



United Nations Environment Programme

**Terminal Evaluation of the UNEP GEF project
“Integrated Ecosystem Management of Transboundary
Areas between Nigeria and Niger (Phase I - Strengthening
of Legal and Institutional Frameworks for Collaboration
and Pilot Demonstrations of IEM)”**

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Snapshots of degraded land rehabilitation and results after 2 years of IEM project intervention. Photos by TE Team

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ACRONYMS AND ABBREVIATIONS

AfDB	Africa Development Bank
APM	Assistant Programs Manager
AWP	Annual Work Plan
CBDP	Community Base Development Plan
CBOs	Community Based Organization
CDP	Community Development Plan
CPIC	Community Project Implementation Committee
DEGEF	Director General of Environment and Forestry
FAO	UN- Food and Agriculture Organization
GB	Global Mechanism
GEF	Global Environment Facility
GIS	Geographic Information System
ICRISAT	International Crop Research Institute for the Semi-Arid Tropics
IDB	Islamic Development Bank
IEM P/ NN	Integrated Ecosystem Management Project Niger/Nigeria
IEM	Integrated Ecosystem Management
LBC	Local Bilateral Committees
LCBC	Lake Chad Basin Commission
LPU	Local Project Unit
M & E	Monitoring and Evaluation
MDA	Ministry, Department and Agencies
MLS	Management Local Structures
MOU	Memorandum of Understanding
MW/ECD	Ministry of Water resources, Environment and combating Desertification
NAPEP	National Poverty Eradication Program
NBA	Niger Basin Authority
NCEM	National Center for Ecological Monitoring of Niger
NCU	National Coordination Unit
NDE	National Directorate of Employment
NEEDS	National Economic Empowerment and Development Strategy
NIHSA	Nigerian Hydrological Services Agency
NNJC	Nigerian Niger Joint Commission
NRM	Natural Resources Management
NSC	National Steering Committee
NTC	National Technical Committees
PAC	Programme d'Actions Communautaires
POP	Project Operation Plan
PPCR	Niger: Climate Resilience Pilot Program in Niger Republic
PPMSU	Program and Project Management Support Unit
RCU	Regional Coordination Unit
RSC	Regional Steering Committee
RTC	Regional Technical Committee

PROJECT IDENTIFICATION

1.1 Title of Project: Integrated Ecosystem Management in the Transboundary Areas between Nigeria and Niger: **Phase I:** Strengthening of legal and institutional frameworks for Collaboration and Experimental demonstration of Integrated Ecosystem Management (IEM)

1.2 Project Number: GEF/GFL/2328-2770-4889

1.3 Geographical Scope: Regional: Federal Republic of Nigeria and Republic of Niger

1.4 Implementing Agency: United Nations Environment Programme (UNEP); **Executing Agencies** United Nations Office for Project Services (UNOPS)¹ in collaboration with: Federal Ministry of Environment* and Federal Ministry of Water Resources, Government of Nigeria; Ministry of Environment and Control of Desertification, and Ministry of Water in Niger in collaboration with Niger-Nigeria Joint Commission for Co-operation (NNJC) and the Economic Community of West African States (ECOWAS) (*coordinating Ministries)

1.5 Duration- Phase 1: 4 years
Planned Commencing July 2006, Completion June 2010

1.6 Total Cost of Project (US \$) (%) Phase 1&2

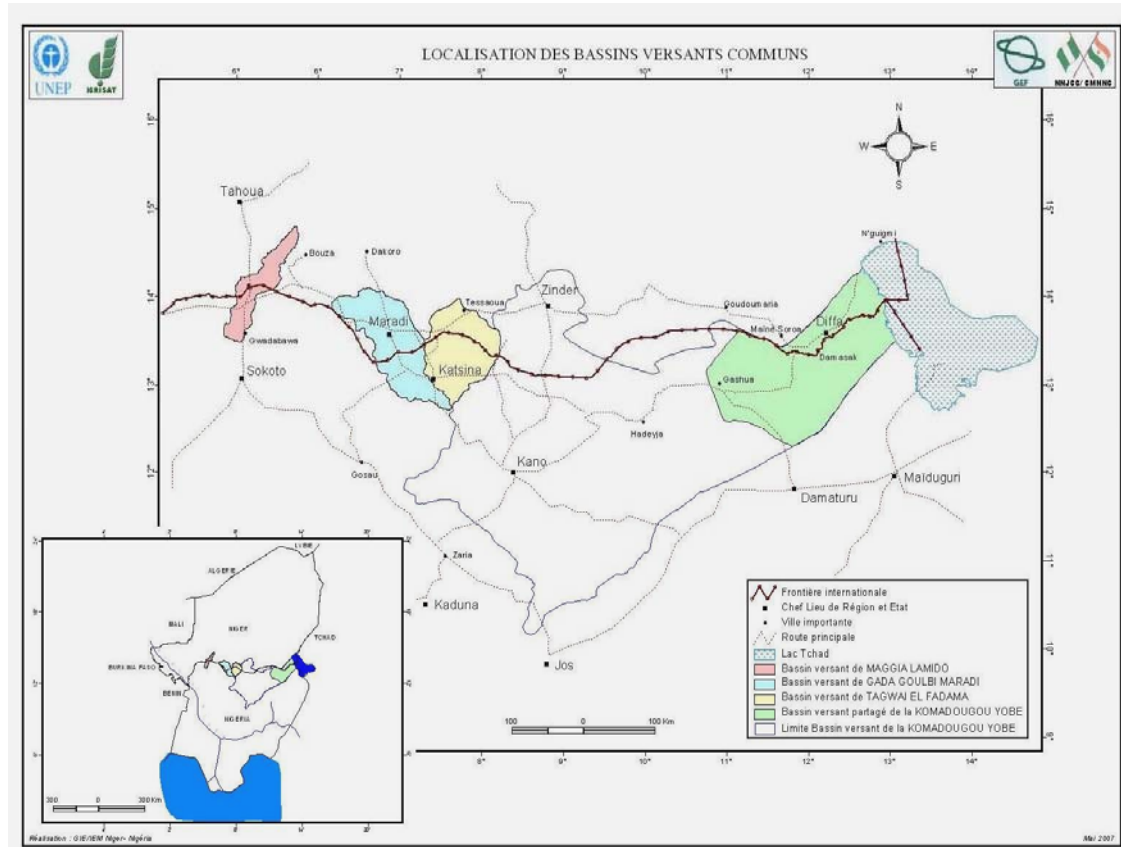
Cost to GEF Trust Fund-	10,375,000 (34%);
Co-financing-	19,049,910 (66%);
TOTAL COST OF PROJECT	29,049,910 (100%).

1.7 Cost of Project (US\$) (%) for Phase 1

Cost to GEF Trust Fund-	5,375,000 (37%); - includes PDF A and B
Co-financing-	9,122,500 (63%)
TOTAL COST OF PROJECT	14,497,500 (100%).

¹ According to Project Document-Executive Summary signed March 30, 2004. UNOPS was replaced by ICRISAT through an MOU, as part of adaptive management following consultations, and with budget consideration as the primary reason.

Figure 1: Map of project area showing also location of the 24 Pilot sites



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EXECUTIVE SUMMARY

1. The goal of the Integrated Ecosystem Management (IEM) in the Transboundary Areas between Nigeria and Niger: Phase I: was to *“establish sustainable conditions for integrated ecosystem management for improvement in the livelihoods of the local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger.”* The phase 1 of the project officially commenced in July 2006 and was expected to end in June 2010.
2. The immediate objective of Phase 1 of the project was “Strengthening of legal and institutional frameworks for collaboration and pilot demonstrations of IEM” This was to be achieved through three main outcomes (components):
 - 1) Sub-regional integration, harmonization and cooperation in strategies for the management of transboundary natural resources
 - 2) Strengthened capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources, and reduce vulnerability to environmental variability and change
 - 3) *Enhanced planning and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods*
3. *The key outcome indicators were* “Legal and institutional framework, planning and collaborative processes, and coordinated financing arrangements functional by end of Phase 1; Increased number of transboundary projects/interventions involving both countries; and Increased financing for regional collaboration in management of the shared catchments’
4. The objective of this Terminal Evaluation was to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation also assessed project performance and the implementation of planned project activities and planned outputs against actual results- using the *Review of Outcomes to Impacts (ROtI)* method.
5. The evaluation was undertaken in October and November 2010 and is based on information provided by the Implementing Agency units (UNEP-DGEF and UNEP Fund Manager) in Nairobi; the Executing agency (ICRISAT) in Niamey; the project Executing units (Regional Coordinating Unit, National Coordinating Units in Niamey and Abuja, Local Project Management Units at project sites, and Implementation Committees at catchment level in Niger and Nigeria; and observations/feedback received from communities/Project Implementation Committees met during the field visit to pilot sites in selected catchment areas.

Main Conclusions

1. This project has made good progress of putting in place the necessary institutional and legal framework (the ***Bilateral Agreement***) that includes a proposal for setting up a Self-Funding Programmes and Projects Management Support Unit (PPMSU) within the Nigeria-Niger Joint Commission (NNJC) whose implementation will contribute greatly towards strengthening of the NNJC so that it can play a more effective role towards the sustainable management of shared transboundary resources between Niger and Nigeria. The project also made significant progress in creating awareness among policy makers on issues relating to integrated ecosystem management in the transboundary areas between Niger and Nigeria in the course of consultations and advocacy during the development of the *Bilateral agreement*, and preparation of several project proposals targeting other partners (AfDB, IDB, FAO, UNDP) as potential partners in the 2nd phase.
2. This project established a network of pilot demonstration sites including the 24 Community-Based Development Plans (CBDP), 11 of which are already under implementation. Key interventions at pilot sites include demonstrations on community woodlots, tree nurseries, agroforestry/eco-farm, sand dune fixing in degraded areas and improved cooking stoves technologies and practices. Generally small in scope and capital intensive, the critical value addition is demonstrating that these technologies work under the socio-economic and environmental conditions; capacity building and awareness creation at both local and community level; and in catalyzing government and other partners to focus on IEM in transboundary areas.
3. Key issues and challenges in the implementation of the IEM project include the delayed implementation of the field level activities under component 2&3, and occasional delay in release of cash advance due to delay in submission of financial reports from the field. These had effects on project performance.
4. The evaluation finds that both the concept and approach adopted for IEM project are appropriate and consistent with the objectives and interventions the project set out to achieve. However at operational level, the evaluation found some of the expected outcomes/outputs too ambitious and not attainable; and overlap and duplication of activities under several outputs, which made it difficult to figure out what output was being targeted.
5. The TE Team evaluates the project performance Satisfactory, noting in particular that it has made significant progress towards “*establishing sustainable conditions for integrated ecosystem management for improvement in the livelihoods of the local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger.*” as expected, and making it more than likely that most of the project goals and objectives will be achieved by the end of phase 2, capitalizing on the investments and lessons gained to date.

Lessons

- 1) The main output from Phase I of IEM-NN is the Bilateral Agreement that includes a proposal for setting up a Self-Funding Programme and Project Management Support Unit (PPMSU) within the Nigeria-Niger Joint Commission (NNJC). However, it is becoming more apparent that it will take much longer to get the necessary endorsements from the principal partners, the Governments of Niger and Nigeria. This is particularly so because the decision-making process must involve each partner at highest political level because of the need to protect national interests, including the sharing and use of national capacity (human and financial) on activities within the transboundary zone. *Future IEM-type projects will need to take the politics of bilateral relations into account in project design. Adequate time should be allocated at the preparatory state of the project to allow for the creation of enabling conditions.*
- 2) The time needed to establish implementation structures (Local Project Units in the field) was the most significant cause of delay in launching field activities of IEM, leading to delay in meeting expected targets. This delay should have been expected since the project was to take place in the generally remote transboundary zone with few ongoing development activities- and should have been already noted as part of the project baseline². *Future GEF and similar projects should specifically include an analysis of the development context of the project as part of the baseline (in terms of other on-going projects being implemented in the area with support from other development partners and opportunities for Complementarity and synergy), and ensure that this is taken into account in the work planning and budgeting process.*
- 3) The IEM project interventions at catchment level have spurred technology uptake relating to sustainable management of natural resources (soil and water conservation, tree planting, sand dune fixation) on private farmlands-albeit at a limited scale. For example, in Gochalo pilot site in Tagwai El Fadama Catchment area – Zinder in Niger, 15 individual farmers have already picked the new sand dune fixing technology and are applying it on their own farms. The farmers were able to assimilate this technology because basic inputs e.g. tree seedlings and training on sand stabilization techniques were made available by the project. This is an important aspect in promoting rural livelihoods; capacity building via socio-economic empowerment. *Enhancement of local level decision making and development of new knowledge and skills together with providing the necessary basic inputs should be taken into consideration in future similar projects. In order to enhance this uptake, some key intermediate states must be fulfilled: financial resources need to be available; and community participation and involvement need to be enhanced in order to promote ownership at local community level.*

² See Annex 5 item 2- Project Document Executive Summary- section on

Recommendations

The following recommendations are made on the premise that Phase II of the IEM-NN should focus on consolidation and up-scaling of the successful interventions and activities, taking into account the experiences and lessons learned from Phase I.

- 1) The IEM project was designed as a 8 year project with two consecutive phases. Phase one of the project was officially closed in June 2010, but the decision of the status of phase two is still to be communicated to the principal partners. *It is recommended that GEF/UNEP move quickly to communicate the status of II phase to release the funding for Phase II of the IEM project in order to avoid or at least mitigate the effects of a break in the delivery of services to activities in the field.*
- 2) The TE Team took note of the high level of political will on the part of the Governments of Niger and Nigeria, including commitment to funding of Phase 2 (Niger already allocated \$50,000 in the 2010/11 **financial** year budget; and Nigeria has committed \$500,000 per year for Phase II- a total of 2 million)³. *It is recommended that UNEP-DGEF- Task Manager in collaboration with Nigeria- Niger Joint Commission (NNJC) /Regional Coordination Unit initiate immediate consultations with concerned Governments to ensure that bridging funds (co-financing **in cash** and in kind) are made available to IEM project while awaiting release of funds from GEF 5*
- 3) The TE Team review of the Projects Logical Framework suggested that some of the expected outcomes and objectives were overly ambitious within the available resources and time frame. Some of these outputs and outcomes were not measurable or results-oriented. In addition, the TE team finds that the activities at catchment level have focused on natural resource management (soils and trees) and less so on integrated water resource management. It was also noted that little learning, documentation and dissemination has taken place in Phase I of the project. This should be a focus area in the second phase. *It is recommended therefore that UNEP-DGEF- Task Manager in collaboration with Nigeria-Niger Joint Commission (NNJC)/Regional Coordination Unit, undertake a review and revision of project document as well as the project's Logical Framework in readiness for Phase, II in order to harmonize and realign activities to the expected outputs and objectives, taking into account also the findings of this Review and in particular:*
 - a. *Need to shift the focus towards water resource management. This should include integrated water resource management plans for each of the four target catchments.*
 - b. *Need to include strengthening of Local Bilateral Committees (LBCs) as part of the project activities so that they can effectively play the role of coordination and exchange of information between the various catchments in the target transboundary areas, with focus on status and use of shared resources.*
 - c. *Need to review and re-assess the MOU with ICRISAT (International Crop Research Institute for the Semi-Arid Tropics) to ensure that it is able to play the full role of an Executing Agency including both, technical and financial management and administration.*
 - d. *Need to give more attention to learning, documentation and dissemination of lessons and experiences from IEM.*

³ See Briefing notes from meetings with NTCs.

- 4) The Evaluation considers that in order for the Phase II of the IEM NN to start immediately as soon as the financial resources are made available, it is imperative that the *Nigeria-Niger Joint Commission (NNJC)/Regional Coordination Unit* move quickly to prepare the *IEM NN Workplan for 2010/2011 with associated budget, taking into account the proposed adjustments to the project's Logical Framework in readiness for Phase II.*

- 5) This TE is the first major external evaluation, the project having lost the opportunity of a mid-term review⁴. The TE team also notes that the project document was not subjected to a review-which normally is part of the Project launch workshop which did not take place; and project has not held an Exit Strategy Workshop that should normally take place at the close of the project. The TE team considers it most necessary that Regional Steering Committee meeting (RSC) gets an opportunity to review and deliberate on IEM's progress, achievements and lessons emanating from Phase I, and to agree and make recommendations on the way forward for Phase II. *It is therefore recommended that UNEP-DGEEF, in collaboration with the NNJC/RCU convene a Regional Steering Committee meeting (RSC) which would serve also as a launching workshop for Phase II of IEM. This should take place by end of February 2011. The workshop agenda should include:*
 - *Review and endorse as appropriate the findings and recommendation of this Terminal Evaluation.*
 - *Review and endorsement as appropriate the proposed revisions to project logical framework for phase II.*
 - *Review and propose changes to roles and responsibilities of the implementing and executing partners (e.g. that of ICRISAT).*
 - *Review and endorse the project Workplan for 2010/2011.*
 - *Develop an exit strategy for Phase II of the project.*

- 6) The IEM project approach and experiences at sub-regional level (focus on integration, harmonization and cooperation in strategies for the management of transboundary natural resources') are clearly valid and effective, and should be of great interest to other countries with shared transboundary resources. The challenge however remain with regard to activities at catchment level which, in the case of IEM-NN, remain community/area specific and fragmented, and could result in negative externalities, such as downstream siltation and water shortage *This points to the need for the NNJC to build up a mechanism to ensure cross-border and/or inter-community coordination of activities and exchange of information on the status and present use of the cross-border natural resources in Phase II of the IEM project.*

⁴ See under section on M&E.

1. INTRODUCTION AND BACKGROUND

A. *Geographical Scope*⁵:

1.1 The transboundary zone has four shared catchments, from west to east the Maggia-Lamido, Gada-Gulbin Maradi, Tagwai-El Fadama and Komadugu Yobe. The **Komadugu Yobe** is the largest by far, with a total area of about 80,000 km², the greater part of it in Nigeria. Only the downstream part of the basin, where the river constitutes the border between Nigeria and Niger, is included in this project. The **Gada-Gulbin Maradi** catchment covers 9,787 km², of which 3,803 km² is located in Nigeria and 5,984 km² in Niger. The river, which has an intermittent hydrological regime, originates in Nigeria, enters Niger to flow past Maradi in a well-defined *fadama*, and after a course of approximately 130 km, re-enters Nigeria to join the Rima River, which eventually flows into the Niger. The **Tagwai-El Fadama** catchment covers 8,705 km² of which 5,889 km² is in Nigeria and 2,816 km² in Niger. The Tagwai River flows northwards from Katsina State in Nigeria, into Maradi Department of Niger and south-west Zinder Department, where it is joined by the Mai Faru. The **Maggia-Lamido**, the smallest of the catchments, covers 4,138 km², of which 2,119 km² are located in Niger and 2,019 km² in Nigeria. The sources are in Niger, in the uppermost part of the Niger basin. After about 140 km, the river enters Nigeria near the city of Birnin Konni, changing its name to Lamido. After 8 km, it feeds Lake Kamalo, which does not have an outlet. Below Tsernawa, the river enters a flood plain. It has an intermittent hydrological regime, highly variable.

B. *Project Background*

1.2 One of the key challenges facing concerned populations living in the area include persistent desertification, manifested mainly through disappearance of vegetation cover, impoverishment of soils, reduction of water resources, destruction of biological diversity and internal and external population migration. These processes are exacerbated by conflicts among the different users of natural resources, and increasing livelihood vulnerability of the communities whose local economies are increasingly being weakened. The aggravating factors are many: political-institutional (absence of coherent policies, poor institutional capacity, absence or inadequate legal and legislative provisions) socio-economic (population growth, poverty) or related to the production systems (destructive land management practices).

1.3 In response to these challenges, the Governments of Niger and Nigeria proposed the “Integrated Ecosystem Management in the Transboundary Areas between Nigeria and Niger (IEM)” project in the early 2000 aimed at offering solutions to the identified problems through activities to control land degradation and improve productive potential of the land resources in order to improve the incomes of local people and alleviate poverty. The project also proposed activities for institutional and organizational capacity building for management of shared land, water and ecological resources at, national and local levels.

1.4 The IEM project consists of two phases; Phase I “Strengthening of legal and institutional frameworks for collaboration and pilot demonstrations of IEM, and Phase II Implementation of cooperative and participatory management strategies for sharing natural resources to improve ecosystem functioning and rural livelihoods”. The project under evaluation is the first phase of the project. The project aimed at

⁵ see Annex 4- item 1- Project document

ensuring conservation and sustainable use of natural resources within the economic and social development frameworks of the transboundary area of Nigeria and Niger. It was predicated on observations made by the two countries on the mixed results of fragmentary and isolated interventions, and on the negative impacts of transboundary reciprocal externalities. The project's broad objective was therefore stated as *"The project goal is to establish sustainable conditions for integrated ecosystem management for improvement in the livelihoods of the local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger"*

C. Project Activities

The project activities were divided under three components:

1.5 Subregional integration, harmonization and cooperation in strategies for the management of transboundary natural resources

- *Activities under Component (1) will create the conditions necessary for implementing the project. It will find solutions to the institutional and operational problems, which have hampered efforts hitherto. The legal and legislative framework for institutional operations and natural resource management, including conflict prevention, will be strengthened. Sub regional, catchment level, and community-based planning and implementation will be set up. Coordinated financing between the two countries and partners will be enabled. Coordinated financing of project activities between the two countries, at catchment and community level enabled and implemented*

1.6 Strengthened capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources, and reduce vulnerability to environmental variability and change

- *The activities under Component (2) were to focus on harnessing local knowledge and values, together with research-based knowledge on the causes and impacts of degradation, as a basis for designing, testing and implementing land management activities by communities. The objective is to minimize vulnerability to environmental change and variability through developing and promoting sustainable practices. Communities will participate in evaluating ecosystem services, identifying and promoting good practices (for managing biological diversity, land development, improving production systems, rehabilitating degraded land, and managing conflict). The indirect incentives for investing in conserving or sustaining the productivity of natural resources were to be identified and strengthened. Capacity building for local partners was to be provided. A sub regional mechanism for exchanging and disseminating good practices was to be established.*

1.7 Enhanced planning and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods

- *The activities under Component (3) were to focus on involving all stakeholders in developing common strategies for integrated and participatory management of shared natural resources, with the aim to improve rural livelihoods. At the catchment level, bilateral protocols and plans for conserving and exploiting shared water resources, protecting priority habitats and managing degraded sites were to be implemented. Community-based plans for natural resources that integrate local and appropriate new knowledge were to be developed and implemented in 24 pilot*

areas. Direct incentives for participation were to be strengthened. New and profitable technologies for sustainable use of natural resources were to be identified and developed.

D. Stakeholder Involvement

1.8 The principal partners in the project are: the Governments of Nigeria and Niger, acting through the Nigeria-Niger Joint Commission for Cooperation (NNJC), supported by its Permanent Technical Committee of Experts, and Local Bilateral Committees; line ministries and agencies of both governments (the Federal Ministry of Environment and Federal Ministry of Water Resources in Nigeria, and the Ministère de l'Environnement et de la Lutte contre la Désertification and Ministère de L'Eau in Niger); the decentralized technical services in-charge of environment, water resources, livestock, agriculture and fisheries; UNEP as the GEF Implementing Agency; the GM in charge of mobilising co-financing to GEF projects contributing to the implementation of the UNCCD; and civil society. Also participating will be regional institutions for cooperation and development (LCBC, NBA, ECOWAS) and research centres (the regional centre of ICRISAT at Sadore, and national research institutes). Each country has established a national steering committee that represents the Ministries of Environment, Water Resources, Agriculture, Finance and Planning and Foreign Affairs. The Ministries of Environment have a coordinating role to facilitate cross-sectoral cooperation at national level. Consultations carried out in connection with the preparation of the project have made it possible to identify cooperation and/or executing partners of the project in the two countries.

E. Implementation and Execution Arrangements

1.9 **UNEP**, as an Implementing Agency of the GEF, provided co-ordination of the activities of partners, technical and scientific expertise and enhancement of regional cooperation.

1.10 Project partners: Governments of Nigeria and Niger; Nigeria-Niger Joint Commission for Cooperation (NNJC); UNEP; ICRISAT; CIDA; IUCN; Global Mechanism, UNCCD, European Union (EU), CORAF, AfDB, ECOWAS

1.11 A regional Coordination Unit (RCU) was set up at the NNJC, under the responsibility of the Secretary-General, and directed by the Project Coordinator. The RCU has responsibility for day-to-day management and execution of the entire project, at the administrative, technical and financial levels.

1.12 The National Project Units (NPU)s are the framework for consultation, harmonization and supervision of the field activities of the project.

1.13 ICRISAT, as the Executing Agency provided Annual Financial audits on behalf of UNEP in collaboration with the Regional Coordination Unit.

F. Project Budget

1.14 At project inception the following was the proposed budget for phase 1:

GEF	US \$
Project	5,000,000
BDF A	25,000
BDF B	350,000
Sub-total GEF	5,375,000
Co-Financing	9,122,500
Total Project Financing	14,497,500

2. EVALUATION SCOPE, OBJECTIVE AND METHODS

A. Objective and Scope of the Evaluation

2.1 The objective of this Terminal Evaluation was to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation was also to assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation was to focus on the following main questions:

1. How significant was the project's contribution towards improvement of the livelihoods of local communities and preservation of globally significant ecosystems in the transboundary catchments areas between Nigeria and Niger
2. How significant was the project's contribution towards strengthening the legal and institutional frameworks in Nigeria and Niger to enable Integrated Ecosystem Management
3. To what extent was the project able to strengthen the capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources, and reduce vulnerability to environmental variability and change
4. Did the project enhance planning, harmonization and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods

B. Methods

2.2 This Terminal Evaluation (TE) was conducted by a team of three consultants as an in-depth evaluation using a participatory mixed-methods approach, during which the UNEP/DGEF Task Manager, key representatives of the Executing Agencies and other relevant staff were kept informed and consulted throughout the evaluation. The consultants liaised with the UNEP Evaluation Office and the UNEP/DGEF Task Manager on all key logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered.

2.3 The findings of the evaluation were derived from multiple sources: A desk review of project documents- (*See also Annex 4*); Interviews with key project executing agencies, implementing/management and technical support teams and other partners. In *particular*, the TE Team held interviews with the UNEP/DGEF project Task Manager and Fund Management Officer; ICRISAT and with the UNEP EO for substantive briefing and clarification of the TOR, as well as logistic details- *See relevant annexes under Annex 2*; and Interviews with key beneficiaries and users of the project outputs and other stakeholders involved with this project, including the participating country parties and international bodies. For this purpose, the TE evaluators visited the project partners and key audiences of the project's outputs in Niger and Nigeria to canvas their opinions of the project- *See Annex 2*.

