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## Annex 1: Terms of Reference

### MID-TERM REVIEW OF THE UNDP-UNEP POVERTY-ENVIRONMENT INITIATIVE (PEI) SCALE UP

#### TERMS OF REFERENCE

##### 1 – Background and Introduction

##### **PEI – FROM THE PILOT TO THE SCALE-UP**

The UNDP-UNEP Poverty-Environment Initiative (PEI) has its roots in the growing appreciation of how environmental sustainability can contribute to pro-poor growth and poverty reduction that emerged in the late 1990s and was endorsed at the World Summit on Sustainable Development in 2002 in Johannesburg. UNDP launched the first PEI activities during the late 1990s. This was a policy initiative focused on desk studies and policy recommendations. Meanwhile, UNEP launched its own poverty-environment project which concentrated on the significance of ecosystem services for poor people.

Increasingly substantive collaboration between UNDP and UNEP commenced in early 2005 and the initial joint UNDP-UNEP PEI was formally launched at a side event – Environment for the MDGs – at the 2005 World Summit, with strong donor support. The two institutions effectively combined their efforts and their funds in support of a set of 7 country programmes in Africa. This is referred to as the PEI Pilot Phase. (The one PEI country programme in Asia remained a UNDP supported programme)

In late 2006, UNDP and UNEP undertook a vigorous effort to learn from the experience gained in this Pilot Phase. With the backing of key donors, UNDP and UNEP jointly prepared a formal proposal to seek financial support for a UNDP-UNEP PEI Scale-up.

The favourable reaction by donors to this proposal led to UNDP and UNEP launching the joint UNDP-UNEP PEI Scale-up in February 2007. The joint programme document for “Scaling-up the UNDP-UNEP Poverty-Environment Initiative” (commonly referred to as the **PEI Scale-up joint PRODOC** - see Annex I) set an initial target of expanding the programme to work in about 25-30 countries (from 8 in the pilot phase) with a budget of \$33 million over five years. Its implementation effectively started in 2008.

##### **THE POVERTY-ENVIRONMENT INITIATIVE IN BRIEF<sup>1</sup>**

The PEI is a global UN programme that supports country-led efforts to mainstream poverty-environment linkages into national development planning, from policymaking to budgeting, implementation and monitoring. We provide financial and technical assistance to governments to set up analytical, institutional and capacity strengthening programmes with the aim of influencing policy and budgets and bringing about enduring institutional change by increasing the understanding of country poverty-environment linkages. In order to achieve that, PEI works increasingly in collaboration with other relevant actors at the country level such as leading practitioner and knowledge organizations, civil society organizations, and the private sector. It is a significant example of commitment to UN Reform, including One UN.

The UNDP-UNEP PEI:

- Was formally launched in 2005 and significantly scaled-up in 2007;

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<sup>1</sup> A memory stick will be prepared with all the key PEI documents for the MTR team.

- Currently works in Africa, Asia-Pacific (PEI A-P), Europe and the CIS (PEI ECIS) and Latin America and the Caribbean (PEI LAC). There are currently 16 PEI country programmes under implementation, 5 under preparation and 5 where PEI provides targeted technical support<sup>2</sup>; (Note: this number is under review consistent with resource realities).
- Operates through a joint UNDP-UNEP Board, a global Poverty-Environment Facility (PEF), four regional teams (RTs) and the UN country teams (UNDP COs);
- Funding has been provided by the Governments of Belgium, Denmark, Ireland, Norway, Spain, Sweden, the United Kingdom, the European Commission and core funding from UNDP and UNEP;
- Contributes to the UN ‘Delivering as One’ process and strengthening the capacity of its host agencies to mainstream environment in their country operations.

The value added of the PEI is that there is a demonstrable need to improve the incorporation of environmental sustainability in country development processes and that the PEI is the one major international programme that attempts to operationalise the integration of pro-poor environmental sustainability into national development processes and budgets – using a country-led approach based upon experience and lessons learned. Furthermore, the UNDP-UNEP PEI is a leading example of UN interagency co-operation and UN reform in action. Our team has achieved a significant expansion of the existing PEI programme through a formal UNDP-UNEP joint programme which will now undergo a mid-term review.

## PEI IMPLEMENTATION AND MANAGEMENT ARRANGEMENTS

PEI is a pioneering example of a joint UNDP-UNEP programme – with a Joint Management Board, the Poverty-Environment Facility (PEF) and four PEI regional teams (RTs). Both host institutions contribute core staff – some full-time, some part-time - at the global, regional and country levels. Since PEI is a jointly managed initiative with pooled funds, contributions from PEI Scale-up donors are pooled and jointly managed by the PEF under the UNDP Atlas system<sup>3</sup>.

The PEI **Joint Management Board** consists of the Director of UNDP’s Environment and Energy Group, UNEP’s Director of the Division of Environmental Policy Implementation (Note: originally and until August 2010, the UNEP representative was the Director of the Division of Regional Cooperation). The **PEF** based in Nairobi is jointly managed by a Director and a Manager, appointed by UNDP and UNEP, who report to the Board. It is charged with global coordination and management of the programme – including budget management and reporting to donors on expenditure and results. It also offers knowledge management and technical advisory services to the regional and country programmes. Each **country programme** is developed jointly with the Government and formalized in a joint Programme Document (PRODOC) approved by the main Government partners, the UNDP-UNEP Poverty-Environment Facility, and the UNDP Country Office (UNDP CO). The **four regional teams** support the design and delivery of country programmes, in cooperation with the UNDP COs and the Government, and are responsible for responding to demand in their respective region. Under the guidance of the PEF, the regional teams use the results framework in the PEI Scale-up joint PRODOC and report with our country partners against this results framework and associated indicators.

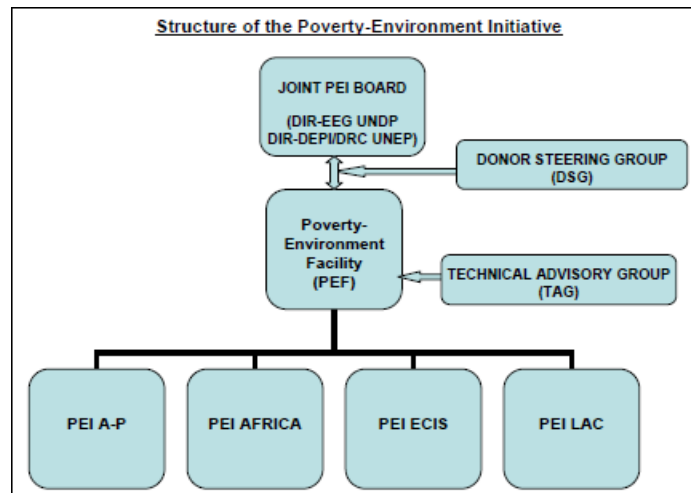
A **Donor Steering Group** (DSG) formed by donor contributing to the PEI Scale-up meets annually and provides guidance and feedback to management. Reporting to donors is done through a

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<sup>2</sup> For more information see the Overview of country programme status per region – Annex I of the PEI Annual Progress Report for 2009. The PEI Annual Progress Reports for 2008 and 2009 are available under major publications on [www.unpei.org](http://www.unpei.org)

<sup>3</sup> Atlas is a name for PeopleSoft ERP system used in UNDP and other partner UN agencies to manage finances, human resources, inventory and procurement.

consolidated annual progress report<sup>4</sup> - rather than individual donor reports - as agreed with the Donor Steering Group. In addition to reporting on progress and results, the annual report is used for disseminating information on lessons learned in programme countries and other outreach purposes. During the last DSG meeting it was agreed to reconvene the PEI **Technical Advisory Group** (TAG) to provide strategic advice to the management of the PEF.



## MANAGEMENT ARRANGEMENTS - PEI COUNTRY PROGRAMMES

PEI's strength is in the proven approach it employs at the country level. PEI works with the government to establish institutional and management arrangements that create a well-functioning team that works to deliver sustainable results for poverty reduction and improved environmental management. PEI country programmes operate through the UNDP CO, with joint support from PEI regional teams and the broader UN country team. In general, the ministry of planning and finance is the most suitable entity to lead the effort, in close collaboration with environmental institutions. In most cases PEI is integrated in an existing government-led:

- **Steering Committee-** including high level environment institutions, planning and finance ministries, sector ministries, subnational actors, and non-governmental actors, which provides strategic and political guidance to the poverty-environment mainstreaming process.
- **Technical committee or task team-** Provides technical inputs and guidance throughout the poverty-environment mainstreaming process. This team can be composed of external experts, government officials, UN staff, and local officials.

The PEI country teams vary in composition. Drawing on support from the PEI RT and the PEF they focus on a specific entry point, such as a development policy process, budgeting process, sector or local planning process, or similar process to integrate environment into development and poverty-reduction policies.

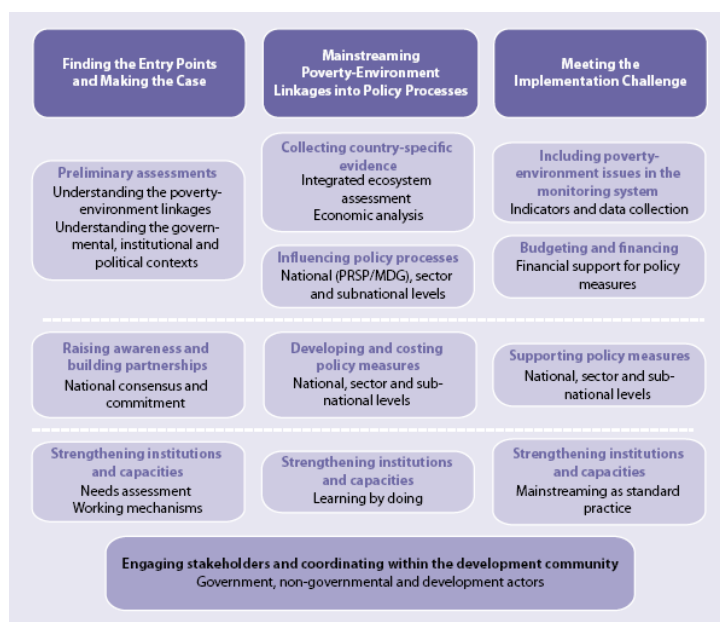
<sup>4</sup> The PEI Annual Progress Reports for 2008 and 2009 are available under major publications on [www.unpei.org](http://www.unpei.org)

## THE PEI PROGRAMMATIC APPROACH

The PEI has developed a programmatic approach for mainstreaming poverty-environment linkages into national development planning. This programmatic approach consists of three components or phases:

1. Finding the entry points and making the case, which sets the stage for mainstreaming
2. Mainstreaming poverty-environment linkages into policy processes, which is focused on integrating poverty-environment linkages into an ongoing policy process, such as a PRSP or sector strategy, based on country-specific evidence
3. Meeting the implementation challenge, which is aimed at ensuring integration of poverty-environment linkages into budgeting, implementation and monitoring processes

The diagram below explains the activities of the three phases in more detail. This approach is flexible and can be tailored to each country context<sup>5</sup>.



## 2 – Objectives of the external PEI mid-term review

Section 3.5 of the Joint Programme Document “Scaling-up the UNDP-UNEP Poverty-Environment Initiative” (PEI Scale-up PRODOC), states that “an external mid-term review (MTR) will be carried out in Year 3”. This PEI MTR will be conducted according to these TOR.

The PEI Scale-up proposal also indicates that the objective of the external mid-term review of the PEI Scale-up is “to assess overall programme progress. An external evaluation will be conducted in Year 5 to assess programme results and to make recommendations for a second –year phase”.

This review follows a mid-term evaluation and final evaluation of the pilot African PEI programme. These evaluations were prepared for Belgium and Norway, respectively (copies of the reports are

<sup>5</sup> A Handbook, entitled [Mainstreaming Poverty-Environment Linkages into Development Planning: A Handbook for Practitioners](http://unpei.org/Knowledge-Management/pei-handbook.asp) was developed through consultative processes over the course of 2008 that further elaborates the programmatic approach. Available at <http://unpei.org/Knowledge-Management/pei-handbook.asp>

contained in the memory stick). Hence this MTR will not cover pilot African PEI country programmes.

According to the above, and as suggested by donors, the purpose of this MTR is to serve as a monitoring tool focusing on how the programme is operating<sup>6</sup> and if any major changes are required, while the final evaluation would look at the overall programme objectives; what impact has been achieved and lessons learned to be applied to a new programme and/or alternatively to develop indicative recommendations for PEI post 2012.

