GEF Advisor & Mr. Paul Anderson of INFORM project
12.00 – 1.00pm	LUNCH	

2.00–3.00pm	Meeting with ACEO IT <ul style="list-style-type: none"> • DKIF System 	Mr. Mulitalo Bernie Tauaanae
3.00 – 4.00pm	Meeting with ACEO GEF <ul style="list-style-type: none"> • GEF requirements of TE 	Ms Anne Rasmussen
Friday, 23rd March 2018		
1.00 – 4.00pm	<ul style="list-style-type: none"> • Follow up meetings • Based at UNDP 	
Monday, 26th March 2018		
10.00- 11.00am	<ul style="list-style-type: none"> • Meeting with SUNGO 	FaleafagaTonimaa
2.00 – 3.00pm	<ul style="list-style-type: none"> • Meeting with CEO MNRE 	Ulu Bismarck Crawley
3.00 – 4.00pm	<ul style="list-style-type: none"> • Meeting with ACEO Environment Sector, MNRE • NESP Sector Plan 	Frances Reupena
Tuesday, 27th March 2018		
9.00 – 2.00pm Venue:	<ul style="list-style-type: none"> • Follow up appointments • Skype with UNDP TA 	
3.00-4.00pm	<ul style="list-style-type: none"> • Debrief with UNDP 	UNDP: Ms. Yvette Kerslake Mr. Ioanelosefo, Ms Frances Brown, MrTaufaoTaufao
Wednesday, 28th March 2018		
10.00 – 12.00pm	<ul style="list-style-type: none"> • Debrief with MNRE 	MNRE: Ms Jackie Nuuvai and MsFaauluulugaPapalii , Ms Frances Reupena, Ms Shirley Malielegaoi.
Thursday, 29th March 2018		
	<ul style="list-style-type: none"> • Depart from Samoa 	

ANNEX 4. EVALUATION QUESTIONS

Evaluation questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local and national levels?			
Is the project relevant to the GEF Multi Focal Area?	<ul style="list-style-type: none"> Relevance to the GEF Multi Focal Area 	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project design GEF policies and strategies CEO Endorsement documents GEF STAP Reviews Interviews with UNDP TM and PMU 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
Is the project addressing the needs of target beneficiaries at national level?	<ul style="list-style-type: none"> Needs of target beneficiaries compared with project activities and results 	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project design Interviews with MNRE and stakeholders 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
Is the project internally coherent in its design?	<ul style="list-style-type: none"> Coherence of project design with GEF and national environmental priorities 	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project design Interviews with UNDP TM, PMU, staff 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
Does the project provide relevant experience and lessons learnt for similar future projects?	<ul style="list-style-type: none"> Relevance for similar future projects of the project's experience and lessons learned 	<ul style="list-style-type: none"> Project Document Results Framework Evaluation of project results and lessons learned Interviews with UNDP TM, UNDP Rep. and MNRE Management 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Has the project been effective in achieving the expected outcomes and objectives?	<ul style="list-style-type: none"> Effectiveness in achieving the expected outcomes and objectives (%) 	<ul style="list-style-type: none"> Project Document Results Framework AWP M&E system Interviews with UNDP TM and PMU 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
How is the risk and risk mitigation being managed?	<ul style="list-style-type: none"> Risk mitigation carried out based on defined risks 	<ul style="list-style-type: none"> Project Document Results Framework Risk Matrix Interviews with UNDP TM and PMU 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review

What lessons can be drawn regarding the effectiveness for other similar projects in the future?	<ul style="list-style-type: none"> Effectiveness for each component and lessons learned of these for future projects 	<ul style="list-style-type: none"> Project Document Results Framework AWP M&E system Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
To what extent have/will the expected outcomes and objectives of the project been/be achieved?	<ul style="list-style-type: none"> Compliance with expected outcomes (%) and objectives (Consultant review) during the implementation period 	<ul style="list-style-type: none"> Project Document Results Framework AWP M&E system Project reports Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
Was project support provided in an efficient way?	Project support provided (TA, funds, etc.), and compliance with work plans and procurement plans	<ul style="list-style-type: none"> Project Document Results Framework AWP Procurement plans and documents M&E system Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
Did the project efficiently utilize local capacity in implementation?	Efficiency in use of national and local capacity during project implementation	<ul style="list-style-type: none"> Project Document Results Framework AWP M&E system Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review
Was the project implemented efficiently, in line with international and national norms and standards?	Efficiency of project implementation (relation inputs-outputs) as compared with international and national norms and standards	<ul style="list-style-type: none"> Project Document Results Framework AWP M&E system Project reports International norms and standards for project implementation Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> Study of documents Interviews Consultant review

Was project support provided in an efficient way?	Efficiency of project support compared with content of Annual Work Plans and procurement plans	<ul style="list-style-type: none"> • Project Document • Results Framework • AWP • Procurement plans and documents • M&E system • Project reports • Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> • Study of documents • Interviews • Consultant review
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
Were interventions designed to have sustainable results given the identifiable risks?	Sustainability of expected results, considering identifiable risks and other factors	<ul style="list-style-type: none"> • Project Document • Evaluation of project design • CEO Endorsement documents • Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> • Study of documents • Interviews • Consultant review
What issues emerged during implementation as a threat to sustainability?	Definition of issues that emerged during implementation threatening sustainability of project results	<ul style="list-style-type: none"> • Results Framework • AWP • M&E system • Risk Matrix • Project reports • Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> • Study of documents • Interviews • Consultant review
Are there on-going activities that pose threat to the environment or sustainability of project outcomes?	Definition of on-going activities that pose threat to the environment or sustainability of project outcomes	<ul style="list-style-type: none"> • Results Framework • AWP • M&E system • Environmental reviews and assessments • Risk Matrix • Project reports • Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> • Study of documents • Interviews • Consultant review
Have the entities/ people that will carry on the project been identified and prepared?	Entities/ people identified to carry on the project activities/results and their preparation	<ul style="list-style-type: none"> • Project Document • AWP • M&E system • Project reports • Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> • Study of documents • Interviews • Consultant review
Is there evidence that financial resources are committed to support project results after the project has closed?	Financial resources committed (US\$) to support project results after the project has closed, and sources of funding	<ul style="list-style-type: none"> • Project Document • AWP with budgets • Project reports with financial statements • Agreements signed 	<ul style="list-style-type: none"> • Study of documents • Interviews • Consultant review

		<ul style="list-style-type: none"> • Interviews with UNDP TM, PMU, MNRE 	
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
Has the project demonstrated progress towards these impact achievements?	Degree of progress towards positive environmental impacts	<ul style="list-style-type: none"> • Project Document • Results framework • AWP • M&E system • Project reports • Interviews with UNDP TM, PMU, MNRE 	<ul style="list-style-type: none"> • Study of documents • Interviews • Consultant review

ANNEX 5. EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

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

Evaluation Consultant Agreement Form⁶

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

Name of Consultant: Trond Norheim

Name of Consultancy Organization (where relevant): N/A

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

Signed at Oslo, Norway on April 15th 2017



Signature: _____

⁶www.unevaluation.org/unegcodeofconduct

Annex 6. Signed Terminal Evaluation Report Clearance Form

(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)


Midterm Review Report Reviewed and Cleared By:**Commissioning Unit**

Name: ____ Yvette Kerslake _____

Signature: ____  ____ Date: 25 September 2018

UNDP-GEF Regional Technical Advisor

Name: ____ Tom Twining-Ward _____

Signature: ____  ____ Date: 25 September 2018 _____