2.4 In order to answer effectively the main questions raised above, the TE Team designed and executed an Evaluation Framework identifying the key benchmarks and indicators in form of a questionnaire- *see Annex 3*. This was the main tool guiding the information gathering during interviews with project staff and with key stakeholders, visits to the main project activity sites/locations and in reviewing relevant project documents

C. Evaluation Approach

2.5 The ***Participatory evaluation*** approach was adopted for this TE. This was ensured through the structure of the TE Team and the involvement of all key stakeholders in the consultations and discussions at the end of the field work at which representatives of grassroots community stakeholders, relevant government ministries/departments and institutions were invited. The objective of these meetings was, in particular, to give the executing and implementing partners an opportunity to input their views into the evaluation process in terms of the project performance, usefulness of the interventions, and to make recommendations and suggestions as to how the project could have been more effective in meeting the expected outcomes and impacts. This also served as an opportunity for the TE evaluation team to brief the stakeholders on their preliminary findings and solicit feedback.

D. Work Planning

2.6 The Work Schedule for this assignment (*see Annex 1.*) took into account the three main tasks for the TE evaluation Team: Review of the basic documents which provide background information and data; Field visits to provide first hand information, data and feedback from primary stakeholders on project performance/impacts; and synthesis and preparation of the TE Report

3. PROJECT PERFORMANCE AND IMPACT

A. Attainment of Objectives and Planned Results

3.1 **Project objectives:** The overall project objective for phase 1 was to establish conditions for a sustainable integrated management of shared natural ecosystems aiming at improving living conditions for local populations and conserving global importance ecosystems in the four basins. This was to be realized through three **specific objectives**⁶:

- 1) Develop integrated and coordinated strategies for the management of natural resources in the transboundary areas. *Achievement indicators- Legal and institutional framework, planning and collaborative processes, and co-ordinated financing arrangements functional by end of Phase 1 through- Increased number of transboundary projects/interventions involving both countries; Increased financing for regional collaboration in management of the shared catchments*
- 2) Strengthen capacity at all levels (local, national and sub-regional) to harness indigenous values and research-based knowledge to support conservation and equitable sharing of natural resources and reduce vulnerability to environmental variability and change. *Achievement indicators: Research-based and local knowledge and values integrated and applied at community level, and good practices for managing equitable access to, and benefits from, natural resources identified and promoted by end of Phase 1.*
- 3) Enhance planning and implementation of cooperative and participatory management strategies for sharing natural resources and reversing ecosystem degradation trends, conserving biodiversity and increasing productivity to improve rural livelihoods. *Achievement indicators: Public involvement in planning and implementation effected; and community-based development plans for water and ecosystem management developed and implemented in 24 pilot areas, leading to improvement of trends in (1) extent and composition of woody and herbaceous cover (2) land productivity (3) water quality and quantity in the shared catchments: Targets⁷ include- 48,000 ha of degraded land rehabilitated; 4,800 km² under improved management for biodiversity conservation; and 35% reduction in sedimentation into four shared Sahelian catchments comprising a total area of 30,630 km²*

3.2 This section reviews the extent to which the three project objectives were effectively and efficiently achieved or are expected to be achieved, and their relevance; taking into account the “achievement indicators”, the achievement of outcomes and the progress made towards impacts.

⁶ See Annex 4- Item 8- Project Inception Report- Feb 2007

⁷ See Annex 4- Item 2- Project Executive Summary, front page- assume these to be achieved over 8 years.

Effectiveness:

3.3 Figure 1. gives the 'outcomes to impacts pathways' of ROTi - assessment for Niger-Nigeria IEM Project as prescribed in Annex 6 of the TOR. The ROTi method has three distinct stages: Identifying the project's intended impacts derived from the "objectives" statements specified in the project document; Review of the project's logical framework as presented in the project document; and analysis and modeling of the project's outcomes-impact pathways. This process, together with the assessment given in Annex 6 (Assessment of Quality and quantity of outputs- Niger-Nigeria IEM Project) form the basis for the following findings:

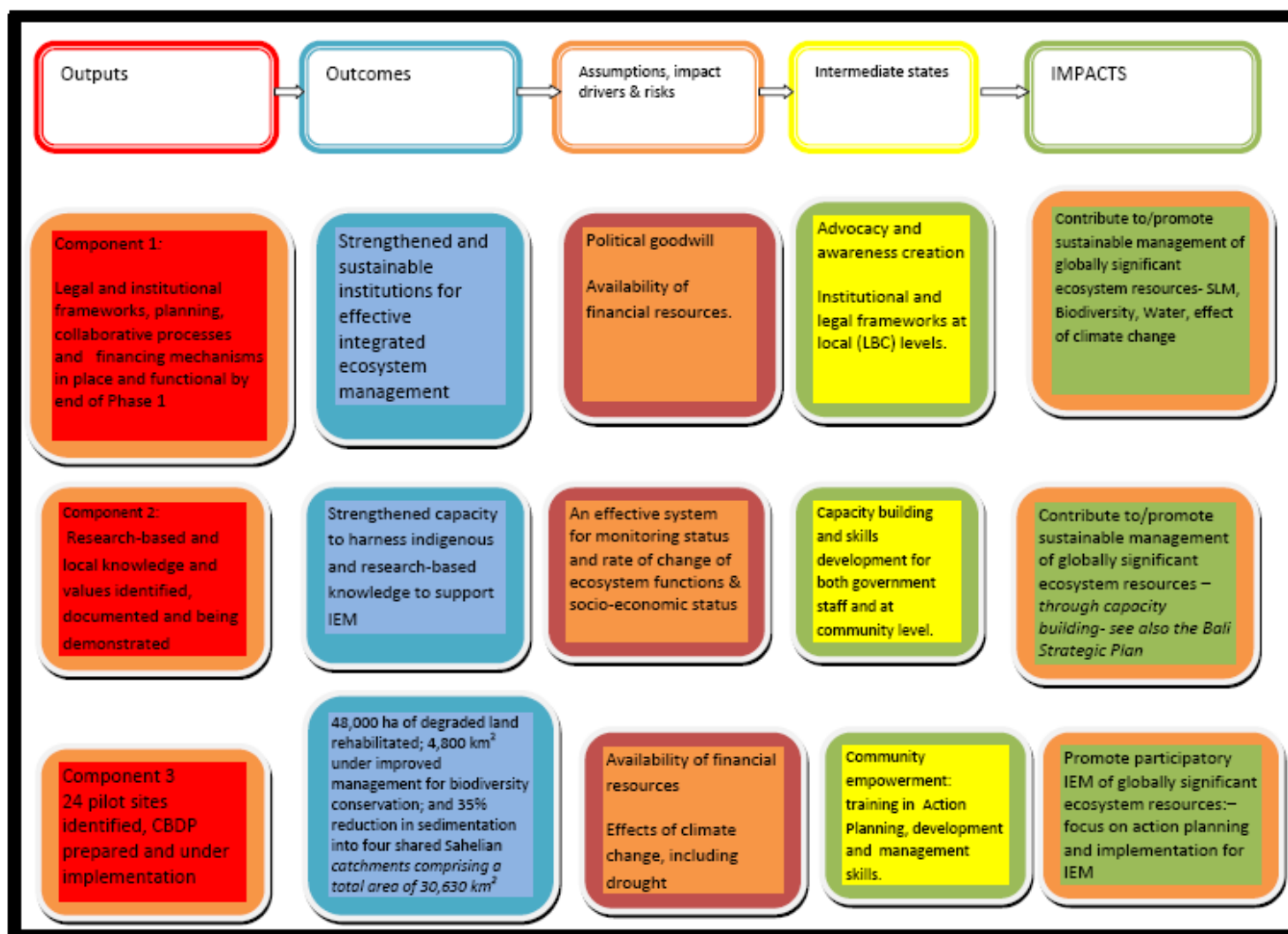
3.4. The expected IMPACT of IEM NN's interventions (in form of Global Environmental Benefits- GEB) is to contribute to sustainable management of globally significant ecosystem resources, namely sustainable land management, biodiversity, water and the effects of climate change- through the implementation of the three project components. It is however noted that the IEM NN is an 8-year project out of which only four years have been implemented, and it will takes time beyond the project's lifetime for the impacts to become visible⁸. Nevertheless, the analysis of the project's outcomes-impact pathways provided the opportunity to review and identify some of the intermediate states and additional activities that will be needed if the impact is to be achieved. In particular, institutional strengthening at catchment level (Local Bilateral Committees) as well as capacity building and skills development for local communities are considered critical.

3.5 Stepping back along the project's outcomes-impact pathways is the identification of the assumptions, impact drivers and the risks that may or may not have an effect on the degree to which the expected GEB are achieved. Key among these is the political good will and availability of financial resources- both from GEF and co-financing.

3.6 The outputs and outcomes presented in the Impact Pathway below are those given in the project document's Logical Framework but consolidated and harmonized to be consistent with the project components. It is evident that the achievement of the GEB will depend on how effective the IEM will be in achieving the expected outcomes under each project component in the next four years. The following are the TE team's analysis and finding on the progress to date:

⁸ See TOR- Annex 6 on ROTi

Figure 1: Impact Pathway for IEM



Under Component 2

3.7 As seen in the “Impact Pathway”, the phase 1 strategy for IEM was the strengthening of the NNJC’s capacity for gathering, processing and dissemination of data and information on the physical, bio-physical and socio-economic characteristics of the potential sites within the target project areas. Towards this end, the project has put in place a *GIS/data gathering system* as a facility for mapping. It has carried out diagnostic studies⁹ to document major issues and challenges facing the ecosystems in the transboundary areas between Niger and Nigeria, set up a *website* (www.nnjc.net) for information dissemination and knowledge sharing, and publishes a *Newsletter* (*MUHALLI*- meaning Environment)¹⁰ - whose focus is on major issues facing transboundary areas between Nigeria and Niger.

3.8 The assumption underlying the strategy to strengthen NNJC is that this will have a trickle-down effect on the capacity of other institutions particularly at lower/catchment level. It is the TE Team’s view that this project strategy (Strengthened capacity at /NNJC levels) is an important contribution towards the achievement of the intended impacts- *Strengthen capacity at all levels (local, national and sub-regional)*. A necessary intermediate state for the impacts to be realized however, is capacity building also at the national, catchment and local community levels. In particular, focus should also target catchment/local level institutions (e.g. LBC, Catchment-wide Water Boards, etc) for strengthening so they can be more effective in the management of natural resources in their respective transboundary areas.

Under Component 3

3.9 The IEM Project strategy focused on pilot activities to demonstrate good practices for managing equitable access to, and benefits from, natural resources- using Community-Based Natural Resources Management (CBNRM) approach. Key outputs so far include the identification, reconnaissance and diagnostic studies in 24 pilot sites (12 in Niger, 12 in Nigeria) and the development of respective CBNRM Plans¹¹ through a participatory process; The establishment of field demonstration plots in 11 pilot sites¹² (5 in Niger, 6 in Nigeria) involving local/village communities; and the training of respective local communities in NR management and techniques (tree nursery management, tree planting techniques, production and use of improved cooking stoves targeting women groups, agroforestry, sand-dune fixation techniques, improvement of pastureland and eco-farm). Main achievement include the rehabilitation of about 400 ha of degraded lands¹³; on-site training of community members employed in demonstration sites (estimate over 1100 persons¹⁴); and training of women group members on manufacture of improved cooking stoves (30 from the **Niya Da Kokari Women Group**- Konni trained in Niger)¹⁵. Another main project result is awareness creation and catalyzing support for CBNRM (UNDP, ADB, State Governments, etc).

3.10 The TE Team notes that the focus of pilot demonstrations on proven technologies was consistent with project strategy and objective. However, the interventions were small in scale- with minimal socio-economic and environmental impacts on the target communities and with minimum or indirect

⁹ See Annex 4- documents consulted

¹⁰ See Annex 4- Item 24.

¹¹ See Annex 4- Item 20 and 21- Concept note and sample plans reviewed by the TE Team.

¹² TE Team visited 4 sites and a women’s Group in Niger, and 4 in Nigeria- see Annex 2.

¹³ TE Team visited some 8 plot sites subject to rehabilitation.

¹⁴ Assumes about 100 persons in each of the 11 site

¹⁵ See Annex 2- List of persons interviewed - Konni LPU - Niger

impacts on livelihoods. In addition, in general the community participation in project implementation¹⁶ was minimal. In spite of this, the achievements under this component have a high likelihood of leading to the intended impacts- *“Enhanced planning and implementation of cooperative and participatory management strategies for sharing natural resources and reversing ecosystem degradation trends, conserving biodiversity and increasing productivity to improve rural livelihoods”*. However, in order for this to be realized, some key intermediate states must be fulfilled: financial resources need to be available; and community participation and involvement need to be enhanced in order to promote ownership at local community level. This should be a focus area in Phase 2 of IEM project.

3.11 Taking into consideration the findings presented above and the summary points below, the overall likelihood of impact achievement is rated Satisfactory.

- Overall project impacts were expected to be realized over an 8 year project period implemented in two phases (4+4) - Phase 1 for institutional strengthening, capacity building and pilot projects, and Phase 2 for out- and up-scaling across the shared catchments.
- At this stage therefore (end of Phase 1), and given that there was a delay of close to 2 years in starting field activities, the progress in realizing the intended outputs is considered satisfactory.
- The project design did not fully appreciate the complex nature of IEM-type project- requiring multi-sectorial, multi-disciplinary and multi-stakeholder participation; and the multiplicity of socio-economic and the complex bio-physical environments the project was to operate in.
- Strengthening institutions such as the NNJC requires legal and institutional reforms which normally takes time, and the process is not always under the control of the project but of political systems
- Community participation in the target areas for IEM face special challenges: there was nearly a total absence of other development partners before the IEM; and there is apathy of communities to engage in any activities perceived to be linked to Governments- in view of past experiences with unmet promises (Nigeria)¹⁷.

Effectiveness: Satisfactory

Relevance:

3.12 IEM objectives are consistent with the key national development and environmental policies and priorities in Niger and Nigeria including for promoting poverty eradication and environmental sustainability in the target sites, consistent also with the MDGs 1 (Eradicate extreme poverty and hunger) and MDG7 (Ensure environmental sustainability).

3.13 At a sub-regional level, IEM remains particularly relevant to the mandates of NNJC- (1) strengthening cooperation between the two countries, and (2) supporting development programmes and projects of common importance. Already, the project has given NNJC important visibility and credibility

¹⁶ See Annex 2 - List of persons interviewed - Katsina LPU - Nigeria

¹⁷ See Annex 2 - List of persons interviewed - Duse LPU

through awareness and publicity through the Newsletter and the Website which serve to enhance its role in catalyzing partnerships for resource mobilization towards programmes and projects for the target areas.

3.14 The project remains relevant to GEF's OP 12 on Integrated Ecosystem Management, and is already generating (in a limited scale) multi-focal benefits in *land degradation*, *biodiversity* and *international waters*, with secondary benefits in *climate change* (enhanced carbon sequestration in rehabilitated lands and ecosystems). The project has already created an enabling environment for integrated ecosystem management at levels¹⁸, strengthened NNJC for the coordination of activities in the shared catchments, and catalyzed on-the-ground investments in integrated ecosystem management in each catchment, through pilot demonstrations and partnership building with other donors. The project also has strong linkages with Arid and Semi-Arid Zone Ecosystems (OP 1) and the GEF strategic priority on mainstreaming of biodiversity in production landscapes, Integrated Land and Water Management (OP 9) and the Sustainable Land Management Programme (OP 15).

3.15 The project is in line with the *Land Use Management and Soil Conservation Policy of UNEP* (UNEP/GC.22/INF/25) that emphasizes UNEP's role in addressing the environmental dimensions of land use management

Relevance: Highly Satisfactory

Efficiency:

3.16 The technologies promoted by the project (tree nursery management, tree planting techniques, production and use of improved cooking stoves targeting women groups, agroforestry and sand-dune fixation techniques) are those that have been proven successful in similar environments elsewhere. This is particular valid for agroforestry, tree planting techniques and improved cooking stoves technology. The use of solar power to operate boreholes pumps¹⁹ is another example of the project's pursuit of cost effectiveness.

3.17 The TE Team noted the very expensive wire fencing (and metal gates) being used in Nigeria side to protect the demonstration plots, with over 70% of the field investment on woodlots devoted to provision of boreholes for irrigation and construction of fence²⁰. It was clarified that most of these demonstration plots are on transhumance routes, and would not survive otherwise.

3.14 The resources mobilization for co-financing has been effective concerning the two Governments- Niger and Nigeria (176%). However, the TE Team considers that this was not entirely successful concerning the Global Mechanism as the expected additional resources have not materialized.

3.18 **Table 1** provides a comparison between two projects that are relatively similar in terms of objectives and expected outcomes- the Niger-Nigeria IEM project, and the Kenya-Burkina Faso DLWEIP project. The analysis of the two projects suggests that IEM project is considerably less efficient based on budget, assuming that expected outputs/results are the same. The main cause for this is that IEM had to set up new implementation structures (LPUs which in addition to being new, also had to be paid for), while DWLEIP

¹⁸ See Annex 4- item 17- the Bilateral Agreement-

¹⁹ See front-page photo

²⁰ See Annex 2 - List of persons interviewed - Katsina Local Project Unit

used existing partners to implement field activities. Case in point is the fact that, as provisioned in the project document, IEM project utilized 25% of project²¹ resources on staffing, way above the average of 8% usually considered in other projects.

Efficiency: moderately Satisfactory

Overall - Attainment of objectives and planned results: Satisfactory

²¹ See Table 5 under section on "Financial planning and control".

Table 1: Comparison between IEM and DLWEIP projects in terms of efficiency:

Aspect	GEF/GFL/2328-2770-4889 “Integrated Ecosystem Management of Transboundary Areas between Nigeria and Niger (Phase I - Strengthening of legal and institutional frameworks for collaboration and pilot demonstrations of IEM)”	UNEP/GEF Project GF/3010-05-10 (4857) – Dry-land Livestock Wild Life Environment Interface Project (DLWELIP)
Geographical coverage	Niger-Nigeria (French and English)	Kenya-Burkina Faso (English and French)
Period	2005-2009	2005-2009
Objective	<i>to establish sustainable conditions for integrated ecosystem management for improvement in the livelihoods of the local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger”</i>	<i>To promote and support sustainable land use management systems for livestock and wildlife at the interface in order to improve community livelihoods, biodiversity conservation and reduce land degradation.</i>
Implementation arrangements	NNJC- a relatively weak, non-executive institution- as executing agent. This made it necessary to establish a Regional Coordinating Unit to be in charge of the overall technical backstopping of the project with the support of country project coordinators; and bringing in ICRISAT to provide financial services. NNJC needed to establish local project offices at national level to implement field activities. National Coordinating Units were established in Niger and Nigeria to provide general oversight and guidance to project implementation. A Regional Project Steering Committee was also constituted at the level.	AU-IBAR as executing agent in charge of the overall technical backstopping of the project with the support of country project coordinators. AU-IBAR worked in collaboration with existing partners to implement field activities including Government Departments, IUCN, AWF, ACC, ILRI and local NGOs and CBOs. National project steering committees were established in Kenya and Burkina Faso to provide general oversight and guidance and facilitate interagency coordination. An international project steering committee was also constituted at the regional level.
GEF funding	Total Project budget – US\$ 6,255,000 of which ²² : GEF Trust Fund- US\$ 5,000,000 (in addition to 350,000 for PDF A and B) Co-Financing- US\$ 1,255,000 ²³	Total project budget - US\$ 3,477,403 of which: GEF Trust fund- US\$ 975,000 (in addition to the US\$ 25,000 for PDF-A) Co-financing- US\$ 2,502,403

²² Taking into account actual co-financing realized from the two governments - Niger and Nigeria

²³ Actual co-financing realized from the two governments - Niger and Nigeria - see Annex 12 - Co-financing

B. Sustainability

3.19 This section looks at the probability of long-term continuation of project impacts and outcomes when the IEM project comes to an end. **Indicators:**

- National, state/local government and local community institutions established and/or strengthened for the management of transboundary resources, including coordination and conflict resolution;
- Level of awareness/involvement of other players in the IEM project activities;
- Level to which the communities understand and appreciate the nexus between poverty/livelihoods and environment.

Financial Resources:

3.20 Consultations with NTC/RSC members²⁴ in both countries indicated high commitment to coordinate and spearhead the implementation of integrated cross-border projects and programmes relating to natural resource management. A key manifestation of this is the endorsement of the *Bilateral Agreement on Regulatory and Institutional Framework for the Management of the transboundary Ecosystems Between the Federal Republic of Nigeria and the Republic of Niger* by the two governments. Commitment in this regard is also demonstrated by the allocation by Niger in allocating \$50,000²⁵ for 1st year of Phase 2 in the national budget; and a commitment by the two Governments (Niger and Nigeria) to allocate \$2.5 million each of their GEF allocation to Phase 2²⁶. Other indicators include commitment from other development partners (National Governments, UNDP, AfDB, IDB, FAO, and state and local government authorities in Nigeria) to review and consider project proposals prepared in context of the IEM implementation process. This is all the more likely in view of the awareness created under phase 1 of the IEM.

3.21 A major potential source of funding for IEM activities in Nigeria is the recently established Ecological Fund. Through this program, a sum of N18 Billion (approximately \$120 million) is committed to afforestation and drought management initiatives between 2010 and 2011. This Ecological Fund Office initiative is an opportunity for replication and up scaling of the project activities in the target areas.

3.22 An important consideration with respect to implementation of programmes and projects relating to shared resources is the need to create a mechanism that would facilitate joint programming and financing. The situation at the moment is that Local Bilateral Committees do exist but these are not operational and are not designed for projects management or implementation. Another issue is that funds from respective governments/local authorities can only be applied on their side of the border. The establishment of the Programmes and Projects self-financing Management Support Unit within NNJC as proposed in the *Bilateral Agreement on Regulatory and Institutional Framework for the Management of the transboundary Ecosystems Between the Federal Republic of Nigeria and the Republic of Niger* would go a long way to resolving this issue. As indicated above, the implementation of this provision has great potential to increase financing for regional collaboration in management of the shared catchments in the short to medium term and thereby promoting sustainability.

²⁴ See Annex 2 - List of persons interviewed - RSC/RTC and NCU Niger

²⁵ See Annex 2 - List of persons interviewed - RSC/RTC and NCU Niger

²⁶ See Annex 2 - List of persons interviewed - RSC/RTC and NCU Nigeria.

Financial Sustainability: Likely

Socio-political Sustainability:

3.23 All indications exist that both Niger and Nigeria see the value of IEM, given its relevance to national policies, strategies and programmes for poverty alleviation and sustainable management of shared cross-border resources. Examples include the development of policies and establishment of institutional frameworks that will see more resources going to implementation of integrated cross-border projects and programmes relating to natural resource management. Examples include:

Nigeria: the Bill establishing Nigerian Hydrological Services Agency (NIHSA) was signed into law on August 27, 2010 while a special Climate Change Unit has been established at the Federal Ministry of Environment. Other relevant national institutions established include National Directorate of Employment (NDE) and National Poverty Eradication Program (NAPEP). There is also the development of several other policies in the country such as National Biodiversity Strategy and Action Plan, National Energy Policy (with special emphasis on renewable energy), National Policy and Action Program on Drought and Desertification, development of National Economic Empowerment and Development Strategy (NEEDS) and launching of Vision 20: 2020. The National Forestry Act is currently with the National Assembly.

Niger: IEM has catalyzed several national programmes operating to start activities in the Dryland areas in the transboundary areas, including the WB supported Community Action Programme which has been operating in the country for 8 years but not in the cross-border areas; and the Danida/EU programme ready to be launched- focusing on drylands. Others include Rural Development Strategy adopted in 2003 with several programs including “local governance of natural resources”; Medium-term action Plan on Environment and Combating Desertification (PAMT) elaborated in year 2005; National Strategy and Action Plan on Biodiversity (SNPA/DB), 2000; National Strategy and Action Plan for Combating Desertification and Natural Resource Management (PAN/LCD/GRN), 2000; and National Strategy and Action Plan on Climate Change, 2000.

Socio- political Sustainability: Highly Likely

Institutional Sustainability:

3.24 One of the strategies for the IEM project was strengthening of the NNJC capacity for coordination and management of the ecosystem resources in the transboundary area between Niger and Nigeria. The EMI project has made important progress towards this through the signing and endorsement of the *Bilateral Agreement*. The impact of this will only be realized on implementation of this agreement, which can be achieved in the next 4 years of the 2nd phase. It is also the observation of the TE Team that the capacity of other key institutions involved in the IEM implementation (national, state government/local

authority and catchment/community level- Water Boards, Local Bilateral Committees, and Community Project Implementation Committees (CPIC) remain weak²⁷, posing a risk to the sustainability of the IEM outcomes and impacts unless this issue is addressed as a priority in 2nd phase.

Institutional Sustainability: Moderately likely

Environmental sustainability:

3.25 IEM is about conservation and sustainable management of natural resources and in particular the water, land, biodiversity, wildlife and livestock resources in the transboundary area between Niger and Nigeria. In the long run, this is expected to lead to better environmental stewardship and conservation of natural resources. However, at project output level, the main impact will come from awareness, skills training and community involvement in decision making concerning land and shared natural resource management through change in peoples' attitudes and appreciation of the role that they can play on their own (without external support) to protect and improve the basic resources (animal resources, pasture/rangelands and biodiversity) on which their livelihoods depend. This will ensure the sustainability of the project interventions long after external support is gone.

3.26 Environmental sustainability could be undermined by, among others, governance and conflict issues. For example the successful implementation of community-based management plans for conservation and shared use of natural resources (water, land and biodiversity) will depend on legalizing and enforcing community by-laws which for the most part are only binding to the members of the concerned community. Inter-state and intra-community conflicts, as well, can affect the sustainability of the benefits accruing from the project, particularly because improved grazing or water resources are likely to attract the attention of neighboring communities, thereby triggering conflicts, particularly during drought periods. To mitigate this possibility will require enhanced capacity building for communities with regard to water/grazing resources conflict management and mitigation.

Environmental Sustainability: Likely

²⁷ See Annex 4- item 2- Project document Executive Summary- Analysis of the baseline

C. Catalytic Role and Replication

Indicators: Documentation of lessons learned and their dissemination; Uptake of demonstrated innovation and technologies by individual farmers, other programmes or projects; Influence of project on local and national policies/attitude towards environmental issues- awareness created on poverty/Environment linkages.