The **specific objectives** of this external MTR are:

1. Assess the current value added of the PEI and whether changes in the wider policy environment, i.e. opportunities and challenges in view of the climate change agenda, green economy, and consideration of other-related initiatives or actors that have emerged since 2002 have implications for how PEI operates to 2012 (relevance).
2. Assess the progress to date of the Initiative and its implementation against the results and resources framework of the Scale-up joint programme and identify its strengths and weaknesses. In this sense, emphasis should be put on the analysis of results obtained compared to the “targeted results” that were expected taking into account the actual inputs, outputs and outcomes (effectiveness and efficiency).
3. Provide findings, conclusions and recommendations to improve implementation and delivery. These should focus on:
  - a. the global joint PEI design and arrangements (including the PEF, PEI governance and operational and technical support from UNDP and UNEP)
  - b. PEI regional teams
  - c. PEI country programme design and implementation.

The **key documents** that will guide the review are (A memory stick will be prepared with all the key PEI documents for the reviewers):

- Annex I: the PEI Scale-up proposal
- Annex II: the PEI Scale-up joint PRODOC,
- Annex III: the PEI pilot phase Norwegian evaluation,
- Annex IV: the PEI pilot phase Belgium evaluation,
- The PEI Scale-up Annual Progress Reports for 2008 and 2009,
- The PEI proposed M&E framework for the PEI Scale-up,
- Relevant PEI Scale-up country PRODOCs (to be provided to the MTR team).

The **target groups** for the results of this review are the main PEI stakeholders: i) the PEI teams (includes beneficiary countries), ii) PEI donors (including both the Technical Advisory Group and the Donor Steering Group and iii) UNDP and UNEP Senior Management (includes the PEI Joint Management Board).

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<sup>6</sup> The Norwegian evaluation of the PEI pilot phase recommended “that donors assess PEI in relation to outcomes at the level of “enabling environment” rather than “improved environment and poverty impacts”.

### **3. Scope of the MTR**

The review will cover PEI Scale-up work carried out over the first three years of the PEI Scale-up at global, regional and country level (up until December 2010) in PEI Scale-up countries in Africa, Asia-Pacific, Europe and the CIS and Latin America and the Caribbean.

**Reporting requirements:** The MTR will provide the main PEI stakeholders indicated in general and the PEI management in particular (including the PEI Joint Management Board and the Donor Steering Group) with a review of the implementation and performance of the PEI and it will make recommendations to improve those for the remaining period. The review will include a detailed management response with action plans to implement recommendations.

**Limits of the MTR:** Due to the early stages of implementation of many PEI Scale-up country programmes, it is too soon to provide substantive evidence on PEI's possible impact on poverty reduction and sustainable growth. Furthermore, the joint PEI Scale-up PRODOC (see page 16) already points out at the fact that: "An assessment of PEI, therefore, must focus on the *processes* generated or facilitated by the programme [...]". The impact assessment is, by definition, relatively less applicable in a mid-term review exercise, since impact assessment examines the achievements made by the results in the longer term. This MTR should instead provide recommendations on the likelihood that PEI outputs will deliver the expected outcomes and impact in beneficiary countries as indicated in their respective country PRODOCs. In this sense, the MTR will address important aspects impacting on present and future performance, such as country ownership or UNDP and UNEP joint programming related issues. It will also review design and implementation – including organizational and institutional arrangements or project design - to identify process issues that may impact on overall PEI delivery.

As such, and in line with the PEI Scale-up joint PRODOC, the review team will focus on understanding and commenting on the extent to which the PEI is assisting in creating the enabling conditions needed to effectively mainstream poverty-environment in national development plans and policy processes and the likelihood that those PEI-driven changes have an impact on the ground. For example, that additional investment will be made in sustainable agricultural practices.

### **CRITERIA AND SPECIFIC TASKS**

The five OEDC/DAC traditional evaluation criteria will be the substantive focus of this review - relevance, efficiency, effectiveness, impact and sustainability. Standard evaluation criteria of relevance, efficiency and effectiveness will be used to assess the core of the MTR, i.e. the performance of the PEI, as follows: (Some suggested modifications may be discussed in the MTR review inception report, but any substantive changes would require the agreement of donors).

**Relevance** - the MTR will comment on whether the portfolio of different outputs undertaken by PEI country programmes are the right ones to deliver the enabling conditions for poverty-environment mainstreaming in the light of the context post-2002 as indicated for the specific objective 1). In particular, the MTR will address the following key review questions:

1. Assess PEI's value added, including areas of strength and competitive advantage and areas for improvement;
2. Assess whether the three project outputs, as formulated in the Scale-up joint PRODOC, still represent the best project strategy for achieving PEI objectives;
3. Assess the consistency of the PEI Scale-up country programmes to be reviewed (e.g. two from the Africa and Asia-Pacific regions and one from ECIS and LAC, respectively) with the PEI Scale-up joint PRODOC and where there are significant differences, assess the rationale for such differences and their broader implications for the PEI. This includes in terms of both process and content;
4. Considering the time left until the end of the PEI, assess whether the timeframe is still realistic to deliver on the expected outputs in the PEI Scale-up joint PRODOC. If applicable, outline recommendations for a process that would lead to revised timings for the remaining implementation time;

5. Assess the PEI phased and adaptive mainstreaming model, with a view to clarify: a) the 'exit' criteria, i.e. conditions, pre-requisites and steps including making a transition to other stakeholders at the country level, b) the post 2012 scenario for PEI, i.e. integration in the structure/work of the two host organisations (related to bullet point 5 under effectiveness).

**Effectiveness** - the extent to which the programme is contributing to its objectives or its desired potential outcomes through delivery of outputs and through its implementation at national, regional and global levels, including the degree to which the programme responds to national priorities:

1. Review progress and achievement of the PEI Scale-up poverty-environment mainstreaming outputs at global, regional and country levels (in the selected countries) in the PEI Scale-up joint PRODOC;
2. Review the adequacy of advice and inputs by PEF, RTs and selected PEI Scale-up country teams on poverty-environment mainstreaming, including internal and external communication management;
3. Assess the main underlying factors beyond the programme's immediate control that influence outcomes and results. Consider the appropriateness and effectiveness of the project's management strategies for these factors: e.g. review the proposed PEI Theory of change;
4. Review the appropriateness and effectiveness of the partnership between UNDP and UNEP with respect to the PEI Scale-up at the global, regional and country level, including UNDP and UNEP support for the PEI Scale-up in programmatic, operational and governance terms. This should include of both poverty and environment elements of UNDP, i.e. the role of UNDP and UNEP against the requirements set out in the PRODOC;
5. Review the degree to which PEI is integrated in UNEP and UNDP and delivers experiences, approaches, network and partners etc. to other UNEP and UNDP activities.

**Efficiency** - the cost-effectiveness of the transformation of inputs into outputs. This MTR should provide an analysis and recommendations on the use of available resources in terms of timeliness and quality delivery of services.

1. Assess the evolution, effectiveness and efficiency of the current M&E design for PEI, and identify any changes needed to ensure that the M&E system provides adequate measure of results, including performance and impact indicators.
2. Review the PEI country programmes' execution modalities, i.e. assess the management and institutional set-up (membership and profiles, cost-effectiveness, lead agency, national ownership including the role of the national management);
3. Identify the major factors that have facilitated or impeded the progress of the country PEI programme in achieving its desired results/objectives. This should also take into account the political and institutional country situation during programme implementation and related impacts;
4. UNDP and UNEP resource mobilization efforts to the PEI pooled fund, plus PEI country programme resource mobilisation efforts;

#### **Preparing for impact and sustainability**

**Impact** - for the purpose of this review, impact represents changes in the degree to which pro-poor environmental sustainability is included and operationalised in national, sector and sub-national development plans and budgets, whether planned or unplanned, positive or negative, that the programme brings about. This MTR should provide recommendations on the likelihood that PEI outputs deliver the expected outcomes and impact in beneficiary countries as indicated in their respective country PRODOCs. Note: as the PEI is a partnership programme, with country programmes strongly embedded in existing government processes and agencies, impact should be assessed in such a



partnership context, the policy and budgeting processes where all parties play key roles, rather than impact on enhanced environment and poverty conditions.

**Sustainability** – the MTR will comment on the likelihood that the outputs and outcomes that the PEI is producing and contributing to will bring about significant and durable change and will ensure that environment is embedded in institutional development planning processes used by different sectors of the government.

## **5 - Methodology or review approach**

The MTR will be a progress review, focusing on whether the UNDP-UNEP PEI outcomes are likely to be achieved. The independent review will take into account the changing global environmental and poverty debate as well as evolving international concerns and priorities. It must provide evidence-based information that is independent, credible, reliable and useful. It must be easily understood by the main stakeholders and applicable to the remaining period of PEI Scale-up joint PRODOC duration.

The evaluation will consist of three main phases in the course of which five methodological stages will be developed.

Three Main Phases of Development:	Five Methodological Stages:
Inception/ design	Structuring of the evaluation
Implementation	Data collection
Synthesis/reporting/dissemination phase	Analysis
	Judgements on findings
	Recommendations

The MTR should provide as much gender disaggregated data as possible. It will be carried out by the MTR team through the following elements:

- **Documentation review** (desk study): the list of relevant documents includes those listed under section 2, related reports and internal guidance documents. These and other relevant documents will be made available as indicated in section 7. The desk study should be complemented by a participatory approach including the full range of PEI Scale-up stakeholders and the following elements:
- **Global and regional consultations:** headquarters and regional centres will be contacted by the MTR team to interview UNDP and UNEP staff and to consult with selected staff of partner organizations and stakeholders operating at global and regional levels. These will include bilateral donors, plus international NGOs and institutions with overlapping interests, priorities and concerns such as the International Institute for Environment and Development (IIED) or the World Resources Institute (WRI).
- **Country Field visits:** should be made to at least one country PEI programme per region (two in Africa and two in Asia-Pacific), i.e. a total of six countries. For this purpose the team will carry out substantive analyses of background documentation, plus interviews with key stakeholders focusing on country teams (key Government officials, UNDP CO, national project managers and coordinators, technical advisors) and relevant non-governmental actors and bilateral and multilateral donors. The team will also direct observations on a small sample of programme and project sites, in order to gather evidence to respond to the key evaluation questions.
- **The main criteria for country selection** are to attain a regional balance and include a mix of country typologies -not only least-developed, but also middle income countries. Other important criteria include: i) country programme developed as part of the Scale-up, ii) enough progress made to provide valid data to the MTR, iii) cost-effectiveness of travel by the MTR team.

- **Desk reviews**, including phone calls with Management and Senior Management from additional country offices and regional centres will be used in a number of the other PEI countries.
- **Use of questionnaires or mini-surveys** as needed to complete and validate the information obtained through other sources to respond to the review questions.  
**Indicators** for measuring achievement of the objectives are validated according to generally accepted criteria, such as SMART. Disaggregated data should be presented to clarify any differences between sexes and between different groups of poor people, included excluded groups.

Taking into account that the conceptual nature of the subject does not lend itself easily to quantitative analysis, the approach to the review will be further discussed, refined and finalized with the MTR team.

## **6 - Expected outputs and timeframe**

**The main output will be a final MTR report**, not exceeding 30 pages, excluding annexes. The final report will synthesize the evidence from all the components of this evaluation. The findings, conclusions and recommendations will be summarized in an Executive Summary.

**Preparation:** the review team will submit a technical and a financial proposal for the review, including in-country visits and interviews during the implementation of the MTR. This proposal should follow the methodology indicated above and include draft travel agendas and persons to be interviewed in each country. The proposal should detail costs and be presented to the PEF for review and approval. There will also be reports from the 6 country studies that will not exceed 10 pages each, excluding annexes. The country reports will be summarized in an annex to the main report. The **draft report** will highlight recommendations to address issues identified. It will be presented to the PEF for comments by the end of June 2011 [26 of September].

**Final report:** based on feedback from the PEF and lead donors, the external review team will present a final report consistent with the objectives, scope and methodology of the review as set out above by the date agreed to with the PEF. The final report will be approved by the PEF and the findings will be presented to the main PEI stakeholders. The report will also be circulated to the participating UNDP and UNEP units and country offices, partner organizations and other key stakeholders.

The final report (maximum of 30 pages without annexes) should include:

- Executive summary (no longer than five pages summarizing findings, conclusions and recommendations)
- Introduction (including description of the review methodology)
- Findings and review outcomes following an analysis consistent with the above taking into account best practices and lessons learned, focusing on internal factors (strengths, weaknesses) affecting implementation and management arrangements of the programme, areas for corrective action, areas for potential success and external factors (opportunities, threats) affecting the implementation (i.e. such as Government commitment or political will)
- Conclusions
- Recommendations\*
- Annexes: TOR, field visits, people interviewed, documents reviewed, samples of questionnaires and tools used for the review, etc.