3.27 The IEM project's overall strategy is institutional strengthening; and demonstration and piloting of good practices relating to integrated ecosystem management in transboundary areas. The key value addition is the experiences relating to collaboration and joint programming for conservation and management of a shared ecosystem; and the catalyzing the adoption of good land use practices at community level for improved livelihoods.

3.28 To date, the IEM project has managed to put in place the Regulatory and Institutional Framework for the Management of the transboundary Ecosystems between the Federal Republic of Nigeria and the Republic of Niger. This has not yet been tested. It is however the TE Team's view that its implementation will generate important lessons and experiences of benefit to other countries with shared ecosystems.

3.29 The demonstration of agroforestry practices, sand dune fixation and improved cooking stove technologies witnessed by the TE Team in the field²⁸ are already creating awareness and knowledge on the linkages between environmental management and livelihoods among the rural communities. Dialogue with communities/Women groups²⁹ indicated that individual farmers and households are already adopting these practices on their own land and households

3.30 Through awareness creation and advocacy, IEM has managed to refocus the interest of state and local government authorities to give priority to the issue of conservation and management of natural resources in transboundary areas. It is expected that this will translate to allocation of financial resources to CBNRM projects such as boreholes, rehabilitation of degraded areas and rural infrastructures such as gabions to control soil erosion.

3.31 The Ecological Fund in Nigeria mentioned above is an opportunity for replication of the project design in other areas not currently included in the IEM project. It is also expected that the World Bank supported PAC programme in Niger, as well as the Danida/EU programme will benefit from lessons and experiences of IEM when they roll out activities in the transboundary areas. The UNDP support to the IEM project in Nigeria is another demonstration of the catalytic role of IEM.

Catalytic Role and Replication: satisfactory

²⁸ See Annex 2, List of persons interviewed

²⁹ See Annex 2 - List of persons interviewed - Konni LPU - discussions with a women's group.

D. Stakeholder Participation/ Public Awareness

Indicators:

- Clear identification of stakeholders as per the Project Document
- Role played by stakeholders in project formulation, implementation and M&E (through a Review of Minutes and Reports of the meetings and Workshop reports, and interviews with stakeholders)
- Project activities/outputs relating to lessons learning and dissemination of information.

Stakeholder engagement:

3.32 The project document clearly identified the key stakeholders and their roles in the project at various levels: community/local; national and regional/international³⁰.

Community participation:

3.33 Interviews with actors in the field and reviewed documents (signed Community-based Development Plans for Sustainable Management of Natural Resources- CBDP) indicated that local communities were effectively involved and played an active role, both at CBDP preparation stage (and during implementation³¹ - through the Community Project Implementation Committee-CPIC in the 11 operational project sites). The TE Team observed that the level of community engagement indecision-making and implementation was low, limited mainly to exploiting the opportunity to grow crops in-between rows of planted trees, ensuring security from grazing, and watering of nurseries and planted trees. Communities also benefited from employment-cash for work in land preparation, nursery management, tree planting, etc. Part of the reason for the low level of community participation was said to be the lack of appreciation of the linkage between the project activities and their livelihoods, and the fact the activities are too small in scale to warrant community attention.

Nigeria-Niger Joint Commission for Cooperation (NNJC):

3.34 The NNJC, supported by its Permanent Technical Committee of Experts, acting on behalf of the Governments of Nigeria and Niger, was to ensure synergies in project activities and co-ordinate policy and decision making. In this role, the NNJC played an effective role in chairing the RSC meetings³², ensuring follow-up on decisions emanating from the RSC, and ensuring coordination in project activities, in collaboration with the RCU.

The Local Bilateral Committees (LBC):

3.35 At local/catchment level, LBC's were expected to play a role in decision-making and priority setting in formulation and implementation of CBDPs. The TE Team found no indication of involvement, and that these institutions are likely to remain weak and non-functional. Their strengthening is crucial to the effectiveness of IEM at catchment level.

³⁰ See Annex 4, item 2- Project Document Executive Summary

³¹ See Annex 4 item 22- Examples of CBDP, signed between the community and IEM- NCU

³² See Annex 4, item 5- Minutes of the 1st RSC meeting

National Government ministries and agencies:

3.36 The Federal Ministry of Environment and Federal Ministry of Water Resources in Nigeria, and the Ministère de l'Environnement et de la Lutte contre la Désertification and Ministère de L'Eau in Niger) have continued to support IEM through participation in the RSC, RTC and NSC/TC meetings, thus meeting their obligations relating to co-financing and providing overall guidance and technical backstopping to the project implementation through their Technical Service Units in-charge of environment, water resources, livestock, agriculture and fisheries.

Regional institutions for cooperation and development:

3.37 The Lake Chad Basin Commission (LCBC), the Nile Basin Authority (NBA), ECOWAS and the ICRISAT regional research centres at Sadore were expected to participate in IEM implementation. Except for ICRISAT, all others have not been involved- for lack of specific roles.

International level:

3.40 The following international stakeholders were engaged in IEM-NN implementation:

- a) UNEP- DGEF unit as implementing agency with overall supervisory responsibility. All indications are that this unit played its role effectively³³.
- b) ICRISAT is the de facto Executing Agency's of the project and as expected, has effectively facilitated project implementation, including receiving quarterly progress, financial reports, annual summary progress reports and copies of all substantive reports from the NNJC/RCU on behalf of UNEP-DGEF. The TE team however finds ICRISAT's role has been limited to financial reporting and accounting; and interview with UNEP-DGEF Unit, the GEF Fund Manager and with the RPC indicated that the institution provided effective and timely financial services as per the MOU. As the Executing agency however, ICRISAT would be expected to carry out a program of regular visits to project sites to supervise activities, and to ensure integrity of procurement and funds management in the field. This however has not happened so far.

Collaboration with other partners and institutions/programmes:

3.41 IEM collaborated with UNDP- Nigeria in implementation of project activities in the transboundary areas³⁴, and has initiated contacts with key development partners (AfDB, IDB and FAO)³⁵ to solicit support to programmes and projects that are aligned to the IEM objectives. The project also signed an MOU with Colorado State University USA for the implementation of a Carbon Benefit Project³⁶.

Public awareness activities:

3.42 The project undertook three activities that are of public awareness interest:

- ◆ Development of a web site: www.nnjc.net
- ◆ Preparation of a IEM Newsletter MUHALLI (environment)³⁷
- ◆ The RPC made a presentation on IEM to the second Lagos State Summit on Climate Change, 4 – 7 May 2010 focusing on the Integrated Ecosystem Management – the Concept³⁸.

³³ See Annex 2 - List of persons interviewed - Regional Project Coordinator

³⁴ See Annex 2 - List of persons interviewed - UNDP

³⁵ See Annex 2 - List of persons interviewed - RCU

³⁶ See Annex 2 - List of persons interviewed - RCU

³⁷ See Annex 4- Item 26- Newsletter

³⁸ See Annex 4- Item 27- Oladipo's presentation

E. Country Ownership/ Drivenness

Indicators:

- Level of engagement of government institutions in project implementation;
- Government institutions integrating lessons from project into annual work planning and budget processes;
- CBOs/communities investing own resources on project related activities.

3.43 As indicated elsewhere, conservation and sustainable management of the environment is central to national development agenda of both countries, including for promoting poverty eradication; and to the attainment of the Millennium Development goals (MDGs), particularly the MDGs 1 (Eradicate extreme poverty and hunger) and MDG7 (Ensure environmental sustainability). Both countries are signatories to the UNCCD and the CBD³⁹. Both countries have the National Biodiversity Strategic Action Programmes (NBSAP) and the National Action Programme to Combat Desertification (UNCCD) processes in place and on-going. IEM activities and outputs complement these processes, and the Global Mechanism was expected to play a significant role in resource mobilization for IEM implementation. Both Niger and Nigeria therefore embraced IEM as one of the vehicles towards achievement of sustainable development objectives.

3.44 The TE Team noted the important role played by the concerned Government ministries in the Regional Technical Committee (RTC), Regional Steering Committee (RSC), and the National Technical Committee (NTC) meetings⁴⁰ as mechanism for monitoring and decision making on IEM. The RTC/RSC meetings are chaired by the PS from concerned ministry of each country on an alternating basis.

3.45 The NTCs are composed of all key stakeholders at national level including Ministries of Water, Agriculture, Finance, and Livestock as well as civil society and NGOs. These have been the main fora for communicating information on transboundary zones that catalyzed action in the participating countries to improve decision making relating to the sustainable use of natural resources. Other opportunities for communication include the *NNJC website*; and the *MUHALLI Newsletter*⁴¹

3.46 The active participation of the National Technical Committees (NTC) in each country and Government's contribution to IEM- both cash and in kind⁴² is further evidence of country ownership and drivenness of IEM, reinforced by the signing of the *Bilateral Agreement* between the two countries. At the same time, it is the view of the TE Team that this sense of ownership has not reached to community level,

³⁹ UNCCD and CBD web sites:

⁴⁰ See Annex 4, items 5,6 and 7

⁴¹ See Annex 4, item 26

⁴² See Table 6- Co-financing Table.

and that community engagement is more a function of their perception of the benefits they receive from the project.

Country Ownership/ Drivenness: Satisfactory

Achievement of Outputs and Activities

3.47 The project Log Frame⁴³ outlines the project outputs and activities, the objectively verifiable indicators and means of verification. **Annex 6** gives the analysis of the activities, outputs, outcomes and impacts: Quality and quantitative assessment for Niger-Nigeria IEM Project.

3.48 In arriving at the overall rating for achievement of outputs and activities, the TE Team took the following into account:

- Delayed implementation of project activities, particularly those under components 2 and 3- occasioned by time needed to set up necessary structures for project implementation at local level (Local Project Units).
- Project objectives and expected outcomes were too ambitious relative to planned activities and time frame for phase 1⁴⁴. In other instances, the planned outcomes were beyond the scope of the project without substantial investment in human and financial resources- e.g. under Output 2.1- *Research-based knowledge on the natural ecosystems of shared basins, their past and present management, the causes and effects of land degradation and drought improved and in used.*
- A review of the Logframe identified a lot of overlap and duplication in terms of activities under various outputs, which made it difficult to figure out what output was being targeted: a nightmare for purposes of monitoring and evaluation at project level.

Achievement of Outputs and Activities: Satisfactory

45

F. Preparation and Readiness

3.49 While the project objectives were clear, the target outputs were hardly practicable, nor measurable. For example, the following outputs were expected at the end of the two phases of the project period: increase by 10% in the income of households within the 24 pilot sites; rehabilitation of 24 000 ha of degraded land; management and conservation of biodiversity on 2 400 Km²; decrease by 35% in sedimentation rate; best practices of NRM mastered by 50% of the population; and the operationalization

⁴³ See Annex 4 - Item 2

⁴⁴ See Annex 4 item 2 - Project Document- Executive Summary- Outcome indicators

⁴⁵ Evaluation Office would rate this parameter as 'Moderately satisfactory' since not all outputs and activities were achieved as planned (annex 6).

of NNJC institutional mechanism. The project document did not go on to define the baseline against which these outcomes would be measured, neither was it required that the project would set up a sampling scheme to monitor progress in the achievement of these outcomes.

3.50 The signed project document⁴⁶ identified UNOPS to be the overall executing agency and to implement the project with support from UNDP country offices. UNEP subsequently reversed this decision and through an MOU, requested ICRISAT to provide the financial services- a logical decision based on cost consideration (apparently UNOPS management fees are about 13%, ICRISAT is charging only about 5%)⁴⁷. The TE Team's only concern was that ICRISAT's involvement in IEM project implementation is limited to financial transactions (receiving funds from UNEP, disbursement to requesting units, and reporting. Thus the monitoring of the way the funds are used in the project is left to the RCU. In other words, the audited reports from ICRISAT amount to certification of paper records and not to judicious use of the funds.

3.51 The partnership arrangements were not adequately considered at design stage. For example while the obvious ones UNEP, concerned Governments ministries have played their role as expected, others have disappeared from the scene- the regional institutions for cooperation and development (LCBC, NBA, ECOWAS) – apparently for lack of a clearly defined role. The UNCCD- GM was in charge of mobilizing co-financing to GEF projects contributing to the implementation of the UNCCD. This did not materialize.

Preparation and Readiness: Moderately Satisfactory

G. Implementation Approach and Adaptive Management

3.52 The highest decision making body in the implementation mechanism for the IEM project is the Regional Steering Committee (RSC) supported by the Regional Technical Committee (RTC) and the National Technical Committees (NTCs). Table 2 shows number of meetings held during phase 1 of the project.

3.53 The review of the agendas and minutes of these Committees, as well as exchange during briefings with committee members indicated that the project implementation mechanisms worked effectively to inform the project on organizational and management issues. Key agenda items for RSC meetings include 1) Review of technical issues emanating from RTC meeting 2) Review of Annual Reports (technical and financial) and 3) Review and approval of the Annual Work Plan and Budget for the following year.

3.54 The TE Team noted that the effectiveness of these meetings was often compromised by the high turn-over of government officers⁴⁸ from one meeting to the next. UNDP⁴⁹- Nigeria indicated they had participated in only the first RSC meeting apparently due to lack of indication of specific roles in the IEM project implementation. This could also apply to other institutions.

⁴⁶ See Annex 4, item 2

⁴⁷ See Annex 2 - List of persons interviewed - ICRISAT

⁴⁸ See Annex 2 - List of persons interviewed - RSC members

⁴⁹ See Annex 2 - List of persons interviewed - UNDP

Table 2: Committee Meetings

Meeting	2007	2008	2009	Total
NTC- Niger	One meeting in Maradi	One meeting in Niamey	One meeting in Zinder	3
NTC- Nigeria	One meeting in Abuja	One meeting in Abuja	One meeting in Abuja	3
RTC/RSCs	One meeting in Maradi	One meeting in Kano	One meeting in Tahoua	3

3.55 The review of the agendas and minutes of these Committee meetings, and consultations with the RPC⁵⁰ indicated that the project had not experienced any crisis requiring the decisions of a RSC meeting on an emergency basis; and that there were no significant administrative, operational or technical issue affecting project implementation. The TE Team however notes that the change in execution arrangement (from UNOPS to ICRISAT) was weighty enough and should have involved the RSC.

3.56 The IEM project's management structure is given in Annex 7. Key features consist of:

A Regional Coordination Unit (RCU) located at the NNJC, under the responsibility of the Secretary-General, and directed by the Project Coordinator. The RCU has responsibility for day-to-day management and execution of the entire project, at the administrative, technical and financial levels. It is headed by a Regional Project Coordinator with support of a Principal Technical Adviser; a GIS/M&E Expert, a programme assistant and a driver.

National Project Coordination Units (NCUs)

3.57 The NCU's are headed by a National Project Coordinator (supported by 3 experts, an Accountant, a Secretary and a Driver). This is the mechanism for consultation, harmonization and supervision of the field activities in their respective countries. They are based in the respective departments within the focal Ministries in Niamey- Niger and in Abuja- Nigeria respectively.

3.58 Under the NCUs are the **Local Project Units (LPU)** staffed by a project Manager under the supervision of the NPC. These units are responsible for day-to-day management and execution of the project activities at local/catchment level. Each LPU is responsible for up to four pilot project sites. The TE Team visited the LPUs in Tahoua, Maradi, Zinder in Niger; and Katsina, Kano, and Jigawa States in Nigeria. In both countries, these LPUs are housed within the Government department responsible for environment- which facilitates delivery of in-kind government contribution in form of office space and staff (extension officers). Staffing include a Program Manager, a Secretary, Five Extensions Officers, and a Driver.

3.59 The TE Team notes that most of the staff are employed by the project instead of secondment from existing institutions- making it very costly.

3.60 The Team also notes that existing Local Bilateral Committees (LBCs) established under the terms of the Maiduguri Agreement were expected to work in conjunction with the NNJC to, in particular:

- Supervise the National Project Units in consultation with the RCU;

⁵⁰ See Annex 2 - List of persons interviewed - RTC

- Deal with local political or administrative issues in consultation with the local government;
- Ensure cross-border equity (in relation to need) in the distribution of project resources and activities.

It was however clarified by the RCU that most of the LBCs are ad hoc, and do not have the necessary capacity (technical and financial) to perform the above functions. These constraints should have been identified at the project design stage.

Implementation Approach and Adaptive Management: Satisfactory

H. Monitoring and Evaluation

Key Sources of information:

3.61 The IEM Project Document- Executive Summary; Quarterly technical and financial reports; UNEP-GEF PIR Fiscal Year 2010 Report; Minutes of RTC/RSC meetings; the UNEP Evaluation Manual (March 2008).

Monitoring and Evaluation (M&E) Design

3.62 A monitoring and evaluation plan was included in the Project Document which focused on three aspects:

- 1) “**Project execution:** collect information about the execution of activities programmed in the annual, half-yearly, quarterly and monthly work plans.
- 2) **Project performance:** Internal evaluation to assess the delivery of logframe outputs, both in quantity and quality. Annual internal evaluations are carried out by the IEM/NNJC and its management and monitoring structures. These evaluations include the Annual Reports submitted to the Regional Steering Committee. Annual Financial audits are carried out by ICRISAT on behalf of UNEP in collaboration with the Regional Coordination Unit.
- 3) **Impact evaluation:** Indicators of project impact to be applied at the project, catchment, and community levels.

3.63 The M&E plan identified a set of general, and largely unquantifiable *Impact indicators* which focus primarily on environmental:

- Status of natural ecosystems, their conservation and capacity for production of goods and services;
- Evidence of positive changes in the management and use of biodiversity and natural resources, and
- Reduction in soil erosion and improvements in land productivity, and reduction of poverty.

3.64 An important constraint to impacts assessment is the near total absence of baseline information in terms of ecosystem-wide socio-economic and environmental data and information. These are essential for the eventual determination of the impacts of the project interventions. The TE team however notes that the documentation of baseline information was not provided for in the M&E design.

3.65 The analysis of the project Logical Framework⁵¹ for “SMARTness” of indicators reviews a detailed analysis and identification of objectively verifiable indicators of project performance, along with indications of frequency and timeframe for the monitoring of the various performance parameters. The TE team however finds that some of the project targets for 1st phase were too broad and largely unattainable within a four year time frame. For example under output/result 1.3 in the logframe-1.3 “*Co-ordinated financing of project activities between the two countries, at catchment and community level enabled and implemented*”, the expected outcome was “*A bilateral financial protocol agreed and operating at the NNJC*”. Clearly this is not feasible, given the time it takes to develop, negotiate and get the necessary endorsements at bilateral level.

3.66 The project design provided for the setting up of a Monitoring and Evaluation Unit within the NNJC/RCU. The TE team visited the Unit and established that the unit is functioning effectively, with an internal system for data collection, processing and storage in place in formats that allow easy retrieval.

M&E Design: Satisfactory

M&E Plan Implementation

3.67 The TE Team reviewed the completion of the various activities undertaken by the project in relation to the M&E plan, summarized in Annex 7. This review indicated that monitoring of the project execution and performance was duly conducted according to the M&E plan, particularly with respect to oversight and progress reporting. The TE Team in particular took note of the NNJC monitoring mission (March 2010)⁵² which among others, noted and identified:

- The significant progress on the technical implementation of Community Based Development Plans for sustainable use and conservation of natural resources;
- The high levels of efficiency in the management and the monitoring of activities and the induced impacts;
- The high quality of external expertises and supports to the LPUs by the Stakeholders;
- The exogenous and endogenous factors, which constitute some constraints (major problems) and/or opportunities (favourable factors, lessons, global performances) to be considered during the second phase;
- Institutional, political, socio-economic, environmental and present contextual conditions to serve as based arguments for the continuity of the project.

3.68 The Evaluation also took note of the “Technical Meeting on Activities Evaluation”- an internal reflection workshop⁵³ that was convened by the RCU (25-28 May 2010) whose purpose was to review and agree on how to improve on the delivery of expected project outputs. The meeting brought together all the IEM staff from the two national coordinating units and the RCU. *One of the main constraints to achieving expected outcomes (as identified by this workshop) was the limited capacity for project implementation, particularly at local community level*

⁵¹ See Project Document Summary- Annex 4

⁵² See Back to Office Report- Annex 4 - item 24

⁵³ See Report - Technical Meeting on Activities Evaluation - Annex 4 - Item 23

3.69 Quarterly financial reports were expected to be regularly prepared and submitted to ICRISAT by the RCU and the respective NCUs as a requirement for release of funds. Consultations with ICRISAT⁵⁴ indicated that this was adhered to except for occasional delays arising from institutional factors. The RPC⁵⁵ concurred with this and confirmed these delays had adverse effect on the project implementation.

3.70 According to the IEM Project document, external mid-term evaluations (MTR) were expected to take place every two years from the beginning of the project, in addition to external final evaluations (TE) at the end of each Phase of 4 years, commissioned by UNEP-GEF⁵⁶ in consultation with NNJC. The MTR for the phase I did not take place, thereby denying the project an important learning opportunity.

3.71 An important aspect of monitoring is to facilitate learning from experience and provide feedback to planning⁵⁷. The TE team noted that there is very little effort at documentation and dissemination of lessons from IEM, at least in a format ready for external consumption (besides the NNJC website and the Newsletter)

3.72 The evaluation concludes that the implementation of the M&E plan contributed significantly to keeping the project on course and ensuring focus on project objectives and expected results.

M&E Implementation: Satisfactory

M&E Budget and Financing

3.73 The IEM project budget had a provision for supporting monitoring and evaluation of activities at US\$ 36,000 to cover internal monitoring and evaluation costs. Consultations with the Regional Project Manager (Professor Oladipo) indicated this was adequate and sufficient for the internal monitoring activities of IEM.

3.74 The Project Document provided for External mid-term evaluations as well as the external TE (of which this is the first one) to be commissioned by UNEP in consultation with the Regional Steering Committee. Budget for these was not part of the project budget.

M&E Budgeting: Satisfactory

⁵⁴ See Annex 2- List of persons interviewed - ICRISAT

⁵⁵ See Annex 2 - List of persons interviewed - RPC

⁵⁶ As per the M&E Plan- see original project document

⁵⁷ See UNEP Evaluation Manual

I. Financial Planning and Control

3.75 Main source of information in this section was provided by the UNEP-DGEF- Fund Manager- Rodney Vorley, Dr. Fard Waliyar, the Director of ICRISAT- Regional Office for West and Central Africa based in Niamey⁵⁸ and Mr. Hassane Amadou- Finance Manager. ICRISAT serves as the Executing Agency under an MOU with UNEP to provide financial management services since project inception. *Budget allocation and expenditure*

3.76 The project so far received \$US 5,000,000 from the GEF. This is in addition to the PDF A of \$25,000 and PDF B \$350,000. Table 5 gives the total project budget allocation and expenditure- up to June 2010⁵⁹. Since inception, the project underwent two budget revisions, the most recent in 2009 to reflect changes in budget allocation between different budget lines.

Table 3: Total Project budget allocation and expenditure- GEF⁶⁰

Unit	Budget	Expenditure	Status as of June 2010
RCU	1,687,423.00	1,638,325.56	49,097.44
Nigeria	1,548,101.00	1,548,103.99	(2.99)
Niger	1,764,476.00	1,764,479.27	(3.27)
Total	5,000,000.00	4,950,908.82	49,091.18

3.77 The above table indicates relatively equal budget allocation to the three units, and the status as of June 2010 suggests relatively high efficiency in expenditure at national level. The unspent amount at UNEP was said to be deliberate to provide bridging funds between phase 1 and phase 2.

3.78 Table 4 indicates that disbursement for project activities started in June 2006. The disbursements in 2006/2007 were expended on diagnostic studies and setting up the administrative and operations structures, and thus implementation of field demonstration activities at national level started only in 2007/8 (see briefing notes- Annex 2). This clearly had an effect on the cost-effectiveness of the project.

Table 4: Funds disbursement by dates⁶¹

Date	Jan 2006	Aug 2006	Feb 2007	Aug 2007	April 2008	Sept 2008	April 2009	March 2010	June 2010	Total
Amount	75,762	500,000	712,485	909,864	580,525	775,375	643,197	301,763	450,939	4,949,909

3.79 Table 5 indicates 25% of project budget going to staffing, suggesting management cost way above the 8% average for most projects- as anticipated in the project document⁶².

⁵⁸ See Annex 2 - List of persons interviewed - ICRISAT

⁵⁹ Source- ICRISAT briefing notes

⁶⁰ For full details, see Annex 10- Cumulative budget and expenditure through June 2010

⁶¹ See Annex 11- Cash Advance Statement- ICRISAT

⁶² See Annex 4, item 2. Project Document Executive Summary

Table 5: The expenditure on staffing in the various project management units⁶³ up to June 2010

Unit	Budget	Expenditure on staff		Staff cadre
RCU	1,687,423.00	489,145.00	29%	Regional Project Coordinator, Principal Technical Advisor, GIS/M&E Officer, Driver, Secretary, Officers of the NNJC.
Nigeria	1,548,101.00	340,688.00	22%	National Project Manager, Technical Assistant, Assistant Project Managers, Accountants, Extension Officers, Messengers, Maintenance Officers
Niger	1,764,476.00	435,144.00	25%	National Project Manager, Technical Assistant, Assistant Project Managers, Accountants, Extension Officers, Messengers, Maintenance Officers
Total	5,000,000.00	1,264,977	25%	

3.80 One of the considerations in financial control is the use of funds for intended purposes to obtain the planned results. It was very important to this evaluation that we were able to review and comment on the extent to which the project used the allocated funds to achieve intended objectives-outcomes. Unfortunately, the budget allocation⁶⁴ in the project document, as well as the reporting by budget lines adopted in the UNEP budget format does not allow for easy assignment of expenditure by activity/component.

Due diligence in financial reporting

3.81 GEF requires that annual audits are carried out for all GEF funded projects with a budget above US\$500,000. A review of the Audited Financial Statements for the year 2009 prepared by Certified Public Accountants of ICRISAT and approved by the Board⁶⁵ certified that the basic financial management controls and due diligence in reporting were observed, and that proper books of account were kept, in accordance with generally accepted non-profit accounting principles. Interviews with project Fund Management Officer confirmed this to be so, and that there were no adverse audit queries.

3.82 According to the project document, it is expected that a final statement of account, certified by a duly authorized official of ICRISAT, and containing a signed audit statement by a recognized firm of public accounts, should be dispatched to UNEP within 180 days from the first day following close of the project (in this case 1st July 2010), indicating whether, in their opinion:

- Proper books of account and records have been maintained;
- All project expenditures are supported by vouchers and adequate documentation;
- Expenditures have been incurred in accordance with the objectives outlined in the project document.
- The expenditure reports provide a true and fair view of the financial condition and performance of the project.

⁶³ Budget statements provided by ICRISAT

⁶⁴ See Annex 4- Item 2 Project Document Executive Summary

⁶⁵ Certified Audited Financial Statements available with GEF- Fund Manager- TE Team reviewed 2006, 2008, 2009 and 2010 certificates.

The latest audited statement of account is up to 31st December 2009⁶⁶. ICRISAT confirmed the final audited statement of accounts is expected in early 2011, to cover accounts up to 31st December 2010.

Cash Advance Requirements

3.83 The Finance Officer, ICRISAT and the Regional Project Coordinator ⁶⁷ confirmed that the delivery of quarterly cash advances were often delayed, and thus often resulting in disruption of project activities in the field. To mitigate this situation, ICRISAT released advance funds from its own resources while awaiting transfers from UNEP. ICRISAT explained that the delay in delivery of quarterly cash advances from UNEP was often due to delayed submission of satisfactory financial progress reports on project implementation by the National Coordinating Units.

Co-financing

3.84 Table 6 indicates the status of contribution of cash and in kind co-financing by the two Governments, the contributions of the development partners and on-going project financing that was expected⁶⁸.

Table 6: Co-financing Table

Status of Co-financing Sources (Phase 1)				
Name of Co-financier (source)	Classification	Type	Projected Amount (US\$)	Actual amount contributed-confirmed
Government of Niger	Government	Counterpart funds/in-kind	500,000	\$255,000 in Cash + \$980,000 in kind ⁶⁹
Government of Nigeria	Government	Counterpart funds/in-kind	1,500,000	\$1,000,000.00 in cash + 3.6 million in kind
Contribution from ongoing projects	Government/ State/NGOs/ Bilaterals	Matching funds/in-kind	3,622,500	\$185,000 from UNDP-direct contribution to IEM ⁷⁰ -studies
Donors (e.g. CIDA, EU, AfDB)	Multilaterals/ Bilaterals	Grants/loans	3,500,000	
Sub-Total Co-financing			9,122,500	1,440,000 ⁷¹ - 16%

3.85 The total co-financing (US\$ 1,440,000) is much higher if you factor in the in-kind contribution but falls short of the expected co-financing of US\$ 9,122,500. The potential for additional resources is also high now that other donors (e.g. UNDP, AfDB, FAO, IDB) can see some results from IEM Project. The key message from this Table however is that at project formulation stage, most projects tend to overestimate expected co-financing, and this should be taken into account in evaluating GEF projects.

Overall Financial Planning and Control: Satisfactory

⁶⁶ See Annex 13

⁶⁷ See Annex 2 - List of persons interviewed

⁶⁸ See Project document- Annex 4- item 2- Project Document Executive Summary

⁶⁹ See Annex 2 - List of persons interviewed - RSC/NTC- Niger,

⁷⁰ See Annex 2 - List of persons interviewed - UNDP

⁷¹ Excluding in kind contribution.

J. UNEP Supervision and Backstopping

3.86 Consultations with Regional Project Coordinator⁷² indicated that the UNEP-DGEF Task Manager was always supportive and responsive to proposals and suggestions from the RSC and the executing agency- ICRISAT. Examples of the Task managers engagement include the participation in the RSC meetings, and the role in sensitizing and promoting the adoption of the Bilateral Agreement- which called for high level intervention.

3.87 The IEM project did not encounter any major problems at implementation level, and any issue requiring UNEPs attention was addressed promptly.

UNEP Supervision and Backstopping: Satisfactory

K. Complementarity with UNEP Medium Term Strategy and Programme of Work

3.88 UNEP has prepared a Medium Term Strategy 2010-2013 in response to the request of the decision 24/9 of the Governing Council. The MTS sets out the overall framework of actions of the organization in six cross -cutting thematic priorities: 1. Climate Change; 2. Disasters and Conflicts; 3. Ecosystem Management; 4. Environmental Governance; 5. Harmful substances and Hazardous waste; and 6. Resource efficiency- Sustainable Consumption and production.

3.89 The IEM project is relevant and in alignment with the thematic area 3, but also obliquely touches on all except No. 5.

Project contributions that are in-line with the Bali Strategic Plan (BSP)⁷³

3.90 The Bali Strategic Plan for Technology Support and Capacity-Building underpins, among others, the need for a more coherent, coordinated and effective delivery of environmental capacity-building and technical support at all levels and by all actors, in response to country priorities and needs. Component 2 of the IEM project targets capacity building for conservation and management of transboundary resources- and thus contribute to UNEPs Bali Strategic Plan.

South-South Cooperation:

3.91 Although the two countries are in the same agro-ecological zone-sharing common ecosystems, the level of development with regard to available resources for research and development are very different. Nigeria is in this regard way ahead in research and demonstrations with regard to drylands management, agroforestry and other technologies relating to ecosystem management, including shelterbelts. Niger on the other hand has more experiences with transhumance and coping mechanisms with respect to conflict management. The coming together of the two in context of the integrated management of the shared ecosystems therefore presents an opportunity for south-south cooperation through exchange of resources, technology, and knowledge between the two. IEM project is already supporting this process by sponsoring exchange visits of local communities between the two countries⁷⁴.

⁷² See Annex 2 - List of persons interviewed - RPC

⁷³ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

⁷⁴ See Annex 2 - List of persons interviewed - Katsina Pilot site.

4. CONCLUSIONS

4.1 This section aims at answering the four key questions raised in the TOR⁷⁵:

- 1) *How significant was the project's contribution towards improvement of the livelihoods of local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger?*

The project contributed significantly to creating awareness and establishing enabling conditions for more effective management of transboundary resources. It has set up a stage for the full implementation of the CBDPs and their up-scaling to include full-scale community involvement in planning and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods in the project second phase. The challenge will be in the up-scaling in the 2nd phase, and the need to review and reorient project activities to ensure realignment with result-based targets and outputs/outcomes, involving the Regional Steering Committee.

- 2) *How significant was the project's contribution towards strengthening the legal and institutional frameworks in Nigeria and Niger to enable Integrated Ecosystem Management?*

This project has made good progress in putting in place the necessary institutional and legal frameworks- (the **Bilateral Agreement**) that include a proposal for setting up a Project Management Support Unit (PPMSU) within the Nigeria-Niger Joint Commission (NNJC). The implementation of the proposal will contribute greatly towards strengthening of the NNJC and enabling it to play a more effective role towards the sustainable management of shared transboundary resources between Niger and Nigeria. It is however noted that local and community level institutional strengthening is needed for effective sustainable management of shared transboundary resources.

- 3) *To what extent was the project able to strengthen the capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources, and reduce vulnerability to environmental variability and change?*

The project made good progress towards strengthening the capacity of NNJC., The project has put in place a *GIS/data gathering system* as a facility for mapping; carried out diagnostic studies⁷⁶ to document major issues and challenges facing the ecosystems in the transboundary areas between Niger and Nigeria; set up a *website* (www.nnjc.net) for information dissemination and knowledge sharing; and publishes a *Newsletter* (*MUHALLI*- meaning Environment)⁷⁷- whose focus is on Major Issues facing transboundary areas between Nigeria and Niger.

⁷⁵ See Annex 8.-TOR for the IEM TE- section on “Objective and Scope of the Evaluation”

⁷⁶ See Annex 4- documents consulted

⁷⁷ See Annex 4- Item 24.

- 4) *Did the project enhance planning, harmonization and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods?*

This project established a network of pilot demonstration sites including the 24 Community-Based Development Plans (CBDP), 11 of which are already under implementation. Key interventions at pilot sites include demonstrations on community woodlots, tree nurseries, agroforestry/eco-farm, sand dune fixing in degraded areas and improved cooking stove technologies and practices. Generally small in scope and capital intensive, the critical value addition is demonstrating that these technologies work under the socio-economic and environmental conditions; capacity building and awareness creation at both local and community level; and in catalyzing government and other partners to focus on IEM in transboundary areas.

4.2 In addition, the evaluation concludes:

- 5) Both the concept and approach adopted for IEM project are well founded and consistent with the objectives and interventions the project set out to achieve. In particular, the project design includes institutional strengthening for sub-regional integration, harmonization and cooperation in strategies for the management of transboundary natural resources; and capacity building at community level for planning and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods. At operational level however, the evaluation found some of the expected outcomes/outputs too ambitious and not attainable. For example interventions at local/community level were expected to lead to 10% increase in household incomes due to improved management of natural resources at 24 pilot sites by end of phase 1. Also at intervention level, there was some overlap and duplication of activities under several outputs, which made it difficult to figure out which output was being targeted.
- 6) IEM project activities have created significant awareness and other enabling conditions for more effective management of transboundary resources, and has set the stage for full implementation of these Community-Based Development Plans and the up-scaling to include full-scale community involvement in planning and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods in the second phase. The second phase must however give priority to capacity building at local/community level for effective realization of this outcome.
- 7) IEM has a high likelihood of generating important experiences and lessons on how to address key issues that are unique to transboundary ecosystems such as the mixed results of fragmentary and isolated interventions in the different countries but within the same ecosystem. Little learning, documentation and dissemination has taken place in the first phase. This should be a focus area in the second phase.
- 8) This project served to demonstrate that operationalizing the IEM concept is possible and can contribute to sustainable management of shared transboundary resources. It is however imperative that there is not only institutional and regulatory frameworks at NNJC level but also at local community/catchment level to guide the conservation and management of shared ecosystem

resources- in form of by-laws and legal instruments to facilitate enforcement and decentralized governance of local resources

- 9) The project focused on Community-Base Natural Resource Management (CBNRM) - a good adaptive management strategy to catch the attention of local communities. However, it could be argued that this has been at the expense of attention to integrated management of shared water resources- considered the most critical transboundary resource.
10. ICRISAT is performing the role of an Executing Agency but limited to monitoring the financial management and control on behalf of UNEP. The TE team however is of the view that as the Executing agency, ICRISAT is expected to carry out a program of regular visits to project sites to supervise activities, and to ensure integrity of procurement and funds management in the field. This however is not the case at the moment.
11. Key issues and challenges in the implementation of the IEM project include the delayed implementation of the field level activities under component 2&3, and occasional delay in release of cash advance due to delay in submission of financial reports from the field. These had effects on project performance. It is also noted that some of the expected outputs/results as per original document were overly ambitious and unachievable relative to time period and funding levels.
12. A monitoring system has been put in place as per the M&E plan, and it is functioning. The TE notes however that its effectiveness is constrained by limited baseline data, and limited learning opportunities (e.g. mid-term Review provided for but not implemented).
13. **Overall rating:** The TE Team evaluates the project performance Satisfactory, noting in particular that it has made significant progress towards “*establishing sustainable conditions for integrated ecosystem management for improvement in the livelihoods of the local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger.*” as expected, and making it more than likely that most of the project goals and objectives will be achieved by the end of phase 2, capitalizing on the investments and lessons gained to date.

Overall Ratings Table

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of Project Objectives and Results (overall rating) Sub criteria (below)		Satisfactory
A. 1. Effectiveness - overall likelihood of impact achievement (ROtI rating)	The Bilateral Agreement- signed and endorsed by the two governments ready for implementation; the 24 CBDPs in place, 11 already initiated (pilot sites) ready for full implementation-up-scaling. Good progress given limited resources and delay in initiating field activities.	Satisfactory
A. 2. Relevance	Relevant to GEF's OP 12 on Integrated Ecosystem Management; already generating benefits in <i>land degradation, biodiversity, international waters and climate change</i> ; and in line with the <i>Land Use Management and Soil Conservation Policy of UNEP</i> - (UNEP/GC.22/INF/25); the UNEP Medium Term Strategy 2010-2013; UNEPs Bali Strategic Plan and the South-South Cooperation.	Highly Satisfactory
A. 3. Efficiency	Efficient technologies being promoted; but 2 year delay in starting field activities; IEM using 25% of budget on salaries; some interventions (wire fencing) not cost-effective; and relatively less efficient compared with similar project. Considering also the difficult/remote environment in which project is being implemented	Moderately Satisfactory
B. Sustainability of Project Outcomes (overall rating) Sub criteria (below)		Moderately likely
B. 1. Financial	The two governments already committed to funding phase 2 through GEF trust funds and co-financing, e.g. \$50,000 by Niger in national budget; high probability that the proposed Project Programme Management Support (PPMS) unit within NNJC will be functional by end of phase 2; and numerous programmes and projects complementing IEM.	Likely
B. 2. Socio Political	IEM highly relevant to national policies, strategies and programmes for poverty alleviation and sustainable management of shared cross-border resources; and greater awareness of linkage between poverty and environment at regional, national and community level	Highly likely
B. 3. Institutional framework	Strengthened NNJC for coordination and management of the ecosystem resources in the transboundary area between Niger and Nigeria; but need to strengthen institutions at catchment/local community level- Local Bilateral	Moderately Likely

Criterion	Evaluator's Summary Comments	Evaluator's Rating
	Committees.	

Criterion	Evaluator's Summary Comments	Evaluator's Rating
B. 3. Institutional framework	Strengthened NNJC for coordination and management of the ecosystem resources in the transboundary area between Niger and Nigeria; but need to strengthen institutions at catchment/local community level- Local Bilateral Committees.	Moderately Likely
B. 4. Environmental	Project contribution to conservation and sustainable management of ecosystem natural resources and in particular the water, land, biodiversity, wildlife and livestock resources in the transboundary area between Niger and Nigeria. Potential transboundary/inter-community conflicts	Likely
C. Catalytic Role and Replication	Project already creating awareness and knowledge on the linkages between environmental management and livelihoods among the rural communities; Significant lessons/experiences expected in implementing the NNJC-Bilateral Agreement.	Satisfactory
D. Stakeholder Participation/ Public Awareness	Satisfactory participation by executing /implementing partners (UNEP/ICRISAT, Governments); but others not effective- the GM, organizations, Local Bilateral Committees, and communities. MUHALLI Newsletter and the website main products relating to public awareness.	Moderately Satisfactory
E. Country Ownership/ Drivenness	Concerned Government ministries playing an important role in the Regional Technical Committee (RTC), Regional Steering Committee (RSC), and the National Technical Committee (NTC) meetings ⁷⁸ as mechanism for decision making, project implementation and M&E; Role of community institutions not as effective.	Satisfactory
F. Achievement of Outputs and Activities	Key outputs-Bilateral Agreement; strengthening of the NNJC including for M&E; the 24 CBDP, 11 of them under implementation; training and awareness creation. Taking note of delay in starting field activities, limited resources; and some phase 1 objectives/targets not achievable.	Satisfactory
G. Preparation and Readiness	Project objectives clear, some outputs were hardly practicable, nor measurable; partnership arrangements not adequately considered at design stage; Effectiveness of ICRISAT in fund management not fully satisfactory	Moderately Satisfactory

⁷⁸ See Annex 5, items 5,6 and 7

Criterion	Evaluator's Summary Comments	Evaluator's Rating
H. Implementation Approach and Adaptive Management	Effective implementation mechanism (RSC, RTC and NTCs)- issue of turn-over of institutional representatives at meetings; Some key partners missing- LBCs; Adaptive management practiced (e.g. involving ICRISAT as executing agency; establishment of Local Project Units; establishment of Local Project Implementation Committees- not in original document.	Satisfactory
I. Monitoring and Evaluation (overall rating) Sub criteria (below)		Satisfactory
I. 1. M&E Design	A monitoring and evaluation plan was included in the Project Document, designed to monitor project execution, performance and impacts;	Satisfactory
I. 2. M&E Plan Implementation	Monitoring and Evaluation Unit established and functional. Quarterly and annual technical and financial reports regularly prepared as scheduled, one monitoring mission by NNJC and one regional workshop on monitoring. These had significant impact on project performance. Issue of MTR, scheduled but did not take place	Satisfactory
I. 3. Budgeting and Funding for M&E activities	The IEM project document had a provision for M&E- US\$ 36,000.	Satisfactory
J. Financial Planning and Control	Effective financial planning and control ensured through ICRISAT- Financial reports and auditing indicate no issues; due diligence maintained. No means to confirm application of resources to activities for which they are allocated- issue of budget format	Satisfactory
K. UNEP Supervision and Backstopping	Technical backstopping and guidance (through contributions at RSC meetings and through electronic medium) reported timely and with significant effect on performance of the project.	Satisfactory
Overall Rating		Satisfactory

5. LESSONS

- 4) The main output from Phase I of IEM-NN is the Bilateral Agreement that includes a proposal for setting up a Self-Funding Programme and Project Management Support Unit (PPMSU) within the Nigeria-Niger Joint Commission (NNJC). However, it is becoming more apparent that it will take much longer to get the necessary endorsements from the principal partners, the Governments of Niger and Nigeria. This is particularly so because the decision-making process must involve each partner at highest political level because of the need to protect national interests, including the sharing and use of national capacity (human and financial) on activities within the transboundary zone. Future IEM-type projects will need to take the politics of bilateral relations into account in project design. Adequate time should be allocated at the preparatory state of the project to allow for the creation of enabling conditions.
- 5) The time needed to establish implementation structures (Local Project Units in the field) was the most significant cause of delay in launching field activities of IEM, leading to delay in meeting expected targets. This delay should have been expected since the project was to take place in the generally remote transboundary zone with few ongoing development activities- and should have been already noted as part of the project baseline⁷⁹. *Future GEF and similar projects should specifically include an analysis of the development context of the project as part of the baseline (in terms of other on-going projects being implemented in the area with support from other development partners and opportunities for Complementarity and synergy), and ensure that this is taken into account in the work planning and budgeting process.*
- 6) The IEM project interventions at catchment level have spurred technology uptake relating to sustainable management of natural resources (soil and water conservation, tree planting, sand dune fixation) on private farmlands-albeit at a limited scale. For example, in Gochalo pilot site in Tagwai El Fadama Catchment area – Zinder in Niger, 15 individual farmers have already picked the new sand dune fixing technology and are applying it on their own farms. The farmers were able to assimilate this technology because basic inputs e.g. tree seedlings and training on sand stabilization techniques were made available by the project. This is an important aspect in promoting rural livelihoods; capacity building via socio-economic empowerment, enhancement of local level decision making and development of new knowledge and skills together with providing the necessary basic inputs should be taken into consideration in future similar projects. *In order to enhance this uptake, some key intermediate states must be fulfilled: financial resources need to be available; and community participation and involvement need to be enhanced in order to promote ownership at local community level.*

⁷⁹ See Annex 5 item 2- Project Document Executive Summary- section on

6. RECOMMENDATIONS

The following recommendations are made on the premise that Phase II of the IEM-NN should focus on consolidation and up-scaling of the successful interventions and activities, taking into account the experiences and lessons learned from Phase I.

- 7) The IEM project was designed as a 8 year project with two consecutive phases. Phase one of the project was officially closed in June 2010, but the decision of the status of phase two is still to be communicated to the principal partners. *It is recommended that GEF/UNEP move quickly to communicate the status of II phase to release the funding for Phase II of the IEM project in order to avoid or at least mitigate the effects of a break in the delivery of services to activities in the field.*
- 8) The TE Team took note of the high level of political will on the part of the Governments of Niger and Nigeria, including commitment to funding of Phase 2 (Niger already allocated \$50,000 in the 2010/11 **financial** year budget; and Nigeria has committed \$500,000 per year for Phase II- a total of 2 million)⁸⁰. *It is recommended that UNEP-DGEF- Task Manager in collaboration with Nigeria- Niger Joint Commission (NNJC) /**Regional Coordination Unit** initiate immediate consultations with concerned Governments to ensure that bridging funds (co-financing **in cash** and in kind) are made available to IEM project while awaiting release of funds from GEF 5*
- 9) The TE Team review of the Projects Logical Framework suggested that some of the expected outcomes and objectives were overly ambitious within the available resources and time frame. Some of these outputs and outcomes were not measurable or results-oriented. In addition, the TE team finds that the activities at catchment level have focused on natural resource management (soils and trees) and less so on integrated water resource management. It was also noted that little learning, documentation and dissemination has taken place in Phase I of the project. This should be a focus area in the second phase. *It is recommended therefore that UNEP-DGEF- Task Manager in collaboration with Nigeria-Niger Joint Commission (NNJC)/Regional Coordination Unit, undertake a review and revision of project document as well as the project's Logical Framework in readiness for Phase, II in order to harmonize and realign activities to the expected outputs and objectives, taking into account also the findings of this Review and in particular:*
 - a. *Need to shift the focus towards water resource management. This should include integrated water resource management plans for each of the four target catchments.*
 - b. *Need to include strengthening of Local Bilateral Committees (LBCs) as part of the project activities so that they can effectively play the role of coordination and exchange of information between the various catchments in the target transboundary areas, with focus on status and use of shared resources.*
 - c. *Need to review and re-assess the MOU with ICRISAT (International Crop Research Institute for the Semi-Arid Tropics) to ensure that it is able to play the full role of an Executing Agency including both, technical and financial management and administration*
 - d. *Need to give more attention to learning, documentation and dissemination of lessons and experiences from IEM.*

⁸⁰ See Briefing notes from meetings with NTCs.

- 10) The Evaluation considers that in order for the Phase II of the IEM NN to start immediately as soon as the financial resources are made available, it is imperative that the *Nigeria-Niger Joint Commission (NNJC)/Regional Coordination Unit move quickly to prepare the IEM NN Workplan for 2010/2011 with associated budget, taking into account the proposed adjustments to the project's Logical Framework in readiness for Phase II.* This should take place before End of February 2011.
- 11) This TE is the first major external evaluation, the project having lost the opportunity of a mid-term review⁸¹. The TE team also notes that the project document was not subjected to a review-which normally is part of the Project launch workshop which did not take place; and project has not held an Exit Strategy Workshop that should normally take place at the close of the project. The TE team considers it most necessary that Regional Steering Committee meeting (RSC) gets an opportunity to review and deliberate on IEM's progress, achievements and lessons emanating from Phase I, and to agree and make recommendations on the way forward for Phase II. *It is therefore recommended that UNEP-DGEEF, in collaboration with the NNJC/RCU convene a Regional Steering Committee meeting (RSC) which would serve also as a launching workshop for Phase II of IEM. This should take place by end of February 2011.* The workshop agenda should include:
- *Review and endorse as appropriate the findings and recommendation of this Terminal Evaluation.*
 - *Review and endorsement as appropriate the proposed revisions to project logical framework for phase II.*
 - *Review and propose changes to roles and responsibilities of the implementing and executing partners (e.g. that of ICRISAT).*
 - *Review and endorse the project Workplan for 2010/2011.*
 - *Develop an exit strategy for Phase II of the project.*
- 12) The IEM project approach and experiences at sub-regional level (focus on integration, harmonization and cooperation in strategies for the management of transboundary natural resources') are clearly valid and effective, and should be of great interest to other countries with shared transboundary resources. The challenge however remain with regard to activities at catchment level which, in the case of IEM-NN, remain community/area specific and fragmented, and could result in negative externalities, such as downstream siltation and water shortage *This point to the need for the NNJC to build up a mechanism to ensure cross-border and/or inter-community coordination of activities and exchange of information on the status and present use of the cross-border natural resources in Phase II of the IEM project.*

⁸¹ See under section on M&E.

7. ANNEXES

- Annex 1: Final programme for the TE of the IEM project 17 – 30 October 2010
- Annex 2: List of persons interviewed
- Annex 3: Evaluation Framework - (Benchmarks and Indicators - Questionnaire)
- Annex 4: Key documents reviewed
- Annex 5: Review of outcomes to Impacts (ROtI)
- Annex 6: Assessment of Quality and quantity of outputs- Niger-Nigeria IEM Project
- Annex 7: Review of activities undertaken by the IEM project in line with the M&E plan
- Annex 8: IEM Nigeria/Niger Project Management Structure
- Annex 9: Terms of Reference for the IEM Phase 1 Terminal Evaluation
- Annex 10: Co-Financing and Leveraged Resources
- Annex 11: Cumulative Budget and Expenditure through June 2010
- Annex 12: Co-financing Status in IEM NN Project
- Annex 13: Signed statement of accounts- year ended 31 Dec. 2009

Annex 1. Final Programme for the TE of the IEM Project 17 – 30 October 2010

Date	Time	Activity
16/10	-	Arrival of Dr. Mathu in Niamey
17/10	1700-1900	Meeting with Prof. Oladipo and Namata on work planning and technical issues
18/10	0900 - 1300	Meeting with NNJC and the Regional Coordinating Office – RCU (Niamey)
18/10	1300 – 1400	Lunch
	1430 - 1700	Meeting with Government and other partners (Niamey)
19/10	0900 - 1100	Meeting in the National Coordinating Unit - NCU for Niger
	1100 - 1200	Travel to ICRISAT
	1200 - 1300	Lunch in ICRISAT
	1300 - 1600	Meeting(s) in ICRISAT
20/10	0900 - 1700	Any other necessary meetings and further clarifications in the RCU and NCU
21/10 – 27/10	All Day	Field Visits
28/10	0900 - 1200	Meeting with National Coordinating Office – RCU (Abuja, Nigeria)
	1200 – 1400	Lunch
	1430 - 1700	Meeting with Government and other partners (Nigeria)
29/10	All Day	Rounding up meetings - Nigeria
30/10		Departure to Nairobi

Annex 2. List of Persons Interviewed

Institution/organization	Person met and Title
UNEP H/Q Nairobi	• Dr. Mohamed Sessay The UNEP/GEF Project Task Manager- (mohamed.sessay@unep.org) • Mr. Rodney Vorley - The UNEP/GEF Fund Management- (rodney.vorley@unep.org) • Mr. Segbedzi Norgbey, Chief, UNEP Evaluation Office- (segbedzi.norgbey@unep.org) • Tiina Piironen- Evaluation Officer- EO- [Tiina.Piironen@unep.org]
NNJC/RCU- Niamey	• Prof. Olukayode Oladipo- RCU- the Project Manager- (olukayode_oladipo@yahoo.co.uk) • Ambassador Kabiru Garba, Secretary General, NNJC • Meeting attended also by key staff of the Commission: • Ambassador SANDI YACOUBA- Deputy SG, NNJC • OUSSEINI AMADOU SERKIN RAPHI- Director Economic Affairs/NNJC
ICRISAT- Niamey	• Dr. Farid Waliyar- Director, ICRISAT West and Central Africa • Mr. Hassane Amadou- Finance Manager
RSC/National Technical Committee, Niger	• PS, Ministry of Environment and Water- Mr. • Director, Water Department, • National Focal Point for Conventions, • NTC members
National Coordinating Unit- Niger	• National Project Coordinator • Accountant • M&E Expert • NCU staff members
Konni LPU– Maggia/Lamida Catchment area= Niger	• Field Station Staff- Abraham Abdou the Assistant Programme Manager, three Extension Officers and an accountant • Sultan of the Canton of Dograwa- a traditional leader • Tsenour site -Village Development Committee and Chairman- Abdou Karim Abarchi. • Dagrawa site- Development Committee committee and chairman (Abdou Issiaku), • Niya Da Kokari Women Group and Chairlady (Igi Adah)
Maradi RPO, Goulbi-Maradi catchment area- Niger	• Assistant Programme Officer, Malik Abubakar and project staff: • Head of the Prefecture of Maladi- Hamadou Haroune Sidikou • Mayor of the Maradi Region- Hama Issa • The Permanent Secretary of the Governor of Maradi region • Souloulou pilot site- PIC community members: Chief of the village (Saidu Damakeri) as chairman of the CPIC
Zinder RPO- Tagwai El Fadama Catchment area- Niger	• Assistant Programme Officer- • Regional Director of Environment (Ahmadou Mohamed; • Mayor of Magaria- Seibu Tamou Dari • Gochalo pilot site- CPIC members lead by their Mayor
National Coordinating Unit- Nigeria	• Dr. ABubarkar Hasan- National Project coordinator.