### **\*Recommendations:**

The report should provide detailed and operational recommendations, relevant within the UNDP and UNEP contexts, organised by target groups. These recommendations should be ranked and prioritised according to their relevance and importance to the purpose of the evaluation. Options to implement the recommendations with the indication of the respective limits and possible risks should be presented. Recommendations will in all cases need to be cross-referenced to the corresponding conclusions. Furthermore the evaluation team may select (and justify) the 3 most important recommendations that should be highlighted to PEF, RTs, country teams (including recipient governments), UNDP and UNEP

management. Appropriate feedback mechanisms shall be provided so that all types of evaluation results are transmitted effectively to all persons responsible for decision-making.

**The other output will be a stakeholder validation/a review workshop** at which all team members and the full range of stakeholders discuss and agree on findings, conclusions and follow-up recommendations.

**Timeframe:**

The proposed timeframe of the MTR will be 60 person days plus travel time and mission time in-country over a maximum period of three months from the beginning of April 2011 [18 of July 2011], with the draft report being available for comments by the mid of June 2011 [26 of September 2011].

**7 - Profile of the MTR team and qualifications of the external consultants**

The MTR will be managed by the PEF in collaboration with lead donors, including the choice of evaluators. The PEF will have final responsibility for the selection of the external consulting firm. All external consultants will be hired in accordance with the UNDP rules and regulations. Its composition will be announced by the PEF to donors as soon as it is confirmed. The external review team will be responsible for the development, research, drafting and finalization of the MTR, in close consultation with the PEF.

Areas of expertise required for the external consultants include the following:

- Advanced technical knowledge and experience in development cooperation policy, and poverty-environment mainstreaming and linkages.
- Knowledge of the UN system and the ‘Delivering as One’.
- Recent demonstrable knowledge of current evaluation theory and practice in field situations (results-based management evaluation methodologies) and several years of experience in evaluating poverty-environment-related development programmes and projects.
- Recent demonstrated experience applying SMART indicators and reconstructing or validating baseline scenarios.
- Recent demonstrated experience applying UNDP’s results-based evaluation policies and procedures and recent knowledge of UNDP and UNEP M&E Policy is an advantage.
- The team should demonstrate analytical skills, consideration for gender balance and familiarity with the different regions.
- The team leader must have demonstrable strong management, negotiation and communication skills and expertise in the subject matter.
- Competence in Adaptive Management, as applied to natural resource management projects is an advantage.
- Excellent English communication skills. French, Spanish and Russian knowledge an advantage.

It is also worth taking the following into consideration:

- Reviewers are independent from the development intervention, including its policy, operations and management functions, as well as intended beneficiaries.
- Possible conflicts of interest are addressed openly and honestly.
- The MTR team is able to work freely and without interference, i.e. it is assured of co-operation and access to all relevant information.

**Management Arrangements**

The MTR team will be responsible for the development, research, drafting and finalization of the MTR, in close consultation with the PEF. All team members will be responsible for drafting components of the report while the team leader will be responsible for drafting the integrated final report and executive summary, with the support of the PEF.

The PEF will be responsible for the overall direction of the MTR process. It will provide backstopping support and ensure coordination and liaison with all concerned UNDP and UNEP units and other key agencies; it will provide overall guidance, focused on ensuring delivery consistent with the MTR TORs.

In the case study countries and regions, the country teams and regional teams will support the MTR team in liaising with key partners and in discussions with the team, and make available to the team all relevant review material. They will also provide support on logistical issues and planning for the country visits by the evaluation team. In addition, each country team and regional team will appoint a focal point for the MTR that will assist in preparing relevant documents and setting up meetings with all relevant stakeholders in connection with the respective country missions.

The UNDP-UNEP PEI will meet all costs related to conducting this review and will manage its process, providing support and ensuring coordination and liaison with key development partners. The PEF, in collaboration with the MTR team leader, will be responsible for presenting the MTR report to the PEI Joint Management Board and the Donor Steering Group during its Annual Meeting in 2011.

## Annex 2: Country programme progress against global PEI Scale-up Output 1 – countries visited by MTR Team

Comparison of country programme progress and global PEI scale-up results framework Output 1: Country poverty-environment mainstreaming programmes (Phase 1 and 2) <sup>7</sup>							
X = yes/fully    x = partially/in some areas    - = no/not yet/not applicable							
Country	Bhutan	Lao PDR	Tajikistan	Botswana	Malawi	Uruguay	Comments
Phase	2	1	1	1	1	1	
<b>PHASE 1</b>							
<b>Indicators</b>							
Improved understanding of contribution of environment to poverty reduction and growth within planning/finance, environment and sector ministries	X	x	x	x	x	x	<b>Lao PDR, &amp; Botswana:</b> Planning & environment; and in Uruguay, Planning, Environment, Housing, and the social development areas <b>Uruguay:</b> Ministries of Environment; of Social Development; the Budget Office (OPP); Montevideo Municipality <b>Tajikistan:</b> Mainly at subnational level
Improved representation of environmental actors in key planning processes	X	x	x	x	x	x	<b>Lao PDR:</b> At provincial level <b>Tajikistan:</b> At subnational level <b>Malawi, Botswana:</b> at district level (not yet begun)
Integration of poverty-environment issues in key planning frameworks for poverty reduction, growth and national MDG targets	X	X	X	-	-	-	<b>Tajikistan:</b> In national methodology for local development planning

<sup>7</sup> Depending on focus/objectives, not all country programmes/PRODOCs are planned to cover all activities of PEI global Scale-up PRODOC. Activities of key importance to country programmes are not always reflected in PEI global Scale-up PRODOC

<b>Comparison of country programme progress and global PEI scale-up results framework Output 1: Country poverty-environment mainstreaming programmes (Phase 1 and 2)<sup>7</sup></b>							
X = yes/fully    x = partially/in some areas    - = no/not yet/not applicable							
<b>Indicative activities</b>							
Assess environment-poverty-growth links through integrated ecosystem assessment, economic assessment, strategic environmental assessment	x	X	x	-	x	x	<b>Bhutan:</b> Two PEERs <sup>8</sup> conducted <b>Lao PDR:</b> Several studies on PE and investments <b>Tajikistan:</b> Study on economic growth and environment Scheduled <b>Malawi:</b> Economic Study and Malawi State of the Environment Report <b>Uruguay:</b> Draft Urban poverty socio economic baseline, rural PE study scheduled
Integrate poverty-environment issues into MDG/PRSP strategy through sustained engagement in national development policy and planning processes	X	X	-	-	-	-	
Identify sectoral/systemic priorities to address poverty-environment issues	x	x	-	-	-	-	<b>Bhutan:</b> Line ministries have developed PEI concept notes <b>Lao PDR:</b> Key private investment sectors
Target-setting and costing of sectoral/systemic interventions	x	x	-	-	-	-	<b>Bhutan:</b> Line ministry concept notes, mainly project based <b>Lao PDR:</b> ESIA department cost recovery <b>Botswana:</b> Tourism policy developed with PEI help- indicators not taken up yet
Develop poverty-environment and environmental mainstreaming indicators and integrate into MDG/PRSP monitoring	X	X	X	-	x	-	<b>Bhutan:</b> PE Indicators developed/proposed <b>Malawi:</b> Indicator on soil erosion, + 10 new indicators going into AgSwap <sup>9</sup>
Phase 2 needs assessment and preparation of work plan for longer-term Phase 2 programme	X	x	-	-	-	-	<b>Lao PDR:</b> Ongoing

<sup>8</sup> Public environmental expenditure review.

<sup>9</sup> Agricultural Sector Support Programme

<b>Comparison of country programme progress and global PEI scale-up results framework Output 1: Country poverty-environment mainstreaming programmes (Phase 1 and 2)<sup>7</sup></b>							
X = yes/fully    x = partially/in some areas    - = no/not yet/not applicable							
<b>PHASE 2</b>							
<b>Indicators</b>							
Improved institutional capacity for poverty-environment mainstreaming among planning/finance, environment and key sectoral agencies	X	X	x	-	-	X	<b>Tajikistan:</b> Subnational government
Environment mainstreamed into relevant sectoral policies, plans and implementation processes	x	x	x	x	x	x	<b>Bhutan:</b> Comments provided for 4 policies <b>Lao PDR:</b> Draft national investment strategy (foreign investments) <b>Malawi:</b> Sector policies (Forestry, Fisheries, Energy coming) <b>Tajikistan:</b> Local Development plans <b>Botswana:</b> Tourism and Wildlife Policies
Increased macro and sectoral investment targets for longer-term investments to address priority poverty-environment concerns	-	x	-	-	-	X	<b>Lao PDR:</b> Draft national investment strategy (foreign investments) <b>Uruguay:</b> increased 6-fold budget for urban poor garbage collectors
Improved financing strategy to meet investment targets through domestic resource mobilization and harmonized donor support	-	-	-	-	-	X	<b>Uruguay</b> has own funds to finance strategies to meet investment needs
<b>Activities</b>							
Strengthen national and sub-national capacity to monitor poverty-environment outcomes	-	x	-	-	-	x	<b>Lao PDR:</b> Monitoring private sector investments <b>Uruguay:</b> capacity building in OPP-budget office
Strengthen capacity of environment ministry to engage in national budget processes (e.g., Medium-term Expenditure Frameworks, general budget support, etc.)	-	-	-	-	-	-	
Strengthen capacity to develop poverty-environment investment strategy and financing options – including domestic finance for environmental institutions	-	x	-	-	-	-	<b>Lao PDR:</b> Strategy for private sector investments
Cooperation with sector bodies to strengthen implementation	X	x	x	-	-	X	<b>Lao PDR &amp; Tajikistan:</b> At provincial level

**Comparison of country programme progress and global PEI scale-up results framework Output 1: Country poverty-environment mainstreaming programmes (Phase 1 and 2)<sup>7</sup>**

X = yes/fully    x = partially/in some areas    - = no/not yet/not applicable

							<b>Uruguay:</b> Three ministries and Montevideo involved in implementing together urban poverty relief programme
Strengthen capacity to enhance contribution of natural resources and environment to public finances (e.g., environmental fiscal reform, etc.)	-	-	-	-	-	-	



### Annex 3: Progress on implementation

The table below compares the indicated activities for each Output as indicated in the PEI Scale-up PRODOC Results Framework and Annual Work Plans with implemented and ongoing activities from January 2008 to June 2011<sup>10</sup>.

PRODOC indicative activities and targets /indicators	2008 work plan activities/targets	2009 work plan activities/targets	2010 work plan activities/targets	2011 work plan activities/targets	Implemented Jan 2008 – June 2011	Ongoing/under preparation June 2011
<b>OUTCOME: IMPROVED CAPACITY OF PROGRAMME COUNTRY GOVERNMENTS AND OTHER STAKEHOLDERS TO INTEGRATE ENVIRONMENTAL CONCERNS OF POOR AND VULNERABLE GROUPS INTO POLICY, PLANNING AND IMPLEMENTATION PROCESSES FOR POVERTY REDUCTIONS, PRO-POOR GROWTH AND ACHIEVEMENT OF THE MDGS</b>						
<b>Output1: Country poverty-environment mainstreaming programmes implemented in target countries.</b>						
Preparatory Phase: Africa (8); Asia (10); LAC and other (7)	4 Asia Pacific (Bhutan, Bangladesh, Lao PDR, Cambodia) 1 Africa: Malawi	2 Africa (Botswana, Burkina Faso), 3 Asia Pacific (Thailand, Nepal, Timor Leste.), 3 LAC (Uruguay, Dominican Republic, Ecuador), 2 Europe/CIS (Tajikistan, Kyrgyzstan)	1 Asia-Pacific (Nepal), 1 Europe /CIS (Kyrgyzstan), 1 LAC (Guatemala)  Joint Management Board (march 2010) decided not to expand further in 2010.	No further expansion since 2010 as per JMB decision.	<b>Implemented:</b> Africa (3) Asia Pacific (8) LAC and other (7)  <b>Not-Implemented (despite substantive scoping and preparatory work undertaken):</b> Zambia: no funding Liberia: not suitable for PEI Ecuador: not suitable for PEI Timor-Leste: no funding Pakistan: not suitable for PEI Colombia  <b>Substantive TA support:</b> 7 countries: (Burundi, Liberia, Sri-Lanka, Vietnam, Armenia, Philippines, Papua New Guinea)	Guatemala: no funding for phase 1, but SGA implementation Dominican Republic: reduced phase 1 planned for 2012 in collaboration with REGATTA despite funding constraints  Note: most of the TA countries have indicated formal interest in being part of the PEI if co-funding becomes available, as many of them would put forward UNDP TRAC or government resources.
Phase 1: Africa (6); Asia (8); LAC and other (4)	5 Africa (Kenya, Malawi, Mali, Mauritania, Rwanda), 1 Asia (Bhutan)	2 Asia Pacific (Bangladesh, Lao PDR)	2 Africa (Botswana, Burkina Faso), 1 Asia-Pacific (Thailand), 1 Europe/CIS (Tajikistan), 1 LAC (Uruguay)	1 Asia-Pacific (Nepal), 1 Europe /CIS (Kyrgyzstan)	<b>Totals:</b> Africa (7) Asia-Pacific (5) LAC and other (3)	Lao PDR: currently awaiting clearance to proceed with phase 2 based on availability of funding. Dominican Republic: potential phase 2 based on availability of funding.  All remaining country programme phases 1 have indicated interest in continuation, subject to decisions on next phase