RSC/RTC and NTC- Nigeria	• Dr. ABubarkar Hasan- National Project coordinator. • Patrick Esene- Technical Assistant • Mrs. Halima Mohammed- Representing Ministry of Environment • Project Accountant
Dutse LP Office - Jigawa and Kano States, Nigeria	• Dutse Local Project Office Staff • Dan Gwanki pilot site- CPIC members with secretary- Musa Issa • Yadai pilot site- PIC members and Chairman- Usman Umar.
Katsina LPU Office, Katsina State, Nigeria	• Assistant Programme Manager- Munir Yahaya • Yan Mashi District Head- a traditional leader • Sub-Emir- Alhaji Kabiru Aminu Ibrahim • Secretary to local government Council of Maddatai- Alhaji Adamus • Nakaye Pilot site- CPIC members-chairman- Imam Liman Badanasi and Chief Lawali Issa). • Maddatai pilot site- CPIC members with Chairman, Village head- Ibrahim Shehu, Local Government representative- Dahiru Hassan, and the Assistant Director of Forest, State Government MoAgr).
UNDP Nigeria	• Mr. Odele Muyiwa- Team Leader, Environment and Energy Unit, UNDP- Nigeria

Annex 3: Evaluation Framework - (Benchmarks and Indicators - Questionnaire)

Terminal Evaluation of the UNEP GEF project

“Integrated Ecosystem Management- IEM”

• Attainment of Objectives and Planned Results: <i>was the project been effective in achieving the objectives and expected outcomes</i>	
• Effectiveness: use of the <u>Review of Outcomes to Impacts (ROtI)</u> method to establish this rating. • Relevance: project’s outcomes consistence with the focal areas/ operational program strategies; their nature and significance of the contribution of the project outcomes to the relevant GEF Operational Programmes; and the relevant UN Conventions and the wider portfolio of the GEF. • Efficiency: Level of contribution of cash and in-kind co-financing; additional resources leveraged by the project; the cost-time vs. outcomes relationship of the project with that of other similar projects.	• <i>What is the overall likelihood of impact achievement?</i> • <i>If nothing more is done, will the project achieve positive long term impacts for the project sites (5-10 years)?</i> • <i>Were the project’s outcomes consistent with national/regional and GEF priorities?</i> • <i>Was the project cost effective?</i> • <i>Was the project implementation delayed, and did that have an effect on cost effectiveness?</i> • <i>Did the project build on earlier initiatives; make use of scientific information and data?</i>
B Sustainability	
• Availability of financial resources for continuation of project outcomes and impacts • Socio-political reforms for enhancing continuance of the project outcomes and impacts • Institutional reforms and governance frameworks in place to promote continuation of outcomes and impacts	• <i>What is the likelihood that financial and economic resources will be available once GEF Assistance stops</i> • <i>To what extent will the outcomes of the project be dependent upon continued financial support?</i> • <i>Are there any social or political risks that may jeopardize sustenance of project outcomes?</i> • <i>What is the risk that the level of stakeholder ownership will be insufficient to allow the project outcomes to be sustained?</i>

• Environmental measures and infrastructures to ensure sustainability of project outcomes and impacts	• <i>Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?</i> • <i>Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project?</i> • <i>To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks and governance?</i> • <i>What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for the project outcomes/benefits to be sustained?</i> • • <i>Are the required systems for accountability and transparency and the required technical expertise in place to continue.</i> • <i>Are there any environmental risks that can undermine the future flow of project environmental benefits?</i> <i>Are there any activities in the project area that will pose a threat to the sustainability of the project outcomes?</i>
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C. Catalytic Role and Replication:	
• Briefings/Interview with project Manager/implementing partner • Participation of representatives of other projects/programmes in IEM organized workshops and seminars (see Workshop Reports) • Look out for documentation of lessons/experiences from the project	• <i>What examples are there of other areas, in Africa or elsewhere, that are building on the lessons and experiences of this project?</i> • <i>Are there examples of the lessons and experiences learned in this project being advanced and expanded on by other funding sources?</i>
D. Stakeholder Participation/Public Awareness	
• Project Document analysis of Stakeholders- identification of roles • Interviews with key stakeholder representatives • Feedback from community group representatives • Look out for capacity building strategy in the project document	• <i>Were the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country successful? What were the strengths and weaknesses?</i> • <i>Were collaboration/interactions between the various project partners and institutions during the course of implementation of the project effective?</i> • <i>Were public awareness activities undertaken during the course of implementation of the project effective?</i>

E. Country Ownership/Driveness	
- Assessment of extent to which project activities/approach has been integrated into national planning and development process. - Participation/contribution of Governments to project budget (co-financing)	<i>Was the project effective in catalyzing action taken by the authorities in the countries that received assistance from the project? What actions?</i> <i>What is the level of country commitment to facilitating financial and in-kind contributions to the project?</i> <i>Are there Government budgetary allocations towards continuation of project activities?</i>

F. Achievement of Outputs and Activities	
- Analysis of Project Logical Framework relative to expected outputs - Review of MTR/progress Reports - Briefings/interviews with stakeholders	<i>Were all expected outputs of the project delivered as programmed?</i> <i>Were all expected outputs of the project delivered useful and on time?</i>
G. Preparation and Readiness	
- Review project document - Review Project Launch Workshop Report - Look for baseline studies	<i>Were the project's objectives and components clear, practicable and feasible within its timeframe?</i> <i>Were the capacities of executing institutions and counterparts properly considered when the project was designed?</i> <i>Were lessons from other relevant projects properly incorporated in the project design?</i> <i>Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation?</i> <i>Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?</i>
H. Implementation Approach and Adaptive Management	
- Analysis of the project's management framework, - Adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, - Changes in project design, and - overall project management.	<i>Have project steering committee meeting decisions been followed?</i> <i>Effectiveness and efficiency and adaptability of project management – day to day as well.</i>

I. Monitoring and Evaluation	
- Review M&E design in Prodoc.-assignment of responsibility - M&E outputs (Annual/quarterly Progress Reports, MTR, others) - M&E mission recommendation and follow-up	- Was An M&E system in place and did it facilitate timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logical framework or similar)?; - Were annual project reports and Progress Implementation Review (PIR) reports complete, accurate and with well justified ratings?; - Was the information provided by the M&E system used during the project to improve project performance and to adapt to changing needs?; - Did the project have an M&E system in place with proper training for parties responsible for M&E activities.
J. Financial Planning and Control:	
- Financial Audit Reports - Budget Revision Reports - Interview with UNEP/GEF Fund Management Officer of the project	- Was the strength and utility of financial controls, including reporting, and planning sufficient to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables? - What was the Actual final project costs compared to budget? - Were there major findings from financial audit? - What were the main sources of co-financing – How much, timeliness? - Was there adequate oversight and financial control?- Appropriate standards of diligence. - Final and actual costs?-
K. UNEP Supervision and Backstopping	
- Assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF. - Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.	- Were there any critical managerial or administrative events in the course of the project implementation and how were they addressed? - What was UNEP/DGEF's role/response (timeliness, effectiveness)?
L. Complementarity with UNEP Medium Term Strategy and Programme of Work	
Analysis of UNEP's MTS/POW, Bali Strategic Plan and the South-South Cooperation frameworks.	How relevant were the project contributions to UNEP's Expected Accomplishments; the objectives of UNEP BSP; and the S-S Cooperation?

Annex 4. Key Documents Reviewed

1. IEM Project Document- Full Project Brief- 2005
2. IEM Project Document- Executive Summary- 2004
3. Nigeria-Niger PIR 2010- Progress Reporting
4. Project Operational Manual- November 2006
5. Report of the 1st meeting of the RTC and RSC- 26-28 June 2007
6. Report of the 2nd meeting of the RTC and RSC- 23-25 June 2008
7. Report of the 3rd meeting of the RTC and RSC- 23-25 June 2009
8. Project Management Inception Report- August 2006
9. M&E Manual 2007
10. Annual Workplan and Budget- July 2009- June 2010
11. Annual Workplan and Budget- July 2008- June 2009
12. Annual Workplan and Budget- July 2007- June 2008
13. Annual Workplan and Budget- July 2006- June 2007
14. 3rd Annual progress Report July 2008- June 2009
15. 2nd Annual progress Report July 2007- June 2008
16. 1st Annual progress Report July 2006- June 2007
17. Agreement on the Regulatory and Institutional Framework for the Management of the Transboundary Ecosystems between the Federal Republic of Nigeria and the Republic of Niger
18. Situation of the efforts made in terms of mobilization of additional resources- a Synopsis- June 2009
Community-based plans for conservation and shared use of Natural Resources (water, biodiversity and land resources) in the intervention zones of the IEM Nigeria/Niger Project
19. IEM- Achievements, Challenges, Lessons and Recommendations- a reflection note by the Project Coordinator- 2010.
20. Establishment of a Fund in terms of Sustainable Development- Final Report- May 2010
21. CBDP-Concept Note and TOR- by E Oladipo (RC) 2008
22. Community-based Development Plan for the sustainable Management of Natural resources- Dan Gwanki- Nigeria-May 2008
23. Technical Meeting on Activities- Evaluation- May 2010
24. NNJC Monitoring/Evaluation Mission to IEM Project Pilot Sites in Niger and Nigeria- A Back to Office Report- March 2009
25. Project Identification Form (PIF)- draft for IEM Phase II.
26. Newsletter MUHALLI- meaning Environment)- 1st Edition
27. Integrated ecosystem approach to sustainable use and conservation of natural resources to combat climate change – presentation by *Prof. Emmanuel Oladipo* to the second Lagos State Summit on Climate Change, 4 – 7 May 2010

Annex 5. Review of outcomes to Impacts (ROtI)

Results rating of project entitled:- on a scale of D-A	Integrated Ecosystem Management in the Transboundary Areas between Nigeria and Niger: Phase I: Strengthening of legal and institutional frameworks for Collaboration and Experimental demonstration of Integrated Ecosystem Management (IEM)- Project Number: GEF/GFL/2328-2770-4889					
Outputs	Outcomes		Intermediary		Impact (GEBs)	
Component 1: <i>Legal and institutional frameworks, planning, collaborative processes and financing mechanisms in place and functional by end of Phase</i>	Strengthened and sustainable institutions for effective integrated ecosystem management of transboundary natural resources in place and being used to guide MNR.	B	1. Advocacy and awareness creation 2. political goodwill 3. Institutional and legal frameworks are developed at catchment (LBC) levels. 4. Availability of financial resources for operationalizing the institutional and legal frameworks.	C	Contribute to/promote sustainable management of globally significant ecosystem resources: water, biodiversity, and mitigate land degradation and indirectly, the effects of climate change – <i>through policy and legal reforms</i>	BC ⁸²
Component 2: <i>Research-based and local knowledge and values identified, documented and being demonstrated and/or used at community level:</i>	Strengthened capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources, and reduce vulnerability to environmental variability and change.		1. Awareness creation, 2. Capacity building and skills development at government staff level 3. community empowerment through training and catalytic support		Contribute to/promote sustainable management of globally significant ecosystem resources – <i>through capacity building- see also the Bali Strategic Plan</i>	

⁸² See Annex 8-TOR for the IEM project, Annex 6- rating under ROtI methodology

Component 3: <i>Local institutions and communities participating in planning and implementation of CBDP- 24 pilot sites identified, CBDP prepared and under implementation; Up-scaling of implementation of the CBDP scheduled for 2nd phase pilot areas.</i>	Improvement/increase in (1) extent and composition of woody and herbaceous cover (2) land productivity (3) water quality and quantity in the shared catchments and (4) enhanced economic well being of the community members.	8. Capacity building and skills development at government staff level 9. community empowerment through training in Community Action Plans development and organizational/management skills. 10. Availability of financial resources	Promote stakeholder participation in IEM of globally significant ecosystem resources: water, biodiversity, and mitigate land degradation and indirectly, the effects of climate change – focus on action planning and implementation for IEM.
	Rating justification: Significant outputs have been realized- the Bilateral Agreement/proposed Programme and Project Management Support Unit (PPMSU); 24 pilot sites identified, CBDP prepared and 11 under implementation; and limited capacity development and awareness creation- taking into account delayed field activities and limited timeframe/resources	Rating justification: Significant intermediaries already taking place- political will, Governments’ commitment to Phase two co-financing, partners lined up (AfDB, IDB, FAO, UNDP), and increasing community awareness of links between poverty and environment. Note also this is a 2 phase project- Phase 1 for institutional strengthening, capacity building and pilot projects, and Phase 2 for out- and up-scaling across the shared catchments. It is expected main outcomes will start being realized at the end of the 2nd phase. Likelihood of achieving Phase 2 outputs and outcomes good, building on lessons from phase 1. Risks (1) that proposed institutional changes/restructuring to strengthen NNJC for IEM and the proposed PPMSU may not take off as rapidly as expected (2) vagaries of climate change, particularly drought.	Rating justification: The project goal is to establish sustainable conditions for integrated ecosystem management for improvement in the livelihoods of the local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger. GEBS will only be realized in the long term.

Annex 6. Assessment of Quality and quantity of outputs - Niger-Nigeria IEM Project

TOC component Activity- output linkages	Qualitative Assessment	Rating
Component 1. integration and cooperation strategies for management of transboundary natural resources.		
Output 1.1: <i>Functional legal institutional frameworks for coordination in the formulation and implementation of harmonized policies on conflict management and regulated access to benefits derived from the use of natural resources.</i> Activities: 1.1.1 Review and harmonization of relevant legal instruments and regulations in the two countries 1.1.2 Examination of the Maiduguri/Sokoto and Abuja Agreements with regard to biodiversity conservation, integrated ecosystem management and equitable sharing of benefits, and necessary steps taken to realise its potential and/or revise 1.1.3 Institutional evaluation of NNJC: identification of strengths, weaknesses and needs; preparation and implementation of a development plan, including a capacity building programme 1.1.4 Strengthening of institutions and processes for the management of natural resources including the prevention of conflict	The project focused on review and assessment of the NNJC capacity- activity 1.1.3, adopting the SWOT methodology. The TE Team reviewed this report- prepared by a consulting firm- Tadicon Water and Environmental Consultants. The report is substantive in terms of quality of background information and analysis of capacity gaps on the NNJC, as well as the recommendations- and is the basis on which the Bilateral Agreement is based. No evidence of outputs from other activities	Below average

Output 1.2: Strengthened institutions and mechanisms at, community and basin levels aiming at ensuring cooperation between partners, a fair representation of interests, the identification of strategies and the planning of water resource management are operational. Activities: 1.2.1 Development of Memorandum of Understanding between the Partners 1.2.2 Building democratic and accountable community-based organizations for mobilizing local human resources, private investments, and upward initiatives 1.2.3 Decision chain agreed; structure and process for identifying and implementing project activities at , catchment and community levels in place 1.2.4 Application of improved knowledge of natural ecosystems, their past and present management, and of causes and impact of degradation improved 1.2.5 Agreements on cross-border transhumance routes, facilities and access to water and grazing strengthened	Project focused on the development of the <i>Bilateral Agreement on Regulatory and Institutional Framework for the Management of the transboundary Ecosystems Between the Federal Republic of Nigeria and the Republic of Niger</i> – activity 1.2.1. The signing and endorsement of this framework by the two countries is the culmination of concerted effort by the project involving several a bilateral consultative process at both the NNJC and Ministerial level, lobbying and advocacy with key NNJC and key decision makers at country level; and the able leadership of the RCU at conceptual and technical level. Key issues: The signing and endorsement of this framework is a first step. Its operationalization is subject to existence of political will particularly at level, in form of ratification by the two governments of Niger and Nigeria; and the setting aside of the necessary budget allocation (yet to be quantified). The Government of Niger already acceded to this Agreement (through a decree by the Head of State- a military Government)⁸³, but the process in Nigeria may take time to ratify through its convoluted democratic process. Assessment of possibility of extra funding from the two governments suggests that this may be possible but in the distant future⁸⁴. Consultations at various fora indicated that there exists Local Bilateral Committees at catchment level, but these are relatively weak and ineffective, and would require substantial strengthening to be effective. Project delivered on activity 1.2.2- in form of establishment of democratically elected Community Project Implementation Committees (CPIC) which include women, and which are expected to play a central role in mobilizing community members for implementation of project activities at local level.	Above average
Output 1.3: A coordination mechanism for the funding of project activities between the two countries, at community and basin levels is	The eventual implementation of the <i>Bilateral Agreement (see above)</i> will lead to the setting	

⁸³ See the briefing with RSC/NTC- Niger- Annex 2

⁸⁴ According to Prof. Oladipo- RPC

<i>developed and established.</i> Activities 1.3.1 Development of a common fund and financial protocol to evaluate needs and manage financial allocations, manage partners' interests 1.3.2 Capacity building for financial administration at , catchment and community levels 1.3.3. Procedures and capacity for preparing and submitting pilot projects for financing in place	up of a self-financing <i>Programme and Project Management Support Unit (PPMSU)</i> within NNJC proposed the in. This in effect implies transforming and placing the current IEM to a functional unit, fully answerable to NNJC. This is an innovative proposal and is achievable in the short term: IEM already started preparation of several project proposals⁸⁵ some of which have been submitted to potential donors such as the AfDB, FAO, Islamic Development Bank, etc. with high probability of funding. Its success however is conditional to a strengthened NNJC. Impact achievement expected in the medium to long term	Average
Component 2. Strengthened capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources and reduce vulnerability to environmental variability and change.		
Output 2.1: <i>Research-based knowledge on the natural ecosystems of shared basins, their past and present management, the causes and effects of land degradation and drought improved and in used.</i> Activities: 2.1.1 Inventory and mapping of biodiversity, land and water resources and use 2.1.2 Analysis of population, livestock, and land use dynamics 2.1.3 Hydrological analyses and modeling of the catchments 2.1.4 Drought occurrence, impact analysis, and prediction modeling 2.1.5 Establishment/strengthening of GIS capability in the NNJC 2.1.6 Identification of biophysical and socio-	The project does not have the capacity, nor the resources needed to systematically carry out the large-scale monitoring of ecosystem resources at catchment level.	Below average

⁸⁵ Proposals to FAO, Africa Development Bank, etc. See Annex 2

economic indicators of project impact agreed and in use		
Output 2.2: <i>Local knowledge, values and practices related to economic and cultural criteria are documented and being used in natural resource management activities and programs.</i> Activities: 2.2.1 Community-based valuations of biological resources, using economic and cultural criteria, synthesized and stakeholder interests and implications for planning project activities understood 2.2.2 Incorporation of local values and knowledge into project databases 2.2.3 Use of local knowledge and values in planning and programme activities improved 2.2.4 Indirect incentives for small-scale private investments (savings, labour, skills) in sustainable natural resource management strengthened through and project policies	Baseline assessment studies on the ecosystem resources (water, land, biological resources, climate), and socio-economic conditions undertaken in all the 24 pilot sites- the basis for the preparation of the community-Based Development Plans. These studies involve a questionnaire administered by a technical staff of the Local Project Unit, working with local community- members of the CPIC. Data from these studies is fed to the central database maintained by the RCU- M&E Unit. From Dan Gwanki and Yadai Pilot sites examined by the TE Team found to be scientifically sound and adequate for planning purposes. One project Newsletter-MUHALLI⁸⁶- meaning Environment)- has been produced. This is an informative publication highlighting IEM activities, achievements, main technologies being piloted and the key challenges to integrated Ecosystem Management in transboundary areas.	Above average
Output 2.3: <i>Best management practices for a fair access to natural resources and the prevention of conflicts related to their use identified and promoted.</i>	The establishment of CPICs constitute a mechanism for building local consensus on equity in access to and benefits from sustainable management of natural resources (activity 2.3.1)and contributes to strengthening local institutions for equitable management of conflicts of interest, consultation, consensus building and equitable management of access to common	

⁸⁶ See NNJC website

Activities: 2.3.1 Building local consensus on equity in access to and benefits from sustainable management of natural resources 2.3.2 Strengthening of local institutions for equitable management of conflicts of interest, consultation, consensus 2.3.3 Strengthening of local institutions for equitable management of access to common pool resources 2.3.4 Community-based plans for improved management of degraded resources or areas prepared and initiated 2.3.5 Community-based plans for biodiversity conservation and tree planting and protection on woodlots or farms	pool resources (activities 2.3.2 and 2.3.3) 24 community-based Development plans CDBP) (pilot sites)- 12 in each country, and the implementation of 11 (5 in Niger, 6 in Nigeria) is in progress. The implementation of the others pending in view of non-availability of funds. The TE Team visited 6 of these pilot sites and made a detailed analysis of one- The Dangwanki Community, Sule Tankarka local Government Area, Jigwa State, Federal Republic of Nigeria. The CDBPs constitute a legal contract between IEM and the communities, an issue that would create a major disappointment should IEM fail to deliver. The plans are based on diagnostic studies (see under Output 2.2), highlighting the key issues to be addressed, priority actions/interventions to be undertaken with targets, a time-frame/work plan (4 years) and a monitoring plan and a budget (NNJC/IEM component: N5.5 million- about US\$35,000); Government N27.9 million, Community- in kind, N1.4 million; other donors- N7.5 million). Overall a comprehensive document- created high expectations. Issue will be capacity of CPICs to implement.	Above average
Output 2.4: <i>mechanism for the collection, exchange and dissemination of technologies, best practices and experiences established</i> Activities: 2.4.1 Establishment of a database on good practices at the NNJC, supported by a resource centre on sustainable and productive management of natural resources 2.4.2 Dissemination through bulletins, information, guides, technical support of partners, fora to exchange experiences, knowledge and know-how, all supported by a web site	The following were verified by the TE Team: - A functional data base system is in place as a mechanism for information dissemination and knowledge sharing - A website is in place (www.nnjc.net) for information dissemination and knowledge sharing - GIS equipment and data gathering system for the provision of real-time data and information on ecosystem parameters has been installed at the RCU offices⁸⁷. - A resource center under establishment at the RCU offices- housed by NNJC. These activities constitute strengthening the capacity of NNJC for coordination, resource mobilization and management of programmes and projects relating to IEM in transboundary areas.	Above average

⁸⁷ See Table 1, output 2.2

2.4.3 Capitalization of project experience in natural resource conservation at catchment and regional levels		
Enhanced planning and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation and increasing productivity to improve rural livelihoods.		
Output 3.1: <i>Population involvement in the planning and implementation process is extended to all stakeholders and direct incentive measures are put in place for community participation in project activities.</i> Activities: 3.1.1 Development of partnerships between the public and private sectors and civil society 3.1.2 Other stakeholder interests identified and dialogue initiated at all levels in multi-stakeholder policy fora 3.1.3 Development and implementation of a capacity-building programme for the technical services and local partners 3.1.4 Effective participation in community management plans of all stakeholders (including women and other vulnerable groups), through provision of direct incentives (financial, tours, competitions)	• 24 community Action Plans (12 in Niger, 12 in Nigeria) prepared⁸⁸ • Community representatives trained in strategic areas of NRM (tree planting, tree nursery management, sand dune fixation, etc. • A few communities in the Nigeria side benefiting from water coming from the boreholes. Project lacked a clear strategy to empower rural communities and community-based institutions (such as training on conflict management, projects planning and administration, etc.) such as the Local Bilateral Committees so that they can play a more effective role in the conservation, management and utilization of shared resources, particularly water and land resources within the catchment areas. This was expected to lead to 10% increase in household incomes due to improved management of natural resources at 24 pilot sites by end of phase 1- clearly not achievable.	Below average
Output 3.2: <i>Implementation of and community strategies for the collective conservation and</i>		

<i>use of water resources.</i> Activities: 3.2.1 Development and initiation of transboundary water management plans for each catchment (including data collection) 3.2.2 Feasibility studies of hydraulic development schemes (abstraction, utilization and demand management) carried out (including transfer from the Jibya Dam to irrigated land in Nigeria and Niger) 3.2.3 Schemes initiated within the scope of the Water Management Plans, and where ecologically, technically and financially feasible 3.2.4 Good practices (rain/flood water harvesting and other conservation measures) identified, promoted, and implemented where appropriate 3.2.5 Re-vegetation of catchment surfaces at risk from erosion 3.2.6 Fishery development plans agreed for each catchment, and potential for breeding, enhanced production, and producers' organisations strengthened or initiated	Not implemented	Below average
Output 3.3: <i>Implementation of and community strategies for the conservation and use of community lands.</i> Activities: 3.3.1 Bilateral protocols, initiation of regulatory measures for the conservation of common habitats and biodiversity (including reserved forests, protected species and trade in natural products) 3.3.2 Development of Catchment Management	Activity 3.3.1 relate to Output 1 Activity 3.3.1 relate to Output 2.3 and 3.1	Below

Plans for ecosystem management, and initiation of implementation through community-based plans 3.3.3 Community-based Management Plans developed within the above framework in partnership with local communities, developed and initiated. 3.3.4 Community-based surveys of known and available practices for sustainable management of natural resources on common or private land; Synthesis prepared 3.3.5 Identification of new and profitable alternatives for sustainable natural resources management and sustainable livelihoods identified, tested and evaluated; preparation of a guide on good practices for dissemination; testing and promotion initiated		average
Output 3.4: Promotion of knowledge, experiences and activities related to participatory and sustainable management in phase 2. 3.4.1 Using learning and experience for flexible planning and project management practice	Relate to Slated for Phase 2.	