<sup>10</sup> Table prepared by PEF for MTR

PRODOC indicative activities and targets /indicators	2008 work plan activities/targets	2009 work plan activities/targets	2010 work plan activities/targets	2011 work plan activities/targets	Implemented Jan 2008 – June 2011	Ongoing/under preparation June 2011
Phase 2: Africa (9); Asia (4); LAC and other (4)	4 Africa (Mozambique, Rwanda, Tanzania, Uganda)	1 Africa (Mauritania)	1 Africa (Mali), 1 Asia-Pacific (Bhutan)	1 Africa (Kenya)	<b>Totals:</b> Africa (7) Asia (1)	All country programmes have indicated interest in continuation, subject to decisions on next phase If approved implementation would be: <b>Totals:</b> Africa (9 – Botswana, Burkina Faso, Kenya, Malawi, Mali, Mauritania, Mozambique, Rwanda, Tanzania) Asia (5 - Bangladesh, Bhutan, Lao PDR, Nepal, Thailand) LAC and other (3 – Kyrgyzstan, Tajikistan and Uruguay)
<b>Output 2: Enhanced regional capacity to support joint UNDP-UNEP regional support programmes and regional communities of practice on poverty-environment mainstreaming.</b>						
Enhanced UNDP-UNEP regional cooperation and capacity to support country poverty-environment mainstreaming programmes.	<ul style="list-style-type: none"> <li>▪ UNDP-UNEP Senior programme officers recruited for Asia and LAC (Africa available)</li> <li>▪ Five joint missions and studies on Asian candidate countries</li> <li>▪ Joint advisory services and support for Africa and Asia provided</li> <li>▪ Inception workshops in Asia and LAC</li> </ul>	<ul style="list-style-type: none"> <li>▪ UNDP-UNEP Senior programme officers recruited for ECIS and joint inception workshop</li> <li>▪ Five joint missions and studies on candidate countries to each region</li> <li>▪ Joint advisory services and support for Africa, Asia, ECIS and LAC provided</li> </ul>	<ul style="list-style-type: none"> <li>▪ Increased collaboration between UNDP and UNEP regional offices</li> <li>▪ Increased collaboration within UNDP for PE mainstreaming</li> <li>▪ Joint advisory services and support for Africa, Asia, ECIS and LAC provided</li> </ul>	<ul style="list-style-type: none"> <li>▪ Increased collaboration between UNDP and UNEP regional offices</li> <li>▪ Increased collaboration within UNDP for PE mainstreaming</li> <li>▪ Joint advisory services and support for Africa, Asia, ECIS and LAC provided</li> </ul>	Despite some delays in implementation all activities/targets achieved. The regional cooperation in LAC has suffered from the limited funding and a fully operational joint regional team has not been established as in Asia or ECIS. The regional cooperation in Africa remains a challenge due to no co-location of the regional offices (UNEP in Nairobi and UNDP scattered in different countries). Regional cooperation in Africa is facilitated mainly through UNEP support from Nairobi directly to UNDP country offices.	Improved collaboration between regional UNDP and UNEP offices in Africa and LAC. Improved M&E systems at regional level. Increased number of regional knowledge products produced in 2012.
Enhanced cross-country experience exchange and learning on poverty-environment mainstreaming.	<ul style="list-style-type: none"> <li>▪ Africa and Asia-Pacific Poverty-Environment Initiative Regional Mainstreaming Workshop</li> <li>▪ Study visit: Ugandan Delegation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Africa Poverty-Environment Initiative Regional Mainstreaming Workshop</li> <li>▪ Asia-Pacific Workshop on Local Government's role in</li> </ul>	<ul style="list-style-type: none"> <li>▪ Exchanges of Asian Experiences with Environmental Fiscal Reforms</li> <li>▪ Asia-Pacific Regional Lesson Learning Workshop on Improving Public and Private</li> </ul>	<ul style="list-style-type: none"> <li>▪ PEI cross-regional study visit Rwanda - Asia (Lao PDR, Nepal, Thailand)</li> <li>▪ Regional PEI Lao-Thai lessons learned exchange programme</li> <li>▪ Asia-Pacific Regional Lesson</li> </ul>	Activities/targets implemented with some delays. Some country exchanges were planned in 2009/10 but took place in 2010/11	<ul style="list-style-type: none"> <li>▪ Specialized regional workshops planned for Africa and Asia Pacific: focus on budget and climate issues</li> </ul>

PRODOC indicative activities and targets /indicators	2008 work plan activities/targets	2009 work plan activities/targets	2010 work plan activities/targets	2011 work plan activities/targets	Implemented Jan 2008 – June 2011	Ongoing/under preparation June 2011
	<p>visits Rwanda - Lessons learnt from mainstreaming experience in Rwanda</p> <ul style="list-style-type: none"> <li>▪ Fourth Annual PEI Africa Meeting</li> <li>▪ 4th PEI Africa Annual Meeting and Leadership and Skills Training for PEI Champions in African countries</li> </ul>	<p>environment, natural resource management and climate change</p> <ul style="list-style-type: none"> <li>▪ Asia-Pacific Workshop on Economic Development, Poverty Reduction and Environment and Climate Change: Environmental Economics for Policy Makers</li> <li>▪ Poverty-Environment Initiative Asia Pacific Regional Meeting</li> <li>▪ PEI Francophone countries study exchange visit to Benin: 'Greening the Poverty Reduction Strategy Paper process': Key findings and perspectives</li> <li>▪ PEI and UNEP-WCMC - Joint training on ecosystem assessment methods for West African countries</li> <li>▪ PEI Francophone Poverty and Environmental Champions training</li> </ul>	<p>Investment for Pro-Poor Environment and Climate Outcomes</p> <ul style="list-style-type: none"> <li>▪ Regional Africa Economics Forum</li> <li>▪ Regional Workshop for francophone countries on Environmental Fiscal Reform</li> <li>▪ Regional e-discussion "Climate Change and Poverty in Central Asia" (PEI ECIS &amp; CarNET Information Network)</li> <li>▪ Study visit: Burkina Faso visits Tunisia Lessons learning from mainstreaming experience in Tunisia</li> <li>▪ Regional workshop in LAC on capacity building in ecosystem assessments</li> </ul>	<p>Learning Workshop in Institutionalising Mainstreaming in Government and the UN</p> <ul style="list-style-type: none"> <li>▪ Regional study visit Burkina Faso to Mauritius</li> <li>▪ Regional study visit Burkina Faso/Mali to Ghana</li> <li>▪ Cross regional study visit Mozambique/ Malawi to Rwanda</li> </ul>		

PRODOC indicative activities and targets /indicators	2008 work plan activities/targets	2009 work plan activities/targets	2010 work plan activities/targets	2011 work plan activities/targets	Implemented Jan 2008 – June 2011	Ongoing/under preparation June 2011
<b>Output 3: Global advisory services, partnerships and knowledge exchange support on poverty-environment established.</b>						
Enhanced capacity to provide global advisory services to regional teams and UNCTs/UNDP Cos.	<ul style="list-style-type: none"> <li>▪ Facility established with technical support team</li> <li>▪ One partnership set up by 31 May 2008</li> <li>▪ Continued support and participation in PEP annual meeting</li> </ul>	<ul style="list-style-type: none"> <li>▪ KM specialist for Facility recruited</li> <li>▪ Continued support and participation in PEP annual meeting</li> <li>▪ Partnership frameworks established with LEAD, IIED, ODI and WRI</li> </ul>	<ul style="list-style-type: none"> <li>▪ PEF Regional coordinator, MEA and SGA Specialists recruited</li> <li>▪ Partnerships implemented with LEAD, IIED, ODI and WRI</li> <li>▪ Continued support and participation in PEP annual meeting</li> <li>▪ Strengthened PEI planning and M&amp;E systems</li> </ul>	<ul style="list-style-type: none"> <li>▪ Continued support and participation in PEP annual meeting</li> <li>▪ IIED Partnership extended and new services defined</li> <li>▪ Completion of PEI planning and M&amp;E Framework</li> <li>▪ Strengthened collaboration with UNEP &amp; UNDP Divisions and Units</li> <li>▪ Lessons learned from PEI Scale-up to inform future &amp; Rio+20</li> </ul>	<ul style="list-style-type: none"> <li>▪ Facility established in 2008 with technical support and KM specialist in 2009</li> <li>▪ Support and participation in annual PEP meetings provided on a continuous basis, and co-organisation of 2010 mtg in Malawi.</li> <li>▪ Partnerships implemented with LEAD on communications and leadership, IIED on planning, M&amp;E and peer review of PEI publications, IUCN staff on economics primer and WRI on SGA support and local investment primer</li> <li>▪ Recruitment of: UNDP P4 SGA specialist concluded March 2011; UNEP P3 MEA Specialist for PEF delayed to end 2011(departure of former staff in Nov 2010).</li> <li>▪ Contributed to UNEP joint initiatives/made inputs to: DEWA – GEO5, DEPI – Ecosystem Services &amp; Economics, Green Economy, MA follow-up.</li> </ul>	<p>Strengthen collaboration and linkages with UNEP and UNDP Division/Units re: economic and ecosystem assessments, green economy, climate change, etc.</p> <p>Draw out lessons learned from PEI Scale-up and preparation for Rio+20.</p> <p>Participation in next PEP meeting and continued technical exchanges</p> <p>Partnership with ODI for capacity building on budget processes to be extended</p> <p>Continued provision of global and advisory services to regional teams and UNCTs/UNDP Cos by the PEF</p> <p>Formulation of options for PEI post 2012</p>
Resources mobilized to support PEI scale-up. <sup>11</sup>	<p>Scale-up funding US\$ 6,268,043</p> <p>UNEP core funds US\$ 375,469</p> <p>UNDP core funds US\$ 882,458</p>	<p>Scale-up funding US\$ 3,889,193</p> <p>UNEP core funds US\$ 668,818</p> <p>UNDP core funds US\$ 1,674,372</p>	<p>Scale-up funding US\$ 3,458,783</p> <p>UNEP core funds US\$ 803,242</p> <p>UNDP core funds US\$ 949,087</p>	<p>Scale-up funding US\$ 4,252,663</p> <p>UNEP core funds US\$ 1,003,362</p> <p>UNDP core funds US\$ 914,604</p>	<p>Total financial delivery Scale-up from January 2008 - December 2010: US\$ 7,177,040.03</p> <p>Total delivery core funds UNDP &amp; UNEP from January 2008 - December 2010: US\$5,353,446</p>	<p>Projected donor income Scale-up:</p> <p>2011: US\$ 4,252,663</p> <p>2012: US\$ 2,495,187</p> <p>2013: US\$ 710,645</p> <p>Projected staffing &amp; operational costs UNDP &amp; UNEP:</p> <p>2011: 1,917,966</p> <p>2012: 2,459,841</p>

<sup>11</sup> More details on the breakdown of actual and projected donor income can be found in the Annual Financial Report 2010, page 13.

PRODOC indicative activities and targets /indicators	2008 work plan activities/targets	2009 work plan activities/targets	2010 work plan activities/targets	2011 work plan activities/targets	Implemented Jan 2008 – June 2011	Ongoing/under preparation June 2011
Increased access by countries to good practice guidance and tools on poverty-environment mainstreaming.	<ul style="list-style-type: none"> <li>▪ Poverty-Environment Indicators Report published</li> <li>▪ PEI Website established , including an elibrary with tools, methodologies and best practices</li> <li>▪ PEI-Network launched (e-sharing tool for Global PEI Community of Practice)</li> <li>▪ Collection of Template TOR developed for concept notes, programme documents and budgets, as well as for studies &amp; assessments on multiple topics</li> <li>▪ Collection of Template TOR for expert consultants developed (multiple topics)</li> <li>▪ E-Help desk service of Facility launched (PEI country staff and regional teams can address Facility</li> </ul>	<ul style="list-style-type: none"> <li>▪ PEI Handbook, Economics Primer published in English, French and Spanish published</li> <li>▪ Quarterly Newsletter for PEI Global Community of Practice introduced</li> <li>▪ PEI Roster of experts introduced</li> <li>▪ Revamped website - including new features (i.e. improved country pages, resource section for target groups, Success Story site)</li> <li>▪ Communication Strategy developed</li> <li>▪ PEI Success Story collection (MDG stories) published</li> <li>▪ E-Help desk service of Facility (PEI country staff and regional teams can address Facility for technical, knowledge and communication</li> </ul>	<ul style="list-style-type: none"> <li>▪ Revamped website contin. - new features (e.g. PEI elibrary with country reports, subscription service, success Stories)</li> <li>▪ PEI Handbook, Economics Primer in Portuguese published</li> <li>▪ Communication and Advocacy Toolkit published</li> <li>▪ Primer on Private Investment published</li> <li>▪ Guide on Mainstreaming Climate Change Adaptation published</li> <li>▪ Primer on Local Successes published</li> <li>▪ Standard templates for knowledge products developed (i.e. talking points &amp; policy briefings)</li> <li>▪ E-Help desk service of Facility (PEI country staff and regional</li> </ul>	<ul style="list-style-type: none"> <li>▪ PEI Handbook, Economics Primer and Guidance Note in Russian published</li> <li>▪ E-Help desk service of Facility (PEI country staff and regional teams can address Facility for technical, knowledge and communication support</li> </ul>	<ul style="list-style-type: none"> <li>▪ <i>The mentioned activities 2008- (June) 2011 have all been implemented.</i></li> </ul>	<ul style="list-style-type: none"> <li>▪ Guidance Note series on Methodologies and Tools for mainstreaming</li> <li>▪ Thematic e-discussions for PEI Global Community of Practice</li> <li>▪ Success Stories collection</li> <li>▪ Environmental Law Primer to be finalized</li> </ul>

PRODOC indicative activities and targets /indicators	2008 work plan activities/targets	2009 work plan activities/targets	2010 work plan activities/targets	2011 work plan activities/targets	Implemented Jan 2008 – June 2011	Ongoing/under preparation June 2011
	for technical and knowledge support	support	teams can address Facility for technical, knowledge and communication support			

## Annex 4: Methodology and question guide

The methodology used by the MTR comprises the following elements:

- Interview of key stakeholders, individually or in small thematic groups: Ask key questions that are not leading, listen with respect and engage in a mutual learning process in reviewing project progress. This attitude is important for reviewing the PEI because PEI is a programme with great emphasis on lobbying, advocacy, and mentoring
- Visits to six country programmes in Africa (Botswana, Malawi), Asia (Bhutan, Laos), LAC (Uruguay), and ECIS (Tajikistan)
- Desk review of key documents
- Key questions to key stakeholders that emerge from reading key documentation

### Short question guide

#### Questions for phone interviews:

- What do you see as the most important contributions PEI has made so far? What value does PEI add?
- What works well in your view? Why?
- What does not work well? Why?
- What are the main challenges that PEI faces?
- What should PEI focus on for the remaining period?
- What should PEI focus on post 2012?
- How do you see the UNDP-UNEP collaboration?
- Is PEI managed and implemented effectively and efficiently?
- How do you find PEI's reporting and monitoring? What could be better?
- Is the design/methodology/approach of PEI appropriate?
- Is the country selection appropriate?
- Is the timeframe of the PEI upscale sufficient/appropriate?

#### Questions mainly aimed at UN staff:

- How do you see the institutional and intellectual relationship between UNDP and UNEP (probe for PEI's performance)
- Please tell us your opinion about the level of cooperation between UNDP and UNEP in relation to the PEI.
- Can you tell us something about the motives of the UN agencies involved in PEI and their motives towards and opinions of the PEI?
- Please tell me your opinion of the Atlas system (probe: efficiency of disbursements/M&E).
- What is your opinion concerning PEI and its ability to link in with global environmental policy developments (green economy, climate change, Rio + 20, etc)?
- Is it necessary to have the PEI given that there exist two specialised poverty (UNDP) and environment agencies (UNEP)- what is / is there value added to the UN and to pro poor development of integrating the two agencies under one programme?

#### Questions mainly aimed at donors:

- Why has your agency chosen to support PEI? What was attractive about PEI?
- Is PEI coherent with your organization's other programmes?
- Has PEI added value to your aid programme? If so, how/what?
- Is PEI living up to your expectations?
- What does your organisation look for in a programme like PEI to justify further investment in it?

- Is PEI and UNEP/UNDP responsive to inputs from, and priorities of your organisation?



## Annex 5: Persons interviewed and MTR mission timetable for the Global Review

### People met, 2011

Date	Person	Position/Institution
5 Aug	David Smith	Africa Regional Team, and Officer-in-Charge, PEF, PEI
	Victoria Luque	Programme Officer, PEF, PEI
	Koen Toonen	Regional Coordinator, PEF, PEI
5 Aug	David Smith, Manager	Africa Regional Team, and Officer-in-Charge, PEF, PEI
	Victoria Luque	Programme Officer, PEF, PEI
	Koen Toonen	Regional Coordinator, PEF, PEI
	Henrike Peichert	Knowledge Management Specialist, PEF, PEI
	Angela M. Lusigi	Regional Programme Adviser, PEI Africa Regional Team (Tanzania, Kenya, Rwanda)
	Themba Kalua	Programme Officer, PEI Africa Regional Team (Malawi, Botswana)
	Anne Nielsen	Country Focal Point, PEI Africa Regional Team (Botswana, Malawi)
	Amath Pathe Sene	Programme Analyst, PEI Africa Regional Team (Burkina Faso)
	Jean Jacob Sanou	Regional Programme Adviser, PEI Africa Regional Team (Mali, Mauritania)
6 Aug	Henrike Peichert	Knowledge Management Specialist, PEF, PEI
7 Aug	Ibrahim Thiaw	Director, Division of Environmental Policy Implementation/ UNEP
7 Aug	Carmen Tavera	Former Deputy Director, Division of Regional Cooperation, UNEP
17 Aug	David Smith, Manager	Africa Regional Team, and Officer-in-Charge, PEF, PEI
	Victoria Luque	Programme Officer, PEF, PEI
	Alex Forbes	Programme Specialist, Assessments, PEF, PEI
18 Aug	Cristophe Bouvoir	Director, Regional Office for Europe, UNEP
18 Aug	Michele Candotti	Principal advisor to the Executive Director and Head of the Office for Policy & Inter-Agency Affairs Executive Office
29 Aug - 2 Sep	Vladimir Mikhalev	Policy Advisor, PEI ECIS/UNDP
14 Sep	David Smith	Africa Regional Team, and Officer-in-Charge, PEF, PEI
15 Sep	George Bouma	Officer-in-Charge, PEF/UNDP New York
	Koen Toonen	Regional Coordinator, PEF, PEI
19 Sep	Dechen Tsering	Deputy Regional Director, PEI/UNEP Asia
	Paul Steele	Environment Adviser, PEI/UNDP Asia
17 Oct	Louise Wrist Sørensen	Former PEI Africa Country Focal Point

Persons met and interviewed in connection with the country programme visits are listed in the corresponding country reports.

**People interviewed by telephone or email**

Person interviewed	Telephone/ Skype	Email questionnaire	Interviewer	
			Kris	David
Aidan Fitzpatrick, Irish Aid	x		x	
Simon le Grand, European Commission		x		
Mette Møglestue, Senior Adviser, Climate, Environment and Natural Resources, NORAD	x		x	
Sophie de Coninck Climate Change Officer Climate Change, Environment, Natural Resources and Water Unit (C2) DG Development and Cooperation, European Commission	x		x	
Henrieta Martonakova, Programme Manager, Poverty Environment Initiative, UNDP, Regional Office for Europe, Bratislava	x		x	
Nara Luvsan: Senior Regional Adviser, Poverty Environment Initiative UNEP, Regional Office for Europe, Geneva	x		x	x
John Horberry: Consultant- London				x
Anna Kontorov UNEP Nairobi	x			x
Laura Rio, Senior Programme Manager, Environment and Security Initiative (ENVSEC), UNEP - Regional Office for Europe (ROE)	x		x	
Christopher G. Gakahu / Assistant Country Director Kenya, UNDP		x		x
Mr. Aeneas Chuma, UNDP Resident Coordinator and Resident Representative to UNEP	x			x
George Bouma Officer-in-Charge, PEF/UNDP New York	x		x	x

## Annex 6: Documents consulted

### PEI documents

- Draft proposed management structure for UNDP-UNEP PEI LAC. N.d.. n.a.
- Internal Guidance Note for Starting a PEI Country Programme. April 2009
- Scaling-up the UNDP-UNEP Poverty-Environment Initiative, Joint Programme Document, December 2007
- Mainstreaming Environment for the MDGs and Pro-poor Growth in Latin America and the Caribbean. Programme Duration: July 2008 – December 2012. PEI report, 2008
- Mainstreaming Poverty-Environment Linkages into Development Planning: A Handbook for Practitioners. March 2009. PEI
- Mainstreaming Environment for Poverty Reduction and Pro-poor Growth, Proposal for Scaling-up the Poverty-Environment Initiative. April 2007
- Making The Economic Case: A Primer on the Economic Arguments for Mainstreaming Poverty-Environment Linkages into Development Planning. Second Edition. 2009. PEI
- Note for the Technical Advisory Group (TAG) on the PEI Monitoring & Evaluation System (draft). July 2011
- PEI Annual Financial Report 2010 (draft)
- PEI Annual Progress Report 2010 (draft). 2011. UNDP-UNEP
- PEI Annual Progress Report 2009. March 2010. UNDP-UNEP
- PEI Annual Progress Report 2008. July 2009. UNDP-UNEP
- PEI Annual Work Plans, 2008-2011
- Poverty and Environment Initiative – LAC, UNDP-UNEP-PEF, Steering Committee meeting, Panama May 17th 2010. Minutes
- Poverty Environment Initiative (PEI), Asia Pacific. Regional Lesson Learning Workshop on Institutionalising Pro-Poor Environment Mainstreaming in Government and the UN. Hua Hin (Hyatt Regency), Thailand, 14-16 September 2011. Workshop report.
- Regional Lesson Learning Workshop on Institutionalising Pro-Poor Environment Mainstreaming in Government and UN Poverty Environment Initiative (PEI) Asia Pacific Hua Hin, Thailand, 14-16 September 2011. Summary
- S. Bass, & Y. Renard, 2009. "Evaluation of the UNDP-UNEP poverty-environment initiative (PEI) partnership with Norway 2004-2008. Report to Norwegian Ministry of Foreign Affairs, 18th June 2009
- Table 2: PEI Results Framework – Intermediate Outcome 1 and corresponding Outputs, Country Outcomes and indicators of change (new global M&E table)
- UNDP-UNEP Poverty-Environment Initiative, Terms of Reference for the Technical Advisory Group
- UNDP-UNEP Poverty-Environment Initiative, Technical Advisory Group Meeting (Meeting Report). 15 February 2011
- UN documents (general)**
- Executive Board of the United Nations Development Programme and of the United Nations Population Fund, 2010, Management Response to the Evaluation of UNDP Contribution to Environmental Management for Poverty Reduction: The Poverty-Environment Nexus

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## **Annex 7: Country briefs**

- 1. Bhutan**
- 2. Botswana**
- 3. Laos**
- 4. Malawi**
- 5. Tajikistan**
- 6. Uruguay**

## 1. Bhutan

### The reviewed intervention

Unlike other PEI Scale-up Programmes, PEI Bhutan is in now Phase 2, which is co-funded by Danida and named the Joint Support Programme: Capacity Development for Mainstreaming Environment, Climate Change and Poverty Concerns in Policies, Plans and Programmes (JSP)<sup>12</sup>. In JSP, the traditional focus of PEI on PE is expanded to include climate change, and is referred to as Environment, Climate and Poverty (ECP). JSP runs from January 2010 to December 2013, and while current PEI funding is ending on Dec 2012, UNDP Bhutan is providing co-funding for the entire period. The Development Objective of JSP is that *“sustainable development planning and implementation are undertaken at national and local levels that contribute to: alleviation of climate change impacts; conservation and sustainable use and protection of natural resources; and poverty reduction”*. To contribute to the achievement of this goal, JSP works at both national and local (district) levels, and thus has two Immediate Objectives: 1) *“strengthened national level capacity that facilitates national and local level five-year planning and implementation by mainstreaming environment, climate change and poverty concerns in policies and programmes”*; and 2) *“strengthened local level capacity to formulate and implement five-year development plans and annual plans in which environment, climate change and poverty concerns are mainstreamed”*. Reflecting this dual nature, the results framework in PRODOC was structured in two Outcomes, one focusing on the national level and the other on the local level, each with a number of associated outputs:

Outcome 1: ECP mainstreamed in policies, plans and programmes:

- Output 1.1: ECP Mainstreaming Guidelines and Indicators available for use by sectors (USD 510,000)
- Output 1.2: Poverty – Environment Linkages demonstrated and benefit sharing policies and strategies, guidelines developed accordingly (USD 240,000)
- Output 1.3: Staff and Modules available for ECP Mainstreaming trainings at all levels in relevant educational and training institutes (USD 300,000)
- Output 1.4: Competent Staff available in all sectors including the proposed Help Desk (Environmental Mainstreaming Reference Group) to mainstream ECP (USD 350,000)
- Output 1.5: Competent staff available in other sectors to mainstream ECP (USD 350,000)

Outcome 2: ECP mainstreamed in all development plans and programmes at local level:

- Output 2.1: Revised Local Development Planning Manual is available for use by Local Governments (USD 230,000)
- Output 2.2: Benefit Sharing Mechanisms applied to selected conservation projects (USD 160,000)
- Output 2.3: Competent staff available at the local levels to mainstream ECP (USD 1,540,000)
- Output 2.4: Local plans monitored for integration of ECP concerns (USD 450,000)

A third Outcome is planned to accommodate for a 20% top-up grant to be provided to districts and municipalities by UNCDF under the Local Climate Adaptive Living Facility (LoCAL), which will be piloted in Bhutan and treated as the LoCAL Global Pilot.