Annex 7. Review of activities undertaken by the IEM project in line with the M&E plan

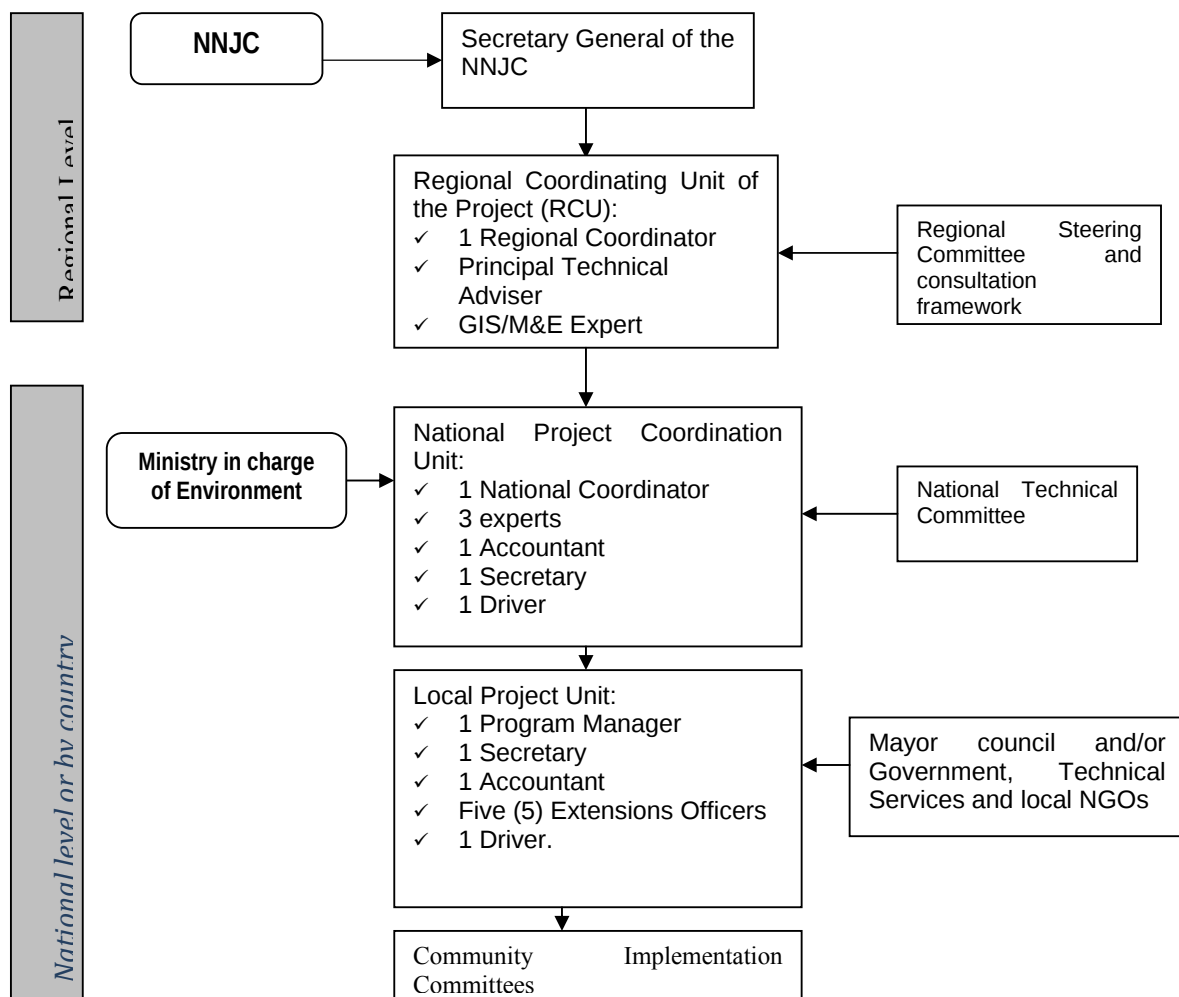
<i>M&E Activity</i>	<i>Responsible parties</i>	<i>Evaluator's findings/Observations</i>
Inception	IEM/NNJC	August 2006
Project Operational Manual M&E Manual	IEM/NNJC	November 2006 November 2007
Collection of baseline information	Oversight by IEM RPC	Assessment reports Capacity Assessment of the NNJC for Cooperation for IEM- no date Assessment of Resource Mobilization Situation- June 2009 Establishment of a fund in terms of Sustainable Development- May 2010 Assessment of baseline data for the 24 pilot sites in context of preparation of community-based Development Plans (CBDP)- basic data on socio-economic, bio-physical and environment data Most of these assessment reports remain in-house, and some are available in the Website. Most are based primarily on already available information and data (desk studies) Little follow up to promote use or dissemination of information in these reports
Quarterly and ad hoc progress reports- operational and financial	Regional Project Coordinator IEM Project with inputs from national coordinators/LPU Managers	Quarterly progress. Quarterly financial report- copies from ICRISAT Annual Financial Audited Report- copy from ICRISAT- see Annex 8 Budget Revision report from UNEP-Fund Manager Annual Report. 28. Annual Workplan and Budget- July 2009- June 2010 29. Annual Workplan and Budget- July 2008- June 2009 30. Annual Workplan and Budget- July 2007- June 2008 31. Annual Workplan and Budget- July 2006- June 2007 32. 3 rd Annual progress Report July 2008- June 2009 33. 2nd Annual progress Report July 2007- June 2008 34. 1st Annual progress Report July 2006- June 2007
Financial audit reports	ICRISAT/ UNEP fund manager	01 Aug 2005-31 July 2007 Report: Grant accountability statement: Proper books of accounts kept: Grant accountability statement gives a true and fair view of the financial position of the project.
Regional Technical/ Steering Committee (RTC/RSC) meetings	IEM, UNEP, National Coordinators	Three RSC meeting held, One meeting in Maradi- 207 One meeting in Kano- 208 One meeting in Tahoua- 209 RSC meetings heralded by RTC meetings. Reports well documented, but lack indication of review of previous meetings recommendations as basis for holding RCU/UNEP accountable.
National Technical Committee	IEM/National project Coordinators	Three NTC meetings have been held in each country, one every year since 2007

meetings		
Technical reports	Oversight by RCU- Project Coordinator Implementation by RCU- Project Coordinator	<i>Documents available from RCU Offices in Niamey</i> Community-Based Plans for conservation and shared use of Natural Resources (Water, Biodiversity and Land Resources) in the Intervention Zones of the IEM NN Project- Concept Note and TOR Draft Project proposals targeting AfDB, IDB and FAO The documents reviewed are generally of good quality from a technical and editorial perspective, but of limited application in context of the implementation of the IEM project.
Mid-term review	UNEP-DGEF	MTR anticipated in project every two years and funds budgeted-Not implemented
End of phase one Terminal evaluation	UNEP-EOU UNEP-DGEF and RPC	
Field visits	IEM – RPC/NNJC	NNJC and the project organized one project monitoring visit to IEM project Pilot sites- 4-11 March 2009. Participants included the NNJC Executive Secretary, the Assistant Secretary General, and the IEM RPC. Key issues were identified and follow-up activities proposed- <i>See back to the Office Report by Prf. Oladipo- RPC⁸⁹</i>
Review workshops	IEM – RPC/NNJC	The project organized one regional workshop involving all project staff from the two National Coordinating Units and from the RCU to reflect and make recommendations on how to address any perceived constraints to project implementation. SWOT methodology was used. Key issues were identified and follow-up activities proposed ⁹⁰ .

⁸⁹ See Annex 5, item 24

⁹⁰ See Annex 5, item 23

Annex 8. IEM Nigeria/Niger Project Management Structure



Annex 9: Terms of Reference for the IEM Phase 1 Terminal Evaluation

TERMS OF REFERENCE

**Terminal Evaluation of the UNEP GEF project GF/3010-05-17 (4889)
“Integrated Ecosystem Management of Transboundary Areas between Nigeria and
Niger (Phase I - Strengthening of legal and institutional frameworks for collaboration and pilot
demonstrations of IEM)”**

1. PROJECT BACKGROUND AND OVERVIEW

AGENCY’S PROJECT ID: GF/ COUNTRY: Niger and Nigeria PROJECT TITLE: Integrated Ecosystem Management of Transboundary Areas between Nigeria and Niger Phase I: Strengthening of legal and institutional frameworks for collaboration and pilot demonstrations of IEM GEF IMPLEMENTING AGENCY: United Nations Environmental Programme EXECUTING AGENCY(IES): United Nations Office for Project Services (UNOPS) DURATION: 4 Years GEF FOCAL AREA: Multifocal GEF OPERATIONAL PROGRAM: Integrated Ecosystem Management (OP12) GEF STRATEGIC PRIORITY: Integrated Ecosystem Management (EM-1) ESTIMATED STARTING DATE: October 2004 IA FEE: US\$382,000

Project rationale

The project “Integrated Ecosystem Management in the Transboundary Areas between Nigeria and Niger” consists of two phases; Phase I “Strengthening of legal and institutional frameworks for collaboration and pilot demonstrations of IEM, and Phase II Implementation of cooperative and participatory management strategies for sharing natural resources to improve ecosystem functioning and rural livelihoods”. The project under evaluation is the first phase of the project.

The project aimed at ensuring conservation and sustainable use of natural resources within the economic and social development frameworks of the transboundary area of Nigeria and Niger. It was based on observations made by the two countries on the mixed results of fragmentary and isolated interventions, and on the negative impacts of transboundary reciprocal externalities.

Despite the efforts made by the governments of Niger and Nigeria, desertification persists and is visible through disappearance of vegetation cover, impoverishment of soils, reduction of water resources, destruction of biological diversity and internal and external population migration. These processes exacerbate the conflicts among the different users of natural resources by increasing livelihood

vulnerability of the communities whose local economies are increasingly being weakened. The aggravating factors are many: political-institutional (absence of coherent policies, poor institutional capacity, absence or inadequate legal and legislative provisions) socio-economic (population growth, poverty) or related to the production systems (destructive land management practices).

The aim of the project was to offer solutions to these problems through activities focused on control of land degradation and improvement of productive potential that would work towards generating income for local people and alleviating poverty. The project also aimed to build institutional and organizational capacity for management of shared land, water and ecological resources at sub-regional, national and local levels.

The project's broad objective was stated as:

“The project goal is to establish sustainable conditions for integrated ecosystem management for improvement in the livelihoods of the local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger”

Relevance to GEF Programmes

The project meets the requirements of the GEF's OP 12 on Integrated Ecosystem Management. It will generate multi-focal benefits in *land degradation*, *biodiversity* and *international waters*, with secondary benefits in *climate change* (enhanced carbon sequestration in rehabilitated lands and ecosystems). The project also has strong linkages with Arid and Semi-Arid Zone Ecosystems (OP 1) and the GEF strategic priority on mainstreaming of biodiversity in production landscapes, Integrated Land and Water Management (OP 9) and the recently approved Sustainable Land Management Programme (OP 15).

The project is also in line with the *Land Use Management and Soil Conservation Policy of UNEP* (UNEP/GC.22/INF/25), and several UN Conventions, namely UNCCD, UNCBD, UNFCCC, and the Ramsar Convention on Wetlands.

Executing Arrangements

The project implementing agency was UNEP jointly with UNDP. The Executing agency was United Nations Office for Project Services (UNOPS) in collaboration with: Federal Ministry of Environment and Federal Ministry of Water Resources, Government of Nigeria; Ministère de l'Environnement et de la Lutte contre la Désertification and Ministère de L'Eau, Government of Niger in collaboration with Niger-Nigeria Joint Commission for Co-operation (NNJCC) and the Economic Community of West African States (ECOWAS).

Project Activities

The project activities were divided under three components:

1. Subregional integration, harmonisation and cooperation in strategies for the management of transboundary natural resources

- *Activities under Component (1) will create the conditions necessary for implementing the project. It will find solutions to the institutional and operational problems, which have hampered efforts hitherto. The legal and legislative framework for institutional operations and natural resource*

management, including conflict prevention, will be strengthened. Subregional, catchment level, and community-based planning and implementation will be set up. Coordinated financing between the two countries and partners will be enabled. Co-ordinated financing of project activities between the two countries, at catchment and community level enabled and implemented

2. Strengthened capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources, and reduce vulnerability to environmental variability and change

- *The activities under Component (2) will focus on harnessing local knowledge and values, together with research-based knowledge on the causes and impacts of degradation, as a basis for designing, testing and implementing land management activities by communities. The objective is to minimize vulnerability to environmental change and variability through developing and promoting sustainable practices. Communities will participate in evaluating ecosystem services, identifying and promoting good practices (for managing biological diversity, land development, improving production systems, rehabilitating degraded land, and managing conflict). The indirect incentives for investing in conserving or sustaining the productivity of natural resources will be identified and strengthened. Capacity building for local partners will be provided. A sub regional mechanism for exchanging and disseminating good practices will be established.*

3. Enhanced planning and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods

- *The activities under Component (3) will focus on involving all stakeholders in developing common strategies for integrated and participatory management of shared natural resources, with the aim to improve rural livelihoods. At the catchment level, bilateral protocols and plans for conserving and exploiting shared water resources, protecting priority habitats and managing degraded sites will be implemented. Community-based plans for natural resources that integrate local and appropriate new knowledge will be developed and implemented in 24 pilot areas. Direct incentives for participation will be strengthened. New and profitable technologies for sustainable use of natural resources will be identified and developed.*

Budget

At project inception the following budget prepared:

<u>GEF</u>	<u>US \$</u>
Project	5,000,000
BDF A	25,000
BDF B	350,000
BDF C	
Sub-total GEF	5,375,000
<u>Co-Financing</u>	9,122,500
<u>Total Project Financing</u>	<u>14,497,500</u>

Annex 10: Terms of Reference for the Evaluation

Objective and Scope of the Evaluation

The objective of this Terminal Evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

How significant was the project's contribution towards improvement of the livelihoods of local communities and preservation of globally significant ecosystems in the transboundary catchments between Nigeria and Niger

How significant was the project's contribution towards strengthening the legal and institutional frameworks in Nigeria and Niger to enable Integrated Ecosystem Management

To what extent was the project able to strengthen the capacity to harness indigenous and research-based knowledge to support the conservation and equitable sharing of natural resources, and reduce vulnerability to environmental variability and change.

Did the project enhance planning, harmonization and implementation of cooperative and participatory management strategies for sharing natural resources, reversing ecosystem degradation, conserving biodiversity and increasing productivity to improve rural livelihoods.

Methods

This Terminal Evaluation will be conducted by a team of three consultants as an in-depth evaluation using a participatory mixed-methods approach, during which the UNEP/DGEF Task Manager, key representatives of the Executing Agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultants will liaise with the UNEP Evaluation Office and the UNEP/DGEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be delivered to the Evaluation Office. The Chief of Evaluation will circulate the report to UNEP/DGEF Task Manager, who will then distribute the report to key representatives of the Executing Agencies for comments. Any comments or responses to the draft report will be sent to the UNEP Evaluation Office for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on multiple approaches:

A desk review of project documents including, but not limited to:

The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.

Notes from the Steering Group meetings.

Other project-related material produced by the project staff or partners.

Relevant material published on the project web-site.

Interviews with project management and technical support.

Interviews and telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with an email questionnaire, online survey, or other electronic communication.

Interviews with the UNEP/DGEF project Task Manager and Fund Management Officer, and other relevant staff in UNEP as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.

Field visits⁹¹ to project staff and target audiences. The lead evaluator will visit UNEP EO and UNEP GEF in Nairobi. The associate evaluators will visit the project partners and key audiences of the project's outputs in Niger and Nigeria to canvas their opinions of the project.

Key Evaluation Principles

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions “*what happened?*” and “*what would have happened anyway?*”. These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgments about project performance.

Project Evaluation Parameters and Ratings

The success of project implementation will be rated on a scale from ‘highly unsatisfactory’ to ‘highly satisfactory’. In particular the evaluation shall **assess and rate** the project with respect to the **eleven categories (A-K)**⁹² defined below.

It should be noted that many of the evaluation parameters are interrelated. For example, the ‘achievement of objectives and planned results’ is closely linked to the issue of ‘sustainability’. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of ‘catalytic effects/ replication’ and, often, ‘country ownership’ and ‘stakeholder participation’.

The ***ratings for the parameters A-K will be presented in the form of a table (see Annex 1)***. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

⁹¹ Evaluators should make a brief courtesy call to GEF Country Focal points during field visits if at all possible.

⁹² However, the views and comments expressed by the evaluator need not be restricted to these items.

Attainment of Objectives and Planned Results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

Effectiveness: Evaluate the **overall likelihood of impact achievement**, taking into account the “achievement indicators”, the achievement of outcomes and the progress made towards impacts. UNEP’s Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROtI)** method (described in Annex 6) to establish this rating.

Relevance: In retrospect, were the project’s outcomes consistent with the focal areas/ operational program strategies? Ascertain the nature and significance of the contribution of the project outcomes to the relevant GEF Operational Programmes, the relevant UN Conventions and the wider portfolio of the GEF.

Efficiency: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing, and any additional resources leveraged by the project, to the project’s achievements. Did the project build on earlier initiatives; did it make effective use of available scientific and/ or technical information? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROtI method** described in Annex 6 will also assist in the evaluation of sustainability.

Four aspects of sustainability should be addressed: financial, socio-political, institutional frameworks, and environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

Financial resources. Are there any financial risks that may jeopardize sustenance of project outcomes and onward progress towards impact? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project’s outcomes)? To what extent are the outcomes and eventual impact of the project dependent on continued financial support?

Socio-political. Are there any social or political risks that may jeopardize sustenance of project outcomes and onward progress towards impacts? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public/ stakeholder awareness in support of the long term objectives of the project?

Institutional framework. To what extent is the sustenance of the outcomes and onward progress towards impacts dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/ benefits to be sustained? While responding to these

questions consider if the required systems for accountability and transparency and the required technical know-how are in place.

Environmental. Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

Catalytic Role and Replication:

The catalytic role of the GEF is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and showing how new approaches and market changes can work. GEF aims to support activities that upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of GEF activities: (1) “**foundational**” and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities, full-size projects with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up through investment or scaling up of financial means.

In this context the evaluation should assess the catalytic role played by this project by consideration of the following questions:

INCENTIVES: To what extent have the project activities provided incentives (socio-economic/market based) to contribute to catalyzing changes in stakeholder behaviour?

INSTITUTIONAL CHANGE: To what extent have the project activities contributed to changing institutional behaviours?

POLICY CHANGE: To what extent have project activities contributed to policy changes (and implementation of policy)?

CATALYTIC FINANCING: To what extent did the project contribute to sustained follow-on financing from Government and/ or other donors? (This is different from co-financing.)

PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the project would not have achieved results)?

(Note: the **ROI analysis** should contribute useful information to address these questions)

Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects: *replication proper* (lessons and experiences are replicated in different geographic

area) or *scaling up* (lessons and experiences are replicated within the same geographic area but funded by other sources).

Is the project suitable for replication? If so, has the project approach been replicated? If no effects are identified, the evaluation will describe the strategy/ approach adopted by the project to promote replication effects.

Stakeholder Participation/ Public Awareness:

This consists of three related and often overlapping processes: (1) information dissemination, (2) consultation, and (3) “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. Note: the ROtI analysis should assist the evaluator in identifying the key stakeholders in each step of the causal pathway from activities to objectives. The evaluation will specifically:

Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses with respect to the achievement of the intended outcomes and objective of the project..

Assess the degree and effectiveness of collaboration/ interactions between the various project partners and institutions during the course of implementation of the project.

Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

Country Ownership/ Drivenness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating information on transboundary zones that catalyzed action in the participating countries to improve decision making relating to the sustainable use of natural resources.

Assess the level of country commitment to the generation and use of research related to sustainable use of natural resources and integrated ecosystem management during and after the project, including in regional and international fora.

Achievement of Outputs and Activities:

Delivered outputs: Assessment of the project’s success in producing each of the programmed outputs, both in **quantity and quality** as well as **usefulness and timeliness**.

Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries

Assess to what extent the project outputs produced have the weight of scientific authority/ credibility, necessary to influence policy and decision-makers, particularly at the national level.

Preparation and Readiness:

Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project

implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

Implementation Approach and Adaptive Management:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed and whether the project document was clear and realistic to enable effective and efficient implementation.

Assess the role of the various committees established and the project execution arrangements at all levels policy decisions: (1) Steering Group; (2) day to day project management in each of the country Executing Agencies.

Assess the extent to which the project responded to the mid-term review/ evaluation (if any).

Evaluate the effectiveness, efficiency and adaptability of project management and how well the management was able to adapt to changes during the life of the project.

Identify administrative, operational and/ or technical problems and constraints that influenced the effective implementation of the project.

Monitoring and Evaluation:

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in Annex 4). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

(1) M&E Design. Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

The evaluator should use the following questions to help assess the M&E design aspects:

SMART-ness of Indicators

Are there specific indicators in the logical framework for each of the project objectives and outcomes?

Are the indicators relevant to the objectives and outcomes?

Are the indicators for the objectives and outcomes sufficient?

Are the indicators quantifiable?

Adequacy of Baseline Information

Is there baseline information?

Has the methodology for the baseline data collection been explained?

Is desired level of achievement for indicators based on a reasoned estimate of baseline?

Arrangements for Monitoring of Implementation

Has a budget been allocated for M&E activities?

Have the responsibility centers for M&E activities been clearly defined?

Has the time frame for M&E activities been specified?

Arrangements for Evaluation

Have specific targets been specified for project outputs?

Has the desired level of achievement been specified for all Indicators of Objectives and Outcomes?

(2) M&E Plan Implementation. A Terminal Evaluation should verify that:

An M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logical framework or similar);

Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;

That the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;

And that projects had an M&E system in place with proper training for parties responsible for M&E activities.

(3) Budgeting and Funding for M&E Activities. The Terminal Evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

Financial Planning and Control:

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

Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.

Present the major findings from the financial audit if one has been conducted.

Identify and verify the sources of co-financing as well as leveraged and associated financing (in co-operation with the IA and EA).

Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.

The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP Fund Management Officer of the project (table attached in Annex 2 "Co-financing and leveraged resources").

UNEP Supervision and Backstopping:

The purpose of supervision is to work with the Executing Agency in identifying and dealing with problems which arise during implementation of the project itself. Such problems may be related to project management but may also involve technical/ substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF including:

The adequacy of project supervision plans, inputs and processes;

The emphasis given to outcome monitoring (results-based project management);

The realism/ candor of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);

The quality of documentation of project supervision activities; and
Financial, administrative and other fiduciary aspects of project implementation supervision.
In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 5).

Complementarity with UNEP Medium Term Strategy and Programme of Work:

UNEP aims to undertake GEF funded projects that are aligned with its strategy. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS)⁹³/ Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarity may exist nevertheless. For this reason, the complementarity of GEF projects with UNEP's MTS/ POW will not be formally rated, however, the evaluation should present a brief narrative to cover the following issues:

Linkage to UNEP's Expected Accomplishments The UNEP Medium Term Strategy specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed **ROtI analysis**, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent any contributions and the causal linkages should be fully described.

Project contributions that are in-line with the Bali Strategic Plan (BSP)⁹⁴. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

South-South Cooperation is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

Evaluation Report Format and Review Procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Chapter 3 of this TOR. The ratings will be presented in the format of a table (Annex 1) with brief justifications based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

A Project Identification Table: Identify: (1) Project ID, (2) Title, (3) Location, (4) Start and End Date, (5) Mid-Term Evaluation (if applicable), (6) Executing and Implementing Agencies, Partners, (7) and Budget.

⁹³ <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

⁹⁴ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

An **Executive Summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;

Introduction and Background giving a brief overview of the evaluated project, for example, the objective and status of activities;

Scope, Objective and Methods presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology;

Project Performance and Impact providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – L above);

Conclusions and Rating of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);

Lessons (to be) Learned presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:

Briefly describe the context from which they are derived;

State or imply some prescriptive action;

Specify the contexts in which they may be applied (if possible, who when and where).

Recommendations suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high **quality recommendation** is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available;
2. Commensurate with the available capacities of project team and partners;
3. Specific in terms of who would do what and when;
4. Contains results-based language (i.e. a measurable performance target);
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

Annexes may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference (**TOR**),
2. A **list of interviewees**, and evaluation timeline,
3. A **list of documents** reviewed/ consulted,
4. Summary **co-finance information** and a **statement of project expenditure by activity**,
5. Details of the project's 'impact pathways' and the '**ROtI**' analysis,
6. The expertise of the evaluation team (**brief CV**).

TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou.

Review of the Draft Evaluation Report

Draft reports shall be submitted to the Chief of Evaluation. The Chief of Evaluation will share the report with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Where, possible, a consultation is held between the evaluator, Evaluation Office Staff, the Task Manager and key members of the project execution team. The consultation seeks feedback on the proposed recommendations and lessons. UNEP Evaluation Office collates all review comments and provides them to the evaluator(s) for their consideration in preparing the final version of the report.

Submission of Final Terminal Evaluation Reports

The final report shall be submitted in electronic form in MS Word format and should be sent directly to:

Segbedzi Norgbey, Chief,
UNEP Evaluation Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: (+254-20) 762 3387
Fax: (+254-20) 762 3158
Email: segbedzi.norgbey@unep.org

The Chief of Evaluation will share the report with the following individuals:

Mohammed Sessay (Task manager)
UNEP/Division of GEF Coordination
P.O. Box 30552-00100
Nairobi, Kenya
Tel: (+254-20) 762-4294
Fax: (+254-20) 762-4041/ 762-4042
Email: Mohammed.Sessay@unep.org

Maryam Niamir-Fuller, Director
UNEP/Division of GEF Coordination
P.O. Box 30552-00100
Nairobi, Kenya
Tel: (+254-20) 762 4686
Fax: (+254-20) 762 3158/ 4042
Email: Maryam.Niamir-Fuller@unep.org

The final Terminal Evaluation report will be published on the Evaluation Office website www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

Resources and Schedule of the Evaluation

This final evaluation will be undertaken by a team of three evaluators (Lead Evaluator (LE), and two Associate Evaluators (AE)) contracted by the UNEP Evaluation Office. The contract of the **Lead Evaluator** will begin on **11th October 2010** and end on **8th December 2010** (five weeks spread over 8 weeks, including 3 days for review and preparations including a visit to the UNEP EO office in Nairobi, 3 days of travel to Niger, 8 days of travel to Nigeria, 12 days for preparing the draft report and 4 days for finalizing the report).