However, in December 2010 PEI Asia suggested a revised Results Framework in order to refine the indicators for more effective monitoring and evaluation. The revised Results Framework reduced the number of outcomes to one and the number of outputs to four, but each with both a national and a local level set of activities (except Output 3, which only has local level activities):

Outcome: ECP integrated into planning and budgeting processes:

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<sup>12</sup> In this report PEI Bhutan Phase 2 will be referred to as JSP.

- Output 1: Strengthened information systems and communication
- Output 2: Benefit-sharing mechanisms including payment for ecosystem services and human wildlife conflict management
- Output 3: Climate change adaptation and disaster management integrated in local plans and budgets
- Output 4: Environment friendly infrastructure, technology and green jobs

In this report, reference to Outputs will be made in accordance with the revised Results Framework unless otherwise specified as this is how progress is reported. However, reference to Outcomes will be made to those from the original results framework, as this is how the programme management team is structured.

Phase 1 was implemented from 22 July 2008 – to 31 Dec 2009, fully funded by PEI. Its overall objective was to “*mainstream PE linkages into national plans, sectoral strategies and implementation processes*”. The intended Outcome was “*capacity to integrate environment and livelihoods issues into national plans, sector strategies and local level plans and implement strategic PE interventions at local level enhanced*”. Phase 1 had three outputs:

- Output 1: Capacity to address poverty and environment in an integrated manner in planning and sectoral strategies improved (USD 190,000)
- Output 2: Capacity of stakeholders to influence national on rural livelihoods in an environmentally sustainable manner enhanced (USD 197,975)
- Output 3: Approved PEI Phase 2 programme to build capacity, mechanisms, and institutions to mainstream environment into development and sectoral plans and implementation (USD 50,000)

## **Conclusion**

With Government’s strong commitment towards sustainable and equitable development and the central role natural resources play in rural livelihoods and the national economy, Bhutan is a very relevant country for PEI interventions. PEI Bhutan is also contributing to the intended global outcome of the PEI Scale-up Programme, and the highly conducive political environment in Bhutan has the potential to serve as a demonstration at the international/global level of the relevance and potential socio-economic impact of PE mainstreaming. PEI Bhutan is benefitting from being fully integrated in Government and using government financial management procedures, and implementation is largely efficient till now, although there have been some delays and spending has been low and impact/outcome monitoring is weak. The PEI/UNDP-Danida partnership is well established and supportive of Government implementation and adds value by enhancing Governments capacity to coordinate and implement its ECP aspirations. PEI Bhutan has been very effective in involving a range of sectors and creating ownership, mainstreamed ECP consideration into policy and planning procedures, established a support function/Environmental Mainstreaming Reference Group for sector ministries, and created a process towards better mainstreaming of PE. However, while the wide array of activities under JSP is of PE relevance, the focus on activities that strategically contribute to the intended outcomes and objectives could be stronger. With a strong emphasis on one-the-ground interventions care should be taken to avoid duplication and ensure the experiences are used strategically and systematically to influence policy and planning processes. Currently, ECP mainstreaming primarily takes place within sectors, whereas intersectoral collaboration has not been achieved, and the ability to influence budgeting and actual implementation of policies and plans is still uncertain, especially at local Government level where less progress has been made. PEI Bhutan is already halfway through Phase 2 and PE results are more consolidated than in other Scale-up countries, funding is secured up till the end of 2013, and Government is committed towards sustainable and equitable development. There is thus a good foundation for achieving sustainability and getting PE mainstreaming embedded in Government practices. However, there is still much to be done over the remaining two years of implementation to ensure that Government can continue the process without external support, especially at the local level. This is a particularly important point seen in the light of the limited likelihood that further support will be provided for PEI Bhutan from Danida and possibly also from PEI.



## **Lessons learned**

- It can be difficult to ensure interdepartmental and cross-sectoral collaboration. Considering the crosscutting nature of PE issues, specific measures to promote this should be considered in programme design and management setup
- In some cases UNDP procedures allow financial management and procurement to be fully handled by government. When Government systems work well, use of Government systems can facilitate implementation of PEI programmes
- A focus on using national capacity and Government staff as much as possible can reduce costs and enhance the national human resource base, for the benefit of future interventions and national ability to lead PE integration
- National partners may push for community level pilot implementation and hard investments to be able to show results. This seems also to be driven by a tendency of thinking in projects rather than processes. It is thus important to capture and communicate both the relevance and achieved results of PEI programmes. Unless clear and SMART impact and outcome oriented targets (qualitative and quantitative) are established and reported against, it can be difficult to demonstrate the results of PEI programmes
- Other programmes can be interested in supporting, adopting and rolling out tools and concepts developed by PEI programmes, thereby enhancing the leverage and long term sustainability of PEI programmes. Communication and collaboration with other donors and programmes is thus important
- It is important to acknowledge that to ensure PE mainstreaming is fully and sustainably ingrained in Government's way of working at that policies and plans with PE integrated are actually being implemented and leading to real change is a process that takes time. Even with a highly conducive political environment and a large budget, five years may not be sufficient to fully achieve the intended change and ensure that Government can continue the process without external support

## 2. Botswana

### **The reviewed intervention**

PEI aims to support the integration and harmonization of sustainable renewable natural resource management in national, sectoral and district level policy planning and budgetary processes. In particular it aims to develop awareness and promote action to tackle key environmental problems and their socio-economic impacts in order to support delivery of the Government's Vision 2016 and National Development Plan 10 (National Development Plan 10) which, as over-arching goals, intend to support economic growth and diversification and eradicate poverty. In addition PEI will provide some support to assist the Government in responding and adapting to climate change by enhancing the knowledge base on the socio-economic impacts of climate change.

According to the PRODOC, Phase 1 of PEI will run from 2010 to 2011 with an anticipated second phase to follow in 2012. The main activities include, i) development of an advocacy & communication strategy to create awareness of PE linkages and issues, ii) awareness raising workshops for government, NGOs and media, iii) support to the national Strategy for Sustainable development and Rio+20 processes to include PE linkages (e.g. a workshop on Green Economy and awareness raising), iv) support to parliamentary committees on climate change issues including support to negotiations and on understanding the links between climate change and PE, and vi) Preparation for Poverty and Social Impact Analysis of the Integrated Support Programme on Arable Agriculture Development, and one Economic Study with overview paper on contribution of environment and natural resources to the economy (GDP) and two sector studies on agriculture and tourism, and a final product in the form of a policy brief (cf. Annex 1 for more details of PEI, including implemented and ongoing activities vis-à-vis the PRODOC).

### **Conclusion**

The PEI is an important attempt to mentor, lobby, and guide the government of Botswana in understanding poverty and environmental linkages and to change policies and promote PE mainstreaming in government planning and governance across all sectors, especially those most associated with poverty, people, and environment (mining, agriculture, tourism, finance, etc.).

PEI aspires to strengthen government's understanding of PE linkages and chains of causation, and to combat poverty by mainstreaming poverty and environmental concerns in a concerted and coordinated way. PEI suffers from two constraints at the moment: First, its design and timetable are ambitious given the documented constraints of time and resources and the resultant delays (with the caveat that a second phase is foreseen in the PRODOC). Secondly, the monitoring and evaluation systems need to reflect – through additional indicators – whether poverty, gender, vulnerability, ethnicity / indigenous rights concerns are being addressed and measured in the programme (because the UN and donors are committed to promoting and mainstreaming them in their development assistance). However, it is also true that UN is currently addressing how to improve M&E and it could be problematic to add additional indicators which measure issues which were not part of the original design and activity plan of PEI BW. If a second phase of PEI is recommended, the M&E system and the level of detail of the activities in a new PRODOC would need to reflect the concerns to improve M&E.

PEI strategy and activities are relevant and the entry points well chosen. Procurement and contracting of staff and services have been generally inefficient. Resultant implementation inefficiencies have slowed down progress, and, hence, lessened potential impact at this stage. With the one year no cost extension, it is hoped that there will be more substantial impact to review at the end of 2012.

### **Lessons learned**

The UN system of procurement is somewhat inefficient in delivery, therefore an ambitious programme has difficulty delivering all outputs in a two year phase (caveat: PEI was designed reportedly with a second phase in mind); Government of Botswana could – with hindsight – have been requested to clarify if the project implementation unit and the “poverty section” currently in Finance were going to move to office of the president before start-up, so that an alternative procurement and budgeting system could have been designed to reduce delays.

Large scale, expensive studies, while they may turn out to be useful in the long term, are not effective in a two-year project because until the results are known, the project's potential lobbying and influencing power (especially regarding ministries of Agriculture and Local Government) is reduced; Since some key poverty and vulnerability issues (ethnicity and gender) have not been specifically mentioned in the PRODOC, they therefore do not enjoy sufficient profile in the activities: this is not a reflection on the programme implementation staff, but on the designers of the PEI.

### 3. Laos

#### **The reviewed intervention**

The main focus of PEI Lao PDR is to enhance Government's capacity to ensure that foreign direct investments are both environmentally sustainable and pro-poor, e.g. provide income opportunities for affected communities and do not impact negatively on their livelihoods.

Phase 1 of PEI Lao PDR runs from May 2009 to December 2011 with an anticipated second phase to follow in 2012. The overall goal of PEI Lao PDR is *to support the effective integration of the environmental concerns of poor and vulnerable groups into policy, planning and implementation processes for poverty reduction, pro-poor growth and achievement of the MDGs*. To achieve this objective, PEI Lao PDR will produce the following outputs:

- Output 1: Integrating poverty reduction and environmental sustainability linkages in the 7th National Socio Economic Development Plan (NSED) 2011-2015 and facilitating policy maker's better access to policy relevant research products on poverty-environment linkages for their informed decision-making (USD 110,000)
- Output 2: Enhancing capacities of national and provincial authorities to plan and manage investments for poverty reduction and sound environmental management (USD 1,090,000)
- Output 3: Supporting the strengthening of the Environmental and Social Impact Assessment (ESIA) Department of Ministry of Natural Resources and Environment (MONRE) to ensure proper review and approval processes of environmental and social assessments and management plans based on the law and good science in effective coordination with the concerned line ministries and state enterprises (USD 300,000)
- Output 4: Increasing National Assembly members' understanding of poverty reduction and environmental management and their capacity in reviewing and discussing new legislation related to environmental conservation, rural livelihoods and natural resource management (No budget allocated, as intended to be covered by the SELNA programme with technical support from PEI Lao PDR)
- Output 5: To strengthen the capacity at the national and local level on mainstreaming Multilateral Environmental Agreements' (MEA) objectives into Millennium Development Goals (MDGs) and national poverty reduction strategies<sup>13</sup>. This is delivered through environmental economic valuation research on different land use options (USD 207,400)

Output 1 and 4 focus on the national level, outputs 2, 3 and 5 work at both the national and provincial level. Provincial level activities are implemented in four provinces, two in the South and two in the North: Savannakhet, Saravane, Oudomxay, and Phongsaly. The main activities include, i) improving the national monitoring and evaluation system for the 5-year National Socio-Economic Development Plan by ensuring inclusion of PE indicators, ii) baseline and economic impact studies, iii) mainstreaming of PE into investment planning and local-level participatory planning manuals, iv) training, capacity development and awareness raising among decision-makers, and national and provincial government staff, v) development of databases, vi) developing a framework for data collection and monitoring impact, and compliance, of investments, vii) development of tools and guidelines (including guidelines for the review of ESIA reports).

#### **Conclusion**

Given the importance of foreign direct investments for national economic growth and the profound impact they can have on communities and the environment, the chosen focus on addressing PE impacts of foreign direct investments is highly relevant in the Lao context, and PEI Lao PDR adds value by enhancing the capacity of Government to manage investments in a pro-poor and environmentally sustainable way. With this focus, PEI LAO PDR is also contributing to the intended global outcome of the PEI Scale-up Programme. The integration with UNDAF, use of other UNDP

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<sup>13</sup> This was part of Output 1 in the Project Framework, but has subsequently become a separate output

Lao PDR programmes, and the focus on enhancing the capacity of key departments provide relevant entry points to supporting Government priorities. Although there have been delays and some activities have been cancelled due to lack of funding, implementation is now catching up in a number of areas, and implementation progress has now generally become good. PEI Lao PDR has created awareness and ownership, and enhanced the capacity of Government staff in IPD, the ESIA Department and in the four target provinces to better address PE issues in relation to regulating foreign direct investments. At the provincial level, PEI Lao PDR has fostered interdepartmental collaboration, but not to a significant extent at the central level. PEI Lao PDR has influenced policy formulation by facilitating the draft National Investment Strategy. However, PEI Lao PDR has not yet been able to influence legislation. The concept of vulnerability has not yet been unpacked and fully addressed. PEI Lao PDR is likely to result in changed and improved practices in relation to planning and regulating investments in the four target provinces. As a quite young programme, PEI Lao PDR has not yet had time to consolidate the achievements and ensure they are fully engrained in Government. Nonetheless, the availability of UNDP Lao PDR funding for 2012-2015 will enable PEI Lao PDR to move to Phase 2 and thereby provides more time to consolidate results but depending on the ability to attract further funding, PEI Lao PDR may have to scale down and prioritise interventions. The awareness created, capacity developed, tools provided and ownership created may further increase the likelihood of achieving sustainability. However, poor interdepartmental coordination at the national level and lack of funding provided by Government for investment monitoring may limit the sustainability after completion of PEI Lao PDR.

### **Lessons learned**

The experience from Lao PDR has provided some lessons, which could be relevant for other PEI country programmes and for the PEI methodology:

- Private sector investments can be an important focus area when addressing PE issues and mainstreaming
- While Government ownership can be ensured, it can be difficult at the programme level to ensure interdepartmental and cross-sectoral collaboration at the central Government level. Considering the crosscutting nature of PE issues, specific measures to promote this should be considered in programme design and management setup. At the subnational level, collaboration is more easily promoted and will more readily be appreciated. At the subnational level, Government agencies are much smaller and people may already know each other. Moreover, the benefits of collaboration can be more clear at subnational level, e.g. of travelling together (access to vehicles and fuel is a common constraint), or working together to solve concrete crosscutting problems at the community level or with the private sector
- To utilise synergies and reduce Government transaction costs other programmes can be used as vessels for delivering PEI outputs. However, the modalities, including for funding, must be clearly spelled out to ensure proper integration of PEI in these programmes and to ensure that PEI activities receive sufficient priority, attention and ownership by the host programmes
- National partners may push for community level pilot implementation activities to be able to show results. This seems also to be driven by a tendency of thinking in projects directly delivering demonstrable benefits for communities rather than policy processes with less tangible and easily attributed results. It is thus important to capture and communicate both the relevance and achieved results of PEI programmes. Unless clear and SMART outcome oriented targets (qualitative and quantitative) are established and reported against, it can be difficult to demonstrate the results of PEI programmes
- Other donors/programmes can be interested in supporting, adopting and rolling out tools and concepts developed by PEI programmes, thereby enhancing the leverage and long-term sustainability of PEI programmes. Communication and collaboration with other donors and programmes is thus important
- There can be a tendency among national stakeholders to view PEI as mainly an environment programme. Further unpacking the multiple dimensions of poverty and vulnerability could strengthen the “P” of PEI and further enhance the message of the socio-economic importance of environmental sustainability, while reducing the potential risk of unintended impacts

## 4. Malawi

### The reviewed intervention

PEI was launched in December 2008. Implementation activities started in the second quarter of 2009, when Malawian members of the PEI team were in place. PEI aims to enhance the contribution of the sustainable management of natural resources to poverty reduction, pro-poor economic growth and achievement of the Millennium Development Goals. Led by the Ministry of Economic Planning and Development (MEPD), the intended outcome of PEI is the integration of sustainable natural resources management into national and sectoral policy, planning and budget processes – in order to ensure poverty reduction, economic growth and the achievement of other development outcomes in an environmentally sustainable manner. The PEI programme document (PRODOC) covers January 2009 to June 2011. Due to implementation delays, PEI has been extended to end December 2011. The PEI PRODOC includes six main outputs:

- Output 1: Increased awareness of links between sustainable natural resources management (NRM), economic growth and poverty reduction and increased capacity to implement among decision-makers, civil society and the public.
- Output 2: Strengthened coordination mechanisms and improved capacity within the government for integration of sustainable NRM into policies and plans.
- Output 3: Sustainable NRM integrated into the implementation of the Agricultural Development Programme and other relevant sector and district level programmes related to land, water and energy.
- Output 4: Increased budget allocations, donor funding, private investment and other financing mechanisms, including environmental fiscal reform, for sustainable NRM.
- Output 5: Improved capacity and strengthened systems within the government for monitoring sustainable NRM.
- Output 6: Effective programme management and implementation

### Conclusion

In Malawi, the PEI has shown itself to be relevant to government policy, fairly efficient in implementation, effective in providing benefits to government and civil society/ media, has demonstrated some substantive impacts to date and will show increased impact in policy change and inclusion of improved indicators for measuring PE concerns by the end of Phase I. Given the disproportionate burden on women of poverty and environmental problems, it would have been more relevant to have highlighted gender concerns directly in PEI.

Being very well owned and integrated into Government planning processes and documents, plus the fully joint programming approach between Government, UNDP Malawi and PEI, has been key to embedding PEI in the UNDAF and UNDP Malawi work plan.

The main challenge facing PEI is to get improved p-e objectives operationalised via sector plans and budgets and down at the decentralized level. There are less than 15 months left (including the recommended extra 6). The chance for success as the level of the district councils is very slim in the time left since the PEI Phase I only has a year or so. This highlights the importance of Output 4 of the present PEI Phase I and also reflects the PEI programmatic model where Phase II focuses on meeting the implementation challenge. Future government and UN initiatives – including any PEI Phase II – therefore have to confront the problems of capacity and lack of resources at national, sector and local government levels.

The PEI also needs to be viewed in the context of the broad range of very substantive development and social challenges in Malawi. These include population growth, child stunting, malnutrition, land tenure issues, HIV/AIDS, the potential impact of climate change plus others. While it is acknowledged that PEI does not have the resources, mandate or value added to address a number of these issues, it would be useful for PEI to at least identify links between p-e issues and broader

development challenges. Then, it could engage with relevant stakeholders in the relevant development agencies in Government and the UNCT to highlight the relevance of addressing these linkages within by these agencies. The work with OPC is relevant in this regard. This issue also brings to mind the views of the Norwegian evaluation of the PEI Africa pilot phase that PEI should include a better focus on higher level policy issues – which, inter alia, related to these broader development challenges.

Consideration of the above, and study of PEI Malawi outputs to date, also leads to the conclusion that there is insufficient focus on the P (Poverty) in the PEI and “too much E” (environment). An improved focus on the P would help PEI Malawi to be more relevant to addressing these broader economic and social problems, such as with health and education and high population growth – with increased population density a significant contribution to environmental degradation in rural areas. The poverty analysis included in the PEI Malawi economics report provides very useful evidence to build an increased poverty focus into PEI Malawi.

### **Lessons learned**

Ongoing substantive, participatory engagement builds trust, ownership, leads to a programme well aligned with national priorities and increases the chance of uptake of PEI recommendations etc and thus of having an impact.

Twinning international expertise and local institutions for key outputs (e.g. economic study) is important for national ownership, national capacity building and delivering a quality output with up-to-date international analytical techniques but it takes more time to obtain the desired output.

Anticipatory steps should be taken to avoid delays in Programme start-up due to recruitment and procurement delays. For example, while a PRODOC needs to be signed to allow financial commitments, such as recruitment, PEI Africa regional budget could retain funds necessary to start such processes in a timely manner.

The value of having Planning/Development as lead agency.

The high persuasive power of operationally relevant, sector focused economic evidence on how environmental sustainability is linked to poverty reduction and the achievement of broader development goals.

The value of having explicit poverty focus in the Economics study (earlier studies in other PEI countries did not have such a clear focus), but need to follow-up on that in terms of use of the findings and influencing other PEI activities. (In terms of both design and implementation).

Having strong UNRC/UNDP RR and Country Office support is vital to success

Focusing on achieving inclusion of P-E linkages in cross-government co-ordination mechanisms is very important. It will also help sustain impacts, as such inclusion implies government ministries have to include p-e linkages in their policy development and budgeting work.

More focus on PEI outcomes and measuring impact is required - which is an issue that goes beyond PEI Malawi, PEI global and indeed is a UNDP and UNEP wide issue. There needs to be more focus on using PEI outputs to bring about change.

Focus on key sectors from early stages important – PEI model suggests focus on sectors in Phase II, but PEI Malawi, plus other new countries in Africa suggests focus in Phase I is productive.

Focus on increasing financial allocations in Phase I, including because this is a demanding output. This implies, inter alia, more focus on support to ministries of finance from an earlier stage.

The PEI mainstreaming approach has broader applicability – e.g. in Malawi, the PEI model was applied to the Climate Change programme, with MFDP leading on climate change in Government of Malawi.

Appropriate ITA should be appointed and that plus other PEI

## 5. Tajikistan

### The reviewed intervention

PEI Tajikistan aims to develop awareness and promote action to tackle key environmental problems and their socio-economic impacts in order to support delivery of the Government's National Development Strategy (2007-2015) and Poverty Reduction Strategy 3 (2010-12).

Phase 1 of PEI Tajikistan runs from June 2010 to December 2012, with an anticipated second phase to follow in 2013. PEI Tajikistan aims at achieving the following outcome: *Enhanced capacity of government and other national and subnational stakeholders to integrate environmental concerns into sustainable pro-poor development planning and budgeting*. To achieve this objective, PEI Tajikistan will produce the following outputs:

1. Information and Knowledge Base for PE Mainstreaming Developed (USD 302,680)
2. PE Linkages Integrated in District Development Plans (Sughd Province) (USD 261,570)
3. Capacity for implementing PE sensitive sub-national plans increased (USD 255,750)

The focus of the activities under output 2 and 3 are at the provincial and district level, while output 1 focuses on the national level. The main activities include, i) improving national monitoring systems by ensuring inclusion of PE indicators, ii) strengthening the development and implementation of provincial and district development plans, and ensuring the inclusion of PE issues, and iii) ensuring access to financial services supporting sustainable investments by rural poor. A detailed overview of PEI Tajikistan's activities is provided in Annex 1.

### Conclusion

In the Tajik context with low capacity, frequent institutional changes, and limited priority given to environment, the approach chosen by PEI Tajikistan with direct implementation and a focus on subnational planning to demonstrate results is rational, pragmatic, and relevant. PEI Tajikistan adds value by ensuring that PE concerns are taken into account in local development planning, and by building capacity to address PE issues at the sub-national level, and is thereby also contributing to the intended global outcome of the PEI Scale-up Programme. The programme is integrated in UNDAF and UNDP's country programme, and strategically uses the Communities Programme and Rural Growth Programme to enhance its delivery capacity and outreach. The inclusion of an inception phase has helped to orient the programme approach and has also contributed to implementation efficiency and helped to offset the negative influence of delays. As a result of the above, PEI Tajikistan has over a short time span and with comparatively modest resources been able to influence the development process and practices for district development plans in Sughd province and laid the foundation for national scaling up of PE mainstreaming in district development plans. The likelihood of influencing national policies in Phase 1 is more uncertain, but this is not an intended outcome in the PRODOC. However, the uncertain PEI funding situation in the future means PEI Tajikistan may not be able to move to Phase 2 after 2012 and within the limited time frame of Phase 1, it may be difficult to ensure full sustainability, although some the results achieved and scheduled activities enhance the likelihood of achieving some sustained changes. However, the currently limited central government involvement and limited options for handing over the process to other programmes may limit the scope of sustained changes.