The contract for the **First Associate Evaluator (Niger)** will begin on **11th October 2010** and end on **13th November 2010** (26 days spread over 5 weeks, including 3 days for review and preparations, 9 days for interviews and travel to project sites in Niger, 12 days for preparing the draft report and 2 days for finalization).

The contract for the **Second Associate Consultant (Nigeria)** will begin on **11th October 2010** and end on **24th October 2010** (seven days spread over 2 weeks, including two days for meetings and 5 days for accompanying the LE to project sites in Nigeria to prepare a brief report).

The Associate Evaluators will submit their draft reports to the Lead Evaluator by **5th November 2010**. The Lead Evaluator will compile the draft report and send it by **16th November 2010** to the UNEP/EO. Evaluation Office will circulate the draft to UNEP/DGEF Task Manager, and key representatives of the Executing Agencies for comments. Any comments or responses to the draft report will be sent to UNEP/EO for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by **25th November 2010** after which, the consultant will submit the final report no later than **8th December 2010**.

During the initial preparations and desk based review the **Lead Evaluator** will visit UNEP Evaluation Office for an initial briefing. The **Lead Evaluator** will also meet with the UNEP/GEF Task Manager and Fund Manager Officer. After the briefing, the Lead Evaluator will travel to Niger to meet with the first Associate Consultant and meet with key project staff. Later, the Lead Evaluator will travel to Nigeria to conduct interviews and visit the project sites.

After the initial telephone briefing, the **First Associate Evaluator** will meet with the Lead Evaluator in Niger and later on travel to the project sites.

After the initial telephone briefing, the **Second Associate Evaluator** will meet with the Lead Evaluator and later on accompany him to the project sites.

In accordance with the evaluation policies of UNEP and the GEF, all GEF projects are evaluated by independently contracted evaluators.

The Lead Evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project in a paid capacity. The evaluator will work under the overall supervision of the Chief Evaluation Office, UNEP. The evaluator should have a Master's degree or higher in sustainable resource management or from a related field and at least 15 years of experience working with natural resources management and land degradation issues. The Evaluator should possess a sound understanding of land degradation, biodiversity, poverty alleviation and land productivity issues and have the following minimum qualifications: (i)

experience in project evaluations, (ii) experience in transboundary natural resources management and integrated ecosystem management; (iii) experience in environmental institutional and legislative frameworks, and organizational capacity building. Knowledge of UNEP programmes and GEF activities is desirable. Knowledge French is an advantage. Fluency in oral and written English is a must.

The Associate Evaluators should have the following qualifications:

The evaluators should not have been associated with the design and implementation of the project in a paid capacity. The evaluators will work under the overall supervision of the Chief Evaluation Office, UNEP. The Evaluators should have a Master's degree or higher in sustainable resource management or from a related field and at least 10 years of experience working with issues of natural resource management, monitoring and/or land use issues. The evaluators should be national (Niger and Nigeria) experts in sustainable management of natural resources with a sound understanding of land degradation, biodiversity, poverty alleviation and land productivity issues. The evaluator should have the following minimum qualifications: (i) experience in transboundary natural resources management and integrated ecosystem management; (ii) experience with environmental institutional and legislative frameworks, and organizational capacity building (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable. Fluency in oral and written English and French is a must.

Schedule Of Payment

Fee-only Option

The **Lead Evaluator and the Associate Evaluators** will all receive an initial payment of 40% of the total amount due upon acceptance of the draft report. Final payment of 60% will be made upon acceptance and satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is **NOT** inclusive of all expenses such as travel, accommodation and incidental expenses. Ticket and DSA will be paid separately.

In case, the evaluators cannot provide the products in accordance with the TOR, the timeframe agreed, or their products are substandard, the payment to the evaluators could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluators fail to submit a satisfactory final product to UNEP, the product prepared by the evaluators may not constitute the evaluation report.

Annex 11. Overall Ratings Table

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of Project Objectives and Results (overall rating) Sub criteria (below)		
A. 1. Effectiveness - overall likelihood of impact achievement (ROtI rating)		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project Outcomes (overall rating) Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework		
B. 4. Environmental		
C. Catalytic Role and Replication		
D. Stakeholder Participation/ Public Awareness		
E. Country Ownership/ Drivenness		
F. Achievement of Outputs and Activities		
G. Preparation and Readiness		
H. Implementation Approach and Adaptive Management		
I. Monitoring and Evaluation (overall rating) Sub criteria (below)		
I. 1. M&E Design		
I. 2. M&E Plan Implementation		
I. 3. Budgeting and Funding for M&E activities		
J. Financial Planning and Control		
K. UNEP Supervision and Backstopping		
Overall Rating		

RATING OF PROJECT OBJECTIVES AND RESULTS

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal Evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives/ or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

Rating system for Sustainability sub criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

- Highly Likely (HL): There are no risks affecting this dimension of sustainability.
- Likely (L): There are minor risks that affect this dimension of sustainability.
- Moderately Likely (ML): There are moderate risks that affect this dimension of sustainability.
- Moderately Unlikely (MU): There are moderate risks that affect this dimension of sustainability.
- Unlikely (U): There are significant risks that affect this dimension of sustainability
- Highly Unlikely (HU): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an “Unlikely” rating in any of the dimensions then its overall rating **cannot be higher** than “Unlikely”, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and

results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on “M&E Design”, “M&E Plan Implementation” and “Budgeting and Funding for M&E activities” as follows:

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

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

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

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

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

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

“M&E Plan Implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will **not be higher** than the rating on “M&E plan implementation.”

ALL OTHER RATING

All other ratings will be on the GEF six point scale.

GEF Performance Description	
HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

Annex 10. Co-Financing and Leveraged Resources

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

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

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Annex 13. Review of the Draft Report

Draft reports submitted to the UNEP Evaluation Office are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP Evaluation Office collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report

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

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

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

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

Rating system for quality of Terminal Evaluation reports:

A number rating 1-6 is used for each criterion: **Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.**

Annex 14: Minimum Requirements for M&E

Minimum Requirement 1: **Project Design of M&E**⁹⁵

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management

SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators

A project baseline, with:

a description of the problem to address

indicator data

or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation

An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities

An organizational setup and budgets for monitoring and evaluation.

Minimum Requirement 2: Application of Project M&E

Project monitoring and supervision will include implementation of the M&E plan, comprising:

Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)

Use of SMART indicators for results (or provision of a reasonable explanation if not used)

Fully established baseline for the project and data compiled to review progress

Evaluations are undertaken as planned

Operational organizational setup for M&E and budgets spent as planned.

SMART INDICATORS GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be “SMART”:

Specific: The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.

Measurable: The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.

Achievable and Attributable: The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.

Relevant and Realistic: The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.

Time-bound, Timely, Trackable, and Targeted: The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

M&E during Project implementation

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

The Consultant(s) should use the following questions to help assess the M&E design aspects:

⁹⁵ <http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

SMART-ness of Indicators

Are there specific indicators in the log frame for each of the Project objectives and outcomes?

Are the indicators relevant to the objectives and outcomes?

Are the indicators for the objectives and outcomes sufficient?

Are the indicators quantifiable?

Adequacy of Baseline Information

Is there baseline information?

Has the methodology for the baseline data collection been explained?

Is desired level of achievement for indicators based on a reasoned estimate of baseline?

Arrangements for Monitoring of Implementation

Has a budget been allocated for M&E activities?

Have the responsibility centers for M&E activities been clearly defined?

Has the time frame for M&E activities been specified?

Arrangements for Evaluation

Have specific targets been specified for Project outputs?

Has the desired level of achievement been specified for all Indicators of Objectives and Outcomes?

M&E plan implementation. MTE should verify that:

an M&E system is in place and facilitating timely tracking of results and progress towards Projects objectives throughout the Project implementation period (perhaps through use of a logframe or similar);

annual Project reports and Progress Implementation Review (PIR) reports are complete, accurate and with well justified ratings;

that the information provided by the M&E system is used during the Project to improve Project performance and to adapt to changing needs;

and that Projects has an M&E system in place with proper training for parties responsible for M&E activities.

Budgeting and Funding for M&E activities. The MTE should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

Annex 15: Expectations Regarding the Role of the DGEF Task Managers in GEF Project Supervision and a List of Documentation Relevant for the Evaluation of Project Supervision
(Provided to Evaluator by DGEF)

Project start up phase

Pink File preparation and signature (including detailed project supervision plan)
Co-financing arrangements
Bank account opened and/or information provided
Initial cash advance
Supervision of recruitment of project staff
Office set up (office space, procurement of equipment, host agreements)
Establishment of project steering committee and any other advisory/governing structures.

Inception mission and workshop

Preparation
Review of institutional arrangements and project implementation responsibilities
Workshop including providing training (important to discuss at inception how project will be evaluated at exit)
First Steering Committee meeting
Revised project implementation, M&E or supervision plan as necessary.

Project implementation

Project financial and substantive reporting (includes audited statements, inventories of non-expendable equipment)
Active monitoring of progress in achieving outcomes
Liaising with co-implementing agency if applicable
Steering committee meeting preparation and attendance
Field visits as relevant/required
Risk monitoring (social and environmental safeguards)
Preparation and coordination of MTR (or support to MTE)
Adaptive management to respond to risk and problems (includes follow up to MTR/MTE recommendations, and risk mitigation plan if applicable)
Revisions
Other technical assistance (e.g., output review, support to communications efforts)
Database maintenance
Knowledge management.

Project completion

Review/clearance of outputs
Clearance of terminal report and review of audited financial statement
Completion revision
Request for disposal of equipment
Support to Evaluation Office for Terminal Evaluation (review of draft evaluation TOR, project information, comments to draft TE, completion of management response / implementation plan, follow up on recommendations [if any])
Knowledge management.

Documents to inform evaluation of project supervision

Project supervision plan, with associated budget

Correspondence related to project

Supervision mission reports

Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports

Project progress reports, including financial reports submitted

Cash advance requests documenting disbursements

Annual Project Implementation Reports (PIRs)

Mid-term Evaluation and associated action plans, (if any)

Management memos related to project

Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).

Possible additional documents:

Has a project extension occurred?

Extension documentation.

Has a formal revision of project activities or objectives occurred? (Beyond modifications to project plans based on normal adaptive management procedures)

Project revision documentation.

Has a formal budget revision occurred?

Budget revision documentation.

Annex 16: Introduction to the Theory of Change/ Impact Pathways, the ROTi Method and the ROTi Results Score Sheet

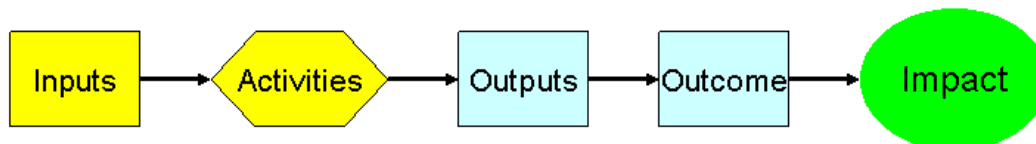
Terminal Evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing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

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

Theory of Change (TOC) / impact pathways

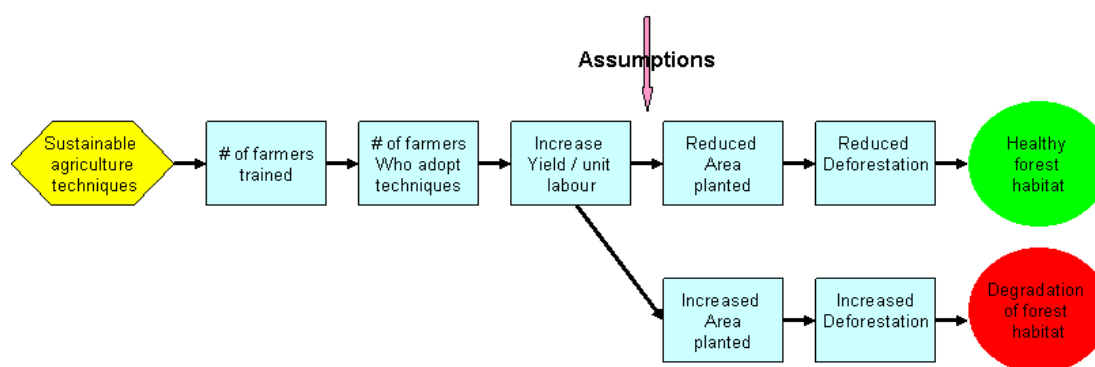
Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details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

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



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

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



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROti)⁹⁶ and has three distinct stages:

Identifying the project's intended impacts

Review of the project's logical framework

Analysis and modeling of the project's outcomes-impact pathways

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROti method⁹⁷. The aim of this stage is to develop and understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrue long after the completion of project activities.

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

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders.

⁹⁶ GEF Evaluation Office (2009). ROti: Review of Outcomes to Impacts Practitioners Handbook. http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf

⁹⁷ Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

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

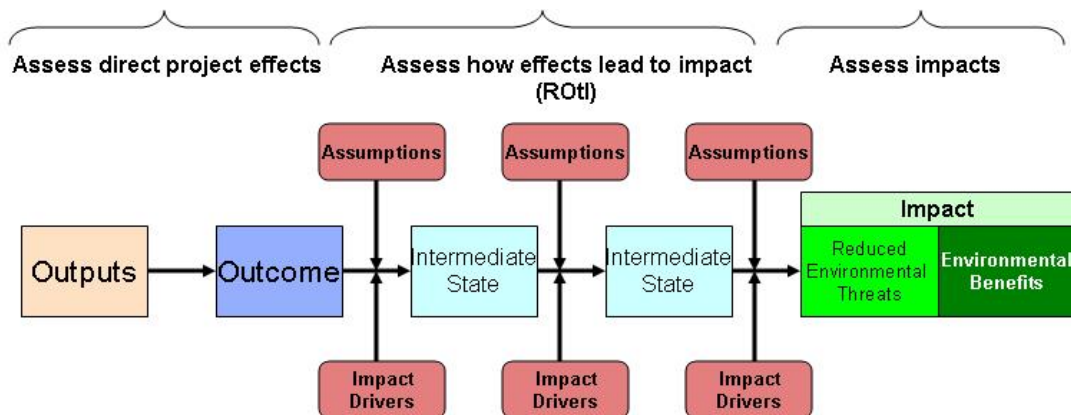
Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via ‘intermediate states’ to impacts, the impact pathways need to be carefully examined and the following questions addressed:

Are there other causal pathways that would stem from the use of project outputs by other potential user groups?

Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?

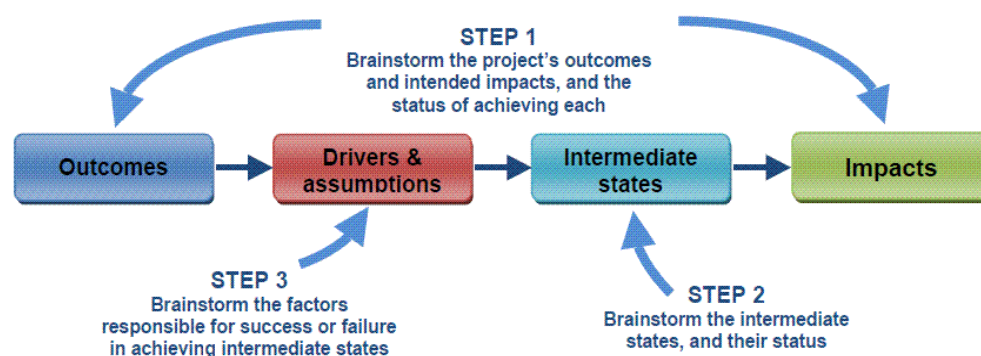
Have the key impact drivers and assumptions been identified for each ‘step’ in the impact pathway.

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



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project’s theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the TOC for the project.

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



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

The ROTI method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According the GEF guidance on the method; “*The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.*”

For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

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

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

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

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

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

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

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

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

Scoring Guidelines

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

Outcomes:

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

Examples

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

Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because intended end users had no access to computers. People had meetings that led nowhere. Outcomes hypothesized or achieved, but either insignificant and/or *no evident linkages forward* to intermediary stages leading towards impacts. (Score – C)

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

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

Intermediary stages:

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

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

In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the

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

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

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

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

Impact: Actual changes in environmental status

“Intermediary stages” scored B to A.

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

Annex 17: List of Intended Additional Recipients of the Terminal Evaluation (to be completed by the Task Manager)

Name	Affiliation	Email
Neeraj Negi	GEF Evaluation Office	neeraj_negi@yahoo.com
Government Officials		
GEF Focal Point(s)		
Executing Agency		
Implementing Agency		
Maryam Niamir-Fuller	UNEP DGEF Director	maryam.niamir-fuller@unep.org
Geordie Colville	UNEP DGEF	geordie.colville@unep.org
Stephen Twomlow	UNEP DGEF	stephen.twomlow@unep.org

Annex 10: Qualifications of the Lead Evaluator

CV FOR WINSTON MATHU

SUMMARY SHEET

1. Post applied for: CONSULTANT

2.ID Particulars: **Name:** DR. Winston Mathu

Title: Consultant- Community Forestry and Woodfuel Development Consultants Ltd. (WOODEC)

Address/Office: P.O. Box 14316-00100, Nairobi, Kenya

Phone 254-0733 638540 or 254-721 282425

E-Mail: woodec@iconnect.co.ke

3. Educational status:

Institution	Degrees/certificates obtained
University of British Columbia-Canada (1983)	PhD in Environmental Sciences-Forestry Management & Biometrics
University of Dar-es-Salaam, Tanzania (1977)	MSc in Forestry (Silviculture)
University of New Brunswick-Canada (1971)	BSc in Forestry and Natural Resources Management
University of Nairobi, Kenya (1975)	Certificate in Tropical Ecology
World Agroforestry Center (ICRAF), Nov.1983.	Certificate in Agroforestry Research for Development-Training Course No. 18

4. Professional experience

Date	Place	Employer	Position	Nature of work
June 2001 to date	Kenya	WOODEC LTD.	Managing Director and chief technical advisor	Natural Resources Conservation, Management and Sustainable Development
June 1988 to June 2001 (13 years)	New York, UNDP HQ	UNDP-Office to Combat Desertification	Senior Technical Advisor	Responsible for UNCCD, CBD, and UNFCCC (as GEF focal point); and desertification control programs in East and Southern Africa
Dec. 1985 to June 1988 (3 Years)	Kenya	WOODEC LTD	Managing Director	Consultant in forestry and environmental development
Jan.1979 to Dec. 1985	Nairobi/Moi Universities	University of Nairobi 1979-83	Senior lecturer in forest silviculture	Teaching and research in forestry and

(7 years)		Moi Universities 1983-85	and mensuration	agroforestry
June 1971 to Jan. 1979 (9 years)	Londiani/Nyeri/Forest Research Station Muguga	MENR-Forest Dep	Assistant Conservator of Forests Senior Research Officer (Silviculture)	Forest administration and management Forest research

5. Language skills: English, Swahili and French (for reading)

6. Other skills: Computer literate (Microsoft Word, Excel, PowerPoint, etc)

RESUME/CV: Dr. WINSTON K. MATHU

Name: DR. Winston K. Mathu

Title: Lead Consultant- Community Forestry and Woodfuel Development Consultants Ltd. (WOODEC)

Address/Office: P.O. Box 14316-00100, Nairobi, Kenya

Phone 254-733-638540 or 254-721-282425

E-Mail: woodec@iconnect.co.ke

Mission Statement: Provide consultancy and project/programme management services in the areas of Forestry, Bioenergy (biomass and biofuels), Agroforestry, Land Degradation and drought, Agriculture and Integrated Rural Community Development projects and programmes for poverty alleviation and creation of sustainable livelihood with focus on environmentally sound and sustainable management of land resources, particularly in drylands. Team work and participatory techniques are the centerpieces of my business approach, working with and through a multidisciplinary team of experts and drawing on the in-depth technical, leadership and managerial expertise and experiences acquired while working with the various national governments, Non-Governmental Organizations, universities and international organisations.

Experience:

2001 onwards: Principal Consultant leading a multidisciplinary team of experts on Forestry, Bioenergy (biomass and biofuels), Agroforestry, Desertification/Land Degradation, Agriculture, Integrated Rural Community Development programmes and environmentally sound and sustainable **Management of Natural Resources (MNR)**. Specific experiences include Forest policy and law, Forest biometrics/inventory, Renewable Energy, Decentralized Governance of NR, the implementation of the environmental Conventions (UNCCD, CBD and UNFCCC); and the formulation, development and management of community-based wetlands, forestry and conservation programmes and projects. Geographical experience in Africa and the Horn of Africa in particular, including Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan and Uganda.

Recent Main consultancies:

Consultant to UNDP- Evaluation Unit, NY HQ. Global evaluation of the UNDP contribution to the Poverty and Environment Nexus (PEN)- November to April 2010.

Consultant to IFAD- Rome: Final Evaluation- Mt. Kenya East Integrated Management Programme- as Chief Natural Resources Specialist and team leader- October to November 2009

Consultant to UNEP Nairobi- Evaluation and Oversight Unit and Division of Global Environment Facility (DGEF): Evaluation of the Drylands Livestock Wildlife Environment Interface Project (DLWEIP)- March 2009.

Consultant to East African Community/Lake Victoria Basin Commission and Embassy of Finland- Regional Facilitator to define the East African Forest Law Enforcement, Governance and Trade- September to October 2008

Consultant to WWF- East African Regional Office (EARPO)- Evaluation of the Mara River Basin Management Initiative- April 2008

Consultant to the United Nations Forum on Forests- Background document to UNFF8 global forum- May to July 2008

Consultant to African Academy of Sciences (AAS)/Africa Forest Research Network (AFORNET)- Review on Forest Law Enforcement and Governance (FLEG) in Kenya- April to June 2007

Consultant to UNDP Somalia: Drought mitigation and Livelihoods programme: Formulating and managing Drought Mitigation and Sustainable Livelihood programme and Sustainable Energy: June 2004 to December 2006- as senior Technical Advisor

Consultant to UNEP-Global Environment Facility (GEF)- Formulation of an IGAD Medium-Sized Project (MSP) and PDF-B on Land Degradation: *“Sustainable Land Management in the IGAD Region through capacity building in Environment Assessment and Monitoring”*: March 2004 to Dec 2005-

Consultant to United Nations Convention to Combat Desertification (UNCCD) Secretariat-Bonn, *May to July 2005*: Developing a Framework Programme of cooperation between UNCCD Secretariat and United Nations Volunteers (UNV) for the implementation of “Youth and the Environment” programme in Africa, Latin America and the Caribbean and Asia.

Consultant to UNDP-Drylands Development Center- Programme development, formulation and evaluation-*July 2001 to June 2002*.

Consultant to Inter-Governmental Authority on Development (IGAD) as advisor on restructuring the IGAD Sub-regional Action Programme for combating Drought and Desertification-*November 2001 to December 2002*.

Consultant to UNAMA-Afghanistan: Formulation of a framework project: Integrated Post Drought Recovery and Development Programme (IPDR&D)- *15 October to 30th November 2003*

Consultant to WWF-EARPO on Conservation and Community-Based projects: evaluation and projects formulation-*May 2003*

Consultant to WWF-Tanzania Programme Office on Mid-Term Evaluation of the Udzungwa Mountains National Park project-*November 2003 to January 2004*.

Consultant to WWF- Coastal Forest Programme- Preparation of the Eastern Africa Coastal Forests Ecoregion- Strategic Framework for Conservation: January to June 2004

Consultant to UNDP Drylands Development Centre, Nairobi- *June 2004 to February 2005*: Preparation of Manual on Decentralized Governance of Natural Resources based on a global study-(draft manual available)

1995-2001: Chief Officer - Convention to Combat Desertification and Drought (UNCCD) Implementation Team in UNSO

Description: Technical advice and management duties, including strategic leadership of the unit, involving supervision of four technical staff at UNSO Headquarters and three at the Technical Support Project in Nairobi. Lead functions included conception and development of UNDP policies, strategies, programmes and projects for combating drought, land degradation and deforestation in context of the United Nations Convention to Combat Desertification and Drought (UNCCD). Programmes and Projects appraisal, monitoring and evaluation. Was UNSO focal point in the UNDP/Global Environment Facility (GEF) Group.

1990-1995- Senior Programme Adviser and Focal Point for the United Nations Convention to Combat Desertification and Drought (UNCCD) in UNDP/UNSO.

Description: Responsible for coordinating the formulation and implementation of UNDP policy, strategy and programmes of support to the CCD, including resource mobilization. Worked closely with the African countries in the preparations and development of Africa's position for United Nations Conference on Environment and Development (UNCED) with focus on the negotiations on the UNCCD. Advised on Land Degradation particularly drought, desertification and Forestry issues including the integration of these into the global environment agenda. Was UNSO focal point in the UNDP/Global Environment Facility (GEF) Group.

1988-1990- Senior Environment Advisor with the United Nation Development Programme (UNDP), Office to Combat Desertification and Drought (UNSO)

Description: Responsible for Land degradation, forestry and Agroforestry programmes. Functions included providing technical advice, concept development, and projects formulation and implementation, including resource mobilization, monitoring and evaluation. Key programmes included the Restocking of the Gumbelt projects in Sudan; the Forestry/Agroforestry Tree Seed projects in Ethiopia, Kenya, Sudan and Uganda; the Fuelwood and Integrated Rural Community Development Project in Gondar, Ethiopia; and the Woodfuel Energy programmes in East and Western Africa.

1985-1988: Director, Kenya Woodfuel Development Consultancy Company.

Description: The company concentrated on projects dealing with the development and conservation of woodfuel in rural areas and urban centers. Specialization was in the areas of agroforestry and improved cooking stoves for biomass conservation.

1978-1985: Senior Lecturer in the Faculty of Forestry, Nairobi/Moi University.

Description. Teaching and research on Agroforestry, community forestry, Ecology and Biometrics. The Application of participatory approaches and Rapid Rural Appraisal methodologies in community forestry constituted the major focus of the research in agroforestry.

1971-1978-. District Forest Officer rising to the post of Assistant Director of Forests with the Government of Kenya.

:Description: Responsible for management and conservation of district and provincial forest plantations and natural forest in the Mau and Mt. Kenya forest reserves, including research. Experiences included the development of the national Forestry Action Plan and overseeing its implementation.