### Lessons learned

The experience from Tajikistan has provided some lessons, which could be relevant for other PEI country programmes and for the PEI methodology:

- An inception period (e.g. six months) is valuable for phase 1, as it allows the recruited Programme Implementation Team to orient itself and further refine the approach and targets and develop a more detailed work plan. If time is a constraint, it should be considered to reduce the design phase (e.g. to six months) to create space for an inception phase and to get the Programme Implementation Team on board quickly



- While the use of UNDP management and procurement systems can be complicated and time consuming, training of Programme Staff and support provided by the UNDP Country Office can greatly reduce the risk of delays. However, programme staff should also be prepared to proactively follow up at all stages of the procurement/recruitment cycle
- Support from the UNDP Country Office and integration in larger programmes (e.g. regarding procurement, M&E, vehicle access) can help improving PEI country delivery both in terms of efficiency and effectiveness
- A focus on using national capacity (e.g. staff or consultants) as much as possible can reduce costs and enhance the national human resource base, for the benefit of future interventions and national ability to take over leadership of PE integration
- When Government awareness of, and interest in, environmental sustainability is low, subnational development plans can be an entry point to demonstrate the value of mainstreaming PE concerns into planning processes
- A flexible and pragmatic approach is advantageous, as it can enable the programme to continuously adapt to changes and opportunistically make use of new entry points that may arise during programme implementation

## 6. Uruguay

### The reviewed intervention

Uruguay is one of the eight UN pilot countries chosen for reforming the UN. Uruguay is the only Latin American country with PEI. PEI is a useful programme for facilitating ONE-UN because it combines expertise and joint management arrangements of UNDP and UNEP in one programme. PEI is part of UNDAF so is firmly enconced within the development framework of Uruguay. PEI was launched after the LAC region for PEI was set up, in 2008. Implementation activities started in 2009.

PEI aims to demonstrate the contribution of the environment to improving the impact of anti-poverty and development policies on target populations in Uruguay. The intervention's long term objective is to contribute to the reduction of poverty and vulnerability by mainstreaming the environmental dimension into the planning process. The proposal's immediate objective is to promote greater impact of public social spending by mainstreaming the environmental dimension into planning processes and harmonizing sectoral and national development and poverty reduction policies. The project is structured along 3 components that address the causes of the problems and barriers identified: i) Studies carried out and disseminated allow a better understanding of the opportunities and outcomes derived from mainstreaming the environmental dimension into development planning and poverty reduction activities; ii) Institutional capacities and partnerships strengthened to mainstream the environmental dimension into significant strategies and national development policies; iii) The linkages between poverty and environment are integrated into the strategies for key national development sectors.

### Conclusion

In Uruguay, the PEI has shown itself to be relevant to government policy, fairly efficient in implementation, effective in providing benefits to government and civil society/ media, and is beginning to show impact in policy change and inclusion of improved indicators for measuring PE concerns in key areas of government anti poverty planning with an environmental dimension.

The project has achieved high levels of commitment with OPP, MIDES, and MVOTMA. In the areas of work that PEI has set up, officials of high level from the government are participating. This includes national directors, and ministers, with whom joint planning in the area of PE is now being taken within the framework of national priorities. Project experts have weekly working meetings with these institutions in order to coordinate the institutional calendar with the project's activity schedule. The government partners have expressed contentment with the level of relevance of the project. Even though there were some considerable delays during 2010, these problems have now been overcome. Nevertheless, the project will need a no-cost extension of 6 months (a 6 month extension has already been approved) due to implementation delays.

PEI is relevant to the policies and the reality of urban poverty in Uruguay. This relevance is also characterized by the fact that PEI Uruguay was designed by Uruguayan personnel with full cooperation of the government. Furthermore, in December 2010 government approved the national budget (2011-2014). This budget has multiplied by a factor of 6 the money available for working with urban vulnerable populations, especially those involved in garbage collection/recycling. Poverty and its links to environment have very special characteristics in the urban areas of Montevideo and the other Uruguayan urban conurbations, expressed in the vulnerability of approximately 40,000 households that live from solid waste collection and who live in high risk. Furthermore, the economic activity associated with collecting these thousands of tons of garbage have led to serious environmental pollution in the soils and waterways of Uruguayan cities (lead, heavy metals, plastics, medical and hazardous waste).

However, even though these problems are mainly seen in urban areas, in Uruguay, there are also empirically attested PE problems in rural areas which are directly linked to mainly large-scale,

industrial agriculture (paper/pulp, GM modified soya and meat production destined for export). For this reason, this reviewer believes it is a problem that the Ministry of Agriculture, Livestock and Fisheries (MGAP) has not been included as an active partner in PEI (despite PEI's attempts to include Agriculture in the project, Agriculture reportedly did not want to be involved). Finally, in this connection, the existence of agricultural policies and economic reality that lead directly and indirectly to environmental problems such as soil degradation, pollution, and drying up of aquifers should be mentioned. Regarding pollution and drying up of aquifers, policies drawn up three decades ago to promote forestation with eucalyptus and other fast-growing exotic trees for the paper industry are having serious consequences today. These policies need to be addressed and revised. For that reason, MGAP's inclusion in PEI is vital and is recommended as a pre-condition for any future phase of PEI.

There are one or two lacunae in PEI. Gender was not sufficiently highlighted in the PRODOC. But PEI has made significant efforts to redress this lack, and gender dimensions are being incorporated into the project now. Ethnicity was not included in PRODOC- ethnicity is an issue in urban poverty in Uruguay. Studying ethnicity in a PE context could help the Government better understand urban poverty and environmental problems in urban areas.

### **Lessons learned**

The experience from Uruguay has provided some lessons which could be relevant for other PEI country programmes and for the PEI methodology. Using national consultants is cost effective and highly relevant in Uruguay where human resources capacity is high. Given the fact that it takes time to start up a PEI type programme, an inception phase of 6 months would have enabled staff to get into place before start-date, and could have avoided some of the delays.

## Annex 8 Best practices described in the UNDP Evaluation Handbook<sup>14</sup>.

The following comments from the handbook have been used to guide the MTR:

- **Relevance:** Relevance includes “Assessing the relevance of the M&E framework on a regular basis based on emerging development priorities and changing context” (p. 92). Relevance also includes “Information on the relevance of intended outputs or outcomes and validity of the results framework and results map (p. 129). “**Relevance** concerns the extent to which a development initiative and its intended outputs or outcomes are consistent with national and local policies and priorities and the needs of intended beneficiaries. Relevance also considers the extent to which the initiative is responsive to UNDP corporate plan and human development priorities of empowerment and gender equality issues. Relevance concerns the congruency between the perception of what is needed as envisioned by the initiative planners and the reality of what is needed from the perspective of intended beneficiaries. It also incorporates the concept of responsiveness—that is, the extent to which UNDP was able to respond to changing and emerging development priorities and needs in a responsive manner. An essential sub-category of relevance is the criteria of **appropriateness**, which concerns the cultural acceptance as well as feasibility of the activities or method of delivery of a development initiative. While relevance examines the importance of the initiative relative to the needs and priorities of intended beneficiaries, appropriateness examines whether the initiative as it is operationalized is acceptable and is feasible within the local context... In applying the criterion of relevance, evaluations should explore the extent to which the planning, design and implementation of initiatives takes [sic] into account the local context “ (pp 168-169).
- **Efficiency:** includes i) “Efficiency of development assistance, partnerships and coordination to limit transaction costs” (p. 9); “Rate and efficiency of resource use” (p. 106); “assessment of efficiency in which outputs are being achieved” (p. 168). “**Efficiency** measures how economically resources or inputs (such as funds, expertise and time) are converted to results. An initiative is efficient when it uses resources appropriately and economically to produce the desired outputs. Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources” (p. 169).
- **Effectiveness:** “. is a measure of the extent to which the initiative’s intended results (outputs or outcomes) have been achieved or the extent to which progress toward outputs or outcomes has been achieved. Evaluating effectiveness in project evaluations involves an assessment of cause and effect—that is, attributing observed changes to project activities and outputs.... Assessing effectiveness in outcome evaluations will more likely examine UNDP contributions toward intended outcomes.... Assessing effectiveness involves three basic steps: 1. Measuring change in the observed output or outcome; 2. Attributing observed changes or progress toward changes to the initiative (project evaluation) or determining UNDP contributions toward observed changes; 3. Judging the value of the change (positive or negative)” (p. 169).

**Sustainability:** “measures the extent to which benefits of initiatives continue after external development assistance has come to an end. Assessing sustainability involves evaluating the extent to which relevant social, economic, political, institutional and other conditions are present and, based on that assessment, making projections about the national capacity to maintain, manage and ensure the development results in the future” (p. 170).

- **Impact** “measures changes in human development and people’s well-being that are brought about by development initiatives, directly or indirectly, intended or unintended. Many development organizations evaluate impact because it generates useful information for decision making and supports accountability for delivering results. At times, evaluating impact faces challenges: Confirming whether benefits to beneficiaries can be directly attributed to UNDP support can be difficult, especially when UNDP is one of many contributors. However, the impact of UNDP initiatives should be assessed whenever their direct benefits on people are discernible” (p. 170).

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<sup>14</sup> Handbook on Planning, Monitoring and Evaluating for Development Results. United Nations Development Programme. Copyright © UNDP 2009, all rights reserved.

- **Gender:** “Consistent with UNDP development efforts, UNDP evaluations are guided by the principles of gender equality, the rights-based approach and human development. Thus, as appropriate, UNDP evaluations assess the extent to which UNDP initiatives: have addressed the issues of social and gender inclusion, equality and empowerment; contributed to strengthening the application of these principles to various development efforts in a given country; and incorporated the UNDP commitment to rights based approaches and gender mainstreaming in the initiative.[sic]. design” (p. 171).
- **Rights based approach to evaluation:** “The rights-based approach in development efforts entails the need to ensure that development strategies facilitate the claims of rights-holders and the corresponding obligations of duty-bearers..... When appropriate, evaluations should assess the extent to which the initiative has facilitated the capacity of rights-holders to claim their rights and duty-bearers to fulfill their obligations” (p. 172).
- **Focus of development effectiveness:** “Gender and vulnerable groups: Promote inclusiveness, gender mainstreaming and women’s empowerment—Ensure that men, women and traditionally marginalized groups are involved in the planning, monitoring and evaluation processes. For example, ask questions such as: “Does this problem or result as we have stated it reflect the interests, rights and concerns of men, women and marginalized groups?”; “Have we analysed this from the point of view of men, women and marginalized groups in terms of their roles, rights, needs and concerns?; and “Do we have sufficiently disaggregated data for monitoring and evaluation?” (p. 14).

The TOR (p. 8) state the “MTR should provide as much gender disaggregated data as possible”. The TOR (p. 9) also state: “Disaggregated data should be presented to clarify any differences between sexes and between different groups of poor people, included excluded groups”. It has been difficult to disaggregate this review’s findings by gender and excluded groups, as there are very few disaggregated data in the PEI reports at country, regional, and global levels. Where possible and relevant, at the CP level, the MTR has made comments about the position of women in the development context.

## Annex 9 Details of TAG

The overall objective of the PEI TAG is to provide technical guidance for PEI implementation and to ensure adequate co-ordination between key PEI development (donors) and implementation partners in respect to technical work related to poverty-environment mainstreaming and the PEI. The TAG is complementary to the Donor Steering Group (DSG) in that the DSG focuses on accountability matters (i.e. monitoring the overall progress and to advice on significant changes to the focus on activities and budget of the PEI) and the TAG has a technical advisory role. The TAG liaises with members of the DSG and can also support improved integration of poverty-environment mainstreaming into donor agencies. The TAG consists of technical representatives of donor agencies, Regional Teams, country representatives, and a number of organizations with particular poverty-environment mainstreaming experience. The **main roles and responsibilities** of the PEI TAG are:

Strategic advice: a) Advise on strategy and (global, regional and national) implementation based inter alia, on PEI Annual Progress Reports, the MTR, previous PEI evaluations and other relevant donor evaluations, plus continuing dialogue between PEI and TAG representatives; b) Share ideas and assist in the development of proposals for a post-2012 PEI.

Knowledge management and technical support: a) Advise on the knowledge management and technical support activities undertaken by the PEF; b) Advise on technical thematic issues and/or tools and their role within the PEI (e.g. integrated ecosystem assessments, economic assessments, economic policy instruments, public expenditure reviews, budgeting, climate change); c) Share lessons learned by the various members field of expertise; d) Advise on possible “peer review” options for specific PEI activities or outputs (e.g. knowledge products) at global, regional or country levels.

Technical coordination: a) Keep members informed of other ongoing initiatives of relevance to PEI and suggest ways of building synergies with these; b) Advise on relevant PEP and wider initiatives (Rio + 20); c) Advise on future membership of the TAG

Monitoring and evaluation: a) Advise on proposed improvements in monitoring and reporting arrangements by the PEI to donors; b) Advise on specific monitoring and evaluation exercises (e.g. agree responsibilities for MTR and final evaluation of the PEI).

All of the above activities are meant to improve the quality of the PEI activities and contribute to the delivery of the programme’s expected outcome<sup>15</sup>.

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<sup>15</sup> Annex I UNDP-UNEP Poverty-Environment Initiative. Terms of reference for the technical advisory group. N.d, pp 2-3.