References with contact information:

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MEMBERSHIPS

Member- National Steering Committee for Small Grants Programme of the GEF

Board Member- Kenya Forest Research Institute (KEFRI)- 2007-2010

Member, Forestry Society of Kenya

Selected recent publication

Decentralized Governance of Natural Resources- Manual and Guidelines for Practitioners- *UNDP publication- 2005*

The Eastern Africa Coastal Forests Eco-region- Strategic Framework for Conservation- 2005-2025: *WWF publication- 2004*

Implementing the Millennium Development Goals in the Drylands of the World- *UNDP publication: 2006*

East African Forest Law Enforcement, Governance and Trade (FLEGT)- *Proceedings of the regional workshop to define an East African FLEGT programme- EAC- Lake Victoria Basin Commission- 2008*

Annex 11: Cumulative Budget and Expenditure Through June 2010

Project:- Integrated Ecosystem Management in Shared Watersheds Between Nigeria and Niger (GFL-4889)

B/L	Project Component	2006	2007	2008	2009	2010 to June	Total To Date	Rev 2 Budget	Rev 1 Budget	Original Budget	Unexp ended Budget
	10 PROJECT PERSONNEL COMPONENT										
	1100 Project Personnel										
1101	Project Coordinator (Coordonnateur du Projet)	19,550.00	42,420.00	44,920.00	44,779.74	44,919.99	196,589.73	167,868.90	203,000.00	215,688.00	(28,720.83)
1102	Principal technical Adviser (Conseiller technique principal)	13,200.00	26,200.00	26,200.00	26,200.00	9,366.50	115,800.00	101,166.50	84,000.00	89,250.00	(14,633.50)
1103	GIS, Monitoring and evaluation Officer (Agent de GIS et de suivi-évaluation)	1,000.00	13,506.46	14,681.48	12,499.99	18,280.08	48,516.79	60,843.00	60,000.00	60,000.00	12,326.21
1105	Accountant (Comptable)	875.00		-				-	28,800.00	28,800.00	0.00
1106	Driver 1			-			-	-	14,400.00	14,400.00	0.00
1107	Driver 2						214.30	-	19,200.00	19,200.00	(214.30)
	1199 Sub-total	34,625.00	82,126.46	85,801.48	83,479.73	72,566.57	361,120.82	329,878.40	409,400.00	427,338.00	(31,242.42)
	1200 Consultants										
1201	Consultant for identifying and implementing projects activities subregional, catchment and community levels (Consultant sur l'indentification et d'implantation de projets aux niveaux régional, par bassin et local)	-	-	-	-	8,000.00		8,000.00	8,000.00	2,000.00	8,000.00
1202	Consultant Bulletins information, guides, technical support (Consultant pour la mise en place d'un cadre d'échange)	-	-	-	1,808.03	2,191.97	2,253.37	4,000.00	8,000.00	8,000.00	1,746.63
1203	Consultant Capitalisation of project experience (Consultant en capitalisation)	-	-	-		2,000.00		2,000.00	8,000.00	6,500.00	2,000.00
B/L	Project Component	2006	2007	2008	2009	2010 to June	Total To Date	Rev 2 Budget	Rev 1 Budget	Original Budget	Unexp ended Budget
1204	Consultant Feasibility studies of hydraulic development schemes (Consultant sur la faisabilité d'aménagement des ressources en eaux)	9,996.00	16,409.60	-	28,133.50	20,460.50	81,556.60	74,999.60	75,000.00	18,750.00	(6,557.00)
1205	Consultant preparation of a guide on good practices for dissemination (Consultant pour	-	-	-		15,000.00	-	15,000.00	15,000.00	15,000.00	15,000.00

	l'élaboration d'un guide sur les bonnes pratiques)										
	1299 Sub-total	9,996.00	16,409.60	-	29,941.53	47,652.47	83,809.97	103,999.60	114,000.00	50,250.00	20,189.63
	1300 Administrative Support										
1301	2 Officers of NNJC (2 Cadres de la NNJC)	3,960.00	10,274.91	11,193.91	8,701.26	16,975.00	39,171.37	50,937.01	41,472.00	41,472.00	11,765.64
1302	2 Office Security men (2 Gardiens)	-	-	-			-	-		-	0.00
1303	Messenger (Planton)	713.00	2,561.64	2,810.87	2,380.94	3,096.96	9,844.62	11,532.75			1,688.13
1304	Cleaner (Personnel Entretien des locaux)	-	-	-			-	-		-	0.00
1305	Secretary (Secrétaire)	980.00	6,208.16	4,800.14	4,464.28	5,933.88	18,103.89	22,327.71	-		4,223.82
1306	Driver (2 Chauffeurs)	214.00	6,443.16	6,968.85	6,746.04	7,463.03	23,541.13	27,761.19	-		4,220.06
1307	Admin Support (Accountant)	-	13,913.97	14,153.94	12,012.83	14,521.48	47,208.31	54,458.44			7,250.13
	1399 Sub total	5,867.00	39,401.84	39,927.71	34,305.35	47,990.35	137,869.32	167,017.10	41,472.00	41,472.00	29,147.78
	1600 Travel On Official Business									-	
1601	Mission to RCU (Missions de l'URC)	826.00	1,365.78	1,379.63	6,485.00	12,135.37	21,714.37	22,191.78	5,000.00	5,000.00	477.41
1602	Mission to sites (Missions sur les sites)	7,808.00	6,111.46	12,109.90	12,737.11	5,152.99	43,804.76	43,919.46	35,000.00	35,000.00	114.70
	1699 Sub-total	8,634.00	7,477.24	13,489.53	19,222.11	17,288.36	65,519.13	66,111.24	40,000.00	40,000.00	592.11
	1999 Component total	59,122.00	145,415.14	139,218.72	166,948.72	185,497.75	648,319.24	667,006.34	604,872.00	559,060.00	18,687.10
	20 SUB CONTRACT COMPONENT										
	2100 Sub contract (MOUs/LOAs for cooperating agencies)										
2101	Legal and institutional framework for subregional co-ordination in the formulation and implementation of harmonized policies, the management of conflicts, and regulation of access to and benefits from natural resources, functional	-	13,047.65	3,250.00	-	13,702.00	18,594.82	29,999.65	30,000.00	30,000.00	11,404.83
B/L	Project Component	2006	2007	2008	2009	2010 to June	Total To Date	Rev 2 Budget	Rev 1 Budget	Original Budget	Unexp ended Budget
2102	Strengthened subregional, catchment, and community level institutions and processes for collaboration among partners, representing interests, identifying strategies, and planning NR management or projects, operational	-	4,141.94	-	-	45,858.00	41,947.09	49,999.94	30,000.00	30,000.00	8,052.85

2103	Co-ordinated financing of project activities between the two countries, at catchment and community level enabled and implemented	-	5,479.38	5,234.00		785.10	10,713.38	11,498.48	10,000.00	20,000.00	785.10
2104	Research-based knowledge of the natural ecosystems of the shared catchments, their past and present management, and the causes and impacts of land degradation and drought, enhanced and in use	-	50,419.12	4,974.72		746.21	55,393.84	56,140.05	10,000.00	20,000.00	746.21
2105	Subregional mechanism for recording, exchanging and disseminating technologies, good practices and experience established	-	-	-	-	17,500.00	17,110.44	17,500.00	7,500.00	15,000.00	389.56
2106	Implementation of subregional and community-based plans for conservation and shared use of water resources	-	-	-	-	5,000.00		5,000.00	5,000.00	10,000.00	5,000.00
2107	Implementation of subregional and community-based plans for conservation and shared use of land resources	-	-	-	-	5,000.00		5,000.00	5,000.00	10,000.00	5,000.00
	2199 Sub-total	-	73,088.09	13,458.72	-	88,591.31	143,759.57	175,138.12	97,500.00	135,000.00	31,378.55
	2200 Sub contract (MOUs/LOAs for suppting organizations)									-	
2201	Sub-contract (MOU with Federal Ministry of Environment Government of Nigeria)	238,492.00	322,002.66	467,048.00	383,231.15	137,327.15	1,548,103.99	1,548,100.95	1,875,306.00	1,907,009.00	(3.04)
2202	Sub-contract (MOU with Ministère de l'Environnement et de la Lutte contre la Désertification and ministère de l'Eau, Government of Niger)	156,873.00	491,579.12	512,149.90	427,517.50	176,357.18	1,764,479.27	1,764,476.70	1,837,765.00	2,003,241.00	(2.57)
2204	Sub-Contract Regional Coordination Unit	-	-	-	-	201,540.14	201,540.14				(201,540.14)
	2299 Sub-total	395,365.00	813,581.78	979,197.90	810,748.65	515,224.47	3,514,123.40	3,312,577.65	3,713,071.00	3,910,250.00	(201,545.75)
	2999 Component Total	395,365.00	886,669.87	992,656.62	810,748.65	603,815.78	3,657,882.97	3,487,715.77	3,810,571.00	4,045,250.00	(170,167.20)
B/L	Project Component	2006	2007	2008	2009	2010 to June	Total To Date	Rev 2 Budget	Rev 1 Budget	Original Budget	Unexp ended Budget
	30 TRAINIG COMPONENT										
	3200 Group Trainig										
3201	Group training : Participation in training sessions (Participation à des sessions d'échanges et de formation)	-	1,130.76	1,579.86		7,789.14	9,288.88	10,499.76	10,500.00	14,000.00	1,210.88
3207	Travel fees (Frais de voyage)	-	3,286.34	4,635.31	5,087.30	491.39	13,363.97	13,500.34	13,500.00	18,000.00	136.37
3208	Transborder transhumance routes facility (Accord sur la transhumance transfrontalière)	-	-	-			-	-		-	0.00
3209	Development of a common fund (Mise en place d'un fonds commun)	-	-	-			-	-		-	0.00

3210	Financial procedures and submitting pilot projects (Procédures de financement et l'élaboration de dossiers de projets pilotes)	-	-	-			-	-		-	0.00
3211	Capitalisation of project experience (Séminaire sur la capitalisation des expériences)	-	-	-		6,000.00	5,659.39	6,000.00	6,000.00	6,000.00	340.61
3212	New profitable alternatives for sustainable natural resources (Séminaire sur les alternatives de gestion durable des ressources naturelles)	-	-	2,438.65		3,561.35	4,178.93	6,000.00	6,000.00	6,000.00	1,821.07
3213	Launching the project (Séminaire de lancement du projet)	-	-	-			-	-		-	0.00
3214	Bilateral Committee Meetings: Regional Steering Committee, Experts Standing Committes (Meeting des comités bilatéraux: Comité de pilotage régional, Comités permanents des experts)	-	4,127.59	554.22	11,363.49	16,082.29	16,045.32	32,127.59	9,000.00	12,000.00	16,082.27
3215	Follow-up joint technical committes of experts (Séminaires des comités techniques mixtes de suivi des experts)	-	5,856.81	6,186.46	13,030.75	782.29	25,074.02	25,856.81	18,000.00	21,000.00	782.79
3216	Travel fees (Frais de voyage)	-	1,555.27	2,551.14	13,849.83	3,599.03	17,956.24	21,555.27	10,000.00	5,000.00	3,599.03
	3299 Sub-total	-	15,956.77	17,945.64	43,331.37	38,305.49	91,566.75	115,539.77	73,000.00	82,000.00	23,973.02
	3300 Moonitoring/Conferences									-	
3301	Conference on drought occurrence, impact analysis, and prediction modeling (Conférence sur la sécheresse)	-	5,682.92	3,487.80	952.38	5,559.82	14,934.53	15,682.92	10,000.00	10,000.00	748.39
B/L	Project Component	2006	2007	2008	2009	2010 to June	Total To Date	Rev 2 Budget	Rev 1 Budget	Original Budget	Unexp ended Budget
3302	Conference on managment of transborder water resources (Conférence sur la gestion des eaux transfrontalières)	-	-	-			-	-		-	0.00
3303	Meetings of Regional Technical Committee	-	558.81	14,627.23	12,148.55	23,224.22	27,334.59	50,558.81	18,750.00	25,000.00	23,224.22
3304	Travel fees (Frais de voyage)	-	1,597.71	3,798.16	4,338.29	11,863.55	9,734.16	21,597.71	9,375.00	12,500.00	11,863.55
	3399 Sub-total	-	7,839.44	21,913.19	17,439.22	40,647.59	52,003.28	87,839.44	38,125.00	47,500.00	35,836.16
	3999 Component Total	-	23,796.21	39,858.83	60,770.59	78,953.08	143,570.03	203,379.21	111,125.00	129,500.00	59,809.18
	40 EQUIPMENT AND PREMISES CONPONENT									-	
	4100 Expendable Equipment									-	
4101	Office Equipment (fournitures de bureau)	1,004.00	3,977.59	4,863.97	2,376.19		13,445.05	10,853.18	6,000.00	8,000.00	(2,591.87)
4102	Documents, Softwares (documentation, programmes informatiques)	205.00	1,752.19	2,245.87	1,346.83		5,664.80	5,500.19	5,250.00	7,000.00	(164.61)

4103	Fournitures Equipments (équipements mobiliers)	5,449.00	943.12	1,424.42			7,816.87	7,330.12	2,814.00	3,751.00	(486.75)
4104	Cartography equipment/Maps and others (Fournitures carographiques/Cartes et autres)	-	-	8,142.83			8,142.83	5,000.00	9,000.00	12,000.00	(3,142.83)
	4199 Sub-total	6,658.00	6,672.90	16,677.09	3,723.02	-	35,069.55	28,683.49	23,064.00	30,751.00	(6,386.06)
	4200 Non-Expendable Equipment									-	
4201	2 vehicle for field trips (1 véhicule 4x4 et 1 de pool)	35,628.00	-	27,095.65		4.35	62,724.08	62,728.00			3.92
4202	Office Equipment (Computers, etc) (équipements informatiques: ordinateurs, ..)	5,489.00	5,336.29	6,070.44	1,924.61	17,707.43	19,867.00	41,575.29			21,708.29
4203	Provision of split Air conditionens (Matériels de climatisation et de ventilation)	6,723.00	-	1,476.17	783.73	16,190.10	8,982.67	25,173.00			16,190.33
4204	Audio visuel equipment: camera, projectors, TV sets, video..(équipements audio-visuels: caméras, projecteurs,téléviseurs, vidéo, ...)	-	-	4,521.53		7,778.47	5,022.73	12,300.00	-		7,277.27
4205	GIS and cartographique equipment (équipements SIG et carotgraphie)	-	-	9,812.87	1,488.10	17,794.78	11,300.97	29,095.75	-		17,794.78
4206	Simultaneous interpretation equipment in the conference room of NNJC (Matériels d'interprétation simultanée/aménagement de la salle de réunions de la NNJC)	-	-	-		16,400.00	-	16,400.00	-		16,400.00
4207	Photocopy equipment (équipements de reprographie)	8,931.00	-	-		14,350.00	8,930.69	23,281.00			14,350.31
B/L	Project Component	2006	2007	2008	2009	2010 to June	Total To Date	Rev 2 Budget	Rev 1 Budget	Original Budget	Unexp ended Budget
	4299 Sub-total	56,771.00	5,336.29	48,976.66	4,196.44	90,225.13	116,828.14	210,553.04	-	-	93,724.90
	4300 Premises									-	
4301	Premises (Locaux)	-	-				-	-		-	
	4399 Sub-total	-	-	-	-	-	-	-		-	
	4999 Component Total	63,429.00	12,009.19	65,653.75	7,919.46	90,225.13	151,897.69	239,236.53	23,064.00	30,751.00	87,338.84
	50 MISCELLANEOUS CONPONENT									-	
	5100 Operation and Maintenance of Equipment									-	
5101	Maintenance of Computer Equipment (Entretien des équipements, ordinateurs)	-	-	147.55	2,339.37		3,360.22	1,300.00	900.00	1,400.00	(2,060.22)
5102	Maintenance of audio visual Equipment (Entretien des équipements audio-visuels)	-	-	-		150.00		150.00	450.00	700.00	150.00
5103	Maintenance of GIS and Map Equipment (Entretien des équipementsSIG et Cartographie)	-	-	-		501.08	701.68	1,688.00	564.00	876.00	986.32
5104	Maintenance of Vehicule (Assurance, Entretien des véhicules)	-	5,754.61	14,297.28	11,737.19		32,467.97	21,879.61	3,375.00	4,581.00	(10,588.36)

5105	Maintenance of Premises (Entretien des locaux)	6,777.00	4,981.92	2,640.79	3,165.57	7,934.64	16,007.34	25,499.92	24,000.00	18,000.00	9,492.58
5106	Maintenance of Photocopy Equipment (Entretien des équipements de reprographie)	-	-	525.18		708.82	750.72	1,234.00	936.00	1,093.00	483.28
5107	Fuel (Carburant)	7,252.00	662.66	3,582.17	8,126.67	466.69	27,236.05	29,999.66	25,000.00	21,220.00	2,763.61
5108	Hiring conference halls (location salles de réunions)	-	-	-			3,318.00	3,750.00	-		432.00
5109	Maintenance of interpretation equipment	-	-	-			-	1,208.00	-		1,208.00
5110	Electricity water (électricité, eau)	-	2,426.56	2,506.73	2,191.40		8,422.32	8,726.20	3,000.00	3,500.00	303.88
5111	Peration and Maintenance of equipment	-	-	-		8,609.51		2,050.00	832.00	1,041.00	2,050.00
5112							-			-	
	5199 Sub-total	14,029.00	13,825.75	23,699.70	27,560.20	18,370.74	92,264.30	97,485.39	59,057.00	52,411.00	5,221.09
	5200 Reporting cost									-	
5201	Reporting including translation (Rapports inclus les traductions)	6,895.00	2,310.36	1,145.65	7,130.94	18,568.15	21,433.59	36,050.10	30,000.00	30,000.00	14,616.51
5202	Public of newsletters (Publication de bulletins d'information)	-	-	1,204.71		23,621.94	4,253.68	28,870.14	18,083.00	20,000.00	24,616.46
5203	Production of thematic maps (Production de cartes thématiques)	-	-	554.53		9,445.47	554.53	10,000.00	32,000.00	32,000.00	9,445.47
B/L	Project Component	2006	2007	2008	2009	2010 to June	Total To Date	Rev 2 Budget	Rev 1 Budget	Original Budget	Unexp ended Budget
5204	Dissemination of reports (Diffusion des rapport)	-	-	-		7,000.00		7,000.00	16,000.00	16,000.00	7,000.00
	5299 Sub-total	6,895.00	2,310.36	2,904.89	7,130.94	58,635.56	26,241.80	81,920.24	96,083.00	98,000.00	55,678.44
	5300 Sundry									-	
5301	Communications (Communications, téléphone, fax, e-mail, ...)	1,450.00	6,808.38	8,634.30	5,101.96		26,846.15	18,165.70	6,000.00	6,000.00	(8,680.45)
5302	Publication, Press (publication, presse)	-	-	-			-	1,250.00	5,000.00	5,000.00	1,250.00
5303	Postages costs (frais postaux)	28.00	73.78	-	155.09		642.66	176.78	300.00	300.00	(465.88)
5304	Fiscal taxes: customs, clearance, taxes (frais fiscaux: dédouanement, taxes)	1,724.00	(919.65)	2,939.07	283.50		4,163.41	2,642.46	6,000.00	6,000.00	(1,520.95)
	5399 Sub-toal	3,202.00	5,962.51	11,573.37	5,540.55	-	31,652.22	22,234.94	17,300.00	17,300.00	(9,417.28)
	5400 Hospitality and Entertainment									-	
5401	Reception (Réceptions)	848.00	264.04	963.24	433.45	754.72	3,831.35	3,263.45	2,400.00	2,200.00	(567.90)
	5499 Sub-total	848.00	264.04	963.24	433.45	754.72	3,831.35	3,263.45	2,400.00	2,200.00	(567.90)
	5500 Monitoring and Evaluation									-	
5501	Internal monitoring mission	-	5,766.61	7,155.51	3,472.22	372.27	16,394.34	16,766.61	16,000.00	16,000.00	372.27
5502	Internal evaluation of performance	-	8,192.05	4,357.54	5,328.55		17,878.14	17,192.05	20,000.00	20,000.00	(686.09)

5503	Financial audits		-	-		813.91		1,500.00	5,000.00	5,000.00	1,500.00
5504	Mission allowances (frais de missions)	-	-	5,039.76	8,962.63	997.61	25,976.74	15,000.00	24,528.00	24,528.00	(10,976.74)
5504	Mission allowances (frais de missions)	5,308.00	6,991.47	-				12,299.47	-		12,299.47
5581	Implementation service (5%) to ICRISAT	25,000.00	25,000.00	25,000.00	25,000.00	35,000.00	135,000.00	135,000.00	210,000.00	-	0.00
	5599 Sub total	30,308.00	45,950.13	41,552.81	42,763.40	37,183.79	195,249.22	197,758.13	275,528.00	65,528.00	2,508.91
	5999 Component Total	55,282.00	68,312.79	80,694.01	83,428.54	114,944.81	349,238.89	402,662.15	450,368.00	235,439.00	53,423.26
GRAND TOTAL		573,198.00	1,136,203.20	1,318,081.93	1,129,815.96	1,073,436.55	4,950,908.82	5,000,000.00	5,000,000.00	5,000,000.00	49,091.18

Annex 12. Co-financing Status in IEM NN Project

Co financing (Type/Source)	Others (mill US\$)		Federal Government of Nigeria (mill US\$)		Federal Government of Niger (mill US\$)		Total (mill US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
- Grants								
- Loans/Concessional (compared to market rate)								
- Credits								
- Cash			1,500,000	1,000,000	500,000	255,000	2,500,000	1,255,000
- In-kind support			Not given	3,600,000- estimate	Not given	980,000- estimate		
On-going projects- UNDP	3,622,500	185,000					3,622,500	185,000
Other Multilaterals/ Bilaterals donors (CIDA, EU, AfDB)	3,500,000	-					3,500,000	-
-								
-								
-								
Totals	7,122,500	185,000	1,500,000	1,000,000	500,000	255,000	9,122,500	1,440,000⁹⁸

Data supplied by RCU/RSC and verified by TE Team- to extent possible

⁹⁸ Co-financing in cash only

Annex 13. Signed statement of account- year ended 31 December 2009



International Crops Research Institute
for the Semi-Arid Tropics

Dr Mohamed F Sessay, PhD
Programme Officer
Land Degradation, UNEP/GEF
Regional Office for Africa
P O Box 30552
Nairobi, Kenya

16 April 2010

Dear Dr Sessay,

Sub: Audited Financial Statements

Ref: Integrated Ecosystem Management in Shared Watersheds between
Nigeria and Niger - Temporarily Restricted Project ;
Project Number GFL/2328-2700-4889.

We enclose the audited statement of account for the above referred project and the Audited Financial Statements of ICRISAT for 2009, duly approved by the Governing Board.

We take this opportunity to convey our sincere thanks and appreciation to the United Nations Environment Programme for the continued support and cooperation being extended to the research activities of ICRISAT.

We shall be glad to furnish any additional information or clarification as may be required by you.

With best regards,

Yours sincerely,

Rajesh Agrawal
Director, Finance

Encl: As above

Copy: Drs Farid Waliyar / Peter Ninnas / Mr Hassane Amadou (ICRISAT)

UNEP Niger-Nigeria project

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The Director General
International Crops Research Institute for the Semi-Arid Tropics ('ICRISAT')
Patancheru
Andhra Pradesh

24 March 2010

Confirmation on Statement of Account of Integrated Ecosystem Management in Shared Watersheds between Nigeria and Niger, UNEP/GEF for the year ended 31 December 2009

As requested by you, we confirm that the accompanying Statement of Account of Integrated Ecosystem Management in Shared Watersheds between Nigeria and Niger, UNEP/GEF, which has been stamped by us for identification purposes only agrees with the relevant books of account, donor arrangement and other relevant records maintained by ICRISAT.

The responsibility for the preparation of this Statement of Account rests with ICRISAT. Our responsibility is to confirm whether the Statement of Account is in agreement with the books of account.

Based on the work done by us, we confirm that no matters have come to our attention, which would require any modification or alteration to the attached Statement of Account.

This letter is restricted to the activities of Integrated Ecosystem Management in Shared Watersheds between Nigeria and Niger, UNEP/GEF, and has been specifically issued for the purpose of onward submission to the donor and is not suitable for any other purpose and should not be quoted or referred to, in whole or in part, without our prior written consent.

KPMG

KPMG
Hyderabad, India

ICRISAT
Statement of Account
For the year ended and cumulative to December 31, 2009

Project title : Integrated Ecosystem Management in Shared Watersheds between Nigeria and Niger
Donor : United Nations Environment Programme/Global Environment Facility (UNEP/GEF)
Classification : Temporarily Restricted
Currency : USD
Project duration : January 1, 2006 to December 31, 2009

Project No. GFL/2329-2776-4889					
Item	Budget (Year 1, 2, 3 & 4)	Expenditure		Balance as at	
		Cumulative to December 31, 2008	2009	Cumulative to December 31, 2009	December 31, 2009
1100 Project personnel	320,895	201,892	83,480	285,372	35,523
1200 Consultants	104,000	26,406	29,942	56,348	47,652
1300 Administrative support	175,162	84,002	34,344	118,346	57,816
1400 Volunteers	-	-	-	-	-
1600 Travel	66,112	29,602	19,222	48,824	17,288
2100 Sub-contracts	175,138	86,546	-	86,546	88,592
2200 Sub-contracts	3,312,578	2,186,145	810,850	2,996,995	313,583
2300 Sub-contracts	-	-	-	-	-
3100 Fellowships	-	-	-	-	-
3200 Group training	115,540	33,902	43,331	77,233	38,307
3300 Meetings/Conferences	87,839	29,752	16,488	46,240	41,599
4100 Expendable equipment	28,469	30,008	3,723	33,731	(5,262)
4200 Non-expendable equipment	210,553	111,084	4,197	115,281	95,272
4300 Premises	-	-	-	-	-
5100 Operation	95,713	51,609	28,711	80,320	15,393
5200 Reporting costs	81,925	12,111	7,131	19,242	62,678
5300 Sundry	24,063	20,739	5,543	26,282	(2,219)
5400 Hospitality	3,263	2,075	436	2,510	753
5500 Mission Allow/implent (SC)	197,755	117,809	42,441	160,250	37,505
6000 UNEP Participation cost	-	-	-	-	-
99 GRAND TOTAL	6,000,000	3,025,682	1,129,838	4,156,820	844,489

Note:

Total budget and line item classifications are as specified by the donor at project inception

UNEP (SAR)



Raghuvaran
DIRECTOR, FINANCE